



TRIDENT

at American InterContinental University

The Doctor of Education (Ed.D.) Program Handbook College of Education 2020

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Disclaimer: The information contained in the (Ph.D. or Ed.D. or DBA) Handbook is updated regularly and serves as a supplemental resource guide for doctoral students. Every effort has been made to include as much information as practicable to assist our students, however, **students are also subject to applicable policies outlined in the [Trident at AIU Academic Policy Catalog](#).**

Overview: Guide to Doctoral Studies

The Ed.D. Program at Trident at AIU is intended for mid-career professionals who wish to prepare for the additional responsibilities they face as leadership professionals in education. A Doctor of Education degree recognizes the student's superior preparation for leadership roles in the field of education. The doctoral study is also a permanent record of your applied research. Trident at AIU is committed to the preservation and dissemination of the research contributions of its graduates.

The completion of a doctoral study is one of the requirements for conferral of a doctorate, the highest academic degree offered. This handbook is intended to introduce you to the culminating experience of the doctoral study and provides you with an understanding of how the culminating experience is supported throughout the curriculum and familiarize you with the steps of the research process. In addition, this handbook includes recommended strategies and timelines to assist doctoral students in successful completion of the doctoral study. This handbook is a guide and not intended to alter or modify the requirements set forth in either the Academic Programs or Policy Handbook of the University Catalog.

Students enrolled in the Ed. D. program develop the doctoral study within the research course sequence. The Applied Research course sequence (EDD 605, EDD 607, and EDD 614) will support you through the initial steps of the research development process. At the completion of EDD 614: Research in Educational Leadership, you will identify the problem of practice you will study, complete a brief literature review, select a doctoral study chair, prepare a methodology proposal for your research, and complete a draft of the Trident at AIU Institutional Review Board (IRB) application and supporting documents.

Students enrolled in the Ed.D. Degree Completion Program complete the Designing a Doctoral Study course sequence (EDD 608, EDD 609, and EDD 610). These courses assist in the development or revision of a doctoral study, selection of a doctoral study chair, prepare a methodology proposal for your research, and complete a draft of the Trident at AIU Institutional Review Board (IRB) application and supporting documents.

The doctoral supervision sequence includes EDD 681, EDD 691, and EDD 701. These courses are completed under the guidance of your doctoral study chair. The first doctoral supervision course with your chair is EDD 681: Doctoral Study I. The goals of this course are to obtain IRB approval, determine the format of your study, and develop a comprehensive timeline to completion. You may also need to consider completion of any IRB requirements at the site under study.

Degree Requirements

All requirements for the doctoral degree (including completion of required coursework and submission of your doctoral study in a format that meets Trident at AIU criteria) must be completed within seven years following your first enrollment in the Ed. D. program. Please review the university catalog for more information on the program requirements and policy related to maximum time to degree.

Program Requirements – Ed.D. Program

The Ed.D. Program requires completion of 52 semester hour credits (40 credits of coursework and 12 credits of doctoral study coursework). The normal time to degree is 3 years.

In order to promote successful and timely completion of the program, students are discouraged from enrollment in additional coursework while enrolled in any of the applied research (EDD 605 and 607), doctoral study preparation (EDD 614), or doctoral study supervision courses (EDD 681, 691, and 701). Therefore, it is highly recommended that these courses be taken alone in a session. By doing so, students can focus on the writing and research required to complete a doctoral study. If a student wishes to enroll in an additional course while enrolled in a doctoral study preparation (EDD 614) or doctoral study supervision course (EDD 681, 691, and 701), permission must be obtained from the Doctoral Studies Director.

Students in the Ed.D. Program complete 16 credits of core coursework, 12 credits of applied research coursework, 12 credits of doctoral study coursework, and 12 credits of concentration coursework (PK-12 Leadership or Higher Education Leadership). The concentration coursework requirements are provided in Table 3.

Program of Study – Ed.D. Program

The program can be completed in 3 years or 4 years. The recommended program of study for each is provided below in Tables 1 and 2.

TABLE 1

ACCELERATED PROGRAM OF STUDY – ED.D. PROGRAM

	SESSION	COURSE
YEAR 1 (24 CREDITS)	1	EDD 602 Leadership Theory & Practice
	2	EDD 611 Strategic Planning and Finance for Educational Leaders
		EDD 613 Evidence Based Decisions and Accountability
	3	EDD 605 Applied Research
	4	EDD 633 Law and Policy in Education
		Concentration Course (EDD 634 for PK12 or EDD 640 for Higher Ed.)
YEAR 2 (20 CREDITS)	5	EDD 607 Advanced Applied Research
	6	Concentration Course (EDD 631 for PK12 or EDD 641 for Higher Ed.)
		Concentration Course (Student selects)
	7	EDD 614 Research in Educational Leadership
	8	EDD 681 Doctoral Study I
YEAR 3 (8 CREDITS)	9	EDD 691 Doctoral Study II
	10	EDD 701 Doctoral Study III
	11	EDD 704 Doctoral Study Continuation (Optional)

TABLE 2

REGULAR PROGRAM OF STUDY – ED.D. PROGRAM

	SESSION	COURSE
YEAR 1 (16 CREDITS)	1	EDD 602 Leadership Theory & Practice
	2	EDD 611 Strategic Planning and Finance for Educational Leaders
	3	EDD 613 Evidence Based Decisions and Accountability
	4	EDD 605 Applied Research
YEAR 2 (16 CREDITS)	5	EDD 633 Law and Policy in Education
	6	Concentration Course (EDD 634 for PK12 or EDD 640 for Higher Ed.)
	7	EDD 607 Advanced Applied Research
	8	Concentration Course (EDD 631 for PK12 or EDD 641 for Higher Ed.)
YEAR 3 (16 CREDITS)	9	Concentration Course (Student selects)
	10	EDD 614 Research in Educational Leadership
	11	EDD 681 Doctoral Study I
	12	EDD 691 Doctoral Study II
YEAR 4 (4 CREDITS)	13	EDD 701 Doctoral Study III
	14	EDD 704 Doctoral Study Continuation (Optional)

TABLE 3

CONCENTRATION COURSES – ED.D. PROGRAM

PK-12 Leadership Concentration Courses	Higher Education Leadership Concentration Courses
Required:	Required:
EDD 631: School Reform	EDD 640 Current Issues in Higher Education
EDD 634 Current Issues in PK-12 Education	EDD 641 Higher Education Administration
Select 1 from below:	Select 1 from below:
EDD 606: Management of Change in Education	EDD 642 Student Development Theory
EDD 630: Principles of Instructional Leadership	EDD 643: Management of Change in Higher Education
EDD 636: Dimensions of Teacher Leadership	EDD 644: Curriculum in Higher Education

The standard expectation is that students will be ready to defend their doctoral study at the end of EDD 701. Students who require more time to complete their study may enroll in EDD 704: Doctoral Study Continuation for as many sessions as necessary, however, enrollment in this course is dependent on 1) approval from the Doctoral Studies Director, and 2) demonstration of progress on the doctoral study.

Program Requirements – Ed.D. Degree Completion

The Ed.D. Degree Completion program requires completion of 24 semester hour credits (12 credits of coursework and 12 credits of doctoral study coursework). The normal time to degree is 1.5 years. The program of study is provided in Table 4.

Program of Study – Ed.D. Degree Completion

The program can be completed in 1.5 years. The program of study is provided below in Table 4.

TABLE 4

ED.D. DEGREE COMPLETION PROGRAM

	SESSION	COURSE
YEAR 1 (16 CREDITS)	1	EDD 608 Designing a Doctoral Study: Identifying the Problem of Practice
	2	EDD 609 Designing a Doctoral Study: Literature Review
	3	EDD 610 Designing a Doctoral Study: Methodology and Data Collection
	4	EDD 681 Doctoral Study I
YEAR 2 (8 CREDITS)	5	EDD 691 Doctoral Study II
	6	EDD 701 Doctoral Study III
	7	<i>EDD 704 Doctoral Study Continuation (Optional)</i>

The standard expectation is that students will be ready to defend their doctoral study at the end of EDD 701. Students who require more time to complete their study may enroll in EDD 704: Doctoral Study Continuation for as many sessions as necessary, however, enrollment in this course is dependent on 1) approval from the Doctoral Studies Director, and 2) demonstration of progress on the doctoral study.

Doctoral Study Continuation

Completion of a doctoral study sometimes requires additional time for data collection, data analysis, and revisions to the final manuscript. Students are not eligible to request an extension in 700 level courses. Those who are unable to defend their doctoral study while enrolled in EDD 701: Doctoral Study III but are actively collecting/analyzing data and achieve a passing grade in EDD 701, will need to enroll in EDD 704: Doctoral Study Continuation.

Enrollment in EDD 704 is subject to approval by the Doctoral Studies Director. The Director will consult with the doctoral study chair to determine the best course of action for the student. Students who enroll in Doctoral Study Continuation will need to meet specific goals related to the completion of the study. The course is Pass/No Pass and may only be repeated with permission from the Doctoral Studies Director.

Doctoral study continuation allows students to maintain their enrollment and continue to work with the chair. The cost for this course is \$625.00.

According to the Federal Student Aid Handbook, “A student must be enrolled at least half time to receive aid... To be enrolled half time, a student must be taking at least half of the course load of a fulltime student...” (Page 19, Volume 1, Chapter 1). Trident defines full-time in the doctoral program as 4 semester credit hours per 12-week session. Accordingly, since the doctoral study continuation courses are zero credit courses, they do not constitute as half-time enrollment and are not eligible for financial aid. Similarly, doctoral study continuation courses are not eligible for VA/GI BILL benefits. Students enrolled in these courses may be subject to repayment of their student loans.

Because doctoral study continuation courses are 0 credit courses, they do not constitute at least half-time enrollment; Therefore, these courses are not eligible for federal financial aid and VA/GI Bill benefits.

