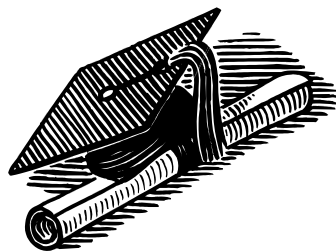




**School of Education**

# Doctoral Student Handbook

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The College of William & Mary  
Williamsburg, Virginia

# School of Education The College of William and Mary Williamsburg, VA

## Mission Statement

The mission of the School of Education at the College of William and Mary is the pursuit of excellence in the education of learners across the life-span. The School of Education fulfills this mission through its three-fold commitment to teaching, research and service:

As the recognized organizational unit within the College with responsibility for initial and advanced preparation of professional educators, the School of Education prepares teachers, specialists, and administrators to be leaders in their respective roles committed to reflective practice and to working in partnership with others to improve educational programs.

The School of Education engages in scholarship and research addressing critical problems in education to generate and disseminate ideas that inform and advance educational discourse, policy, and practice.

Through a variety of outreach activities, the School of Education provides model programs in direct service to children, adolescents, and their families, as well as technical assistance and professional development opportunities for educators in K-12, higher education, and agency settings.

## Statement of General Institutional Policies

Within the limits of its facilities and obligations as a state university, the College of William and Mary extends the possibility of admission to all qualified students without regard to race, color, religion, national origin, sex, sexual orientation, disability or age in its programs and activities. Inquiries regarding the non-discrimination policies should be addressed to: Director of EO/AA, Hornsby House, P.O. Box 8795, The College of William and Mary, Williamsburg, VA 23187-8795. Phone (757) 221-2615.

The Honor System, established at William and Mary in 1779, places upon each student responsibility for maintaining the honor of the student body. Lying, cheating, and stealing constitute unacceptable conduct.

# Conceptual Framework

The conceptual framework of the School of Education at the College of William and Mary incorporates a shared view of how to best prepare our graduates to deliver services to children, schools, families, and communities in a manner that will promote educationally and psychologically healthy environments in a pluralistic society. This framework embodies the essential elements for our programs, courses, teaching, student and faculty scholarship, and student performance. As an integrative whole, the framework is comprised of the four main strands of *the Content Expert*, *the Reflective Practitioner*, *the Educational Leader*, and *the Effective Collaborator*, which we believe constitute a highly qualified professional who will positively and productively contribute to the lives of students, clients, the community, and the profession.

## CONTENT EXPERT

The basis of the first strand is our belief that professionals must have specific knowledge to be able to learn in context and problem solve throughout a career. We understand that a deep and confident understanding of disciplinary subject matter is vital. We also understand that subject matter knowledge must be accompanied by pedagogical content knowledge so that individuals will have an understanding of how to interpret, communicate, and construct such knowledge so as to promote learning (Shulman, 1987; and Cohen, McLaughlin, and Talbert, 1993). The value of this long-standing commitment to intellectualism by our faculty is confirmed by recent research conducted by Monk (1994), Fetler (1999), Goldhaber and Brewer (1999), and Wenglinsky (2000) that validated the need for intellectual rigor in subject matter. Thus, the role of the program is to provide opportunities and a context for students to build and evaluate knowledge. A primary way to accomplish this goal is to help students study selected content appropriate to disciplinary foci, reflect on their actions, consider multiple perspectives, and generate various possible responses based on best practice. The organization and transfer of skills and knowledge across these experiences results in deeper meaning for the learner.

## REFLECTIVE PRACTITIONER

The second strand emanates from our belief in the position of Schon (1987) that the ideal preparation is one that produces a professional who is able to “reflect-in-action.” According to research-based principles of reflective practice, learning does not occur through direct transmission of knowledge from instructor to student. Instead, the learners are provided with opportunities to articulate their own ideas, experiment with the ideas, and make connections between their studies and the world in which they live. To this end, a style of reflective practice is cultivated that embraces the role of data, active inquiry, careful analysis, and a thoughtful process for decision-making. Although students in our programs may develop specializations, the broader focus is on the development of analytical and creative practices that allow them to approach new issues and problems in a proactive way. We believe that such multivariate patterns of thinking within role-specific contexts are necessary for dealing with the current and future level of complexity that working as a leader among professionals requires. We believe that teaching is a cognitive process involving decision making (Sergiovanni & Starratt, 1993). We hold that our responsibility is, in large part, to educate our students to reason soundly and to perform skillfully.

## EDUCATIONAL LEADER

The third strand highlights the notion that we expect our graduates to be prepared and willing to assume leadership roles that allow them to effectively impact educational and societal change. Today, educators not only are providing school-based leadership, but increasingly they are working as mentors to new teachers, undertaking professional development activities, and carrying out educational research (Dimock and McGree, 1995; Livingston, 1992). We believe that preparing students to be leaders must be proactive rather than reactive, helping students focus on how to improve educational contexts through the application of sound theory and ethical principles. Special attention is given to developing specific competencies required in each area of certification along with developing the affective side of students in respect to their personal sense of competence and confidence in leadership roles and their resilience in coping with change. We hope to prepare our students to understand human problems from a developmental and systemic perspective that allows them to

formulate and implement individual and systemic plans of action for prevention, remediation, and growth. We are sensitive to the myriad of educational contexts that students will encounter in their educational careers. Thus preparation promotes the qualities of flexibility, interpersonal skills, and ethical behaviors that reach across such contexts and are essential to educational leadership.

#### EFFECTIVE COLLABORATOR

Finally, we promote and develop the use of collaborative styles in recognition of the need to work effectively and cooperatively in the professional community, no matter how broadly or narrowly defined. We agree with Bredson (1995) that the behaviors and skills related to collaborative work should be integral parts of the curriculum and not considered an add-on element. Evidence indicates that professionals grow through an interactive process of learning from each other (Ponticell, Olsen, & Charlier; 1995), and collaboration has been strongly supported by research in family-professional relations (Corrigan & Bishop, 1997). We believe that training in collaboration is an obligation of programs that are preparing individuals who will assume roles of teaching, service, and leadership.

#### A DYNAMIC AND CORE FRAMEWORK

We believe that the conceptual framework of the School of Education must be adaptable to the experience and background of the candidates within programs, the relative importance of the four strands within program areas, and to the external forces of our society. The dynamic nature of the framework is most clearly demonstrated by the relative emphasis placed on the four strands by each area. While all of our graduates embody the core qualities of the Content Expert, Reflective Practitioner, Educational Leader, and Effective Collaborator, we recognize and account for the valid and important degrees of emphasis, distinction, and definition that these core concepts take not only in a program area, but also with regard to the unique strengths and weaknesses of each student and over the duration of the professional life of a graduate and beyond.

