

**Dissertation Proposal Guidelines  
Department of Educational Psychology**

**EPSY Dissertation Proposal Revision Committee**

**Natalie Olinghouse, Chair  
Melissa Bray  
E. Jean Gubbins  
Orv Karan  
Catherine Little  
Megan Welsh  
Michael Young**

**Graduate Student Advisory Committee**

**Donald Briere  
Cindy Massicotte  
Kelly O'Shea**

## **Dissertation Proposal Guidelines**

### **Department of Educational Psychology**

The Dissertation Proposal Guidelines document provides the following information and documents:

- Overview of Proposal Guidelines
  - Purpose of the Dissertation Proposal
  - Proposal Preparation, Approvals, and Timelines
  - Dissertation Proposal Format
  - Guidelines for the Review of Literature
  - Dissertation Advisory Committee Composition
  - Readers for the Dissertation Proposal
  - Oral Defense
  - Required Forms and Procedures
- Doctoral Dissertation Proposal Process
- Appendix A: Criteria for Assessment of Dissertation Proposals
- Appendix B: Format of the Dissertation Proposal
- Appendix C: Dissertation Proposal Reader Review Form
- Appendix D: Dissertation Proposal Advisory Committee Review Form
- Appendix E: Dissertation Proposal Flowchart

### **Purpose of the Dissertation Proposal**

The purpose of the Dissertation Proposal is to ensure that the student has a strong understanding of the literature and methods relevant to the intended study, and that the student has used this understanding to develop a high-quality plan for the dissertation. Specifically, the Dissertation Proposal should highlight the theoretical framework and the rationale for the study and incorporate established research methodology to address the research questions.

For the doctoral student, the Dissertation Proposal represents an opportunity to move from structured academic and research experiences to more independent, original research.

The Graduate School's Standards and Degree Requirements provide the following guidelines for review of Dissertation Proposals:

Dissertation Proposals are reviewed with the following questions in mind: (1) Is the proposal well written, well organized, and well argued? (2) Does the proposal describe a project of appropriate scope? (3) Does the student demonstrate a knowledge of the subject and an understanding of the proposed method of investigation? (4) Does the student show awareness of the relevant research by others? and (5) Does the student consider how the proposed investigation, if successful, will contribute to knowledge?

(<http://catalog.grad.uconn.edu/sadr/sadr-page12.html>)

A helpful resource for graduate students who are preparing their Dissertation Proposals is the Criteria for Assessment of Dissertation Proposals (Appendix A) (<http://www.gifted.uconn.edu/dpg/assessdp.html>), which suggests questions for reflection for each section of the proposal.

### **Proposal Preparation, Approvals, and Timelines**

Please see the Doctoral Dissertation Proposal Process table for details on the specific steps involved in the process of preparing and acquiring approval for the Dissertation Proposal. A summary of key components of the process follows below. Additionally, Appendix E contains a flowchart to guide Advisors and students through the Dissertation Proposal Process.

- Initial Preparation of Problem, Questions, and Design as informed by the literature (Steps 1, 2, 4)
- Identification and Invitation of Advisory Committee and Readers (Step 3)
- Complete Comprehensive Literature Review (Step 4)
- Development of full Dissertation Proposal (Step 5)
  - Proposal must be ready for Initial Advisory Committee review **at least 6 months prior to intended graduation date.**
- Initial Advisory Committee review – Advisory Committee reviews and provides feedback (Step 6).
  - **Allow minimum of 2 weeks for review.**
  - Major Advisor tracks the proposed timeline.
- Scheduling and Preparation for Oral Defense – upon completion of revisions in response to Initial Advisory Committee review (Steps 7-8)
  - Oral defense scheduled
  - Revised proposal provided to Advisory Committee and Readers
  - **Allow 2 weeks between sharing this version of the proposal and the Oral Defense**
- Oral Defense with resulting Advisory Committee decision (Step 9)
- Completion of revisions and follow-up approvals (Steps 10-14)

### **Dissertation Proposal Format**

The Dissertation Proposal typically will consist of a 12-25 page document that includes the components identified in the Format of the Dissertation Proposal (Appendix B). The Dissertation Proposal must have adequate detail to fully convey the design of the study such that the Advisory Committee and Readers may judge the quality and merit of the proposed study. The Advisory Committee will make the determination regarding final format based on the specific needs of the student and the study being proposed.

