International University of Leadership

Where leaders are born

Doctoral Dissertation Manual

Doctoral Studies at IUL

Ver. 4.7

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In many ways, the work of an educator is easy, we risk very little yet enjoy a position over those that offer their work for judgment and seek the knowledge that we may provide to them. We offer our work for sheer satisfaction and enjoyment to our captive audience.

And there is always the unexpected negative criticism from our students and peers, but the bitter truth we educators must face is that, in the grand scheme of things, the average piece of scribbled junk produced from our students is probably more meaningful than our criticism designating itself.

But there are times when an educator risks something very precious, and that is in the discovery and defense of pride that goes well above the expected.

There will be times when we have to comply and abide by the terms of petty agitators, Well, it is like giving up the Alamo, running away from the Battle of Hastings, or arriving too late at Waterloo.

For those students that enroll at the International University of Leadership and have a desire to complete their education in an orderly fashion, we will provide to them unselfish knowledge and devotion. Through such perseverance and devotion, we will provide to our students valuable opportunities to develop their personal and professional skills which will help them to gain a degree which they will necessitate throughout their career.

The initiation of this Doctoral Dissertation Handbook places the instructors and students on the same side of the research academic ladder. From the receiving side, there are expectations of excellence and knowledge, and from the casting side there are streams of knowledge and at times misconceptions.

This Handbook have been compiled to provide assuring guidance to instructors, who are called upon to help students through the various stages of their "learning process", also to assist them in understanding the overwhelming diversity in their online learning needs.

Distance education is not a new concept. Plato declared long ago, "Learning occurs in the mind, independent of time and place"

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FOREWORD

A doctoral dissertation stands as a major academic milestone for a candidate and serves as a significant contribution to their chosen field. This manual provides instructions relevant to the University's specific format requirements for a scholarly research "the dissertation". The responsibility for ensuring the dissertation adheres to regulations for protection of human subjects and specific style demands of the project lay exclusively with the candidate.

Every scholarly research in the form of a dissertation is accepted as the conclusion of a doctorate degree at the International University of Leadership. The scholarly research is deposited in the University Libraries for permanent collection. Each author has an obligation to produce a document for the scholarly community which is fully readable, and which will remain completely usable over time. In order to accomplish this, authors should employ firm standards of form and organization in the preparation of the manuscript.

To assure standardization, there are a few University requirements regarding the submission of online learning dissertation and manuscripts which must be adhered to. Additionally, title and signature page information must conform to the record-keeping system of the University, so certain dates and signatures must appear.

It is the student's responsibility to understand the business program they choose for editing their dissertation. Technical support for Word or any other word processing software is not available through the Office of the Registrar. Students are encouraged to contact Information Technology, their Mentor, or the Librarian for this type of support.

Publishing of the Dissertation

The University is obligated to ensure that all dissertations produced at this institution are published. Rather than requiring each student to arrange for publication of his/her own dissertation, the university has arranged to disseminate electronic versions to the committee members, Mentors and the Library, to handle the publication of all dissertations. Each doctoral candidate must electronically submit their dissertation at the university portal for submissions. All submissions are subject to review for malpractice. Format review and final approval will be completed after the submission.

Table of Contents

1. University Mission

International University of Leadership is an academic institution of higher learning that supports, educates and fosters practical experience in men and women from all walks of life. It is our commitment to provide quality education to undergraduate and graduate programs in business, entrepreneurship and management. Our unique approach prepares students of diverse backgrounds to become global leaders with leadership skills and innovative solutions.

We support our students by enhancing their career prospects and development through a deeper, broader and more diverse understanding of current and future issues. International University of Leadership programs employ traditional, applied, and adult-learning pedagogies that are delivered through traditional and distance methodologies in a learner centered environment of mutual respect. Our institutional identity and program success are the result of integrating knowledge in a learning environment that nurtures real-world immersion, life-long learning skills, and cross-cultural diversity.

2. Introduction

This document is intended as a general guide for those students preparing doctoral dissertations, unless otherwise specified, as part of their graduate studies at University. The primary purpose of this guide is to ensure consistency in format and style of such documents. For brevity, the language of this guide refers to dissertations, and students should apply the guidelines to papers and professional projects

This Dissertation Manual is published to provide information on matters related to the development, revision, and dissemination of original research work. It is intended for use in developing research papers in accordance with the Board of Directors of the University, Mentors and Committee recommendations and academic administrators who are involved in the dissertation process.

3. Purpose

A scholarly research and preparation of a dissertation is a requirement for completion of the Doctor of Business Administration program. In general, a single set of guidelines regarding form and organization may apply. In setting out these guidelines, this manual uses the word "scholarly research" for simplicity. It should be taken, however, to refer to a doctoral dissertation.

4. Policies for Program Completion and General Preparation

The University does not require a printed hardcopy of a dissertation. However, international affiliated institutions may still require a professionally printed and bound copy of a dissertation.

After completing the checklist of all dissertation requirements, a candidate must submit the following documents through the Campus Submission Tab:

1. One final PDF of Dissertation file,

2. One signed authorization page,

3. One signed committee approval page and,

4. Online scan of the Dissertation for plagiarism, permitted maximum work should not exceed 5%.

Once the University through its committee receives the dissertation scan results, edits will be made to ensure the document complies with the submission standards as reviewed in this manual. Required corrections will be sent to the student within 5-12 business days from draft submission; however, the turnaround may take longer during peak times at the end of the semester.

Any edits made by the approval committee should be updated and submitted back within 48 hours. Ideally, the next submission should be in a final error free form. If needed, the University will return the document for corrections up to 3 times. If by the fourth (4th) submission, the document is not error free, the graduation term will be moved to the following term.

4.1 Comprehensive Examinations

Doctoral programs at IUL require that all students complete a doctoral comprehensive examination. The Comprehensive examination, known as the "comp exam", assesses and covers a broad range of theoretical and practical knowledge. It assesses the student's ability and capacities to earn a Doctoral Business degree. Depending on the doctoral program, the comp exam could test course knowledge, knowledge of proposed research area and general knowledge in the field of entrepreneurship and leadership. Students must complete an application form in order to take the comp exam. Please refer to Comp Exam Policies and Procedures how to apply and dates of availability.

Comp exams are administered three times per year at the beginning of each semester and can be taken at the end of the coursework. Passing the comprehensive exam, permits students to progress the next level of study and initiate the research phase of the doctoral program. The comp

examination is administered online through the LMS portal. Students should be ready to spend 4 hours of online University administered examination.

Doctoral students need to comply with the COMP policy: https://iulf.education/comp-policy and proctoring policies: https://iulf.education/proctored-examinations-standards

The exam is the gateway to the dissertation. After passing the comprehensive exam, students can use the title "doctoral candidate," which is a label for students who have entered the dissertation phase of doctoral work, the final hurdle to the doctoral degree.

In the event of failure, a student will be afforded another opportunity to retake each section (online, written, or oral) of the exam after additional study of three months. If a student does not pass the comprehensive examination after all three (3) re-attempts have been exhausted, additional measures will be enforced such as oral comprehensive examination. If the student does not pass the oral comprehensive examination, he/she will be asked to drop out of the program and will be given transcripts for courses passed/completed in the Doctoral Program.

4.2   Initiation of the Scholarly Research Phase

Completing a dissertation successfully is the last and often most challenging part of doctoral studies. The goal is to put one's theoretical knowledge and research proficiency to practical test by carrying out an independent, albeit guided, project producing an original piece of research and making a significant contribution to solving a problem and expanding the knowledge base in the specific discipline.

While research is an ongoing process, in which one is expected to stay on top of the relevant developments in the discipline. The assumption is that students are capable of thinking through the important milestones in the dissertation process and develop a dissertation prospectus that spells out the core concepts and questions of their research, as well as the designs of research and the structure of intended dissertation. In order to successfully complete the dissertation, several doctorate courses are designed in a predetermined sequence format to aid research and writing the paper.