Doctoral Study Sequence Course Structure

Doctoral study sequence courses (EDD 681, EDD 691, EDD 701, and EDD 704) have a 4-module, single-Case assignment structure. The structure promotes regular communication with your chair and each module requires an updated draft of your doctoral study manuscript (or portions of the manuscript). The requirements for the course are outlined below:

1. Students must post the current draft of their doctoral study manuscript to the Module 1 Dropbox within the first week of the session (there are no exceptions)
2. Each module is worth 100 points, with 400 total possible points for the course
3. Students are expected to incorporate any recommended changes, conduct further research as needed, and improve on each draft of the manuscript. Minimum requirements for each draft:
 - a. Incorporate all the feedback from your chair. This includes recommended changes, modifications, or additional information necessary to improve your document.
 - b. Use the [track changes function in Word](#) to assist your chair in understanding where you addressed their feedback and where you modified the document.

- c. If you need further clarification on the feedback, contact your chair directly to better understand the feedback before uploading your revision.
- 4. Due dates for Modules 2–4 are determined by your instructor/Chair.
 - a. Due date guidelines:
 - i. Week 1: Case 1*
 - ii. Week 4: Case 2
 - iii. Week 7: Case 3
 - iv. Week 10: Case 4

*The Module 1 Assignment must be completed within the first week of the session start. There are NO exceptions

An Introduction to the Doctoral Study

The doctoral study is intended for practitioners in the field of education and is intended to impact your professional practice, it has the following components:

1. An introduction to the Problem (10-15 pages)
2. Literature Review (20 to 35 pages)
3. Methodology and Findings (20 to 35 pages)
4. Application to Practice (20 to 35 pages)

The Ed. D. program at Trident at AIU will permit you to conduct research in the context of your work site or in a similar environment. The model for a professional practice research study is provided in Figure 1.

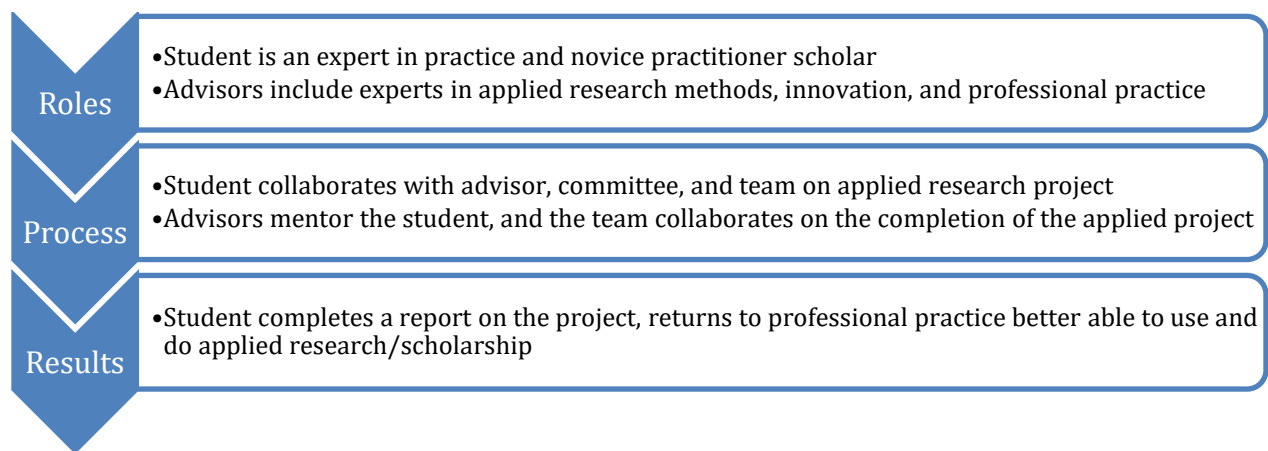


FIGURE 1 – THE PROFESSIONAL PRACTICE RESEARCH STUDY MODEL (WILLIS, INMAN, & VALENTI, 2010)

The Applied Research and Doctoral Study Course Sequence – Ed.D. Program

The Ed.D. Program will support the development of your doctoral study in your research courses and doctoral study courses. Figure 2 provides a road map of how the doctoral study is incorporated into your coursework.