Ultimately, the conceptual framework reflects the core elements of a graduate of the School of Education and, as such, it provides a structure for our programs and a process for generating and responding to new knowledge. The framework guides the experiences we require of students in their programs. The framework also provides the basis for the expectations and the evaluation of candidates and their programs. Through the process of candidate and program evaluation, we expect that our programs will produce highly qualified professionals and continuously evolve in response to our students' experiences within the program and our graduates' contributions to the profession as practitioners.

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## General Information for Doctoral Students

### Doctoral Degrees

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The School of Education awards two doctoral degrees, the Doctor of Education degree (Ed.D.) and the Doctor of Philosophy degree (Ph.D.). The purpose of the Doctor of Education degree program is to provide educators, scholars, and professionals in other human service fields with a broad and systematic understanding of the structure and process of education. Graduates of the Ed.D. programs possess in-depth knowledge of relevant educational theory and scholarship, and the skills necessary to conduct research and evaluation and to apply research findings in an informed and critical manner. The ultimate goal of the Doctor of Education degree program is to prepare professionals with the commitment and competence necessary to enhance educational policy and practice in a variety of settings ranging from the individual classroom or counseling center to administrative offices and government agencies. The purpose of the Doctor of Philosophy degree program is to develop scholars to conduct original research and interpret and communicate the results of such research to various constituencies concerned about education and other human services. The Ph.D. degree program prepares scholars for service and college and university professors, educational administrators, government or foundation officials, or as researchers and practitioners.

### Comprehensive/Doctoral Committee

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This committee includes the chair or co-chairs, and one to two additional members with a minimum of three members. The members, initially selected for the comprehensive examination process, ideally should remain on the comprehensive/doctoral committee throughout the dissertation and final defense. Changes in the composition of the comprehensive/doctoral committee may be requested through standard procedures administered by the Office of Academic Programs Admission and Professional Services. The composition of the committee must include at least one member from the primary field of study (e.g., Counselor Education, EPPL General, Gifted, Special Education or Higher Education), and at least one member from outside the primary field of study. The committee chair must be a faculty member in the School of Education; a minimum of two members of the committee must be faculty in the School of Education. Members outside of the School of Education must be approved by the committee chair. The academic advisor originally assigned to the student for program planning may be selected by the student to serve on or chair the committee, but inclusion of the academic advisor is not mandatory. All members of the committee must have a terminal degree and are required to participate fully in review and assessment of written and oral examinations and in the dissertation process. In order to avoid conflict of interest, the chair should ensure that committee members do not hold direct-line authority or have close working relationships with examinees.

### Doctoral Residency Requirements

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The purpose of the Ph.D. residency is to provide students the opportunity to participate fully in the socialization process of higher education. The objective of the residency requirement is to provide students with substantial opportunities to work with faculty and other students on research projects of mutual interest, to participate in ongoing symposia and colloquia and to engage informally in a community of scholars. Ph.D. students must enroll in full-time course work (minimum of nine academic hours) for two consecutive semesters during the regular academic year (Fall and Spring terms), excluding internships and doctoral dissertation credits. No more than three credits per semester may be taken as independent study. Students may earn internship or dissertation credit during their residency period by enrolling for more than the minimum nine academic credits. Students in the residency phase of the Ph.D. program are expected to participate in a variety of professional socialization experiences such as conference proposal preparation, seminars and symposia, and writing for publication. Financial assistance will be available for Ph.D. students who are completing their residency year. The purpose of the Ed.D. residency is to provide the opportunity for students to participate in a community of scholars comprised of fellow students, faculty, and reflective practitioners to the greatest extent possible. Ed.D. students must enroll in six semester hours of course work for two consecutive terms (Fall, Spring or Summer) excluding internships and dissertation credits.

## Doctoral/Comprehensive Examinations

The purpose of the comprehensive examination process is threefold. First, the comprehensive exam assesses the student's ability to produce an independent integration and synthesis across the graduate course work

and topic areas in the program of study. The second purpose is to assess the student's ability to interrelate theory, research, and practice in the program of study. Third, comprehensive exams assess the readiness of the student to continue the doctoral program to completion, with an emphasis on subject area knowledge, scholarly writing and organizational skills. Thus, this assessment evaluates skills developed in previous graduate course work and the student's readiness to advance to independent dissertation-level research. Formal written and oral comprehensive exams are required for admission to doctoral candidacy. The Office of Academic Programs will schedule the written exam component some time during the first few weeks of the fall semester and during the first few weeks of the spring semester. A student is considered eligible to take the doctoral comprehensive during or immediately following the final semester of required course work, or within six hours of completion of the courses listed on the plan of study, excluding dissertation hours. Completion of ED 663, 664, and 665 is recommended prior to the semester in which the comprehensive exam is taken. Registration for the Doctoral Comprehensive Examination is accomplished by completing the registration form, receiving the advisor's signature on the form, and returning it to Jones 100 by the announced deadline date.

### What is the comprehensive examination format?

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The comprehensive examination consists of the written examination, the candidacy paper, and the oral examination based primarily on the candidacy paper.

**1. The Written Exam:** The faculty design essay questions (6 hours for EPPL and 10 hours for Counseling) representing areas of study that are central to doctoral study in the field. The questions should require a demonstration of breadth of knowledge and call for description and analysis of central issues in the primary field of study and supporting fields or cognate areas as deemed appropriate by the area faculty. The exam should include one question regarding research design. Each doctoral program area is responsible for developing written criteria for the evaluation of the standard written exam. These written criteria must be shared with students prior to the exam. The committee will evaluate the standard written exam on a Pass/Fail/Honors basis. A unanimous vote is required for an Honors designation; a majority vote is necessary for all other evaluations. The review of the standard written exam should be completed within two weeks. Each member of the committee will summarize his or her evaluation in a memo to the chair. The committee chair will notify the Office of Academic Programs regarding the status of the student; subsequently, the Office will notify the student. In the event of an unsatisfactory evaluation of the written exam, the chair will make recommendations and set a timetable to remedy any deficiencies. A second written exam may be scheduled through the Office of Academic Programs. If a failing grade is received twice, the candidacy is denied.