These three distinct courses (AUL724, AUL728, and AUL730) guide students through the formative stages of proposal development in which analytical and critical thinking is required.

The following courses: Team Research Process (AUL724), Independent Study (AUL728), and Dissertation Continuance (AUL730) combine the overall knowledge to produce an original scholarly paper. The course (AUL724) creates an interaction among the doctoral candidate, mentor/instructor

and students to share important research strategies and transform their latest researchable ideas into a dissertation project. The course (AUL728), provides doctoral students sufficient independent study time to collect, analyze and present findings in an orderly fashion to the mentor, and committee members. Their independent work aims to develop creative and practical solutions to a problem faced in their workplace or community.

The set courses will review the proposal components, with particular emphasis on research and survey design including development of the literature review. The final course (AUL730) aims to combine data and research into a scholarly paper. Doctoral students will address key issues such as dissertation format standards, business-psychological and time management demands, committee formation, formation, and successful presentation of findings. These final courses, do not aim to provide additional substantive material the way typical graduate courses do.

On balance, successful completion of the three courses is marked by the ability to do the following:

- Apply theoretical and methodological understanding and skills into devising researchable ideas and specific research questions and hypotheses,

- Conduct a focused review of the relevant literature and create appropriate conceptual framework,

- Develop a realistic research design with specific research strategies,

- Think through and articulate a chapter-by-chapter outline of the intended dissertation,

- Communicate research ideas and their appropriate theoretical and methodological issues effectively and efficiently,

- Critique other's ideas paying particular attention to both theoretical and methodological rigor and reality, and

- Gain understanding of the process of dissertation including stress, time, and project management, committee formation, dissertation proposition and defense, and human subjects' reviews.

4.3   Educating IRB Board members and Principal Investigators

IRB Board members and Principal Investigators need training and education in research ethics and current research regulations if they are going to be conduct research and apply for federal funds. The opportunity for doctoral students to conduct research is a high-impact educational practice that is correlated with student success. Protection of human participants during research is of the utmost

importance for practical and ethical reasons. All systematic research undertaken by IUL doctoral candidates and faculty is subject to review under the Institutional Review Board (IRB) policies and procedures for protection of human subjects in research. The federal definition for research is "a systematic investigation, including research development, testing and evaluation, designed to develop and contribute to generalizable knowledge (Federal Regulations 45 CFR 46)." This definition includes any surveys, tests, observations of people, or experiments which involve systematic data collection that could result in knowledge reported in dissertations, publications and professional meetings. The Institutional Review Board operates under federal policies and procedures mandated by the U.S. Department of Health and Human Services and the Office for Human Research Protections.

Doctoral candidates must undergo training in excess of 12 hours on ways to protect human subjects during research, development of Waivers and implementation of (Federal Regulations 45 CFR 46). The key information that needs to be delivered includes:

> • The basic ethical principles underlying research with human participants as elucidated in the Belmont Report,
> • The federal regulations for the protection of research participants, and
> • The history and ethics of research with human participants.

Completion of training requirements for doctoral students and research faculty should be documented and kept on file so that the institution can demonstrate that IRB members and PIs have been provided the relevant information. Although, appropriate training may be provided free of charge by the University's IRB Board, researchers and doctoral students may choose to take IRB courses training from CitiPrograms and complete 16 modules recieve a certificate of completion. In-house training to IUL IRB board members by the certified IRB members and thus provide certificate documentation for successful program completion.

4.4　　Early Submission of the HSRS Protocol

Doctoral candidates may petition a research protocol as primary investigator (PI) before completion of required core courses and the comprehensive exam. The candidate will be permitted to select a Chair/Mentor and complete the protocol for scholarly research. Permission to commence with scholarly research is granted upon completion of the entire doctoral program and successful completion of the comprehensive exam.

4.5   The Human Subjects Research Review and Approval Committee

The University is responsible for the rights and welfare of human subjects involved in scholarly research. The Human Participants Committee are responsible to oversee Federal and State regulations that mandate research involving human participants must be reviewed and approved by the Institutional Review Board. The Committee is responsible for providing guidance and oversight for the human participant protection program during implementation of the IRB and for helping to maintain compliance with applicable laws, regulations, and policies during doctorial research.

A dissertation is automatically considered to be adding to generalizable knowledge because the University intends to disseminate its contents and finding for others to use. Therefore, students completing a doctoral dissertation that involve the use of human subjects, must submit an IRB application form for review and approval. If a student's doctoral project meets the Federal definition of research and involves human subjects as defined by federal guidelines, a review is needed.

The entire scope of activities and policies related to the Institutional Review Board (IRB) may be found in the Human Subjects Research Review Committee Policy-**IRB Manual:** http://iulf.education/iul-irb-policy-manual.pdf on research with human participants. Prior to the initiation of any human research activity, doctoral candidates are required to submit an application or protocol to the IRB: https://www.iulf.education/iul-protocol-application.pdf , which is required to review Human Research for which IUL is engaged. The IRB Board is responsible for implementing the following oversight functions:

1.   Determine what activities constitute human participant research,

2.   Review, approve, and require modifications to secure approval or disapprove in all research activities covered by the University policy prior to the commencement of the research,

3.   Require that information given to participants as part of informed consent is in accordance with appropriate laws, regulations, and international standards. The IRB may require that additional information be given to the participants when, in the IRB's judgment, the information would meaningfully add to the protection of the rights and welfare of participants.

4.   Require documentation of informed consent or waive documentation in accordance with Federal and Florida Laws and regulations. When research activities are being proposed to be conducted in other states and/or countries by IUL faculty, staff, and/or students, the research activities will be approved in compliance with the regulations for those specific research locations.

5.   Notify investigators and the institution in writing of its decision to approve or disapprove the proposed research activity, or of modifications required to secure IRB approval of the research

activity. If the IRB decides to disapprove a research activity, it shall include in its written notification a statement of the reasons for its decision and give the investigator an opportunity to respond in person or in writing.

6.   Conduct continuing review of research covered by this policy at intervals appropriate to the degree of risk, but not less than once per year, (unless the research has been classified as "Exempt") and have authority to observe or have a third party observe the consent process and the research.

7.   Suspend or terminate approval of research that is not being conducted in accordance with the IRB's requirements or that has been associated with unexpected serious harm to participants. Any suspension or termination of approval shall include a statement of the reasons for the IRB's action and shall be reported promptly to the investigator, appropriate institutional official and the department or agency head.

4.6   Level of IRB Determination

The IRB Board will determine the level of IRB review required for submitted research proposals (e.g., "exempt," "expedited," or "full" IRB review). Studies that meet the definition of "research" and that involve human participants may be considered exempt if they meet certain requirements.

A "full" IRB review is required when the research is defined as (a) a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge (38 CFR 16.102d); (b) that involves human subjects (i.e., a living person about whom a researcher collects either identifiable private information or data through an intervention or interaction); and (c) involves greater than minimal risk to those human subjects. A full IRB review usually requires attendance from a quorum of IRB appointed members.

An "expedited" IRB review is selected when the research is defined as meeting the first two classifications noted above but involves no more than minimal risk to subjects or is being reviewed strictly for minor changes to previously approved protocols in the research project. An expedited review procedure can be conducted by a subset of reviewers designated by the IRB chairperson from members of the IRB.

An "exempt" IRB review (see Appendix B) is selected when the research falls into one of the six approved categories of exempt research (45 CFR 46.101 [b]) and is not applicable to research in a covered research category (e.g., FDA regulation - 21 CFR 50.20). Exempt research does not mean that a research project has no review. Rather, for studies that are determined to be exempt, it means

that the exemption (and its corresponding category) is documented in the IRB records and that the decision is communicated in writing to the investigator.