## **Guidelines for the Review of Literature**

### **Preliminary Review of Literature**

The Review of Literature (step 1) is an important part of the Dissertation Proposal. A thorough Review of Literature identifies the strengths and gaps in the existing literature, thereby providing justification for the study. Additionally, the Review of Literature targets the research questions and informs the dissertation study methodology, including the study design, the measures, and the data analyses, among other aspects of the study. The Major Advisor should ensure the student has completed a review of the existing literature *prior to* the development of the Dissertation Proposal.

### **Comprehensive Literature Review**

The Comprehensive Literature Review (step 4) is written based on the Review of Literature (step 1) and overseen by the Major Advisor. It is suggested that the Comprehensive Literature take one of the formats below. The Comprehensive Literature Review should be available upon request to any member of the Advisory Committee or a Reader.

1. Review of Literature written as part of the comprehensive exam;
2. Review of Literature written for a course and strongly tied to the dissertation topic and methods;
3. Chapters 1 and 2 of the traditional dissertation format;
4. Review of Literature that is part of a pilot study or related published/presented works; and,
5. Other products under the discretion of the Major Advisor.

### **Dissertation Proposal Literature Review**

The Dissertation Proposal Literature Review (step 5) included in the Dissertation Proposal should be a *succinct* summary of key points from the Comprehensive Literature Review (step 4). This proposal section should provide the context for the study and display sufficient evidence of the student's depth of understanding of the literature.

### **Dissertation Advisory Committee Composition**

The student's Dissertation Advisory Committee is composed of a Chair (the Major Advisor) and at least two Associate Advisors. The Chair must hold Graduate Faculty status in the student's Area of Concentration (AOC). If there is no AOC, the Field of Study (FOS) takes precedence. At least one of the Associate Advisors must hold University of Connecticut Graduate Faculty status, and at least one must be from the student's AOC or FOS. If an external Associate Advisor is desired, the guidelines for securing this appointment (found in the Graduate Catalog <http://catalog.grad.uconn.edu/advisory.html>) must be followed.

Committee decisions regarding the approval of the Dissertation Proposal as well as the Comprehensive Examination, the written dissertation, and oral defense of the dissertation must be unanimous.

### **Readers for the Dissertation Proposal**

Upon preliminary approval of the written draft by the student's Advisory Committee and approval to schedule an Oral Defense, the Major Advisor (acting on behalf of the Head of the Department or Program to which the student was admitted), in collaboration with the student, will select two Readers from outside the Advisory Committee to review the proposal. Readers should have a doctoral degree, and should have expertise relevant to the dissertation topic and/or methods. Readers may be within the Neag School of Education, the broader University of Connecticut faculty, or outside of the University. The role of the Readers is to serve as external reviewers of the quality and merit of the proposed dissertation. It is strongly suggested that EPSY faculty who serve as Readers and have Graduate Faculty status should be added as Associate Advisors for the dissertation.

When conducting the review of the proposal, the Readers shall use the Dissertation Proposal Reader Review Form (Appendix C) to guide their comments. Written comments, including a decision to approve or revise and resubmit, must be provided by each Reader to the student and the Advisory Committee prior to or at the time of the Oral Defense.

### **Oral Defense**

After the Advisory Committee's review and initial approval of the proposal, the student may schedule the Oral Defense. The student sends the Dissertation Proposal, which has been revised based on committee feedback, to the Advisory Committee and Readers and allows for 2 weeks for the review process.