**2. The Candidacy Paper:** The candidacy paper serves as the focus for the oral examination. The purpose of the paper is to demonstrate an in-depth critical analysis coupled with appropriate or original interpretations and applications of the topic under consideration. The student must submit an outline for the paper to the chair within two weeks of receiving an evaluation of Pass or Honors for the written exam. Within two weeks following submission, the committee must accept the topical outline or may request a revised submission by the student. Upon approval, the committee chair will file the appropriate form. Students must certify in an Honor Code statement that the paper is a substantially new product which may draw upon previous work, but represents fresh perspectives. The paper will be between fifteen and twenty narrative pages (4500 to 6000 words) in a topic area highly relevant to the primary field of study and follow standard APA style requirements. The paper must be completed within four weeks. During this period, faculty contact is limited to brief consultation on the process, but not the substance of the paper. Ideally, the paper will be of publishable quality. Each doctoral program area is responsible for developing written criteria for the evaluation of the candidacy paper. The student should demonstrate in the paper the content knowledge, critical analysis, and writing skills necessary for completion of the dissertation. Upon a satisfactory evaluation of the paper from the majority of the committee members, the committee chair will notify the student and the Office of Academic Programs, and set the date for the oral exam. In the event of an unsatisfactory evaluation of the paper, the chair will make recommendations and set a timetable to remedy any deficiencies. The timetable for the revised paper will be determined by the chair and the student. A student may rewrite an unsatisfactory paper only once. A second unsatisfactory paper denies the student candidacy.

**3. The Oral Exam:** The oral examination focuses on verbal presentation of the content of the candidacy paper as well as any other subject matter deemed appropriate by the committee. The oral examination will be

facilitated by the committee chair, and all members of the committee must attend. Each doctoral program is responsible for developing both a group orientation to the process of the oral exam as well as written criteria for the evaluation of this exam. The committee will meet at the conclusion of the oral exam to determine the status of the student based on his/her performance. The committee will evaluate the oral exam on a Pass/Fail/Honors basis. A unanimous vote is required for an Honors designation; a majority vote is necessary for all other evaluations. The chair will notify the student and the Office of Academic Programs of the evaluation that the student has received. In the event of an unsatisfactory evaluation of the oral exam, the chair will make recommendations to remedy any deficiencies. A second oral exam will be scheduled by the chair and the student. A student may retake a failed oral exam only once. A second failed oral exam denies the student candidacy.

### Honors Designation

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In order for a student to receive the Honors designation on his/her transcript for the comprehensive exams, both components, the written exam and the oral exam, must be judged at the Honors level. The Honors designation will be announced at the time of graduation during the recognition of degrees at the School of Education ceremony.

## Doctoral Dissertation - General Description

The dissertation requirement is intended to prepare graduates to design, conduct and interpret research on significant educational issues and problems. All doctoral level research should enhance understanding of the educational process and/or inform educational policy and practice. Dissertation research for the Ed.D. degree must build upon prior scholarship and theory and apply research findings in a manner that will illuminate and enhance educational policy and practice. Dissertation research for the Ph.D. degree should advance scholarship in the field of education by making an original contribution to educational knowledge and theory in a manner that has the potential to impact on educational practice. It is anticipated that Ph.D. dissertations will lead to publications in relevant journals or other publication outlets. All dissertations will be judged on their overall contribution to knowledge including the study's clarity, application theory and prior and/or related research, and relevance to educational policy and practice.

### What does the dissertation proposal entail?

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The dissertation proposal must be a substantive, carefully crafted scholarly document, generally 30 to 50 pages in length. In most cases, the proposal will contain a statement of the problem to be investigated, a conceptual framework, a review of related literature, and a description of the study's methodology. Some research methodologies employ different proposal formats and require different emphases among the areas included in the proposal. In all cases, a dissertation proposal should provide a clear, systematic, and conceptually sound overview of the proposed study that explains in detail why and how the study should be conducted.

### What does the proposal defense entail?

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The purpose of the proposal defense is to assess the merits of the proposed research and the ability of the doctoral candidate to conduct this research in a scholarly manner. The proposal must be defended in a formal meeting to be attended by all members of the committee. A unanimous vote of the committee members at the time of the proposal defense is required for approval of the proposal. If unanimous approval is not given at this defense, the chair will make recommendations to remedy any deficiencies. A second defense will be scheduled by the chair and the student.

### Are there any dissertation enrollment requirements?

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Continuous enrollment during the academic year for a minimum of three semester credit hours is required from the time the dissertation proposal is approved until the student has successfully completed and defended the dissertation.

## What is involved in the dissertation defense?

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The purpose of the dissertation defense is to assess the merits of the doctoral research and the ability of the doctoral candidate to interpret his or her scholarship within the context of the educational system and the larger society. The dissertation must be defended in a public forum. All members of the comprehensive/doctoral committee must attend the defense and the defense should be open to all members of the university community and invited guests. A unanimous vote of the committee members is required for approval of the dissertation at the defense. If unanimous approval is not given at this defense, the chair will make recommendations to remedy any deficiencies. A second dissertation defense will be scheduled by the chair and the student. The comprehensive/doctoral committee chair will notify the educational community of the time, date, and location of the scheduled defense at least 10 days prior to the event.

## Acceptable Dissertation Research

Among the types of studies acceptable for dissertation research in the School of Education are those included within these three general classifications:

**Descriptive Studies:** Descriptive studies is a broad term that includes forms of non-experimental inquiry which are frequently directed toward the study of relationships among variables, such as individual characteristics, educational factors, race, gender, etc. Descriptive studies investigate relationships among variables represented in collected data, but make no attempt to manipulate these variables. In descriptive studies that are acceptable for dissertation research, relationships among variables in either quantitative or qualitative data may be determined through rigorous analytic techniques. If the researcher does not investigate causal links between the variables studied, the research is generally viewed as correlational in nature. Correlational research conclusions note such correlative relationships, but speculations concerning possible causality should be tentative; however, if the researcher, through *ex post facto* control of variables, narrows the relationship found among a set of active variables, the study is generally recognized as causal-comparative descriptive research, and the conclusions might include the notion of cause-effect. While the particular measurement and statistical techniques used by a researcher will vary from study to study, a common characteristic of all good descriptive research is that it contributes to theoretical knowledge about important social-educational problems.

**Experimental Studies:** Experimental design refers to the total structural plan for organizing and implementing a scientific investigation in which variables are manipulated to measure their effects upon subjects or other phenomena. A researcher using this approach must be skillful in the application of scientific processes to problem solving in a particular area of education. If the researcher is able to establish control of all possible variables, the study is viewed as a "true" experimental design. If an intact group is studied and the differences among individuals in the experiment are controlled through statistical methods, the study is generally views as quasi-experimental. In either instance, the researcher attempts to establish a cause-effect between the manipulated variables and the changes which might occur in the criterion variables. As in descriptive studies, a major goal of experimental research is generalization of the findings beyond the specific situation being investigated.