4.6.1   Exempt categories by the Board: (Quoted from 45 CFR 46.101)

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

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

3.   Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior that is not exempt under paragraph (b)(2) of this section, if: (i) the human subjects are elected or appointed public officials or candidates for public office; or (ii) federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter,

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

5.   Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (i) Public benefit or service programs; (ii) procedures for obtaining benefits or services under those programs; (iii) possible changes in or alternatives to those programs or procedures; or (iv) possible changes in methods or levels of payment for benefits or services under those programs.

Capstone course activities do not need IRB Board reviews if the following criteria are met:

- Projects are identified as "classroom-directed exercises" and supervised by a faculty member,

- Projects will not place subjects at greater than minimal risk,
- All data collected by students are recorded anonymously, i.e. without names, Social Security numbers or other identifiers.

In a situation where a community partner of a capstone project may wish to disseminate data, the IRB Board must be consulted to determine if the work is research in need of a review.

Similarly, research conducted as part of an online classroom assignment will not routinely be reviewed by the IRB. Usually, this type of research is conducted under the purview of the classroom instructor who is responsible for assuring that human subjects are adequately protected.

A research paper written as a class assignment only within the classroom setting is an example. The online course faculty-instructor is responsible for determining the risks to subjects and may wish to consult with the IRB Board.

4.7   The IRB Board Composition

Federal regulations define "research" as: "…a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge

Each proposal for research is reviewed using criteria described in the Office for Human Research Protections, Protection of Human Subjects, Title §45, Code of Federal Regulations (C.F.R.), Part 46, 2018. Research proposals are reviewed for safety, confidentiality (information about individuals is not released to anyone), degree of benefit, and the need for and quality of informed consent.

The University is responsible for the rights and welfare of human subjects involved in research sponsored or conducted by its faculty. In order to meet this responsibility, the University established the Human Subjects Research Review Committee (referred to hereafter as the IRB Committee). The Committee that is responsible for providing oversight for all research activities involving the use of human subjects.

All review procedures meet or exceed the requirements set forth in 45 CFR 46 and 21 CFR 50 & 56. The activities of the IRB Board are facilitated by the staff of the Office of the President, CAO, Campus Director and/or the Director of Research and Doctoral Studies.

The IRB Committees are composed of faculty, research staff, scientific, advisory board members, graduate students and community members. The IRB Board may use, as necessary, non-voting members and consultant reviewers to provide specific expertise needed for the review of an application. IUL and federal regulations require that there be a minimum of 5 regular voting

members. The IRB Board will have at least one member unaffiliated with the University (business advisory and or community member).

If applicable, students should complete a request for approval of research with human subjects, using the Human Subjects Review Form, Registration (i.e., enrollment) is required for any quarter during which a degree requirement is completed, including the dissertation proposal. Refer to the Registration or Enrollment for Milestone Completion section for more details.

4.8   IRB Board Members

Appointments of voting IRB Board members are made by the Institutional Official of the University. Recommendations for board members can be made to the IO by either the IRB Chair or Associate Campus Director based on the specific needs of the IRB Board.

Committee members are initially appointed to a term of three years. Committee members may be requested to accept reappointment to the IRB for an additional term of three years at the discretion of the Chair. At the end of the six year term, a determination will be made about an additional reappointment period. If a member declines full membership, s/he may be asked to become an alternate member. Reappointed members will be asked for an updated CV and demographic sheet.

Composition of the Institutional Review Board:

1.   The Committee is comprised of at least five members, with varying background and expertise to provide complete and thorough review of research activities commonly conducted by the institution,

2.   The membership is sufficiently qualified through the experience and expertise of its members and the diversity of its members, including consideration of race, gender, and cultural backgrounds and sensitivity to such issues as community attitudes, to promote respect for its advice and counsel in safeguarding the rights and welfare of human research subjects,

3.   The Committee includes persons able to ascertain the acceptability of the proposed research in terms of institutional commitments and regulations, applicable law, and standards of professional conduct and practice,

4.   The Committee includes members of more than one profession,

5.   The Committee includes at least one member, who represents the perspective of research participants,

6.   The Committee includes at least one member whose primary concerns are in scientific areas and at least one member whose primary concerns are in non-scientific areas,

7.   The Committee includes at least one member who is not otherwise affiliated with the University who is not part of the immediate family of a person with such affiliation.

4.9   Research Topic Committee Approval Form

Doctoral Candidates need to define a scholarly research topic and file an approval form to the chair of the committee or the Chair/Mentor who will support the dissertation. Submission of a brief summary (two pages) of the research topic should be sufficient to receive approval. The submission for approval should include the method of study, materials, any equipment that might be used, and an estimated time frame to complete the process, which must be attached to the approval form.

Once the form is approved by the committee, it is sent to the Chair or Campus Director for signatures, approving the proposal. Completed application forms are sent to the Director of Research and Doctoral Studies of the University. Students may begin writing their dissertation after they receive written notice approving the research topic by the IRB Board and Director of Research and Doctoral Studies. The approval permits the student to commence with their doctoral coursework and preliminary research to test their hypothesis or topic for elaboration.

The Doctoral Candidate cannot begin with their research activity beyond preliminary steps such as background research, approved pilot study, or three-chapter review, until notice of approval has been granted by the Chair/Mentor and dissertation committee. If the approval is marked "conditional pending outside reader approval," the student may continue with the dissertation research, but cannot defend or graduate until the reader is fully approved.

4.10   Dissertation Committee Approval Page

Dissertation manuscript submission must contain a committee approval form signed by all committee members only after final acceptance of the dissertation. Prior to final acceptance, each member of the candidate's committee should carefully examine a draft that is essentially a final copy of the dissertation. Excessive numbers of corrections may warrant that a second or third draft be reviewed by the committee before committee members' signatures can be given.

After the defense briefing, committee members may decide if the dissertation requires revision and will refrain from signing off until required adjustments and improvements have been implemented.

Such revisions may include only minor changes to the text that can be dealt with immediately. However, other adjustments may require elaborate restructuring and additional scholarly work may even be required. Students should immediately address the committee's concerns and rework the dissertation in response to the comments from committee members.

Dissertations are approved and confirmed by the doctoral defense committee after a public defense. Online public defenses are scheduled by the student in coordination with the Chair/Mentor and Committee members. The defense must take place no later than three weeks before the end of the semester in which the student intends to graduate.

4.11   Public Defense of Scholarly Research - Dissertation

Doctoral candidates are required to defend their research findings and dissertation before the convened Dissertation Committee. The defense is open to the public and invitations will be sent to participate in the defense. The examining committees/jury, having evaluated the written dissertation and the candidate's defense, arrive at one of the decisions given in Part II by majority vote. The decision of the jury is conveyed by email to the candidate; and in written form to the Director of Research and Doctoral Studies.

5. Dissertation Committee

The Dissertation Committee is comprised of at least three members: the Chair/Mentor and at least two additional committee members.

It is the responsibility of the Chair/Mentor to guide the candidate in the selection of the remainder of the committee. Every committee member must represent the university as a graduate faculty member. Relevance and expertise regarding the Dissertation topic and methodology is the rationale for selection of all members. The committee should include faculty whom the committee Chair and candidate believe can make substantive contributions to the candidate's Dissertation.

The University dissertation committees coordinate their efforts to guide candidates in preparing the dissertation approval and initiating all steps necessary for its implementation. Doctoral candidates may request separate committees for evaluating their research proposal and or dissertation.

Doctoral Candidates will bear full responsibility for complying with policies and procedures within this manual to ensure they receive the full benefits of the graduate experience and complete their doctoral program on time. Candidates are advised to work with their mentor/chair and designate committee members early to ensure no steps or requirements are overlooked.

5.1 The Doctoral Dissertation Committee Composition

The Doctoral Dissertation committees are headed by a chair that serves as a mentor both while the student is doing the dissertation work and while the results of that work are being prepared for the research.