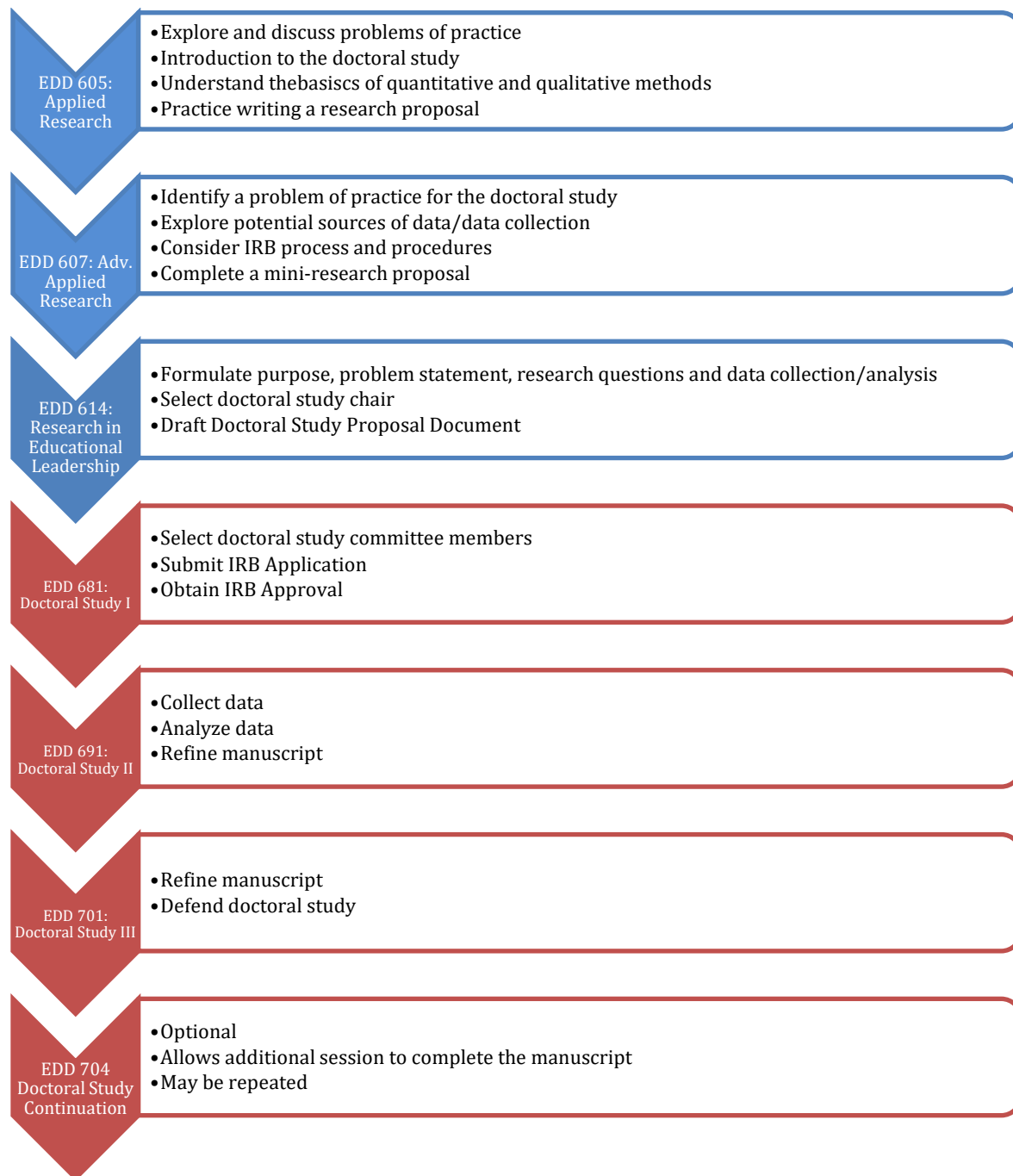


FIGURE 2. ROAD MAP OF DOCTORAL STUDY ACTIVITIES INCLUDED IN THE ED.D. PROGRAM CURRICULUM

The Designing a Doctoral Study Course Sequence – Ed.D. Program Degree Completion

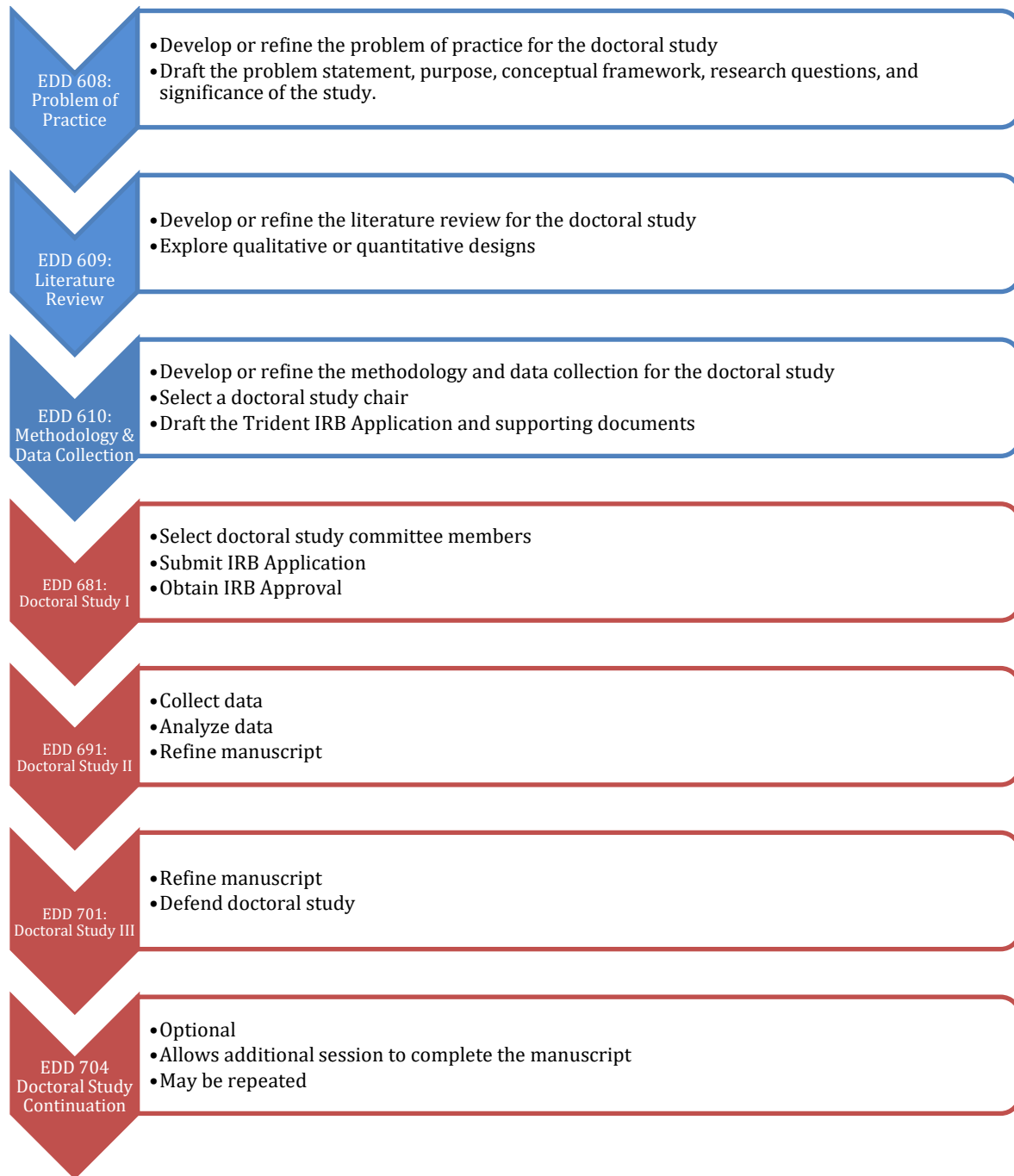


FIGURE 3. ROAD MAP OF DOCTORAL STUDY ACTIVITIES INCLUDED IN THE ED.D DEGREE COMPLETION PROGRAM CURRICULUM

Selecting a Problem of Practice

Perhaps the most difficult part of the doctoral study for most students is selecting a topic. In this doctoral program, students will identify a “problem of practice” which is essentially an area or aspect of professional practice that represents a topic or issue that is not well understood, or a problem that is not readily solvable in the organization where the student works. Students should reflect on the following three questions:

- Is the problem of practice amenable to systematic study by an individual or small group of participants in one setting?
 - Some problems of practice require more resources, and time, than a doctoral student can typically bring to bear on his or her study.
- Can the research be conducted ethically and meaningfully by an “insider”?
 - Some research is best done by an “outsider” who has no connection to the research setting other than the study; but other research is actually better done by insiders who are familiar with and know the history of the research setting.
- Can the research be reasonably completed within the period students will typically spend completing the doctoral program?

All students in the Ed. D. program select a specialization in educational leadership and their doctoral study must be relevant to that specialization. For example, if you elect to specialize in PK-12 leadership, you cannot do a doctoral study that is a program evaluation of a non-profit education agency’s adult learning program.

Doctoral students may find it difficult to narrow their research topic or scale down their research agenda. Students may begin the program with a research problem already in mind or students may have several research problems in mind and find it difficult to select just one. Glatthorn and Joyner (2005) provide a useful rating system that encourages you to reflect on potential problems of practice you are exploring. It asks you to rate the following on a scale of 1 – 5:

Professional Significance

Does the examination of the research problem result in an important contribution to the field of educational leadership? For example, will the work result in a significant change in curriculum delivery, policy or practice, or organizational management?

Continuing Professional Interest

Does the examination of the research problem result in an important and relevant contribution to the field of educational leadership? Will the results continue to be of interest to your colleagues and other education leaders?

Personal Interest

You will dedicate a great amount of time to the examination of the research problem, in order to maintain your interest over a long period time and effort; you should have a personal stake in the completion of the study.

Career Advancement

Does the research problem impact your professional goals? Consider whether you plan to continue to work in your current position or take a leadership position in a different organization. It is very likely you have enrolled in a doctoral program to advance your career, consider whether the research problem under study will lead to new career opportunities.

Professional Knowledge, Experience, and Skills

Consider your skill set as it relates to the research problem and research design, you should make an effort to match your skill set to the research problem under study, this will allow you to work efficiently.

Likely Support

A reliable source of support will definitely make completion of the study easier. Consider the sources of support you have at your work site – this includes colleagues and professional mentors.

Time Required

The Trident at AIU Ed.D. Program is an accelerated program, it is important for you to select a research problem that is narrow and can be completed in a reasonable amount of time. Applied research requires relevance to an existing educational setting. Think practically about how much time you have to complete your research.

Accessibility

This is the most important aspect of applied research. Consider whether the school board or leadership at the work site will approve your research request. Consider what types of permission you need (and the timeframe for approval). If you anticipate accessibility to your participants to be a potential obstacle, you might want to consider adjusting your plan. The complete exercise from Glatthorn and Joyner (2005) is provided in Table 6.

TABLE 6PERSONAL ASSESSMENT OF RESEARCH PROBLEMS

Criteria rating scale: 5 = Excellent, 4 = Very good, 3 = Good, 2 = Fair, 1 = Poor

Criteria	Research Problem 1	Research Problem 2	Research Problem 3
Professional significance			
Continuing professional interest			
Personal interest			
Career advancement			
Knowledge, experience, skills			
Likely support			
Time required			
Accessibility			
Total Score			

Doctoral Study Committee Selection and Approval

One of the tasks to be completed in EDD 614 (Ed.D. Program) or EDD 610 (Ed.D. Degree Completion Program) is the selection and appointment of a doctoral study chair. The chair must be approved by the Doctoral Studies Director. Students select committee members, in consultation with the chair and Doctoral Studies Director, in the Doctoral Study Sequence course EDD 681 Doctoral Study I.

A list of Trident at AIU faculty available to serve as a chair or committee member is provided in Appendix H. **Requests for a doctoral study chair who are not included on the list in Appendix H must be sent to the Doctoral Studies Director.** Please note that second table indicates faculty who are eligible to serve as a committee member only (not as a chair).

The doctoral study committee is composed of three members – the chair and two committee members. The chair should be a full-time or part-time faculty member affiliated with Trident at AIU. The second and third committee members should be a full-time or part-time faculty member affiliated with Trident at AIU.

The committee members must meet the following criteria:

- a) All Committee members must hold a terminal degree with a research background and have a record of publication.
- b) At least one committee member will have significant expertise and applied experience in the student's problem of practice, and at least one will have expertise in the research methods the student will be using.
- c) All members of the committee will have at least three years of experience in applied research or professional practice relevant to the student's research. If the member's expertise is in applied research it should be represented by publications, presentations, and/or the exemplary use of scholarship in professional practice.
- d) All members of the committee should have been active in their field of professional practice/scholarship within the five-year period preceding their participation on the committee.

Approval of Your Research Plan

As noted earlier, students will prepare a plan for their applied research in EDD 614 (Ed.D. Program) or in EDD 608, 609, and 610 (Ed.D. Degree Completion Program) under the guidance of a doctoral faculty member. Students will continue to modify and improve the plan under the guidance of their chair while enrolled in EDD 681, EDD 691, and EDD 701. One of the goals of EDD 681 is successful submission of the IRB Application, proposal, and supporting documents.

The proposal document format is provided in Appendix A. Once the plan is approved the student will submit the completed IRB Application, proposal, and supporting documents (e.g. permission letters, instruments, recruitment letters) to the Institutional Research Board (IRB). **Students must receive IRB approval from Trident at AIU before any research data can be collected. Refer to Submission of IRB Applications and Document for further instructions on this IRB process at Trident at AIU.**

Institutional Review Board (IRB)

Once your committee has approved your plan, there is one crucial final step before you may begin interventions or to collect and analyze data. That is the review and approval of the proposed study by the Trident at AIU Institutional Review Board (IRB). Federal law and regulations require an IRB review of all research involving human subjects. The purpose of such reviews is to ensure that your research complies with established ethical standards and principles. To complete this review, you must submit (through EDD 800) an application summarizing the project and the human subjects protection issues that it poses (a copy of the research methodology and any relevant forms and/or data gathering instruments is included with the application). The IRB Chair then makes the determination as to the nature and extent of the review.

It is very important that you understand that you may not collect data before IRB approval is received, and if you do collect data before that approval, the data may not be used in the doctoral study (a certain degree of exploratory reconnaissance is allowed). Official submission of a project to the IRB may not take place until the committee has approved the proposal; however, you will draft the IRB proposal in EDD 614 (Ed.D. Program) or EDD 610 (Ed.D. Degree Completion) and share it with you Chair in EDD 681 for further modifications.

Trident at AIU has a standing committee known as the Institutional Review Board (IRB). This committee exists for the protection of human subjects and requires students and faculty conducting research involving human subjects to submit their research to the appropriate IRB committee. Once your committee has approved your research plan, you are ready to submit your IRB proposal. The IRB application form and instructions may be accessed and submitted via EDD 800. Students may also access the IRB policy and procedures, membership and sample forms on the university website.

After IRB Approval of Your Research Plan

Once your initial plan for your applied research has been approved by the IRB committee, you can begin your research work under the supervision of your chair. Keep in mind, however, that if you make major changes in your research plan, it may be necessary to go back to the IRB for approval of the changes (see Appendix G). It is important to keep your committee, especially your chair, informed and up-to-date on the progress of your research and aware of any changes you may be considering. Each session the chair will report to the Doctoral Studies Director on your progress.