**Historical Studies:** Historical studies deal with such phenomena as institutions, organizations, programs, agencies, legislation, policies, important educational ideas, and key figures. The distinguishing feature is in the analysis of specifics, i.e., historical studies explain, interpret, and evaluate a particular educational idea or practice within a specified period. The distinctive methodological characteristic of such studies is that the research relies on systematic examination and analysis of artifacts, organizational records, personal diaries/journals, published writings of an historical period, and other documents. Since the focus is on specific past events, such studies usually do not lend themselves to experimental design. Rather, the approach is to assemble sources to provide a narrative account, interpretation, and/or analysis. In doing so, one asks the following kinds of questions to analyze documents and evidence: "What is the social, ideational, and historical content of the data?" "What is the tone of the author of the document?" "Has the document been checked for authenticity, validity, and reliability?" A study which relies on historical methods and sources should explore questions of importance and significance; that is, the researcher must connect the particular case

study to general and enduring issues in education. The objective of each dissertation in historical studies is to contribute a new explanation, interpretation, or line of criticism that is justified by solid historical inquiry. The study investigates problems within the context of the best historical scholarship and thought as it pertains to educational policy and practice. Often the concern will be revisions--critically and analytically probing data to question the meanings and implications associated with previous beliefs.

The descriptions above represent typically appropriate kinds of research selected for dissertations in the School of Education. The types of acceptable dissertations are not mutually exclusive or exhaustive. Some worthwhile research topics may involve more than one of the above types or have a different objective, such as the development of a theoretical model. Where the research methodology and purpose dictate a possible variation from the above types, the student must work carefully with his/her dissertation chairperson and committee to ensure that the dissertation proposal addresses a significant topic in a manner that builds upon the academic backgrounds, strengths and resources of the student and committee.

### Illustrative examples/Exemplary Dissertations

All completed School of Education dissertations are available for inspection in Swem Library. Your advisor or Area Coordinator may be willing to suggest titles of some exemplary dissertations from your division area.

### Guidelines for Dissertation Research

Consistent with the expectations described above, all dissertations should meet the following guidelines:

1. There is a researchable and carefully delineated problem of educational significance.
2. There is sufficient coverage of the topic to permit a thorough, critical review of the literature.
3. There are testable hypotheses or significant questions that establish relationships leading to a theory or answers to the questions asked.
4. There are measures taken to assure the appropriateness, thoroughness, and adequacy of the methodology used to test the hypotheses or to answer the questions proposed for the study.
5. There is evidence that the sources of data are valid in terms of the problem studied.
6. There is evidence that the design for the data gathered is reliable.
7. There are appropriate statistical and/or critical analyses and incisive interpretations of the data collected.
8. There is evidence that care has been taken to limit the conclusions of the study to the data presented, while still generalizing appropriately to the larger population and issues.
9. There is evidence that the recommendations of the study relate to its conclusions.

## Description of the Dissertation Proposal

Perhaps the single most important element of the dissertation process is the preparation of the dissertation proposal. A well-constructed and thorough proposal will help you anticipate possible pitfalls and enable the data collection and reporting phases to flow more smoothly. Taking time at the outset to think through your topic and procedures will prove valuable in the long run. The process of developing the dissertation proposal serves a number of purposes, specifically:

1. It reveals that you possess the academic background, competencies, and logical thought necessary for conducting the research proposed.
2. It demonstrates that a researchable and significant problem has been identified and sufficiently delineated.
3. It anticipates possible research procedures and helps to select from among them those that are likely to be the most effective and efficient.
4. It serves as a formal plan and agreement between you and your advisor as to what the substantive requirements are for the dissertation.
5. It provides experiences for the preparation of similar proposals.

There are major differences between a dissertation proposal and the dissertation itself. One of the most obvi-

ous is length. A dissertation may be a few hundred pages long. Normally, a well-conceptualized proposal can be written in twenty to forty pages. Another obvious difference is that the proposal is written in the future tense; since the dissertation is a report of what has happened, it is written in the past tense. Additional differences will be described in the following pages.

Several courses in the School of Education are especially designed to assist you in refining your research question as you work toward producing the final proposal. The doctoral program in Counselor Education includes EDUC 703: Research in Counselor Education. This course focuses on production of the dissertation proposal, including writing the theoretical rationale, reviewing the literature, and conceptualizing plans for the collection and analysis of data. The Educational Policy, Planning and Leadership doctoral program offers EPPL 790: Research Seminar in Educational Policy, Planning and Leadership. This course is designed to help students explore, analyze, and interpret research studies relevant to their areas. EPPL 765: Applied Field Research Project is required for doctoral students pursuing the Ph.D. This course focuses on defining the research problem, preparing a comprehensive literature review of the issue, and providing constructive critiques of the proposed research. Doctoral students must enroll in EDUC 663: Principles of Educational Research. Through reading and class interaction, this course will enable you to further refine your research question and define a viable methodology for your study.

As with good journalism, good dissertation proposals will answer the questions “Why?” “What?” “Where?” “Who?” and of course “How?” Proposals start with the “Why?”, move to the “What?” and proceed with the “How?” (and its components of “When?”, “Where?” and “Who?”). This process facilitates a narrowing of focus, as illustrated in Figure 1, Appendix.

**The “Why?”:** The proposed study must be justified, not only in terms that it is required for a student to obtain a degree---as important as that may be--but, also in respect to established theory, previously conducted research, and the significance of the anticipated results to practitioners and scholars. Most proposals include this justification in an introductory statement entitled “Introduction,” “Generic Problem,” “Statement of the Problem,” “Background of the Study,” “Significance of the Study,” or similar label. By whatever title, this is a broad statement as to why the study is important. It summarizes what is known and identifies what is unknown about the general topic. This part of the proposal must demonstrate that you possess a thorough understanding of the field. In preparing your proposal, you will have read extensively in the professional literature, in fact, much more than is included explicitly in the proposal. The dissertation chairperson may require lengthy papers, similar to the dissertation chapter on related background literature prior to formal approval of the proposal. The proposal should include a brief yet substantive summary of the theory and previously conducted studies most relevant to the topic under investigation.