A dissertation committee includes at least three faculty members with appropriate terminal degrees who are approved by the Director of Research and Doctoral Studies of the University. Dissertation committee members possess appropriate credentials, scholarship, experience, and practice in the Business field.

At least one member of the doctoral dissertation committee must be a member of the graduate faculty, and at least two members of the doctoral committee must have earned doctoral degrees from appropriately accredited institutions other than IUL. All committee members are qualified in the subject area of the dissertation or research project topic of the candidate.

When appropriate, the Chair is encouraged to invite a committee member from an academic unit outside the Learning and Leadership Program to serve as an additional Committee Member.

5.2   Responsibility of the Dissertation Committee Chair

To be eligible to serve as the Dissertation Committee Chair, the individual/faculty member must have an appropriately accredited terminal degree in the field of Business, Leadership, Management or a business related field. The faculty member must have served at least two years as an IUL graduate faculty and should have adequate, recent publication records.

The Student with the help of the Director of Research and Doctoral Studies, have the responsibility for appointing a chair for the dissertation committee.

Faculty members at IUL who accept the responsibility of serving on a dissertation committee assume a dual responsibility of high importance. One part is service to their students; the other is service to the academic practice, discipline, and professional field to which the dissertation is related.

The Chair manages the dissertation committee and any matters brought before it. The Chair is responsible for conducting the meetings and is a signatory for correspondence generated by the student and committee.

The Chair detailed responsibilities are as follow:

- To serve as the student's primary advisor in the process of bringing the research to fruition,
- To choose the other committee members,
- To ensure all protocols are followed that are provided by the department,
- To ensure the student has been informed of all deadlines and milestones in the process towards completion of the research project,
- To approve the methodology and subject of the written research project,
- To read, evaluates, copy edits, and otherwise provides guidance for drafts of the research project,
- To review drafts for honor code violations,
- To work with the committee with their opinions and comments for drafts and/or moving forward with project,
- To schedule the public defense,
- To chair the defense,
- To sign off on the formatting checklist the student submits with the final draft to the University,
- To ensure the student corrects, changes, or revises any suggestion as a result of the defense before submitting the final document to the University.

5.3 Committee Requirements

All members of the Dissertation Committee agree to utilize the "Dissertation Course Space", hosted on the university's Learning Management System (LMS) Claroline-Online Portal. All subsequent communication, draft submission, and feedback are accomplished via the Dissertation course space.

The Director of Research and Doctoral Studies shall approve the membership composition of the Dissertation Committee. Any questions regarding eligibility of committee members should be directed to the Director of Research and Doctoral Studies.

Once the Doctoral candidate and the Chair/Mentor agree to the composition members of the Dissertation Committee, the Chair will notify the administration to circulate the Graduate Committee Appointment Form to the candidate and committee members for confirmation. Once the candidate and committee members have signed the form, it will be submitted to the Director of Research and Doctoral Studies for final approval and upload to the student SIS.

5.4 Special Graduate Faculty Status

At the Doctoral candidate's request, the Director of Research and Doctoral Studies may petition the CAO to allow a person who is not a member of the regular IUL faculty and who, because of relevant professional experience and academic training, should be eligible to serve on the Dissertation committee as an External Reviewer.

Such a person will receive temporary and honorific status as a "Special" member of the graduate faculty while serving on the candidate's committee. In general, a terminal degree is required for "Special" graduate faculty status. Any questions should be directed to the Director of Research and Doctoral Studies.

5.4.1 Requirements for Special Graduate Faculty Status

All members of the Dissertation Committee must hold graduate faculty status at the University and must be approved by the Dissertation Chair/Mentor and Director of Research and Doctoral Studies. If a proposed committee member does not currently hold graduate faculty status at the University, they will need to apply for "Special" graduate faculty status by submitting the following items:

- Graduate Faculty Application (with digital signature),
- Professional qualification other than academia,
- Complete copy of CV (or resume),
- Faculty listing from affiliate institutions (verified degree equivalency).

5.5   Dissertation Proposal Committee

A dissertation proposal ad-hoc committee is comprised of four academic council faculty members, who may or may not serve as the major dissertation advisory committee members. Whether or not the student's general program advisor serves on the dissertation proposal committee and later on the reading committee, will depend on the relevance of that faculty member's expertise to the topic of the dissertation.

Members of the dissertation proposal committee may be drawn from other committees, from other departments in the University, partnering Graduate School/institutions or from Emeriti faculty. At least one person serving on the proposal committee must be from the student's university. Additionally, the other three members should be on the University Academic Council, including faculty from the partnering institutions. If the student desires the expertise of a non-Academic Council member, it may be possible to petition. After the hearing, a memorandum listing the changes to be made will be written and submitted with the signed proposal cover sheet and a copy of the proposal itself to the Director of Research and Doctoral Studies.

5.6   Proposal Hearing or Meeting

Review and approval of the dissertation proposal occurs normally during the final year of studies and after successful completion of the Comp Exam. The proposal hearing seeks to review the quality and feasibility of the proposal. The proposal hearings are separate milestones and may not occur as part of the same hearing or meeting organized by the University for Dissertation Defense.

The Doctoral Candidate and the dissertation advisor are responsible for scheduling a formal meeting or hearing to review the proposal. The student and proposal committee convene for this evaluative period. Normally, all must be present at the meeting either in person or via conference phone call.

At the end of this meeting, the dissertation proposal committee members should sign the Cover Sheet for Dissertation Proposal and indicate their approval or rejection of the proposal. This signed form should be submitted to the Administration and Graduate Office. If the student is required to make revisions, an addendum is required with the written approval of each member of the committee stating that the proposal has been revised to their satisfaction.

After submitting the Proposal Hearing material to the Graduate Office, the student should make arrangements with four faculty members to serve on the Dissertation Reading Committee.

The Doctoral Dissertation Reading Committee form should be completed and given to the Doctoral Programs Officer to enter in the University SIS student records system.

5.7 Committee Approval Page

Dissertation manuscript submission must contain a committee approval form signed by all committee members only after final acceptance of the dissertation. Prior to final acceptance, each member of the candidate's committee should carefully examine a draft that is essentially a final copy of the dissertation. Excessive numbers of corrections may warrant that a second or third draft be reviewed by the committee before committee members' signatures can be given.

Dissertations are approved and confirmed after a public defense. Online public defenses are scheduled by the student in coordination with the committee and Mentor. The defense must take place no later than three weeks before the end of the semester in which the student intends to graduate.

After the defense, committee members may decide if dissertation requires revision and will refrain from signing off until required adjustments and improvements have been implemented. Such revisions may include only minor changes to the text that can be dealt with immediately. However, other adjustments may require elaborate restructuring and additional scholarly work may even be required. Students should immediately address the committee's concerns and rework the dissertation in response to the comments from committee members.

5.7 Dissertation Proposal Forms

Doctoral Candidates are urged to begin thinking about a dissertation topic early in their degree program even before their comprehensive examination. Students should submit a draft of the proposal to their dissertation advisor after successful completion of the Comp Exam. Concentrated work on a dissertation proposal normally begins when; Doctoral candidates begin to formulate a proposal through an extended literature review, and a theoretical essay submission. In defining a dissertation topic, the student collaborates with a faculty advisor or dissertation advisor in the choice of a topic for the dissertation.

The dissertation proposal is a comprehensive statement on the extent and nature of the student's dissertation research interests. The doctoral candidate must provide a written copy of the proposal to the faculty committee no later than two weeks prior to the date of the proposal hearing. Committee

members could require an earlier deadline.