After approval to schedule the Oral Defense, the student contacts the EPSY Administrative Assistant to (a) reserve a room for the date and time agreed upon by the Advisory Committee, and (b) provide the information necessary for notification to the broader EPSY community of the student's Dissertation Proposal Oral Defense. This information includes the student's name, program, Dissertation Proposal title, and the date, time, and location of the Dissertation Proposal Oral Defense. This must be completed two weeks in advance of the Oral Defense date.

The Administrative Assistant will notify the EPSY faculty and Ph.D. students of upcoming Dissertation Proposal Oral Defenses (providing the student's name, program, title of Dissertation Proposal, date, time, and location) scheduled for the current week and the following week through email and/or the EPSY website home page.

## Required Forms and Procedures

There are several forms that are part of the Dissertation Proposal process:

1. Appendix C: Dissertation Proposal Reader Review Form
2. Appendix D: Dissertation Proposal Advisory Committee Review Form
3. Dissertation Proposal for the Doctoral Degree (the cover sheet must be filed with the graduate school once a proposal is approved).  
[http://grad.uconn.edu/documents/newdoc/dissertation\\_proposal.pdf](http://grad.uconn.edu/documents/newdoc/dissertation_proposal.pdf)
4. Institutional Review Board Forms  
<http://irb.uconn.edu/forms.html>

**Department of Educational Psychology**  
 Doctoral Dissertation Proposal Process

Steps	Who Supervises (S)/ Approves (A)	Key Components/Tasks	Details
1. Conduct Preliminary Review of Literature	Major Advisor (S)	<ul style="list-style-type: none"> <li>• General overview of relevant literature</li> </ul>	<ul style="list-style-type: none"> <li>• Purpose: To inform and identify potential Research Questions, a preliminary Statement of the Problem, and a preliminary Research Design to answer the Research Questions. Students may have already begun and/or completed this process through course activities or comprehensive exams.</li> </ul>
2. Prepare preliminary Statement of the Problem/Research Question(s)/Research Design	Major Advisor (S)	<ul style="list-style-type: none"> <li>• Preliminary Statement of the Problem</li> <li>• Preliminary Research Question(s)</li> <li>• Preliminary Research Design</li> </ul>	<ul style="list-style-type: none"> <li>• All are preliminary and may be revised based on Comprehensive Literature Review outlined in Step 4.</li> <li>• Format is at the major advisor's discretion.</li> </ul>
3. Identify committee and potential Readers	Major Advisor (S)	<ul style="list-style-type: none"> <li>• Formation of Advisory Committee</li> <li>• Identification of potential Readers</li> </ul>	<ul style="list-style-type: none"> <li>• Committee is composed of the Chair (Major Advisor) and at least two Associate Advisors</li> <li>• In addition to the Advisory Committee, two additional persons will be selected as outside Readers for the Dissertation Proposal. The student and Major Advisor should work together to identify potential Readers. Readers should have a doctoral degree, and should have expertise relevant to the dissertation topic and/or methods.               <ul style="list-style-type: none"> <li>○ Readers may be within the Neag School of Education, the broader University of Connecticut faculty, or outside of the University.</li> <li>○ The Readers are intended to serve as external reviewers of the quality and merit of the proposed dissertation and to provide feedback on the proposal at the point of the oral defense.</li> <li>○ It is strongly suggested that EPSY faculty who serve as Readers and have Graduate faculty status should be added as Associate Advisors for the dissertation.</li> </ul> </li> </ul>