**The “What?”:** The following section of the proposal delineates and describes the specific aspect of the problem under investigation. This is often referred to as the ‘Purpose of the Study.’ It describes specifically what the study will attempt to discover or accomplish. In developing your proposal, you must pay careful attention to limiting the study so that it can be completed within your available time and resources. Yet the purpose should not be so limited as to become trivial. While it will require some time and effort to achieve this balance, remember that your study will flow more smoothly, and will reach closure, as a result. In focusing the study, you place certain limits on what is to be studied: You set restrictions on such considerations as the population to be studied, the range of variables included, and the treatments selected. It may prove helpful to list these specific limitations in the proposal. Similarly, you should define any technical terms necessary for the reader to understand; however, this usually does not include as much detail as the dissertation itself. Try to present the purpose of your study in a one-sentence statement with which you can more easily generate the research hypothesis and/or questions. Using this process the study becomes focused, the under girding logic becomes evident, and the relationship between what is going to be studied and how the study will be conducted becomes clearer.

**The “How?”:** “How the study will be conducted” refers to the procedures or methodology to be used. The methodology will be controlled to a considerable extent by what is to be studied; you should never let preferred procedures dictate your research question. A number of research design options usually are available to the investigator. For example, a correlational approach, an experimental approach or a case study approach might be employed. The one alternative ultimately selected is the general “Design of the Study.” The design specifies the subjects or group to be studied (how a sampling will be taken from the population), data

7 collection (the means or instruments used to gather data), the specific intervention or treatment (if applicable), and data analysis (the statistical or other procedures used to summarize the data). Also relating to the “How?” are your available resources, i.e. subjects, written materials, money, and time. You, as the investigator will need the assistance and cooperation of a number of other people in order to complete your work. All students must obtain approval of the collegewide Committee for the Protection of Human Subjects. After discussing potential resources with your dissertation chairperson, you also may wish to contact libraries or other agencies housing any documents, archival materials, or computerized records necessary for your study. Identification of such data is absolutely vital, for if the materials prove inaccessible or non-existent, you will have time to thoroughly reevaluate your research design. In conjunction with obtaining the necessary documents, project the financial costs of collecting and analyzing your data. It might be helpful to set aside the required resources (plus a small percentage to help offset the rise in any of your earlier estimates). Finally, construct a timetable detailing important checkpoints (e.g., project completion dates of various chapters and dates to begin collecting or analyzing data) throughout your research. Ultimately, the time you spend clarifying each of these issues in advance will allow you greater flexibility in bringing your dissertation to a timely (and happy) completion. One crucial caution: wait for formal defense and approval of your proposal before starting to collect data. Until the “Dissertation Proposal Approval Form” has been signed, your chairperson and dissertation committee members are under no obligation to accept the proposed study, no matter how much time, expense and energy you have already devoted to the project. Thus, it is to your advantage to have final, formal approval of the dissertation **before** embarking on data collection.

### Approval of the Dissertation Proposal

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After completing a tentative proposal - including sections for a problem statement, a rationale based upon theoretical framework, research questions and/or hypotheses, a description of the methodology, and a description of the proposed analysis - you should provide one copy to your dissertation chairperson and one to each of the other two members of your committee **at least two weeks prior to the scheduled defense of the proposal**. After they have had an opportunity to review the written proposal and to offer suggested revisions, the chairperson will convene a formal meeting of the committee in which you will be expected to present and defend your proposal and answer questions regarding the proposed study. When the three committee members are satisfied that your proposal is viable, they will sign a “Dissertation Proposal Approval Form” as illustrated in Figure 2, Appendix. Your dissertation chairperson will forward the approved form to the Office of Academic Programs. This office will send you a copy. In the event that a faculty member resigns from your dissertation committee after the proposal has been formally accepted, the new member appointed to the committee must agree to accept the dissertation proposal as previously approved.

### Proposal Review Checklist

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A checklist is provided in the Appendix, figure 3 to help you critique the various components of your own proposal.

### The Human Subjects Committee

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As noted above, all dissertations must receive approval by the School of Education’s Human Subjects Research Committee and the College’s Committee for the Protection of Human Subjects before any data may be collected or experimentation begun. All requests must be submitted on the web at <http://goefrss.wm.edu/phsc/guidelines.htm>.

## **The Dissertation Format**

Although dissertation research is in many respects a creative endeavor, the reporting of it is governed by conventions. Many of these have been compiled and codified in various style manuals. The faculty has approved the following manual for use with dissertations in the School of Education:

Publication Manual (5th ed.). (2001). Washington, D.C.: American Psychological Association

In addition to the conventions contained in style manuals, the format for dissertations follows certain traditions. Reflecting the scientific method, most dissertations consist of components involving a statement of the problem, the procedures used in solving that problem, and the outcomes of the study. The problem generally

is addressed in two related parts: the problem statement is contained in Chapter 1, and a review of the related research, theory, and professional literature is described in Chapter 2. The methods used for solving the problem are usually included in Chapter 3, although two chapters may be necessary if new or unusual procedures are utilized. The outcomes are traditionally presented in two chapters: Chapter 4 is normally devoted to reporting the results and Chapter 5 presents the conclusions and implications drawn from the results. The various chapters are described in more detail in the following sections.

### Chapter 1: The Problem

In chapter 1, the need, purpose, and hypotheses or questions to be investigated are described, as well as the theoretical constructs upon which the dissertation is presented.

**Need:** This section should focus on why the particular study is needed. It should not be too long, but long enough to tell what the study will contribute to theory or the problem under consideration.

**Purpose:** A distinct, direct, short section that explicitly states what the study is about is often helpful. Many writers include a sentence that begins, "The purpose of this study is to . . ."

**Hypotheses or Research Questions:** At this point, research hypotheses are usually postulated or questions asked. They usually are succinct statements of the broad implications expected from the study, and are often restated in a testable form in chapter 3. For additional guidelines or requirements, see your dissertation chairperson.

### Chapter 2: Review of Literature

This chapter serves as the foundation on which your study is built and as a basis for discussing results and interpretations. The more extensive the previous work, the more involved the preparation of this chapter becomes. Likewise, there may be several areas of investigation related to the problem. Although a thorough review of the previous research and literature is a necessity, only that which has a direct bearing on the problem should be included. Unnecessary details should be avoided, but major findings and relevant methodological issues should be included. It may be desirable to have a discussion section at the end of the review in which the implications of the previous studies are summarized and then are compared and contrasted with the study under investigation.

### Chapter 3: Procedures

This chapter may be an expanded version of what is contained in the dissertation proposal. Questions related to who, where, when and how are answered. Definitions, limitations, and assumptions unique to the study should be clarified.

**Sample:** The nature of the sample should be specified, indicating the populations from which it is drawn. Ages, time period, location, and other relevant descriptions of the sample should be presented in sufficient detail to enable future researchers to replicate the study, if they wish to do so.