Submission of the IRB Application and Documents

Students complete a draft of the IRB Application and proposal document under the guidance of Doctoral Faculty in EDD 614: Research in Educational Leadership or in EDD 610 the Designing a Doctoral Study – Methodology and Data Collection course. The proposal document outline is provided in Appendix A.

Students will submit the IRB Application, proposal document, and supporting documents to IRB while enrolled in EDD 681: Doctoral Study I with their chair. The final, chair approved, documents are uploaded to the EDD 800 Dropbox “IRB Application”.

Students may only submit to IRB with approval from the Chair.

Additional resources are available on the [EDD Program Resources Page](#).

Step 1: Creating Your IRB Application and Supporting Documents

1. Download the IRB Application document [here](#).
2. Complete all sections of the file
3. Send the IRB Application and supporting documents (Informed Consent, Instruments, Permission Letter, Recruitment Correspondence, other relevant documents) to your chair via email for review.
4. Make any necessary changes to the application and supporting documents as outlined by your chair.
5. ***You may not proceed to Step 2 until you have chair approval for your application and supporting documents.***

Step 2: Uploading Your IRB Application

Before starting this process, the IRB Application must be completed and approved by your Chair.

Upload to your EDD 800 Course:

1. Upload the approved IRB Application as a Word document to the “IRB Application and Supporting Documents” Dropbox in your EDD800 course.

Step 3: Upload Supporting Document

Before starting this process, the supporting documents must be approved by your Chair.

You will need to submit, at minimum, the following documents to the Dropbox (with the IRB Application). Per IRB request, ***upload each appendix separately and save files with titles that are easy to follow (e.g. “Informed Consent” or “Interview Protocol”).***

1. Research Protocol/Methodology document (see Appendix A)
2. Instruments (surveys, questionnaires, interview protocol)
3. Informed Consent
4. Permission letter (from the study site)
5. Recruitment Correspondence (email or letter)

6. Other relevant document (consult with your chair)
7. PHRP Training Certificate to the “IRB Certificate” Dropbox (see next step for more details)

The outline for the proposal document (Appendix A), a sample Informed Consent (Appendix D), a sample Recruitment Email/Letter (Appendix E), and sample site permission letter (Appendix F) are provided in this handbook and are available for download as Word files on the Ed.D. Wiki Page.

Step 4: PHRP Training Certificate Requirement (IRB Certificate DropBox)

You must complete the IRB Training and upload proof of completion in the “IRB Certificate (PHRP Training)” DropBox folder in EDD 800, otherwise IRB will not review your application and supporting documents. Go to the [Protecting Human Research Participants \(PHRP\)](#) page to complete the training and obtain the certificate. **Please note:** The fee to complete the training is \$49.97. The certificate must have been completed no more than 2 years before the submission of the IRB application and supporting documents.

Step 5: Notify IRB

After you have uploaded the approved IRB application and supporting documents to the “IRB Application and Supporting Documents” Dropbox and the PHRP Training Certificate to the “IRB Certificate (PHRP Training)” Dropbox in EDD 800:

Send an email to IRB@trident.edu to request a review.

1. Send an email to IRB@trident.edu to request a review
 - a. Copy your Chair and Doctoral Studies Director (heidilinn.smith@trident.edu)
2. Send an email to IRB to request a review for provisional approval
 - a. Copy your Chair and Doctoral Studies Director (heidilinn.smith@trident.edu)
 - b. This is only applicable to cases where the study site has requested approval from Trident at AIU IRB before providing a permission letter
3. IRB will not conduct a review until both the chair and the Doctoral Studies Director confirm (via email reply) that your application and supporting documents are ready for review.
4. The Doctoral Studies Director may request modifications to your IRB Application or supporting documents before communicating approval to IRB that your documents are ready for review.

Step 6: Verification of Approval

After you receive IRB approval via email notification with the approval letter attached to the email, you will:

1. download the letter for your records
2. upload a copy of the letter to the “IRB Approval (or Exemption) Letter” Dropbox in EDD 800.

If you requested provisional approval, pending a site approval letter, you will:

1. download the provisional letter for your records

2. upload a copy of the provisional letter to the “IRB Approval (or Exemption) Letter” Dropbox in EDD 800
3. follow up with your study site and obtain the permission letter
4. upload a copy of the study site permission letter to the “IRB Application and Supporting Documents” Dropbox in EDD 800
5. send an email notification to IRB@trident.edu that your site approval letter has been uploaded to EDD 800 and is ready for review (copy your chair and the Doctoral Studies Director on the email)
6. after you receive IRB approval via email notification with the approval letter attached to the email, you will download the letter for your records
7. upload a copy of the letter to the “IRB Approval (or Exemption) Letter” Dropbox in EDD 800

Completing the Doctoral Study

During the collection and analysis of the research data, the candidate will maintain regular contact with the Chair through coursework (EDD 681, 691 and 701) and seek counsel and advice on each of the major steps in the research project. Students will use the Doctoral Study Template available on the My Resource tab in TLC as a guide to complete the components of the manuscript. When a draft of the final manuscript is judged by the committee to be ready to defend, the final oral defense can be scheduled.

The Oral Defense

The student should assemble a PowerPoint or video presentation describing the study, following the issues covered in the study. The final manuscript should be sent to the committee members at least 1 week prior to defense date. The emphasis should be on research settings, the problem of practice addressed, development of the applied research plan, results and implications.

An oral defense of a doctoral study normally takes from 1 to 1 1/2 hours. The defense will be by teleconferencing. In consultation with the chair, the usual procedure is for the student to find a day and time at which it is possible for all members of the committee to participate. However, the Doctoral Studies Director is available to assist in scheduling the defense as well.

Philosophy of the Oral Defense

The purpose of the oral defense is:

- To celebrate the successful completion of a major component of the doctoral program,
- To provide the student an opportunity to communicate his or her findings and interpretations to others
- To assure that the ethical and professional standards of the profession have been followed,
- To demonstrate the candidate's mastery of applied research methodology and the use of research tools in professional practice, and
- To demonstrate the candidate's understanding of the relationship of this work to the fields of education and educational leadership.

Procedures for the Oral Defense

Who Can Attend the Oral Defense?

The defense is conducted via a teleconferencing and open to members of the Doctoral Study Committee, the student, the proctor, and the Doctoral Studies Director.

Who Must Attend the Oral Defense?

All members of the committee must be present for the defense unless exceptions are approved by the Doctoral Studies Director or by his/her designee.

Outcome of the Oral Defense

Once the student has completed the oral defense, he/she will be asked to exit the room temporarily, so the committee can deliberate on the outcome. The outcome of the oral defense is decided by an open vote of the committee. The committee makes one of three recommendations:

- Approved with minor revisions
- Approved with moderate revisions
- Major revisions necessary, approval pending

*Any student receiving a committee decision of ‘**major revisions necessary, approval pending**’ must submit a Doctoral Study Defense: Approval of MOU (Appendix B) outlining the modifications required to complete the manuscript. The form is submitted to the Doctoral Studies Director. In this case, the Doctoral Study: Manuscript Approval form is signed upon approval by the committee members that all required changes have been made to the manuscript.*

Doctoral candidates may pass the oral defense but still be required to revise their manuscript. Revisions are, in fact, typical. It is the responsibility of the committee chair to review and approve revisions to the doctoral study, but this responsibility may be split across the chair and committee member where the situation warrants. When major revisions are required that will obviously require more than a few weeks to complete, the defense should be suspended until the majority of the members of the Doctoral Committee agree that the doctoral study has been sufficiently revised and is now defensible.

Edit and Submit the Doctoral Study after the Defense

Almost all doctoral study manuscripts require at least minor editing after the oral defense.

Major Revisions Necessary, Approval Pending

Students receiving a committee decision of **'major revisions necessary, approval pending'** must submit a Doctoral Study Defense: Approval of MOU (Appendix B) outlining the modifications required to complete a satisfactory manuscript. The form is submitted to the Doctoral Studies Director.

Once the changes to the manuscript have been made, the student will circulate the revised manuscript and the Manuscript Approval Form (Appendix C) to the committee and obtain signatures from all three committee members. The completed form is sent to the Doctoral Studies Director and uploaded to the student's academic record.

Approved with Minor or Moderate Revisions

Students receiving a committee decision of **'approved with minor revisions'** or **'approved with moderate revisions'** will complete the revisions in cooperation with the Chair. When the post-defense changes have been made and approved, the student will circulate the revised manuscript and the Manuscript Approval Form (Appendix C) to the committee and obtain signatures from all three committee members. The completed form is sent to the Doctoral Studies Director and uploaded to the student's academic record.

Once the doctoral study has been successfully completed, the candidate will be granted the degree upon successful publishing of the manuscript to ProQuest. Procedurally, these steps will take place:

1. The Doctoral Studies Director will send an e-mail to the candidate indicating the approval of the doctoral study and instructions on uploading the approved manuscript to ProQuest.
 - a. This email also serves as notification to the Registrar that the student is ready for the degree audit.
2. The candidate will receive an electronic letter from the Registrar's Office indicating that all degree requirements have been satisfied, the student uploads this letter to ProQuest.
3. The candidate must also be prepared to upload a PDF version of their manuscript to ProQuest and be prepared to pay any associated copyright fees.
4. The Doctoral Studies Director will be notified by ProQuest when the manuscript has been uploaded by the candidate.
5. Once approved by the Doctoral Studies Director in ProQuest, a notification will be sent that the manuscript has been successfully published to ProQuest.
6. The Registrar's Office will release the degree to the candidate.

Format of the Doctoral Study

The Ed.D. Program Doctoral Study template is available as a Word file on the MyResources tab in TLC or on the [Ed.D. Program Wiki page](#) on the Doctoral Study Resources page. A sample outline of the doctoral study is provided below. Consult with your doctoral study chair to determine the final outline of your study.