The major components of the proposal are variations across areas of research and disciplines:

- A detailed statement of the problem that is to be studied and the context within which it is to be seen. This should include a justification of the importance of the problem on both theoretical and educational grounds,

- A thorough review of the literature pertinent to the research problem. This review should provide proof that the relevant literature in the field has been thoroughly researched. Good research is cumulative; it builds on the thoughts, findings, and mistakes of others,

- A statement on the overall design of the proposed study, which includes general explanatory interest,

- The overall theoretical framework within which this interest is to be pursued,

- The model or hypotheses to be tested or the research questions to be answered,

- A discussion of the conceptual and operational properties of the variables,

- An overview of strategies for collecting appropriate evidence such as sampling, instrumentation, data collection, data reduction, data analysis,

- A discussion of how the evidence is to be interpreted.

5.8   Responsibility of the Dissertation Committee Members

Each dissertation will have a committee approval page. The committee approval page is not assigned a page number and is not signed. The committee approval page is a personalized document each student must create for their dissertation. The committee page contains the following statement:

To the International University of Leadership: The members of the Committee approve this doctoral dissertation by inserting the student name presented on the actual defense date.

The statement is followed by a listing of the names of each committee member. Below these names is the statement APPROVED: (all in upper-case); followed by the department head/interdisciplinary program/division chair's name, title, and department; then the Director of Research and Doctoral Studies.

Committee members will provide support to:

1.   Provide ideas and suggestions for the research or direction of project,

2.   Read, evaluate, critique, and provide guidance for drafts of the research project as necessary,

3.   Read and evaluate the final draft of the dissertation,

4.   Participate in the defense of the research project,

5.   Review drafts for honor code violations,

6.   Evaluate the doctoral dissertation as the basis for certifying the candidate has completed the requirements to receive the graduate degree pursued,

7.   Review of the doctoral dissertation to provide counsel and encouragement to the candidate throughout the process and help ensure the dissertation connects to the current scholarship in their academic field,

8.   Grant final approval of the manuscript for publication in the university's dissertation database.

5.9   Final Dissertation Preparation Phase

The Doctoral candidate is responsible for making all arrangements for the preparation of the dissertation as well as its reproduction. This includes the following:

1.   Completes the dissertation in accordance with the guidelines set forth in this manual, regarding any style manuals approved or required by the department,

2.   Refer to this manual for guidelines regarding correct format for the dissertation,

3.   Edit the draft manuscript for correct sentence structure and grammar, paragraph and page breaks, punctuation and spelling,

4.   Proofread the final manuscript copy and check to see that corrections are made accurately,

5.   Present a copy of the manuscript to the graduate committee for their review,

6.   Incorporate any changes required by the graduate committee. These changes must be completed before the dissertation can be considered accepted,

7.   A bound, hardcopy is not required by the University. Any other copies of the student's dissertation including those required by the department or advisor are considered to be personal copies. The arrangements for binding these copies must be made independently,

8.   Upload an electronic copy to the University Library website. A format check will then be completed to verify that the committee, abstract, and title page information conform to the requirements of the University.

5.10   Copyright Infringements

The copyright protection of Federal law is secured from the moment a work is created. Although there are some instances in which this protection is lost if the work does not contain a copyright

notice, graduate students may ensure that copyright protection for their work is not invalidated by simply placing a notice of copyright on their theses and dissertations. Plagiarism is of great concern to all researchers and writers. The gravity of both the offense and its personal and professional consequences warrants serious consideration.

The dissertations submissions will be reviewed using third-party verification software. Any student found to have misused such privileges will be barred from defending the dissertation and will not receive a degree.

Students must will submit a final version if the dissertation to the university for review and copyright registration check for plagiarism. Any final doctoral dissertation document that contains more than 5% of its contents as plagiarized, will denied and a defense and will be referred to the mentor and dissertation committee for further action.

The final document must be in written word text form and not an image of a PDF file. Since the dissertation file permitted for approval occurs only once, the student will not be able to resubmit the same paper again in a corrected version. Second review will provide plagiarism well above 90%, since the submitted document was previously uploaded on the internet as an original publication by the student.

The dissertation may undergo major changes and upgrades to comply with internet plagiarism and copyright laws. The student will propose additional research questions and the process will be repeated with new dada to suit the dissertation.

One of the best discussions of plagiarism is in Responsible Science: Ensuring the Integrity of the Research Process (Volume 1), published by the National Academy Press (1992, pp 54-55):

Issues of misrepresentation are manifested by using the ideas or words of another person without giving appropriate credit. It includes the unacknowledged use of text and ideas from published work, as well as the misuse of privileged information obtained through confidential review of research proposals and manuscripts. As described in Honor in Science, plagiarism can take many forms: at one extreme is the exact replication of another's writing without appropriate attribution (Sigma Xi, 1986).

At the other is the more subtle borrowing of ideas, terms, or paraphrases, as described by Martin et al., so that the result is a mosaic of other people's ideas and words, the writer's sole contribution being the cement to hold the pieces together. [Footnote: Martin et al., as cited in Sigma Xi (1986), p. 41.]

The importance of recognition for one's intellectual abilities in science demands high standards of accuracy and diligence in ensuring appropriate recognition for the work of others.

The misuse of privileged information may be less clear-cut because it does not involve published work. But the general principles of the importance of giving credit to the accomplishments of others are the same. The use of ideas or information obtained from peer review is not acceptable because the reviewer is in a privileged position. Reprinted with permission from Responsible Science: Ensuring the Integrity of the Research Process, Vol. 1, National Academy Press, 1992.

The copyright notice is made up of three components: 1) the symbol ©, 2) the year of first publication (the year of distribution of copies of the work to the public for sale or lending, i.e., when your dissertation is approved by the University and sent to the library), and 3) the name of the owner of the copyright. © 1988 by John H. Smith

The notice should be placed in a location to give reasonable notice of the claim to copyright protection. The page immediately following the title page is the suggested position for placement of the copyright notice.

Copyright registration is not mandatory and is not a condition of copyright protection (except to preserve a copyright that might be invalidated because of the omission of a copyright notice). Registration is a condition to certain remedies for copyright infringement and is a prerequisite to the commencement of a copyright infringement action. Should a graduate student seek to enforce the protection given his or her work under the copyright law, he or she could later register the copyright at any time during the copyright term (the life of the author plus fifty years).

Other than the specifications listed below, determinations of style and format are made by the department, program director or graduate committee. Guidelines and recommendations may be obtained from the Graduate Program Director of the University.

The following specifications deal only with the archival electronic copy of the dissertation that is submitted to the University for Subsequent Deposition to the Library.

5.11 Matriculation of Mentor, Committee and Candidate for Defense forms

Part I. Student and Defense Information [To be completed by the Chair of the Jury]

Student No./ID		Student's Name:	
		Dissertation Title:	
Date:			

5.12 Committee/Jury Assessment Forms

Part II. Evaluation of the Doctoral candidate

(To be completed by the Chair of the Jury of the Dissertation committee)

Dissertation Committee/ Jury members			
Members	**Academic Titles and Names**	**Signatures**	**Decisions**
Chair or Jury 1			☐Approved ☐ Approved +alterations ☐Repetition ☐ Rejected
2			☐Approved ☐ Approved +alterations ☐Repetition ☐ Rejected
3			☐Approved ☐ Approved +alterations ☐Repetition ☐ Rejected
4			☐Approved ☐ Approved +alterations ☐Repetition ☐ Rejected
5			☐Approved ☐ Approved +alterations ☐Repetition ☐ Rejected
Decision of the Jury/Committee			
☐Approved	The Jury judges that the candidate named above has satisfactorily completed his/her dissertation work		
☐Approved upon alterations	The Jury judges that the candidate named above should resubmit his/her dissertation to the jury members with the required alterations, within **not more than three months.**		
☐Repletion of Defense	The Jury judges that the candidate named above should defend dissertation again within **not more than six months.**		
☐Rejected	The Jury judges that the candidate named above has not satisfactorily completed his/her dissertation work.		