**Instrumentation:** The devices used for measuring the variables in the study should be described. As stated previously, if new or unusual instruments are used, it may be desirable to include a description of how they were developed in a separate chapter.

**Statistical Hypotheses or Questions:** The broad hypotheses or questions in chapter 1 may need to be restated in a more specific form. If they predict a particular direction, these are also stated. Null hypotheses may be used. Sometimes it is helpful to translate the hypotheses or questions from word statements to symbols.

**Experimental Design:** Each step in the execution of the search should be summarized, such as the formation of groups, the use of instruments and research tools, experimental manipulation, if any, control procedures, and the like. This should be described in sufficient detail to permit replication.

**Analysis:** Assumptions made about the nature of the data should be stated. Unusual statistical devices should be described; commonly acceptable devices noted.

## Chapter 4: Analysis of Results

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In this chapter, findings are presented in the order in which the hypotheses or questions were presented in chapter 1. Tables may be used to summarize information; details may be put in an appendix. The general procedure for presenting data is to state the hypothesis or question, show the data with probability statements, and conclude whether the hypotheses were rejected or accepted or the question answered. Interpretations of the data should wait for the next chapter.

## Chapter 5: Conclusions

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In this final chapter, summaries are presented, conclusions stated, implications discussed, and future research suggested. Findings are integrated with the theory employed in the first chapter and the body of knowledge presented in the second chapter. The chapter can often be adapted for an abstract or a journal article.

# Mechanical Requirements for the Dissertation

Officials at Swem Library who ultimately review the format and direct the binding of all College of William and Mary dissertations, have prepared the following explicit guidelines for your use. All dissertations are expected to conform to these guidelines and sample pages have been included for reference in the appendix.

### “Parts of the Thesis or Dissertation”

#### A. Preliminaries, in the following order:

**Title Page.** The Title Page must follow exactly the form of the specimen sheet. The title - in capital letters should be short, elaborated in the subtitle if necessary. For example, “Intercollegiate Basketball in the Cumberland Valley Conference,” is to be preferred to “An Analysis of the Most Influential Factors in the Development of Intercollegiate Basketball in the Cumberland Valley Conference.” Short titles for the spine, together with the author’s last name, should not exceed fifty characters. No page number appears on the title page. (Sample in appendix.)

**Approval Sheet.** Each copy of the thesis or dissertation must contain an Approval Sheet typed on **bond** paper. **Each copy** of the Approval Sheet must include the name of the author and be signed by the members of the examining committee (see sample in appendix).

**Dedication,** if any.

**Table of Contents.**

**Preface and/or Acknowledgments** or neither.

**List of Tables,** if any.

**List of Illustrations or Figures,** etc., if any.

**Abstract.** The abstract should be a concise summary of the object, scope, and conclusions to be contained on one double-spaced page of not more than 250 words and, regardless of the discipline, written as far as is possible to be understood by an intelligent layman (see appendix sample).

Each page of these preliminaries, beginning with the Title Page, is to be considered in numbering, even though the page number does not appear on the Title Page. In these preliminary pages, **lower case Roman numerals** are used and are always centered **3/4” from the bottom on the page.**

## B. Text

**Half-Title.** The Half-Title page, which immediately follows the Abstract, consists only of the title centered four inches from the top.

**Pagination.** Arabic numerals are used in numbering the pages of the text. Although the Half-title is page one of the text, no number appears on this page. The first page of the Introduction or, if none, of Chapter 1 is numbered page 2 and the pages following are numbered in sequence through the Reference Material to the end of the thesis or dissertation. On the first page of each chapter, the page number is centered 3/4" from the bottom; on all except the first page of each chapter, the pages are numbered 3/4" from the top in line with the right-hand margin. The text starts 2 spaces below the page number. Illustrative material such as tables, charts, graphs, illustrations, etc., should not be given a page number unless they are an integral part of the text.

**Footnotes.** Adequate citation to sources for quotations or other data must be provided. The APA form for footnotes should be followed. Notes at the bottom of each page are strongly preferred by the library. If the departmental standards permit placement of footnotes at the end of each chapter, the footnotes should begin on a new page and headed as: Notes for Chapter 1, etc. If footnotes are placed at the end of the thesis or dissertation, they should follow any appendices and precede the bibliography, should begin on a new page headed "Notes" at the center of the page 2" from the top, and should have in brackets at the center of each subsequent page 3/4" from the top of the heading, "Notes to pages" with the inclusive page numbers of the text to which that page of notes refers.

## C. Reference Material, in the following order:

**Appendices**, if any.

**Notes to the Text**, if placed at the end of the thesis or dissertation.

**Bibliography.**

**Vita.** The Vita is a one-page autobiographical sketch of the author containing full name, date and place of birth, educational background, degrees and dates, and other pertinent training or experience (sample in appendix.)

## Mechanical Considerations

*Exceptions to the following requirements may be made only with the permission of the Associate Librarian of the College.*

A. **Archives Copy.** One copy of the thesis or dissertation is bound and kept permanently in the College Archives. This copy must be on permanent-durable (i.e. acid-free) bond paper, 20-pound weight (or higher), 8 1/2" x 11". "Erasable Bond" paper is not acceptable. You cannot assume that high rag content paper is acid-free. The Standard Paper Company of Richmond manufactures permanent-durable bond under the brand name "Permalife" and the Xerox Corporation under the designation "Archival Bond 25." Hollinger acid-free paper is also acceptable. There are many other acceptable brands also. If a brand other than these is used, the label from the box containing the specifications of the paper must be submitted with the thesis or dissertation. The Archives copy may be produced by either typing directly on permanent-durable bond paper or by xerographic copying onto permanent durable bond paper. The xerographic copy must be such that the print does not smudge or smear if you rub it, and it must be possible to produce a dark, clear, and legible print when reproducing from the copy. If there is any doubt as to the stability of the print on the page, or the ability to produce a good copy, test it before it is submitted to ensure that it will be accepted. If it does not meet these standards, it will be returned to you for correction of the problem. The original copy of the thesis with original signatures is retained by Swem Library Archives.

- B. Xerographic and Multilith Copies: Two xerographic copies of each thesis or dissertation must be submitted in addition to the Archives copy. If the thesis or dissertation is multilithed, three multilithed copies may be submitted in place of the Archives and Xerographic copies. No other reproduction processes are acceptable. Xerographic and multilithed copies must be on permanent-durable bond paper. It is recommended that xerographic copies be ordered through the Duplicating Services department in Swem library which has permanent-durable bond paper available.
- C. Illustrative Material: Photographs are preferred for all illustrative material. Photostat, verifax, or xerographic copies of illustrative material may be submitted if perfectly distinct. Xerographic copies must be on permanent-durable bond paper. Thermofax copies are not acceptable. If mounted, photographs and other illustrative material must be dry mounted on permanent-durable bond paper, 20-pound weight. Rubber cement or other glues are not acceptable methods of attachment. Photographs which are 8 1/2" x 11" in size need not be mounted.