Steps	Who Supervises (S)/ Approves (A)	Key Components/Tasks	Details
4. Complete Comprehensive Literature Review	Major Advisor (S) <i>Advisory Committee (discretion)</i>	<ul style="list-style-type: none"> <li>• Comprehensive Literature Review (e.g., concepts, existing research, dependent/independent variables, methods, analysis)</li> <li>• Statement of Research Question(s)</li> </ul>	<ul style="list-style-type: none"> <li>• A recursive process with Step 2</li> <li>• Completion of a comprehensive Review of Literature specific to the proposed dissertation study (i.e., focused on the preliminary Statement of the Problem, Research Questions, and Methods).</li> <li>• The Review of Literature serves as a resource for what will be included in the dissertation.</li> <li>• Options for format of the Comprehensive Literature Review include the following, at Advisor/Committee discretion: <ul style="list-style-type: none"> <li>○ As part of the comprehensive exam</li> <li>○ A Review of Literature written for a course</li> <li>○ Chapters 1 and 2 of the traditional dissertation</li> <li>○ Reviews as part of pilot studies or related published/presented works</li> </ul> </li> </ul>
5. Prepare full Dissertation Proposal	Major Advisor (S)	<ul style="list-style-type: none"> <li>• Title page</li> <li>• Abstract</li> <li>• Introduction</li> <li>• Statement of the Problem</li> <li>• Literature Review</li> <li>• Research Questions and/or Hypotheses</li> <li>• Methods</li> <li>• Limitations</li> <li>• References (cited in proposal)</li> <li>• Appendices (if necessary)</li> </ul>	<ul style="list-style-type: none"> <li>• Developed with input from other Advisory Committee members, as appropriate.</li> <li>• The Dissertation Proposal should have adequate detail to fully convey the design of the study (for the Advisory Committee members/Readers to judge the merit of the proposed study).</li> <li>• Points that are at the Advisor/Committee discretion <ul style="list-style-type: none"> <li>○ 12-25 pages (in most cases, approximately 20-25% of the proposal should be dedicated to the literature review.)</li> <li>○ Dissertation Proposal Literature Review should be a concise synthesis of the salient points related to the proposed study.</li> </ul> </li> </ul>
6. Receive approval to send Dissertation Proposal to Advisory Committee	Major Advisor (A)	<ul style="list-style-type: none"> <li>• Dissertation Proposal ready for Advisory Committee feedback</li> </ul>	<ul style="list-style-type: none"> <li>• Proposal should be ready for committee review at least 6 months before expected date of graduation.</li> <li>• Allow a minimum of 2 weeks for feedback from Advisory Committee members. Major Advisor tracks the proposed timeline.</li> </ul>
7. Revise Dissertation Proposal and receive approval to schedule Oral Defense	Advisory Committee (A)	<ul style="list-style-type: none"> <li>• Revisions made to Dissertation Proposal based on Advisory Committee feedback</li> </ul>	<ul style="list-style-type: none"> <li>• Student revises proposal based on feedback from Advisory Committee members.</li> <li>• All Advisory Committee members must approve before student may proceed to Step 8.</li> </ul>

Steps	Who Supervises (S)/ Approves (A)	Key Components/Tasks	Details
8. Schedule Oral Defense and submit proposal to Advisory Committee and Readers	Major Advisor (S)	<ul style="list-style-type: none"> <li>• Revised document and committee approval</li> <li>• Public notification of Oral Defense for EPSY faculty and Ph.D. students</li> </ul>	<ul style="list-style-type: none"> <li>• Student schedules Oral Defense date with Advisory Committee and Readers.</li> <li>• Student sends (revised) proposal to Advisory Committee and Readers.</li> <li>• Allow a minimum of 2 weeks for review.</li> <li>• The Readers are not required to attend Dissertation Proposal defense, but must provide written feedback (if not attending) prior to the Oral Defense. The written feedback is provided to the advisor, the Advisory Committee members, and the student.</li> <li>• Public notification of Oral Defense for EPSY faculty and Ph.D. students</li> </ul>
9. Complete Oral Defense	Major Advisor (S)	<ul style="list-style-type: none"> <li>• Oral Defense presentation and discussion</li> </ul>	<ul style="list-style-type: none"> <li>• Major Advisor convenes and conducts Oral Defense.</li> <li>• Major Advisor conveys the protocol and procedures for the Oral Defense to those in attendance.</li> <li>• The Advisory Committee members must attend, and Readers may attend.</li> <li>• Additional guests (those outside EPSY faculty/Ph.D. students) may attend at the Advisory Committee's discretion.</li> <li>• University <u>faculty</u> may ask questions or provide suggestions after the Advisory Committee members/Readers have completed their questioning or suggestions. Other guests may ask questions or provide suggestions at the committee's discretion.</li> <li>• During the discussion of approval to proceed to the next step, only the Major Advisor, Advisory Committee members, and Readers remain in the room.</li> </ul>