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Use of APA Style in the Doctoral Study

Trident at AIU has generally standardized on “APA style” as the most used and generally accepted writing format. Many different print and online sources provide information as to the requirements of this style. Current versions of the APA manual published by the American Psychological Association are comprehensive and up to date, but many other online and printed guides and tutorials are also available. APA guidelines include rules for virtually every part of the doctoral study including tables and table captions, citations and references, and the style of headings. Students may refer to the APA Style (www.apastyle.org/).

Students should refer to the Doctoral Study Template on the MyResources tab in TLC for more guidance on APA requirements in the manuscript.

Ed.D. Program Doctoral Study Defense Guide

Overview

This document is intended to provide information on the protocol and guidelines to plan for a doctoral study defense in the Ed.D. Program at Trident at AIU.

The defense is an oral presentation of an independent research study conducted by Ed.D. Program candidates to fulfill the degree requirements of the Doctor of Education in Educational Leadership. The doctoral study represents the culminating project that meets or exceeds the programmatic and student learning outcomes for the Trident at AIU Doctor of Education degree. Students complete the doctoral study and prepare the defense under the guidance of their chair and committee members. Activities associated with successful completion of the doctoral study are included in the doctoral study course sequence (EDD 614: Research in Education Leadership, EDD 681: Doctoral Study I, EDD 691: Doctoral Study II, and EDD 701: Doctoral Study III).

Local students are encouraged to schedule their defense at Trident at AIU, the Doctoral Studies Director will reserve an onsite conference room for the defense.

Eligibility to Schedule a Defense

Students must meet the following requirements to be eligible to schedule a defense:

1. Successful completion of EDD 681: Doctoral Study I and EDD 691: Doctoral Study II
2. Current enrollment in EDD 701: Doctoral Study III or EDD 704: Doctoral Study Continuation
3. Written approval from the chair to schedule the defense

Protocol to Schedule a Defense

1. The chair determines if the full doctoral study document (Introduction, Literature Review, Methodology and Findings, and Application to Practice) is ready for distribution to the committee members
 - a. All portions of the doctoral study should adhere to APA 6th edition formatting standards, this includes the abstract, preface, acknowledgements (optional), table of contents, tables, figures and references.
 - b. The student should use the Ed.D. Program Doctoral Study Template as a guide, the guide is available for download as a Word file on the MyResources tab in TLC.
 - c. Upon approval from the chair, the student distributes the manuscript to committee members via email
2. The student and chair determine a potential timeframe for the defense
 - a. The timeframe must be based on providing at least 5 business days for the committee members to review the document
3. The chair sends an email notification to the Doctoral Studies Director indicating approval to schedule the defense
 - a. The email should include:
 - i. The date the manuscript was distributed to the committee members
 - ii. The proposed timeframe to schedule the defense

- b. If possible, the email can include proposed defense dates/times based on chair or student availability
4. The Doctoral Studies Director will contact the student, chair, and committee members to schedule an agreeable date and time for the defense (Note: Doctoral Studies Director will also attend the defense)

Guidelines for the Defense

Before the Defense

1. The Doctoral Studies Director will set-up the defense and send confirmation of date and time, online room information, and conference call-in information to the student, chair, and committee members
2. **Zoom:** After the confirmation of the defense date, it is recommended that student become familiar with the online platform Zoom, there are several [tutorials available online](#).
3. The student and committee members should have a reliable internet connection and speaker phone for the defense
4. The student should be prepared to login at least 15 minutes prior to the start of the defense
5. The student should be prepared to record any committee feedback received at the defense

At the Defense

6. The Doctoral Studies Director confirms the identity of the student and proctor
 - a. Student must be on camera and provide evidence of valid photo I.D.
7. The chair facilitates the defense and begins with an introduction of the student, chair, and committee members
8. The student presents a 30-minute PPT
9. The chair facilitates questions from the committee members
10. The student will be placed on hold and will have no video or audio connection to allow for committee deliberation (the deliberation is not recorded)
11. The chair facilitates consensus among the committee members on the defense results
 - a. The defense paperwork provides the following options
 - i. Approved with minor revisions
 - ii. Approved with moderate revisions
 - iii. Major revisions necessary, approval pending
12. The student will be taken off hold for notification of the results of the defense and to finalize expectations related to document revisions and the timeline for revisions (the student should record this feedback)
13. The chair concludes the session with the committee members and Doctoral Studies Director

After the Defense

14. **Major Revisions Necessary, Approval Pending:** The chair will hold the defense paperwork until the Memo of Understanding (MOU) is ready for approval by the committee
 - a. Within 2 business days, the student will provide a Memo of Understanding (MOU) (Appendix B) to the chair and committee members, the MOU outlines the required revisions and timeline for revisions.

- b. The chair and committee members will review, modify, and approve the MOU as needed within 3 business days – the student may begin modifying the manuscript
 - c. The chair and student will work together to make any required modifications to the manuscript. The student will circulate the revised manuscript and the Manuscript Approval Form (Appendix C) to the committee and obtain signatures from all three committee members. The completed form is sent to the Doctoral Studies Director and uploaded to the student's academic record.
15. **Approved with Minor or Moderate Revisions:** The chair and student will work together to make any required modifications to the manuscript. The student will circulate the revised manuscript and the Manuscript Approval Form (Appendix C) to the committee and obtain signatures from all three committee members. The completed form is sent to the Doctoral Studies Director and uploaded to the student's academic record.

Finalizing the Doctoral Study Document

1. The student will distribute the revised doctoral study manuscript to the chair and committee members via email
2. The chair and committee members will review the document and respond within 3 business days
3. The student must comply with any additional minor modifications or formatting modifications proposed by the committee members
4. The student will circulate the Doctoral Study Approval: Approval of Manuscript form (Appendix C) to the chair and committee members – signature on this document indicates the chair and committee member approval of the final document
5. The final document and approval form is sent to the Doctoral Studies Director
6. The Doctoral Studies Director will respond within 2 business days
7. Upon approval by the Doctoral Studies Director and the Dean, the student will receive an email notification with details about filing the doctoral study.

Filing the Doctoral Study

1. The Doctoral Studies Director will notify the student and the Registrar of the approved doctoral study. The Registrar will start the degree audit (check) to make sure that all of the academic and other requirements have been met for this degree.
 - a. The Registrar will send a degree completion letter (via email) to the student for submission to ProQuest.
2. Once the student receives the letter from the Registrar, the manuscript can be prepared for publication at ProQuest following their [publication guidelines](#).
3. ProQuest will provide more information to the student upon request

Release of the Degree

1. Once the Doctoral Studies Director has confirmed the manuscript has been uploaded to ProQuest, the Registrar will be notified to release the degree.
2. As a courtesy, the student should contact the Chair and committee members to determine if they would like a hard copy of the doctoral study. If so, the copy should be sent directly to the chair and/or committee member(s)

APPENDIX A: Doctoral Study Proposal

This template is available online at: <http://tridenteddprogram.pbworks.com>

Doctoral Study Proposal

This guide is intended to assist you with the development of the Doctoral Study Proposal. This document is submitted to the “IRB Application” DropBox in EDD 800 after approval from your Chair.

- It is highly recommended that you adhere to the outline provided below to construct your document, as this outline will be helpful as you complete your doctoral study.
 - Sections and components labeled as a placeholder do not need to be submitted to IRB.
- Students may only submit to IRB with approval by the Chair.
- The full Doctoral Study Template is available for download as a Word document on the MyResources Tab in TLC.

Section 1: Introduction to the Problem

Background

Write a brief introduction to the methodology as a whole. Indicate the type of methodology that will be employed (qualitative, quantitative, mixed method). Describe the goals of the research study. The introduction should be one paragraph.

Statement of the Problem

Provide 1 – 2 paragraphs for the statement of the problem. It should address the following:

- *What is the overriding problem?*
- *Where is the problem found? (context or setting)*
- *What needs to be done to solve the problem? (make the link to your research design)*

Purpose of the Study

Provide 2 – 3 paragraphs for the purpose of the study.

- *The purpose statement should begin with “The purpose of this (qualitative/quantitative/mixed methods) study is to...”*
 - *Qualitative: the central phenomena under study is explained*
 - *Quantitative: the variables are identified and defined*
 - *Mixed methods: both the central phenomena and variables are described*
- *The participants in the study are mentioned*
- *The setting of the study is explained*
- *The purpose statement compliments the problem statement*

Conceptual or Theoretical Framework

Provide 4 – 5 paragraphs for the conceptual or theoretical framework of your study. Your conceptual or theoretical framework is based on your review of the literature and is clearly linked to your purpose statement.

- *How does your study address a gap in the literature/research?*

- What constructs (or variables) does your study attempt to explore or examine?
- Situate your study within other theory and research.
- Summarize why your study and the selected methodology addresses the phenomena or variables under study.

Research Questions

Provide a short introductory sentence and include your research questions in this section. Research questions should link directly to the purpose of a study. The number of research questions is dependent on the methodology and design.

A quantitative study can include several research questions that include measurable variables. Quantitative research questions specify the independent and dependent variables. Example quantitative research questions:

- How frequently do [participants] [variable] at [research site]?
- How does [independent variable] relate to [dependent variable]?
- How do [group 1] compare to [group 2] in terms of the [dependent variable]?

A qualitative study will include one central research question and a few subquestions. Qualitative research questions are written using exploratory language to allow participants to share information with you. Example qualitative research question:

- What is the [central phenomenon] for [participants] at [research site]?

Significance of the Study

Describe how your study will contribute to the understand of the problem and who will benefit from your study. This should link to your Application to Practice section in the completed doctoral study.

Definition of Key Terms

Provide definition for key words, phrases or acronyms. Provide an introductory sentence, the list of terms should be formatted as it appears below.