Where graphs are used, originals should accompany the Archives copy if on substantial graph paper, and if neatly drawn in India ink. If on thin graph paper, xerographic copies of graphs must be submitted on permanent-durable bond paper, 20-pound weight, 8 1/2" x 11". The Duplicating Services department in Swem library has the equipment and paper for this service.

The heading on any page of illustrative material (e.g., Table 1), should be centered 2" below the top of the page; the legend or explanation single or double spaced below the material. If it is not feasible to type on the illustrative material itself (as in the case of a photograph), a preliminary page containing heading and legend must be employed. Margins must conform to specifications in section E below.

- D. Computers. "Script" or other unusual type faces are not acceptable. Font usage is dictated by the APA manual. Use a good quality laser print to print copies.
- E. Margins. A binding margin of 1 1/2" must be provided on the left. All other margins should be at least 1". Margin requirements are for all graphics, tables, and illustrative materials as well as for the text. Remember that in binding, all edges of the paper are trimmed. The top margin of the first page of each new section should be 2"; the top margin of the half-title is 4". Note: Because of the imprecision of the copying process, the sample pages contained in this guide may not adhere exactly to these specifications. Typing must follow these written instructions; the samples are included to illustrate layout only.
- F. Appearance. Clean copies, free of obvious erasures including correction fluids or emendations must be submitted. When peculiar symbols or other textual additions are necessary, they may be carefully added with india ink or permanent black ink.
- G. Binding. The binding used is a glued binding that will not accommodate material wider than 2 1/2". Extra fees will be assessed if a volume of a thesis or dissertation exceeds 2 1/2" or if a stitched binding is required for any reason. Binding fees are subject to change without notice.
- H. Tables. All tables must include a number and a descriptive title or label. Unless a table is small and can be included readily within the text, each table should be presented on a separate page either vertically or horizontally with care taken to observe the defined margins. Unless absolutely necessary, pages containing fold-out tables, maps, diagrams, etc. are discouraged. See the University Archivist before providing such materials. Margins must conform to specifications in section E.
- I. Microfilming. A negative microfilm of each Ed.D. or Ph.D. dissertation must be placed on deposit with University Microfilms, Ann Arbor, Michigan. A copy of an agreement form must be submitted to the University Librarian. In addition, an abstract and title page of the dissertation must be presented. A sample of the abstract is shown in the appendix. Note that this abstract is in addition to that required in A. "Preliminaries, Parts of the Thesis or Dissertation" above, and must follow the form required by University Microfilms rather than that prescribed for the abstract bound into the dissertation. Detailed directions for microfilming, copyrighting, and binding of doctoral dissertations can be obtained from the Director of Records and Matriculation in Jones 100.

## Guidelines for the Mechanics of Writing a Dissertation

- \* There is a table of contents in adequate detail to guide the reader.
- \* Paragraphs of introduction, summary, and transitions are used when needed. There are no typographical or standard usage errors.
- \* The charts, tables, figures and appendices are in proper form, easily read, and explained adequately in the text.
- \* The footnotes and bibliography properly document all citations and references.
- \* The form, arrangement, paper composition, and binding follow stylistics procedures and practices approved by the School of Education.
- \* Formal written English is used with clarity, style, and grace.

## The Dissertation Defense

As you near completion of your dissertation, you should confer with your chairperson as to an appropriate date and time for the oral defense of the study. Draft copies of the entire dissertation should then be delivered to each member of your dissertation committee at least two weeks prior to this date. Three approval sheets (sample in appendix) should be prepared, with one attached to each copy of the dissertation. The approval sheet will become part of the bound copy of your dissertation. After your dissertation chairperson has reviewed the manuscript, you should confer with your chairperson who will schedule an appropriate date and time for the oral defense. At least two weeks in advance, your chairperson will also send a written announcement of the scheduled defense to all members of the School of Education faculty. On the day of the oral defense, your dissertation chairperson will convene the session and then ask you to summarize the study based on a precis. Discussion follows, as committee members pose questions about the research and its possible implications. When all questions have been asked, the committee meets in executive session to determine whether you have completed the research requirements. If so, the approval sheets are signed by your committee members and the committee returns to open session. If the requirements are not met, the committee informs the candidate in executive session, and the candidate should seek a conference with her/his chairperson. After making any changes suggested during a successful defense, your dissertation will be ready for final submission to Swem Library.

## Submission of the Final Manuscript

Two copies of the final draft incorporating the approval sheets and all corrections suggested before and during the oral defense must be taken to Swem Library for binding. However, you must first pay the following fees to the cashier in Blow Hall: (1) binding fee for two copies; (2) microfilming fee; and (3) copyrighting fee (optional although highly recommended). A current copy of the fee schedule is available from Jones 100. Upon payment of these fees, the cashier will issue a receipt which you should take, together with the copies of your dissertation and the microfilm form from the School of Education's "Dissertation Publication Packet" to the Preservation Office on the Ground Floor in Swem Library. Finally, you must return one copy of the cashier's receipt and a signed receipt from the librarian's office to the Office of Academic Programs in Jones 100. The deadline for returning this receipt to the School of Education is **two weeks prior to the scheduled graduation date**. The original copy of your dissertation with original signatures will be retained in the Archives at Swem Library and the other copy will be placed in the open stacks. The Library does not handle the binding of personal copies of dissertations; however, Long's Roulet Bookbinders, Inc. in Norfolk, VA provides such a service. While you probably wish to have a bound copy for your own library, you may also want to provide your dissertation chairperson with a copy of the final manuscript.

# Appendix

Figure 1

## SAMPLE DISSERTATION PROPOSAL

### Introduction

(Statement of the Problem, Generic Problem, Background of the Study, Significance of the Study)

### Purpose of the Study

Research Hypothesis and/or Questions

Limitations of the Study

Operational Definitions

Procedures

Design

Data Requirements

Data Collection

Data Analysis

### Resources Needed

Human

Financial

Time

Figure 2

The College of William and Mary  
School of Education  
Office of Admission and Professional Services  
Jones Hall, Room 100

**DISSERTATION PROPOSAL APPROVAL FORM**

Title or topic of proposed dissertation: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Name and address of student presenting this proposal:

Name \_\_\_\_\_ ID# \_\_\_\_\_

Street Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Telephone: Home \_\_\_\_\_ Work \_\_\_\_\_

Email address: \_\_\_\_\_

We have studied this proposal and certify that the topic is appropriate for a doctoral dissertation and that the research design is developed sufficiently for beginning the implementation of the study.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_ Chair

Date of approval: \_\_\_\_\_

**TO THE STUDENT:**

I understand that all dissertation proposals must be reviewed and approved by the School of Education's Human Subjects Research Committee and the College's Committee for the Protection of Human Subjects before any data is collected or experimentation begun. I agree to comply with these requirements.