Steps	Who Supervises (S)/ Approves (A)	Key Components/Tasks	Details
10. Receive approval to proceed to next step	Advisory Committee (A)	<ul style="list-style-type: none"> <li>• Dissertation Proposal</li> <li>• Oral Defense</li> </ul>	<ul style="list-style-type: none"> <li>• The Advisory Committee determines the result of the Oral Defense based on the following options: <ul style="list-style-type: none"> <li>○ Pass: Approval to proceed (no revisions needed);</li> <li>○ Pass: Approval to proceed (minor revisions— Advisor withholds signature);</li> <li>○ Pass: Approval to proceed (major revisions— Advisor withholds signature; relevant committee members may withhold signatures);</li> <li>○ Revise and resubmit: All Advisory Committee members withhold signatures (Advisory Committee could decide that the student should return to Step 1). This decision requires another Oral Defense. Students are allowed no more than 2 Oral Defenses of the Dissertation Proposal after an initial Resubmit decision.</li> </ul> </li> <li>• All Advisory Committee members must reach consensus. When there is lack of agreement among the committee, the Department Head will serve as the mediator. If the Department Head is a member of the Advisory Committee, then the Major Advisor will designate a mediator.</li> </ul>
11. Submit to IRB (as applicable)	Major Advisor (A)	<ul style="list-style-type: none"> <li>• IRB-1 protocol or IRB-5 exemption form and other required documents as appropriate to the study</li> </ul>	<ul style="list-style-type: none"> <li>• If the proposed study does not involve human subjects or is based on secondary analyses of de-identified data, IRB review may not be required (e.g., meta-analysis, simulation studies).</li> </ul>
12. Secure IRB approval (as applicable)	IRB (A)	<ul style="list-style-type: none"> <li>• IRB-1 protocol or IRB-5 exemption form</li> </ul>	<ul style="list-style-type: none"> <li>• IRB may request changes in the protocol, which requires adjusting the timeline for the subsequent steps.</li> </ul>
13. Submit to Department Head/Dean/ Graduate School	Major Advisor (S)	<ul style="list-style-type: none"> <li>• Dissertation Proposal Graduate School forms</li> </ul>	
14. Initiate dissertation study	Major Advisor (S)		<ul style="list-style-type: none"> <li>• Data collection related to the proposal cannot be conducted until IRB approval (or exemption) is obtained, if IRB review is appropriate.</li> </ul>

**Appendix A**  
**Department of Educational Psychology**  
**Criteria for Assessment of Dissertation Proposals**

**1. Introduction and Statement of the Problem:**

- Does the introduction provide a general overview of the issues surrounding the study?
- Is the problem under investigation clearly stated?
- Is evidence used to demonstrate the significance of the problem?
- Are important terms defined?
- Are assumptions clearly stated?
- Are major assertions that lay groundwork for the study articulated?

**2. Review of the Literature:**

- Is the study grounded in a larger body of research?
- Is the review current and representative of work in the area?
- Are related studies examined critically and gaps identified?
- Does the review provide a clear rationale of the study?
- Is the review well organized, using subsections where appropriate?

**3. Research Questions and/or Hypotheses:**

- Do the research questions and/or hypotheses develop a specific focus for the study?
- Do the research questions and/or hypotheses support the problem statement and background sections?
- Are the research questions worded so as to imply responses more complex than "Yes/No"?