Section 2: Literature Review (Placeholder)

This section does not need to be included in the submission to IRB. But will be required in the completed doctoral study.

Section 3: Methodology and Findings

Research Methods and Design

Describe your overall research approach. Discuss why qualitative, quantitative, or mixed methods have been selected to address your topic. Discuss the selected research design and justification for the selection of the design for your study.

Provide detail on your research design. Justify why the selected design is appropriate for the study.

Qualitative Research Designs

- *Case Study: the school, program, job, etc. is the unit of analysis. May use interviews, observation, document analysis.*
- *Ethnographic/Qualitative Interview Study: the individual is the unit of analysis, 1:1 or focus group interviews are used*
- *Ethnography: the culture is the unit of analysis; observation, interviews and artifact collection (documents) are used.*
- *Narrative Study (or its pre-mutations): the story is the unit of analysis. Several individuals are interviewed in depth.*
- *Grounded Theory: variables needed to develop the theory are the unit of analysis; many 1:1 interviews are used.*
- *Phenomenological: the phenomena is the unit of analysis; many 1:1 interviews are used.*

Quantitative Research Designs

- Experimental Research: To establish a possible “cause and effect” relationship between variables
 - Types of experimental designs
 - True experimental designs
 - Quasi-experimental designs
 - Pre-experimental designs
 - Factorial designs
- Non-Experimental Research: To describe an existing condition
 - Types of descriptive research
 - Correlational research: to determine relationships between variables
 - Causal-comparative research (aka ex post facto): to determine the “cause” for preexisting differences
 - Survey research: to describe the attitudes, opinions, behaviors, or characteristics of the population
 - Cross-sectional survey designs
 - Longitudinal survey designs

Research Hypotheses (Quantitative study only)

If the study is quantitative, provide a null hypothesis and an alternative (or research) hypothesis for each research question. Use the notation for null (H_0) and the notation for the alternative (H_1).

Helpful Resource: Loftus, G. (2010). Null Hypothesis. In Neil J. Salkind (Ed.), Encyclopedia of Research Design. (pp. 939-943). Thousand Oaks, CA: SAGE Publications, Inc.

Research Site or Population

Describe the characteristics of the population you will study. A population is the large collection of individuals you have identified for your study. If your research takes place within a specific educational setting, describe the demographics of the entire population.

Population and Sample

Describe the characteristics of the population you will study. A population is the large collection of individuals you have identified for your study. If your research takes place within a specific educational setting, describe the demographics of the entire population.

The sample is the subset of the population who you will contact to participate in your study. Provide details on the sampling method (specify the type of non-probability sampling – e.g. purposive sampling, convenience sampling, snowball sampling).

Briefly discuss the sample size. If you will use multiple instruments provide a sample size for each data collection point. If you are using a survey design, predict the size of your sample using an estimated response rate (based on population).

Instrumentation

Provide details on the instruments that are used in your study.

Interviews: *Provide details on how the interview protocol (questions) was developed. Justify the use of one-on-one semi-structured interviews or focus groups.*

- *If you created the interview questions, describe the process used to select the questions. Detail how the interview questions are related to the research questions. If you conducted a pilot of the interview protocol, discuss the pilot and any resulting modifications here.*
- *If you are using an existing interview protocol (or a modified protocol) describe who created the instrument and any details available on the validity of the instrument. Justify the selection of this instrument (link to your research questions). You will also need to provide details on any modification(s) made to the existing protocol.*
- *Provide the complete interview protocol in an appendix (do not include the protocol within this section).*

Observations: *Provide details on where the observation will take place and the instrument that will be used to gather data for the observation.*

- *Qualitative: discuss how the observations allow you to observe the central phenomena*
- *Quantitative: discuss how observations allow you to collect numerical data related to the research question(s)*

Survey/Questionnaire: *Provide detail on how the survey/questionnaire was developed and how it is related to your research question(s)*

- **Qualitative:** *discuss how the questionnaire allows you to collect information related to demographics or characteristics of your participants that are relevant to the central phenomena*
- **Quantitative:** *discuss how the survey instrument was developed.*
 - *If you created the instrument, detail how the survey questions were selected, refined, and/or modified during the development of the instrument. When possible, address validity (e.g. construct validity, content validity) of your survey. Describe how the survey was designed to address potential issues related to administration and response rate.*
 - *If you are using an existing survey, detail how the instrument was developed by the original creator. Provide details on how the instrument was modified or revised for your study. When possible, discuss any information on reliability and validity of the existing survey instrument.*

Document Analysis: *Provide detail on how the document analysis will contribute to your understanding of the central phenomena*

- *Discuss the selection of documents included for analysis and make clear links to your research question(s). When necessary, discuss how document analysis contributes to the validity of your study (e.g. triangulation).*

Secondary Data: Provide details on the original purpose for the collection of the data and how the data was collected. Discuss how this data provides the information necessary to address the research questions and variables included in your study. Provide a detailed discussion on how the variables included in the secondary data set match the variables included in your study (a table might be appropriate).

Data Collection

Provide a step-by-step description of your data collection methods. Include relevant information on gatekeepers (e.g. Institutional Review Board at the site, access to participants), consent, and protection of participant identity.

You may have to provide multiple sections organized by the type of data (interview, observations, etc.)

- How will you recruit participants?
- How will you obtain informed consent?
- How will you protect participant identity?
- Where will interviews/observations take place?
- How will you collect data (e.g. tape record, transcription, online security)?
- How will you protect and store data?

In conclusion, provide a timeline for your study.

Data Analysis

What techniques will you use to analyze your data?

Qualitative

You may have to provide multiple sections organized by the type of data collected.

- How will you analyze transcripts from interviews?
- Describe your coding process and how you will identify themes.
- Discuss any software or analysis procedures you will employ
- Discuss steps you will take to address validity (e.g. bracketing, triangulation, member checking, auditing)

Quantitative

How will you analyze the data? Organize this section by your research questions:

- Research question 1 – Present question here...
- Follow the research question with a discussion of the type of statistical analysis you will utilize.

Trustworthiness and Credibility (Qualitative study only)

Discuss actions you will take to ensure trustworthiness and address positionality. As scholar-practitioners you are more likely to address a problem of practice at your work site. There are additional steps you can take to ensure the trustworthiness and credibility of your findings.

Helpful Resource: Given, L., & Saumure, K. (2008). Trustworthiness. In Lisa M. Given (Ed.), *The Sage Encyclopedia of Qualitative Research Methods*. (pp. 896-897). Thousand Oaks, CA: SAGE Publications, Inc.

Helpful Resource: Brooks, R., te Riele, K., & Maguire, M. (2014). Identity, power and positionality. In *Research Methods in Education: Ethics and education research*. (pp. 100-117). London: SAGE Publications Ltd.

Limitations

Describe limitations – what influences are you unable to control for in your study? What are the potential weaknesses in your study that are not within your control? How might this influence your findings?

Delimitations (optional)

Describe delimitations – what influences are you able to control for in your study? What choices have you made regarding for your study that link to your purpose and research questions?

Results (Placeholder)

This component does not need to be included in the submission to IRB. But will be required in the completed doctoral study.

Evaluation of Findings (Placeholder)

This component does not need to be included in the submission to IRB. But will be required in the completed doctoral study.

Implications (Placeholder)

This component does not need to be included in the submission to IRB. But will be required in the completed doctoral study.

Recommendations (Placeholder)

This component does not need to be included in the submission to IRB. But will be required in the completed doctoral study.

Conclusion

Provide 2 – 3 paragraphs for your conclusion. Summarize the intent of your study and why your research is important.

Section 4: Application to Practice (Placeholder)

This section does not need to be included in the submission to IRB. But will be required in the completed doctoral study.

References

Provide a Reference List.

Appendices

Provide relevant appendices.

APPENDIX B: Doctoral Study Defense: Approval of MOU Form

This form is available online at: <http://tridenteddprogram.pbworks.com>

Doctoral Study Defense: MOU

Student Name (Printed)

Date

Doctoral Study Title:

Defense Results

- ☐ Approved with minor revisions (this form and MOU is optional)
- ☐ Approved with moderate revisions (this form and MOU is optional)
- ☐ Major revisions necessary, approval pending (**this form and MOU is required**)

Memo of Understanding 4: Defense

1. The student must distribute MOU 4: Defense within 2 business days after the defense
2. The committee must finalize MOU 4: Defense within 4 business days after the defense

Committee Approval of MOU 4: Defense

3. Obtain Doctoral Study Chair signature (scan/email acceptable)
4. Send the form to each committee member (with Chair signature)
5. Gather signatures or attach email confirmations from each committee member
6. The student will complete modifications to the document within 10 business days after the defense (except when major revision are necessary)

By signing below, committee members confirm receipt, review, and approval of the MOU 4: Defense.

Doctoral Study Chair (Printed)

Signature

Date

Committee Member (Printed)

Signature

Date

Committee Member (Printed)

Signature

Date

APPENDIX C: Doctoral Study Manuscript Approval Form

This form is available online at: <http://tridentddprogram.pbworks.com>

Manuscript Approval Form

Student Name (Printed)

Date

Title:

Submission Approval

1. Obtain Chair signature first (scan/email acceptable)
2. Send the form to each committee member (with Chair signature)
3. Gather signatures from the committee members
4. Completed document with all signatures is sent to the Doctoral Studies Director/Dean at heidilinn.smith@trident.edu

By signing below, committee members confirm receipt, review, and approval of the Doctoral Study.

Chair (Printed)

Signature

Date

Committee Member (Printed)

Signature

Date

Committee Member (Printed)

Signature

Date

APPENDIX D: Sample Consent to Participate in Research

This document is available online at: <http://tridenteddprogram.pbworks.com>

CONSENT TO PARTICIPATE IN RESEARCH

[Insert title of study]

You are asked to participate in a research study that/which [briefly describe study]. This form is part of a process called “informed consent” to allow you to understand this study before deciding whether to take part. This study is being conducted by [your name] who is a doctoral candidate in the College of Education at Trident at AIU.