5.13   Final Decision forms by Chair/Committee/Jury

Part III

Name of Student:	
Student ID:	
Dissertation title:	

Committee Members/Jury	Score	Comments
Jury 1- Mentor		
Jury 2-Committee member		
Jury 3-Committee member		
Jury 4-Committee member		
Jury 5-Committee member		
Total score		
Equivalent score scale		
5: Excellent	A+	
4.5: Well Done	A	
4: Very Good	A-	
3.5: Good	B+	
3: Average	B	
2.9 and below	Repeat	

Part IV

5.14   Administrative Approval Form

Prog. Director Title and Name		Signature		Date	

CAO Title and Name		Signature		Date	
Notes				LMS System Approval ☐Yes ☐No	

5.15 Defense Evaluation Form

After the defense has occurred, forms should be collected by the committee chair and submitted to the department administrator.

- Student's Name:
- Title of Dissertation:
- Date of Defense:
- Committee Jury Member:

Please review the attached evaluation guidelines and provide your assessment below.
Rating range 1-5 (ex. 1 = No Pass; 3 = Pass; 5 = High Pass)

Category	Rating	Comments
Research Questions/Set-up		
Literature Review		
Theory/Conceptualization		
Methodology		
Analysis/Presentation of Results		
Discussion/Implications		
Quality of Writing		
Oral Presentation		
Overall Rating		

Additional Comments:

Faculty Signature:_____ Print name:_____

Note: After the signed form is submitted to the Dept. Admin., it will be filed in the student's permanent file and scanned to the SKI drive for future program evaluation purposes.

Criteria	Grade	Descriptive Anchors
Research Question/Set-up	5 High Pass	Includes clear description of the issue, identifies gaps in scientific knowledge and/or provides strong justification for the current research study. Clarifies study question and, when relevant, provides clear defendable hypothesis.
	3 Pass	Research questions clearly articulated and sufficient background information included.
	1 No Pass	Lacks a focused research question and importance is not justified. Topic outside of skill set or knowledge.
Literature Review	5 High Pass	Identifies relevant research and literature and accurately summarizes and integrates the information.
	3 Pass	Cites major works and places them in context.
	1 No Pass	Fails to cite or assimilate previous works.
Theory	5 High Pass	Shows understanding of one or more theories, and uses theory to generate hypothesis or to make the problem area more understandable.
	3 Pass	Shows a solid understanding and application of theory.
	1 No Pass	Theoretical framework is lacking or is not clearly linked to the research problem.
Methodology	5 High Pass	Demonstrates clear understanding and proper use of methodology, identifies relevant strengths and weaknesses of methods used.
	3 Pass	Demonstrates proficient knowledge of methodology and gives justification for selection of methods.
	1 No Pass	The methodology is not appropriate for study and understanding is not demonstrated.
Analysis/ Presentation of Results	5 High Pass	Results interpreted in light of proposed research question and existing literature. Includes alternative explanations and instructional tables and graphs.
	3 Pass	Results clearly summarized, discussion of results focused and tied to research question.
	1 No Pass	Presentation lacks focus, tables are unorganized, and results produce no insight into proposed question.
Discussion/ Implications	5 High Pass	Clearly summarizes the key information gained from the study and describes advancement of knowledge or new insights on an issue. Sophisticated discussion of implications of findings for outreach, theory, and research.
	3 Pass	Discussion of results focused and connected to research questions. Implications for future research discussed.
	1 No Pass	The new knowledge gained from the study and implications of the study are not clearly discussed.
Quality of Writing	5 High Pass	Ideas expressed with exceptional clarity, logic, and conciseness.
	3 Pass	Coherent presentation with limited typos and grammatical errors. Logical progression of thought within overall research and within each section.
	1 No Pass	Significant parts difficult to understand, numerous errors. Repetition, poor organization of ideas, and poor writing hinders reader understanding.
Oral Presentation and Defense	5 High Pass	Engaging, polished presentation with well-crafted slides that illustrate key points and emphasize conclusions. Provided accurate, clear, and complete responses to questions regarding theories, research methods/study design/statistics, and implications related to the study and broader topic area. Unexpected questions about the topic are answered with concise, coherent answers that draw upon knowledge of the field and one's research methods.
	3 Pass	Solid presentation with coherent narrative and conclusions. Mastery of the topic is shown by ability to answer unexpected questions about the topic.
	1 No Pass	Too much or too little detail, goals and directions not clear, order of slides not logical; poor slides; or reads directly from many slides. Difficulty in answering questions and conversing about the topic in ways that show an easy familiarity and mastery of the topic.

6.   Manuscript Preparation

A typical dissertation is made up of three main parts – preliminaries, text and supplementary.

At IUL, these parts may be organized as shown below:

Preliminary Pages:

- Committee approval page,
- Abstract,
- Title page,
- Copyright page Local (optional), International (mandatory),
- Acknowledgements (optional),
- Dedication (optional),
- Table of Contents,
- List of Tables,
- List of Figures,
- List of Illustrations,
- List of abbreviations, Key words
- Other (optional).
  Text – specifically beginning with Chapter One
  Supplementary Pages:
- References or bibliography,
- Appendices (optional).

Abstract,

The abstract is an important piece of formal writing in academic scholarship. It serves as a short statement summarizing the contents of the manuscript that follows. An abstract prepares an audience for the overall argument being made in the dissertation by explicitly declaring the most important findings and general purpose of the dissertation. The abstract will frequently determine whether or not potential readers actually take interest in the document; naturally it should be concise, informative, and engaging.

To help make the abstract more user-friendly, a candidate should make certain to include a list of keywords relevant to the contents of the dissertation at the bottom of the page. These should include the main topic or subject of the dissertation, authors and scholars directly related to the subject, and theories applied and examined throughout.

Title page,

The title page signals the audience that the dissertation proper has begun. The title itself should be concise while also providing full information to the reader about what to expect from the following document. The author should use key words that accurately identify and define the unique components of the argument and/or issue that underpin the project and distinguish it from other work. A clear title is vital for purposes of indexing and other informational purposes. Candidates should note that the title on the final version of their dissertation does not need to match the proposed title submitted in their original prospectus.

Copyright page Local (optional), International (mandatory),

The use of a copyright notice is no longer required under U.S. law, although it is often beneficial. Use of the notice may be important because it informs the public that the work is protected by copyright, identifies the copyright owner, and shows the year of first publication. Furthermore, in the event that a work is infringed, if a proper notice of copyright appears on the published copy or copies to which a defendant in a copyright infringement suit had access, then no weight shall be given to such a defendant's interposition of a defense based on innocent infringement in mitigation of actual or statutory damages, except as provided in section 504(c)(2) of the copyright law.

Acknowledgements (optional),

Like a dedication, acknowledgements can contribute a personal and reflective component to the dissertation. It allows a candidate to express thanks to those professors who have served a formative role in the research and composition of the current project as well as their graduate degree at large. Additionally, this is where grant funding and other assistance received should be noted.

Dedication (optional),

There are no extra formatting requirements specific to the dedication page. While it is natural to include a dedication page, it is not required. If desired, the candidate may include any information they wish, as this page is personal to them. Candidates should be aware that once the dissertation is submitted for publication, no portion can be altered, including the dedication. They should be fully comfortable sharing with a global audience whatever they have written in their dissertation. Similarly, there is no minimum or maximum length, but candidates should apply some sense of propriety concerning the length and breadth of their dedication.

Table of Contents,

The Table of Contents lists everything contained within the dissertation moving forward, but does not list itself or anything that precedes it in the dissertation.

A Table of Contents is critical for maintaining clear organization throughout the dissertation by providing an overview of the topics covered in the manuscript and where they can be found. Therefore, a Table of Contents must be clear and consistent in all formatting decisions. Please follow the template provided, though some adjustments may be necessary, determined by the specific style manual used.

The body of the Table of Contents should contain one section heading per line, aligned to the left and the corresponding page number aligned to the right, with a dotted line connecting the two. Subsection headings should be underneath the appropriate main heading and have a .5 inch indentation. The entire Table should be double-spaced.