**4. Methods and Limitations:**

- Is the research design described clearly and appropriate for the study?
- Are the sample and participants fully described?
- Is the sampling plan appropriate for the study?
- Are data gathering procedures fully explicated and appropriate for the study?
- Are analytical procedures fully explicated and appropriate for the study?
- Is the technical merit of instruments described clearly?
- Are issues related to limitations and/or trustworthiness satisfactorily identified and addressed?
- Do the sampling, data collection, and analytical procedures appropriately match the problem statement and research questions?
- Are the instruments or interview guides acceptable and appropriate for the study?

**5. Other Concerns:**

- Does the proposal demonstrate a high quality of written expression?
- Is the proposal cohesive and coherent?
- Does a consistent conceptual framework or paradigm unite the problem statement, research questions, and methods section?
- Is the tone of the proposal impartial, unbiased, and scientific?
- Are applicable support documents (appendices) included and satisfactory?
- Is an appropriate style (e.g., APA style) used correctly and consistently?
- Does the proposed study adhere to relevant ethical codes?
- Does the abstract summarize the contents of the proposal clearly and accurately?

<p style="text-align: center;"><b>Appendix B</b> <b>Department of Educational Psychology</b> <b>Format of the Dissertation Proposal</b></p>
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The Graduate School lists the following required elements of the Dissertation Proposal:

1. The completed and signed Dissertation Proposal Approval form (with a copy attached of current IRB approval for human subjects and/or IACUC approval for animal subjects to be used in the research)
2. An accurate title
3. A concise statement, which includes (a) the purpose, importance, and novelty of the study; (b) methods and techniques to be used; (c) availability and location of research facilities; and (d) a statement concerning the use of any human or animal subjects that are involved in the research
4. A selected bibliography

Although the Advisory Committee will make the final decisions related to format and length of proposal, the following format is strongly suggested:

**Format**

1. Title Page
2. Abstract
3. Introduction
4. Statement of the Problem
5. Review of Literature
6. Research Questions and/or Hypotheses
7. Methods
8. Limitations
9. References (Limited to those cited in the proposal)
10. Appendices (if necessary)

**Page Considerations**

1. The Title Page is not numbered.
2. The Abstract is not numbered.
3. The Introduction starts on a separate page, and is numbered page 1.
4. The length of the Dissertation Proposal is 12-25 pages. In most cases, approximately 20-25% of the proposal should be dedicated to the literature review.
5. This page range estimate does not include the Title Page, Abstract, References, or Appendices. The format of the proposal shall follow APA guidelines, such as double spacing, minimum of 12-point font, and 1-inch margins, as well as APA style for headings, references, and other elements.
6. *Please note:* Due to the requirements of the Graduate School, in cases where a student completes the first three chapters of the traditional dissertation format for the proposal, the student should prepare a short literature review synthesis (2-3 pages) to attach to Chapter 3 (Methods) for submission to the Graduate School.

Students should consider the use of Appendices to present such items as instruments, consent forms, tables, figures, and lengthy descriptions that do not need to be in the body of the proposal. If any of these documents are lengthy, they may be abridged.

<b>Appendix C</b> <b>Department of Educational Psychology</b> <b>Dissertation Proposal Reader Review Form</b>
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**Instructions to the Major Advisor:** *Complete the top portion of this form, attach it to the proposal, and share with the Reader.*

**Date:** \_\_\_\_\_

**Name of Candidate:** \_\_\_\_\_

**Major Advisor:** \_\_\_\_\_

**Reader:** \_\_\_\_\_

**Title of Dissertation:** \_\_\_\_\_

**Instructions to Reader:** *Please rate the proposal on each of the following criteria. Please return the form to the Major Advisor on or before the Oral Defense date.*