PURPOSE OF THE STUDY: The purpose of this study is to:

- [State what the study is designed to assess or establish.]
- [State what the study is designed to assess or establish.]
- [State what the study is designed to assess or establish.]

PROCEDURES: If you volunteer to participate in this study, you will do the following things:

[Describe the procedures chronologically using simple language (8th grade reading level for an American native-English speaking population), short sentences and short paragraphs. The use of subheadings helps to organize this section and increases readability. Medical and scientific terms should be defined and explained. Identify any procedures that are experimental.]

[Specify the subject's assignment to study groups, length of time for participation in each procedure, the total length of time for participation, frequency of procedures, location of the procedures to be done, etc.]

POTENTIAL RISKS AND DISCOMFORTS: Being in this type of study involves some risk of the minor discomforts that can be encountered in daily life, such as loss of time. Being in this study would not pose risk to your safety, employment, or wellbeing. [Or, describe any risks here]

POTENTIAL BENEFITS TO SUBJECTS AND/OR TO SOCIETY: [Describe benefits to subjects expected from the research. If the subject will not benefit from participation, clearly state this fact.] [State the potential benefits, if any, to science or society expected from the research.]

PAYMENT FOR PARTICIPATION: There is no incentive or monetary benefit for participating in this study. [Or, describe any incentive provided to the participant.]

CONFIDENTIALITY: Your participation in this study will be kept confidential. We will not be collecting your name or any other identifying information in this study, thus, your responses will be anonymous and there will be no way for anyone to identify your responses. The original data and the electronic file with your data will be stored on a password protected computer. Findings from this study will be presented in aggregate form with no identifying information to ensure confidentiality.

PARTICIPATION AND WITHDRAWAL: This study is voluntary. Everyone will respect your decision of whether or not you choose to be in the study. If you decide to join the study now, you can still change your mind later. You may withdraw without question at any time.

CONTACT AND QUESTIONS: If you have any questions or concerns about the research, please feel free to contact:

Your Name, Ed.D Candidate
Phone
Email

Your Chair's Name, Chair
Phone
Email

If you have questions regarding your rights as a research subject, contact the Institutional Review Board for the Protection of Human Subjects at Trident at AIU, 2200 East Germann Road, Chandler, AZ 85286; Telephone: (714) 816-0366 x2189; Email: irb@trident.edu

STATEMENT OF CONSENT

I have read and understood the provided information and have had the opportunity to ask questions. I understand that my participation is voluntary and that I am free to withdraw at any time, without giving a reason and without cost. I understand that I will be given a copy of this consent form. I voluntarily agree to take part in this study.

<If you are conducting a survey or sending questions via an online survey – create two options (buttons):>

[] I agree to participate *<design survey to take participant to your survey instrument>*

[] I do not agree to participate *<design survey to take participant to a closing page thanking them for their consideration>*

<If you are conducting face-to-face interviews>

[] I agree to participate

[] I do not agree to participate

Participant's signature _____ Date _____

Investigator's signature _____ Date _____

APPENDIX E: Sample Participant Recruitment Email/Letter

This document is available online at: <http://tridenteddprogram.pbworks.com>

Study Title:

Dear _____,

My name is (insert). I am a doctoral candidate in the College of Education at Trident at AIU. I am conducting a research study as part of the requirements of my degree in educational leadership, and I would like to invite you to participate. This study has been approved by the Trident at AIU Institutional Review Board.

I am studying (describe purpose). If you decide to participate, you will be asked to (describe procedures, e.g., complete some surveys about _____ (or) meet with me for an interview about _____ (or) participate in a group discussion about _____. In particular, you will be asked questions about (or) we will discuss (insert topics). The meeting will take place at _____ (or) a mutually agreed upon time and place, and should last about ____ minutes. (If appropriate) The session (or) interview will be audio (or) video taped so that I can accurately reflect on what is discussed. The tapes will only be reviewed by members of the research team who will transcribe and analyze them. They will then be destroyed.

You may feel uncomfortable answering some of the questions. You do not have to answer any questions that you do not wish to. Although you probably won't benefit directly from participating in this study, we hope that others in the education community will benefit by _____.

Participation is confidential. Study information will be kept in a secure location. The results of the study may be published or presented at professional meetings, but your identity will not be revealed. Taking part in the study is your decision. You do not have to be in this study if you do not want to. You may also quit being in the study at any time or decide not to answer any question you are not comfortable answering.

We will be happy to answer any questions you have about the study. You may contact me at (insert phone number and e-mail address) or my chair, (insert name, phone number, and e-mail address) if you have study related questions or problems. If you have any questions about your rights as a research participant, you may contact the Institutional Review Board at Trident at AIU 714-816-0366 ext. 2189.

Thank you for your consideration. If you would like to participate, please (explain what they should do, e.g., open the attached survey packet and begin completing the study materials. When you are done, please (insert instructions about what to do with completed instruments). (or) please contact me at the number listed below to discuss participating. (or) Sign the attached form and return it to _____. (or) I will call you within the next week to see whether you are willing to participate.

With kind regards,

(Signature)

(Name)

(Address)

(Phone number)

(e-mail address)

APPENDIX F: Sample Site Permission Letter

This document is available online at: <http://tridenteddprogram.pbworks.com>

This document should be printed on letterhead of the organization or study site.

Trident at AIU
Institutional Review Board for the Protections of Human Subjects
2200 East Germann Road
Chandler, AZ 85286

Date

Dear _____:

On behalf of (insert name of site), I am writing to grant permission for (insert name), a (insert description) at Trident at AIU, to conduct her/his research titled, "(insert title of study)". I understand that (insert name) will recruit up to (insert recruitment number) of our employees/clients/students to survey/conduct interviews at (insert name of site) over the next (insert length of study period). We are happy to participate in this study and contribute to this important research.

Sincerely,

Signature and Title

APPENDIX G: Request to Amend Research Protocol

This form is available online at: <http://tridenteddprogram.pbworks.com>



TRIDENT

at American InterContinental University

Institutional Review Board

2200 Germann Road, Chandler, AZ 85286 • Tel: (714) 816-0366, ext. 2518 • Fax: (714) 226-9844

Request to Amend Approved Research Protocol

Any changes to the doctoral study protocol must be approved by the Chair and Director before submitting this form. Please forward approval from the Director to IRB@trident.edu

Part 1: Administrative Information

1. Title of Protocol: _____

2. Principal Investigator Information

Name: _____

Email Address: _____

Program: _____

3. Submit Date: _____

Part 2: Amendments

1. Please describe items that you are proposing to change.

Type of Change	Previously Proposed	Proposed Change
Change in Study Title		
Change to Study Site		
Change to Data Collection Methods/Instruments		
Change to Study Population		
Change to Recruitment/Incentive		
Change to Identifiers Collected in the Study		
Change to Informed Consent		
Other Changes		

2. Please state the reasons you are making changes to the study:

3. Will the proposed changes have an impact on the risks to research participants? Please explain.

Part 3: Supporting Documents

The following table shows which documents are required for each type of change. The documents should be uploaded along with your updated application. **Use “track changes” for all document revisions.** Any missing or incomplete documents will delay the IRB approval process.

Type of Change	Required Documents
Change in Study Site	<ul style="list-style-type: none">• Written permission from proposed study site, service agreement, or URL (supporting data is public use)
Change to Data Collection Methods/Instruments Change to Identifiers Collected in the Study	<ul style="list-style-type: none">• Proposed/Revised data collection/survey instruments• Revised Methodology• Informed Consent (depending on changes)
Change to Study Population	<ul style="list-style-type: none">• Revised Methodology• Other documents (depending on changes)
Change to Recruitment/Incentive	<ul style="list-style-type: none">• Revised Methodology• Proposed/Revised Recruitment Documents
Change to Informed Consent/Assent	<ul style="list-style-type: none">• Informed Consent/Assent

Investigator's Assurance

I certify that the information provided in this application is complete and correct.

I understand that as Principal Investigator, I have ultimate responsibility for the conduct of the study, the ethical performance of the project, the protection of the rights and welfare of human subjects, and strict adherence to any stipulations imposed by the IRB.

I agree to comply with all TUI policies and procedures, as well as with all applicable federal, state, and local laws regarding the protection of human subjects in research, including (but not limited to) the following:

- Performing the project according to the approved protocol

- Implementing no changes in the approved protocol or consent form without prior IRB approval (except in an emergency, if necessary to safeguard the well-being of human subjects)
- Obtaining the legally effective informed consent from human subjects or their legally responsible representative, and using only the currently approved, stamped consent form with human subjects
- Obtaining all required permissions to perform study
- Promptly reporting to the IRB in writing any significant or untoward adverse effects within 5 days of their occurrence

Please enter your full name to agree with the above terms and conditions:

e-Signature*

Please enter your full name to agree with

Signed on:*

APPENDIX H: Doctoral Study Committee Member List

- The following Trident at AIU Faculty confirm their interest to serve on an Ed.D. Program doctoral study committee as a Chair or Committee Member.
- Students may contact the faculty member directly to confirm a willingness to serve (see last page of this document for email template).
- Faculty availability to serve on a committee is determined by a number of factors, including their expertise and current workload.
- Questions from students or faculty may be directed to the Ed.D. Program Director, Dr. Heidi Linn Smith.
- Faculty who appear on this list are not required to send an updated CV, as their CV is already on file with the program.