\_\_\_\_\_  
Signature of Student \_\_\_\_\_ Date \_\_\_\_\_

## RESEARCH PROPOSAL CHECKLIST

1. **Problem Identification**
  - a. Is the problem important?
  - b. Is it stated in a way that leads to scientific investigation?
  
2. **Title and Introduction**
  - a. Does the title represent the essential content of the experiment?
  - b. Is it demonstrated that this study is necessary? Are the differences between this and related studies presented?
  - c. Is the organization obvious?
  - d. Is the introduction in lay terms and relatively jargon-free? Are basic terms defined (i.e., nouns in the title)?
  - e. Is the most relevant literature cited?
  - f. Is the problem or hypothesis stated clearly?
  
3. **Review of the Literature**
  - a. Are the statements in the introduction and literature review backed up with evidence, either in the form of a citation of previous research, or theory, or logical explanation?
  - b. Are the sources integrated and related? (Avoid one paragraph summaries of individual articles unless you clearly tie them together).
  - c. Does it include an integrated description of (1) all conclusions, (2) results, research designs, (3) methods, (4) operational definitions, (5) subjects used, (6) settings used, and (7) other variables?
  
4. **Method**
  - a. Is the method chapter divided into appropriate subsections?
  - b. Are the subjects described adequately, including number, description of population from which they will be drawn, conditions of participation, and appropriate demographic variables?
  - c. Is the design stated clearly? (Use a figure, schematic or flow charts wherever useful.)
  - d. Is it explained how the design answers the research questions or tests the hypotheses?
  - e. Is it explained how other relevant variables are controlled or accounted for?
  - f. Are the measures described adequately?
    1. For observational measure, how will observers be trained; what, how (method) and how often will they observe; what recording devices or sheets will be used; and how will inter-rater reliability be assessed.
    2. For psychological tests, note the name, form (if any), and the reliability and validity information.
    3. For commercially produced apparatus, note brand name, model number, function, and any information necessary for replication.
    4. For non-standard items, describe in sufficient detail so that the items may be duplicated. Include sample or whole instrument in appendix. Give information on where to get a copy.
  - g. Are the procedures described in enough detail to permit a reliable replication?
  - h. Is the procedure described in logical order?
  - i. Is the most salient feature of the instructions included in the method section?
  - j. Are all the instructions included verbatim in an appendix?
  - k. Is the time line considered?
  - l. Is the setting described?
  
5. **Data Analysis**
  - a. How will the data be summarized/analyzed to answer the research question(s)?
  - b. Is there at least one sketch, figure, graph, or table that presents the data?
  
6. **Style and Function**
  - a. Are the citations of previous research within the text correct?
  - b. Are the references presented correctly -- APA format?
  - c. Is the text typed to meet grad school requirements: double spaced, correct margins?
  - d. Have you proofed the paper and eliminated typographical and spelling errors?
  - e. Is there a reasonable expectation that the research will make a contribution to knowledge and/or be publishable?

**AN APPROACH TO THE MEASUREMENT OF  
MARKETING DOLLARS AND ENROLLMENT INCREASE  
IN HIGHER EDUCATION**

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A Dissertation

Presented to

The Faculty of the School of Education

The College of William and Mary in Virginia

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

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by  
Susan Ann Student  
May 2009

**AN APPROACH TO THE MEASUREMENT OF  
MARKETING DOLLARS AND ENROLLMENT INCREASE  
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Susan Ann Student

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Approved May 2009 by

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Dan I. Researcher, Ph.D.  
Chairperson of Doctoral Committee

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John A. Scholar, Ph.D.

---

Mary A. Professor, Ph.D.

(Sample Abstract)

**TITLE OF DISSERTATION**

**ABSTRACT**

(Text must be double-spaced and must not exceed 250 words.)

(At the bottom of the last page of the abstract)

AUTHOR'S FULL NAME

DEPARTMENT OF \_\_\_\_\_ (or PROGRAM) \_\_\_\_\_

THE COLLEGE OF WILLIAM AND MARY IN VIRGINIA

## Vita

Susan Ann Student

Birthdate: October 18, 1970

Birthplace: Fairfax, Virginia

Education: 1999-2003 The College of William and Mary  
Williamsburg, Virginia  
Doctor of Education

1995-1997 The University of Virginia  
Charlottesville, Virginia  
Master of Education

1990-1994 The University of Maryland  
College Park, Maryland  
Bachelor of Arts

(May add professional experience if desired)

(Sample Abstract for Microfilming)

### Abstract

#### AN APPROACH TO THE MEASUREMENT OF MARKETING DOLLARS AND ENROLLMENT INCREASE IN HIGHER EDUCATION

Student, Susan Ann, Ed.D. The College of William and Mary in Virginia, 2009. 158 pp.  
Chairperson: Professor Dan I. Researcher

The purpose of this study was to investigate the relationship between enrollment increase and dollar expenditures for marketing in higher education. The author also hoped to explore the ethical implications of marketing for enrollment.

Emeritus University was the institution studied for this project. Emeritus was chosen for several reasons; there was a consistent pattern of enrollment declines for the past four years, a marketing researcher had just been hired as Associate Dean of Admissions, and a three-year plan for enrollment increases had just received budget support.

Six cities were chosen within the state and matched in size, SES, and 18-22 year old population. Printed media (two cities), television (two cities), a combination (one city), and a control (no new method) were the advertising methods. Audience exposure was measured by coupons returned mailed to a special post office box and telephone inquiries.

It was hypothesized that 1) the number of inquiries in the media cities would show an increase over past records due to the new type of exposure and 2) that a combination of television and print would show the highest number of exposures.

It was concluded that the number of inquiries increased significantly in the media cities versus the control city. Data was inconclusive concerning the best type of media exposure.

Further study is needed to evaluate the suitability of print versus television and a combination in certain cities. In addition, incremental studies of dollars spent on marketing in similar cities is also needed.

(This abstract must not exceed 350 words.)