	Acceptable	Unacceptable
1. Contribution of proposed project to knowledge within the field.		
2. Demonstration of knowledge of the content area and awareness of relevant research by others.		
3. Appropriateness of the methodology to answer the research questions.		
4. Demonstration of adequate understanding of proposed methodology.		
5. Clarity and organization of writing.		
	<b>Approve</b>	<b>Revise/Resubmit</b>
<b>Overall Recommendation</b>		

**Signature of Reader:** \_\_\_\_\_ **Date:** \_\_\_\_\_

<b>Appendix C</b> <b>Department of Educational Psychology</b> <b>Dissertation Proposal Reader Review Form</b>
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**Instructions to the Major Advisor:** *Complete the top portion of this form, attach it to the proposal, and share with the Reader.*

**Date:** \_\_\_\_\_

**Name of Candidate:** \_\_\_\_\_

**Major Advisor:** \_\_\_\_\_

**Reader:** \_\_\_\_\_

**Title of Dissertation:** \_\_\_\_\_

**Instructions to Reader:** *Please rate the proposal on each of the following criteria. Please return the form to the Major Advisor on or before the Oral Defense date.*

	Acceptable	Unacceptable
1. Contribution of proposed project to knowledge within the field.		
2. Demonstration of knowledge of the content area and awareness of relevant research by others.		
3. Appropriateness of the methodology to answer the research questions.		
4. Demonstration of adequate understanding of proposed methodology.		
5. Clarity and organization of writing.		
	<b>Approve</b>	<b>Revise/Resubmit</b>
<b>Overall Recommendation</b>		

**Signature of Reader:** \_\_\_\_\_ **Date:** \_\_\_\_\_

<p><b>Appendix D</b>  <b>Department of Educational Psychology</b>  <b>Dissertation Proposal Advisory Committee Review Form</b></p>
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**Instructions to the Major Advisor:** *Complete this form at the Dissertation Oral Defense, give a copy to the student, and submit one copy to the EPSY office to be placed in the student's file.*

**Date of Dissertation Proposal Oral Defense:** \_\_\_\_\_

**Name of Candidate:** \_\_\_\_\_

**Major Advisor:** \_\_\_\_\_

**Associate Advisors:** \_\_\_\_\_  
 \_\_\_\_\_

**Title of Dissertation:** \_\_\_\_\_

<b>Status</b>	<b>Result of Dissertation Proposal Defense</b>
	<b>Pass:</b> Approval to proceed (no revisions needed)
	<b>Pass:</b> Approval to proceed (minor revisions—Advisor withholds signature)
	<b>Pass:</b> Approval to proceed (major revisions—Advisor withholds signature; relevant Advisory Committee members may withhold signatures)
	<b>Resubmit: Revise and resubmit</b> —all Advisory Committee members withhold signatures. This decision requires another Oral Defense. Students are allowed no more than 2 Oral Defenses of the Dissertation Proposal after an initial Resubmit decision.

**Major Advisor signature:** \_\_\_\_\_

**Student signature (receipt):** \_\_\_\_\_

<b>Appendix D</b> <b>Department of Educational Psychology</b> <b>Dissertation Proposal Advisory Committee Review Form</b>
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**Instructions to the Major Advisor:** *Complete this form at the Dissertation Oral Defense, give a copy to the student, and submit one copy to the EPSY office to be placed in the student's file.*

**Date of Dissertation Proposal Oral Defense:** \_\_\_\_\_

**Name of Candidate:** \_\_\_\_\_

**Major Advisor:** \_\_\_\_\_

**Associate Advisors:** \_\_\_\_\_  
 \_\_\_\_\_

**Title of Dissertation:** \_\_\_\_\_

<b>Status</b>	<b>Result of Dissertation Proposal Defense</b>
	<b>Pass:</b> Approval to proceed (no revisions needed)
	<b>Pass:</b> Approval to proceed (minor revisions—Advisor withholds signature)
	<b>Pass:</b> Approval to proceed (major revisions—Advisor withholds signature; relevant Advisory Committee members may withhold signatures)
	<b>Resubmit: Revise and resubmit</b> —all Advisory Committee members withhold signatures. This decision requires another Oral Defense. Students are allowed no more than 2 Oral Defenses of the Dissertation Proposal after an initial Resubmit decision.