Faculty Eligible to Serve as a Doctoral Study Chair or Committee Member

Faculty Name	Contact Information	Education	Professional Background	Area(s) of Expertise/Research
Amundsen, Scott Adjunct Faculty, University College, Trident at AIU	scott.aamundsen@trident.edu (562) 370-7589	Ph.D., Curriculum & Instruction M.Ed. Community & Occupational Education B.A., Government	Higher Education Administration Higher Education Teaching Enrollment Management Athletic Coaching & Administration	Education Leadership Student Success Initiatives First Generation College Students Enrollment Management Online/Distance Education
Deegan, Allison Professor, College of Education, Trident at AIU	allison.deegan@trident.edu (310) 801-1472	Ed.D., Educational Leadership MPA, Public Policy B.S., Marketing	Los Angeles County Office of Education, Finance/Policy Administrator WriteGirl (www.WriteGirl.org), Nonprofit Leadership	Education Finance, Organizational Development, Educational Leadership, Nonprofit Leadership, College Attainment/Admissions, Writing, Creativity, Emerging Research Methods
del Hierro, George Full-Time Instructor and Course Coordinator, Trident at AIU	George.delHierro@trident.edu 714 264 1065	Ph.D. Education Leadership MBA Finance M.S. Higher Education and Student Affairs B.A. Psychology	Student Affairs Higher Education Administration Assessment Enrollment Management	Faculty and Student Retention and Engagement Quantitative and Qualitative Research Assessment Online/Distance Learning
Fernandez, Heidi Associate Dean, University College, Trident at AIU	heidi.fernandez@trident.edu (213) 631-3840	Ed.D., Curriculum and Instruction/ Ed Tech M.S., Math Education B.A., Sociology	K-12 teaching experience, on-ground and online Higher education teaching Higher education administration	Math education Online teaching and learning Online presence Course development

Frederick, Nicole Professor, College of Education, Trident at AIU	Nicole.Frederick@trident.edu	Ed.D., Educational Leadership M.A., Curriculum and Instruction B.A., Elementary Education	PK-8th Grade School Principal, National Board Certified Classroom Teacher (Elementary), Capstone Mentor and Dissertation Chair	Educational/Organizational Leadership, Teaching Effectiveness, Teacher Excellence, Growth Mindset, Teacher Evaluation, Special Education Best Practices
Hodges, James Adjunct Faculty, Masters of Education and Ed.D. Programs, Trident at AIU	james.hodges@trident.edu (276) 340-5040	Ph.D., Higher Education Leadership & Administration M.A., Educational Administration and Supervision M.A., Biblical Studies B.A., Elementary Education B.A., Theater & Speech	Vice President of Academic and Student Success Services, Patrick Henry Community College Professor of Education, , Patrick Henry Community College Second and Third Grade Teacher, Martinsville City Schools Summer School Principal, Martinsville City Schools	Cooperative Learning, Critical Thinking, The Community College Student Success Agenda, Developmental Education
Jones, Jeannette Dean, School of Education, American Intercontinental University	JJones@aiuniv.edu	Ed.D., Instructional Technology and Distance Education Masters of Business Administration B.S., Human Resource Management		
Romanuck Murphy, Cammy Adjunct Faculty, MAED and Ed.D. Program, Trident at AIU	Camillia.RomanuckMurphy@trident.edu	Ed.D., Educational Leadership M.Ed., Educational Administration M.S., Speech-Language Pathology B.S., Communication Disorders	Doctoral Academic Editor K-12 and Higher Education on-site and online instructor Speech Language Pathologist, Nationally and Regionally Certified Capstone Mentor	Educational Leadership Transformational Leadership Special Education Inclusive Special Education Academic Writing and Editing Online Teaching and Learning
Schmidt, Heidi Department Chair, College of Education, Trident at AIU	Heidi.Schmidt@trident.edu (714) 816-0366 ext. 2648	Ph.D. Educational Leadership and Policy Analysis M.A. -Educational Administration (Curriculum and Instruction minor) B.S.-Elementary Education (Reading and Language Arts Concentration)	District Administrator Middle School Principal and Associate Principal K-8 teacher Higher education teaching (adjunct and core faculty)	Educational Leadership Learning Organizations Curriculum, Instruction and Assessment K-12 School Based Mental Health
Smith, Heidi Linn	heidilinn.smith@trident.edu (714) 816-0336 ext. 2486	Ed.D., Community College/Higher Education Leadership	Higher education administration, academic program development,	Access, retention and persistence of underrepresented college

Dean, College of Education and Doctoral Studies Director, Ed.D. Program, Trident at AIU		M.S., Exercise Physiology B.A., Speech Language Pathology	undergraduate and graduate student advising.	students; financial literacy of college students; and professional development of student affairs personnel.
Van Heerden, Elna Associate Vice President of Institutional Effectiveness and New Programs, Trident at AIU	Elna.vanHeerden@trident.edu (714) 816-0366 Extension 2003	D.Ed (Philosophy of Education) M.Ed B.Ed Post Graduate Teacher Diploma BA (languages)	Higher Education Administration Higher Education Teaching Regional accreditation reviewer	Assessment Program Evaluation Online learning Qualitative research Academic quality assurance Mindfulness practices in teaching and leadership
Wesolek, Michael Professor, College of Education, Trident at AIU	michael.wesolek@trident.edu (714) 816-0366 x 2624	PhD. Educational Leadership (Higher Ed) M.A., Early Childhood Education M.S., Aeronautical Science,	Former Military Aviator, Current Commercial Pilot (Multi-Engine Airplane and Helicopter), Strong OSHA background (Safety)	Aviation Education, Safety Education, Adult Learning/Education, Technical Education
Wirth, Pamela Dept. Chair, Science, University College, Trident at AIU	pamela.wirth@trident.edu (714) 816-0366 ext. 2547	Ph.D., Health Related Sciences M.S., Biology B.S., Biology Graduate Certificate in Instructional Design M.S. Higher Education Leadership (in progress)	Faculty Lead for Science Department of Southern New Hampshire University Certified Peer Reviewer for Quality Matters Clinical and research background in laboratory diagnostics as Senior Scientist for Ventana Medical Systems and Immunohistochemistry Laboratory Manager for Vanderbilt University	Distance Learning Adult Education to include learning theories, motivation and engagement Course Development/Instructional Design Science Instruction Laboratory Testing Clinical Diagnostics

Faculty Eligible to Serve as a Doctoral Study Committee Member

Dakin, Glenn Adjunct Faculty, College of Education, American Intercontinental University	Gdakin@aiuniv.edu 505-807-7838	Ed.D. Educational Leadership - Curriculum and Instruction MBA E-business BS Computer Science and Accounting, Microsoft certified systems engineer.	Higher education, curriculum development, training development, Instructional strategy, psychology of learning, adult learning, business management, training, coaching, mentoring, faculty and student advising, classroom and distance learning facilitation, and writing.	Information literacy, computer literacy, distance learning, scholarly writing, comprehensive reading, planning of learning, psychology of learning, and student-centered instruction
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Dellosa, Ashley Faculty, University College, Trident at AIU	Ashley.dellosa@trident.edu	Ed.D., Organizational Leadership M.Ed., Adult Education and Training B.A., Business Administration	Higher Education Administration Higher Education Teaching Leadership Development and Training Employee Retention Customer Retention/Financial Management	Generational Preferences in Education Educational Modality Preferences Online/Distance Education Educational Leadership Adult Education
Plaskon, Deana Adjunct Faculty Lecturer, College of Education, American Intercontinental University	dplaskon@aiuniv.edu 609-891-5827	PhD in Education specializing in human behavior M.A. (MALT) – Teaching and Learning with Technology B.A., Organizational Management	Graduate faculty member. Crisis counselor. Experience in undergraduate and graduate educational courses. Mentor to new faculty members	Resiliency, crisis and trauma, qualitative research, quantitative research, assessments, learning theories, bullying, understanding grit, healthy coping skills, underrepresented populations, K-12 populations, adult learning
Trimmell, Michael Adjunct Faculty, Ed.D. Program, Trident at AIU	michael.trimmell@trident.edu	Ed.D., PK-12 Educational Leadership M.A., Cross Cultural Education California Administrative Credential B.S., Cell and Development Biology	Former Biology Teacher Former Middle School Assistant Principal Current Elementary School Principal Current Adjunct Professor - Educational Administration & Master's Degree Program, CSULB	Educational Administration (PK-12 Setting), Pedagogical Content Knowledge, Science Specific Professional Development, STEM
Zientek, Kathy Adjunct Faculty, Masters of Education Program, Trident at AIU	kathy.zientek@trident.edu kathy.zientek@hotmail.com (719) 697-1154	Ed.D., Educational Leadership M.S., Adult Education and Distance Learning, MAED/AEDL & Doctoral B.S., Educational Studies	I have over 15 years of experience in the education field. The last ten years I have been focusing on diverse aspects of adult education. I published my first children's book in January, 2015. My dissertation was published in 2009 and focused on distance education, military students and degree completion rates.	Adult education, K-12 online learning, military, influences of social media, psychology, marriage, family, children and many more.

How to Contact a Potential Chair or Committee Member

Based on the information above, identify a potential chair who can offer their expertise to your selected topic. Compose an email to the potential chair using the template below. Carefully check grammar, spelling, and punctuation.

Once you receive a confirmation that the chair is willing to serve, forward it to the Director at heidilinn.smith@trident.edu.

Recommended Email Template to Request Committee Membership

DATE

Dear Dr. <<NAME>>:

My name is <<YOUR NAME >>. I am currently enrolled in the Ed.D. Program at Trident at AIU. I am in the phase of my program that includes the selection of my Chair.

My study topic is <<topic>>. After careful consideration, I believe your expertise and professional background supports my request. I respectfully request that you serve as my chair.

<<Insert 1 – 2 paragraphs describing the potential committee member's background or expertise and the match to your topic. Make it clear that you have carefully considered *their individual background and expertise*.>>

In closing, I hope that you will consider serving as my Doctoral Study Chair. You can contact me <<insert email and telephone contact information here>>. Or, you may contact the Director, Dr. Heidi Linn Smith at heidilinn.smith@trident.edu if you have further questions.

I look forward to hearing from you.

Sincerely,