List of Illustrations, Tables, and Figures

If illustrations, figures, and/or tables are used in the dissertation then the appropriate list(s) will be required in the preliminary papers. Each list should have its own page and present all of the contents as they are numbered and captioned in the dissertation proper. Each list should be formatted similarly to the listing methods used in the Table of Contents. If included, these lists will serve as the first entries in the Table of Contents.

List of Abbreviations and Key words

If the dissertation employs a large and frequent array of symbols and abbreviations, then it is an expected courtesy that definitions will be provided at the front of the document. Such lists should be placed on their own page(s) after the Lists of Illustrations/Figures/Tables (if included). Additionally, they should be included in the Table of Contents. Authors should ensure that their use of abbreviations and symbols in the dissertation proper are consistent with the glossary.

7.   Approved Style Guides

It is the responsibility of the student to use the most current edition of the academic discipline's style guide. In the event a new edition of the discipline's style guide is released, required use of this edition will not take effect until the following academic year.

A well-written dissertation in most disciplines contains the following information:

1.   A statement of the research questions or problem and the objectives of the investigation,

2.   A review of the literature,

3.   The research methods used, described in sufficient detail to allow other investigators to replicate or evaluate the investigation and its outcomes,

4.   The research findings and their relation to findings obtained by other investigators,

5.   The conclusions to be drawn from the research results obtained, and

6.   An objective and critical evaluation of the entire investigation, with references.

The School of Graduate Studies and Research advises graduate students and faculty to confer with one of the following style guides during the dissertation process:

•   American Psychological Association, Publication Manual, Latest Edition,

•   American Sociological Association, ASA Style Guide, Latest Edition,

•   Council of Science Editors, Inc., Scientific Style and Format, Latest Edition,

•   Modern Language Association, MLA Handbook…Research Papers, Latest Edition,

•   Society for American Archaeology, American Antiquity Editorial Policy, Information for Authors, and Style Guide,

•   Society for Industrial and Applied Mathematics, SIAM Journal on Applied Mathematics: Instructions for Authors,

•   Turabian, A Manual for Writers of Research Papers, Theses, and Dissertation, Seventh Edition.

8.   Public Defense

On the scheduled date, the committee gathers at the appointed location online (Skype, Zoom, other) and presents their questions and comments about the dissertation to the candidate. Online oral defenses are open to all members of the Graduate Faculty as observers. On campus defenses are open to non-Graduate Faculty with permission of the advisor and the CAO of the University. When students are required to make presentations as part of the examination process, these presentations will be advertised and open to the public.

Following the public defense, the committee meets in closed session to determine the outcome of the examination. The student passes the exam if a majority of the committee so votes. Otherwise, the student fails the exam. In the case of a tie vote with an even number committee, the student defaults to failing the exam. For students failing the oral exam, the University allows one re-examination.

This re-examination is to take place during the subsequent three (3) semesters unless otherwise approved by the University. If the academic unit involved has a formal re-examination policy that is more stringent, that policy supersedes the University re-examination policy. The major advisor is responsible for reporting grades for all prior dissertation registrations of the candidate when the document has been approved by the advisory committee.

After the successful defense of a dissertation, the student must submit all appropriate documents to the University within two (2) weeks. Failure to do so may delay graduation. If the required documents are not submitted within one year, the CAO of the University may declare the defense void and require that it be repeated.

9. Format and Style

The dissertation is broken up into three distinct sections, the preliminary pages, the main text, and the references. Students are also able to include an Appendix section at the end of the Dissertation if needed. The preliminary section begins with the title page and ends with the abstract. These pages should be numbered with roman numerals. Please see the section on pagination for more information. The remainder of the Dissertation, beginning at the introduction, or chapter one, is the main text. While the layout of the main text and references of each student's Dissertation may differ due to discipline/preferred style manual, the layout of the preliminary pages should essentially be the same for all students. Students should model their preliminary pages after the sample pages at the end of this manual.

9.1 Type Styles

The Doctorate Dissertation file preparation is not prescribed by any style or type; however preferred fonts include Arial, Helvetica or Times New Roman. Recommended size is 12 point but not less than 10. If Times New Roman is used, 12 fonts are preferred. Please be sure to embed the fonts when saving the document to avoid issues during the publication process.

9.2 Margins

Margin size is crucial to ensure proper binding as bound copies will be printed double sided. Margins are 1" on the left, right, top and bottom. On the first page of a chapter or major section, the top margin should be roughly 1-1/2". Page numbers should be at least ¾ of an inch from the edge of

the page. Margins must be exact or text may get cut off in the binding process. Please contact the Director or Research and Graduate Studies with any questions about acceptable margins.

9.3   Spacing

The text of the Dissertation must be double-spaced. Footnotes, Bibliography or List of Reference entries, table and figure captions, and the data within tables are all single-spaced. Footnotes and Bibliography or Reference List entries are separated by a double space. Lengthy descriptions in the Appendix may be single-spaced.

Quoted material of more than 4-1/2 lines in length should be set off from the text by single spacing without quotations. The quote is indented in its entirety four spaces from both the left and right margins of the text.

9.4   Pagination

Each page of the Dissertation must contain a minimum of two lines of typing. A page number in some form must appear on every page with the exception of the title page. The title page is counted, but the actual page number should not appear. Preliminary pages should be numbered with small Roman numerals. After the preliminary pages, all pages are consecutively numbered using Arabic numbers beginning with the first page of the text (Chapter 1 or Introduction), including the Bibliography and Appendices. The first page of actual text is page 1, regardless of how many preliminary pages there are. Page numbers can appear anywhere on the page as long as placement is consistent throughout.

9.5   Landing Pages

Often times, large figures or charts look best in landscape format. It is possible to insert landscape pages in the middle of a portrait oriented document. If this is the case, care will need to be taken to ensure that the page number placement on the landscape page is consistent with the page number placement in the rest of the document. This means that the orientation of the page number on the landscape page will need to be moved so that it is in portrait format and in the same location as the page numbers on the portrait pages.

Microsoft Word allows for adding landscape pages in the middle of a portrait document. Directions are available on the Microsoft website.

Changing the orientation of the page number is a bit more complicated. The easiest way to do this, if only one or two landscape pages are used, is to simply print out a blank page with the correct page number and photocopy the landscape material on to the page. The pages can then be scanned and reincorporated back into the document. If the document contains more landscape pages it may be beneficial to work within Microsoft to alter the page number position on those pages. Again, the Microsoft website is a great resource for information and 'how to' documents: http://support.microsoft.com/kb/211930.

Students are encouraged to contact the Director or Research and Graduate Studies directly if they encounter problems with formatting landscape pages correctly.

9.6   Headings

Headings represent the major division and subdivision of the Dissertation. In most cases each chapter should be capitalized and centered; however, heading style is the choice of the student/committee. There are many different ways in which to format headings and subheadings. Students should follow the heading styles outlined by their department's preferred style manual. Students should be consistent with the heading styles throughout the document. For the purposes of most theses, more than three levels of subheadings are usually unnecessary. Headings should be roughly 1 ½ inches from the top of the page.

It is permissible to have a division entitled INTRODUCTION before beginning the first numbered Chapter but each subsequent division must be properly labeled and numbered as a Chapter. If Introduction is used, it should be centered and CAPITALIZED, 1 ½ inches from the top of the page. The first word and any proper nouns are capitalized. If a first or second level subheading is used, please double space before beginning the text. In some cases liberties may be taken with the spacing of headings as long as the writer is consistent throughout the document. Students are encouraged to contact the Director or Research and Graduate Studies if they are unsure whether their spacing will be acceptable. The overall use of headings must be consistent throughout the Dissertation.

9.7   Footnotes

Footnotes, if appropriate to the style manual being followed, are normally placed on the bottom of the page on which the reference is made. A solid line two inches long should be typed between the text and the beginning of the first footnote. This line should be one line space below the end of the text and followed by a double space. Consistency is required in the use of footnotes and should follow a standard style manual. Footnotes are single spaced with double spacing between each footnote. They must adhere to the 1" margin specifications.

Footnotes may also be placed at the end of the Dissertation or at the end of each chapter. If footnotes are placed at the end of the Dissertation, they are normally referred to as reference notes. If footnotes are placed at the end of a chapter, they are referred to as chapter notes. Footnotes may be numbered consecutively throughout the Dissertation or, if used as chapter notes, numbered consecutively within each chapter.

9.8   Tables and Figures

Each table and figure must be numbered and captioned and the caption must appear on the same page as the figure, chart, graph, etc. Some liberties may be taken with the font size used as long as the final result is still legible. Care must be taken to ensure proper placement of page numbers when landscape tables and figures are used. Please see the manual's section on landscape pages for more information.

9.9   Illustrations – Images

Images should be clear and crisp. If copies are to be bound, images will be reproduced exactly as they appear in the digital version of the document.

9.10   Bibliography and/or list of References

Each Dissertation must include a complete bibliography or list of references at the end of the manuscript. In scientific writing, the Reference format (References, List of References, Literature Cited, List of Works Cited) is usually preferred. This format consists of placing, at the end of the Dissertation, a single listing of sources actually cited, compiled either alphabetically or numerically.

In nonscientific fields, the Bibliography format (Bibliography, Selected Bibliography, Annotated Bibliography, or Sources Consulted) is usually preferred and provides for entries in addition to those actually cited in the text.

The Bibliography is alphabetized and may be divided into sections such as Books Published, Unpublished Works, etc.

Entries in the Bibliography or List of References are single spaced with a double space between entries. The format for entries usually follows the Style Manual accepted by the major journals in the student's field of study. The style selected must be used consistently throughout the Dissertation. In the field of history, it is acceptable to present the Bibliography in a narrative format.

The Bibliography or List of References may be set aside from the text by a separation page with the upper-case word(s) BIBLIOGRAPHY or LIST OF REFERENCES centered on the page. A page number is assigned to the separation sheet and it is the page number cited on the Table of Contents.

9.11   Appendices

If it is necessary to include an Appendix or Appendices, it may either precede or follow the Bibliography or list of References depending on the style of the major field, and may be preceded by a separation page with the word APPENDIX (or APPENDICES) typed in all capitals and centered on the page. A page number is assigned to the separation page(s) and the number assigned is the one shown on the Table of Contents.

Original data and supplementary materials such as tables and figures that the author does not wish to include in the text may be included in the Appendix. This material can be grouped under different headings and classified as Appendix A, Appendix B, etc. It is not necessary, however, to have a separation page for each individual appendix. If separation pages are used for one appendix, they must be used for all appendices. The headings for each appendix are typed in the same manner as a chapter number and title. Appendices may include content that is single-spaced

10.   Format Review

10.1   Dissertation review process

Before the final version is submitted, the Dissertation should be checked for format by the Director or Research and Graduate Studies.

While a format check is not mandatory, it is strongly advised. The International University of Leadership has certain standards that all students submitting a Dissertation must follow.

To have a dissertation reviewed for formatting students can send a PDF copy to advisor@aulm.us with the subject line "Dissertation Review". The formatting will be checked thoroughly and any errors will be emailed to the student within one to two weeks. Please note that the Doctorate Program Director does not review the content, spelling, or grammar of theses or dissertations. It is the responsibility of the student to make sure that the Dissertation or dissertation is void of any spelling or grammar errors and that the document meets the specific style guidelines set by the university.

If the final version of the Dissertation is submitted with formatting errors it will not be accepted. The student will need to correct the errors and resubmit to the Director or Research and Graduate Studies. Dissertations will be accepted for review no later than the posted deadline for format review. The deadline for format review is usually 3 weeks prior to the final copy submission deadline.

10.2   Final Submission

All students will have their Dissertation digitally published through http://iulpress.org/ Dissertations are made available for viewing via the website only within the limited specifications determined by the student at the time of submission. Students should follow the procedures outlined below in order to comply with the guidelines. Publishing does not prevent a student from granting other publishing rights. Students are advised to register a copyright waiver of their dissertations at the time of submission.

10.3   Deadlines

Students are advised not to wait until the last minute to submit their dissertation. As is the case with writing and formatting, submission often takes longer than anticipated. Once the Dissertation has been submitted it must then be reviewed by the committee before it is accepted. If there are any errors or missing pieces, the student will be notified and will need to make the necessary corrections and resubmit. Submissions must be received by the published deadline for your intended graduation date unless an extension has been granted by the Director or Research and Graduate Studies. The specific deadline for submission for each graduation date is disclosed to candidates at least 10 months prior to expected graduation.

11.   IRB BoardApproval Form outline for Doctoral Research

Please visit the website for doctoral studies for more information http://iulf.education

General information:

Provide below brief details of the proposed research. Use lay language and avoid technical terms.

There are 12 questions to be completed in the initial part of the form.

Section 1, Human Subject Research Determination

There are 8 (☐ Yes ☐No) questions to complete to determine eligibility.

Section 2, Screening questions

There are 8 (☐ Yes ☐No) questions to determine exemptions.

Section 3, Exemption categories and determinations

There are 6 questions to qualify for exemptions.

Justification of Exemption Category

You must justify how your study qualifies for exemption by addressing the critical elements of the exemption category you choose.

There are 6 categories to complete.

Section 4, Investigator's responsibilities and assurances

Indicate that you have read and will comply with each statement.

Attach the application and supporting materials (recruiting materials, survey questions, interview guide, etc.) to an email sent to info@aulm.us , dbastudies@aulm.us
Please allow for up to 10 business days for review of your application determination.

12.   Dissertation Sample Format

TITLE IN CAPITAL LETTERS

Centered Within Prescribed Margins

BY

STUDENT'S NAME

Baccalaureate Degree(s) (DRA, MBA, BS, etc.), program, Year Awarded

DISSERTATION

Submitted to the
International University of Leadership
in Partial Fulfillment, of
the Requirements for the Degree of

Doctorate of Business Administration

Month, Year*

**Month (May, September, December), year of Graduation

DISSERTATION COMMITTEE PAGE

(This page is to be included in your Dissertation immediately after the title page, or, if you are purchasing copyright, immediately after the copyright page)

This dissertation has been examined and approved in partial fulfillment of the requirements for the degree of

[Degree] in [Major] by:

Dissertation Director, Faculty Name, Title (includes discipline)

Faculty Name, Title (includes discipline) _____

Faculty Name, Title (include discipline) _____

Faculty Name, Title (includes discipline) _____

Faculty Name, Title (includes discipline) _____

On [Date of Defense]

NOTE: The final version of your Dissertation must include this committee page.

This committee must have been officially approved by the Academic Officer of IUL, prior to the defense of the dissertation.

Type out each faculty member's full name and title. The title must be as it appears in the Graduate Catalog. For Non-IUL committee members, please include their title and affiliation.

SAMPLE TABLE OF CONTENTS

TABLE OF CONTENTS

SAMPLE ABSTRACT

ABSTRACT

TITLE IN CAPITAL LETTERS AND CENTERED OVER TEXT

by

Student's

Name

International University of Leadership,

Month, Year*

An abstract of the Dissertation is required of all students and should appear immediately preceding the text (see sample of Table of Contents). A hard copy of your abstract and title page should be submitted to the Graduate Program Director as part of your final requirements.

This abstract should accurately and sufficiently describe the contents of the Dissertation. Normally, the abstract should state the problem, the methods and procedures used, and the main results or conclusions. Whenever possible, authors of scientific and engineering theses should use word substitutes for formulas, symbols, superscripts or subscripts, Greek letters, etc. No tables or figures should be included.

*Month (May, September, December), year of graduation