**Major Advisor signature:** \_\_\_\_\_

**Student signature (receipt):** \_\_\_\_\_



Whetten Graduate Center, 438 Whitney Road Ext., Unit 1152, Storrs, CT 06269-1152

Telephone: (860) 486 - 3617 \* Facsimile: (860) 486-6739 \* www.grad.uconn.edu

DISSERTATION PROPOSAL FOR THE DOCTORAL DEGREE

Please follow carefully the instructions on the reverse side.

Student's name in full

Mr. Miss

Ms. Mrs.

Dr.

First

M.I.

Last

Student ID #

Telephone # ( ) E-mail address

Mailing address for reply

Field of Study

Area of Concentration (if any)

Title of proposed dissertation

Date by which you expect to complete and defend the dissertation

Use of Human or Animal Subjects

If human or animal subjects are involved in the proposed research, approval must be granted in advance by the appropriate (either Storrs or Health Center) Institutional Review Board (IRB) or Institutional Animal Care and Use Committee (IACUC). HUMAN SUBJECT means a living individual about whom an investigator either obtains data through intervention or interaction with the individual or obtains personally identifiable private information. ANIMAL SUBJECT means any live, vertebrate animal. For Storrs information, please see <http://www.compliance.uconn.edu/>. For Health Center information, please see <http://resadm.uhc.edu/hspo/index.html> for human subjects or <http://clacc.uhc.edu/ACC/Animal\_Care\_Committee.htm> for animal subjects.

This research involves (check as appropriate): Human Subjects Animal Subjects Neither Human nor Animal Subjects

If human or animal subjects are involved in this research, a copy of any required IRB or IACUC approval(s) must be attached to this form.

Student's signature Date

Signatures of each Advisory Committee member signifying approval of the attached Dissertation Proposal are required below:

names printed

names signed

Major Advisor

Associate Advisor

Associate Advisor

(Associate Advisor)

(Associate Advisor)

Reviewed and Approved by the Department or Program:

Dissertation Proposal Read by two reviewers

Review Option

(check one)

Student presentation to Advisory Committee and two reviewers

Review Committee

Department or Program Head or Review Committee Chairperson Date

Signature

Do not write below

Received by the Graduate School Date

Signature



Whetten Graduate Center, 438 Whitney Road Ext., Unit 1152, Storrs, CT 06269-1152

Telephone: (860) 486 - 3617 \* Facsimile: (860) 486-6739 \* www.grad.uconn.edu

DISSERTATION PROPOSAL FOR THE DOCTORAL DEGREE

Please follow carefully the instructions on the reverse side.

Student's name in full

Mr. Miss

Ms. Mrs.

Dr.

First

M.I.

Last

Student ID #

Telephone # ( ) E-mail address

Mailing address for reply

Field of Study

Area of Concentration (if any)

Title of proposed dissertation

Date by which you expect to complete and defend the dissertation

Use of Human or Animal Subjects

If human or animal subjects are involved in the proposed research, approval must be granted in advance by the appropriate (either Storrs or Health Center) Institutional Review Board (IRB) or Institutional Animal Care and Use Committee (IACUC). HUMAN SUBJECT means a living individual about whom an investigator either obtains data through intervention or interaction with the individual or obtains personally identifiable private information. ANIMAL SUBJECT means any live, vertebrate animal. For Storrs information, please see <http://www.compliance.uconn.edu/>. For Health Center information, please see <http://resadm.uhc.edu/hspo/index.html> for human subjects or <http://clacc.uhc.edu/ACC/Animal\_Care\_Committee.htm> for animal subjects.

This research involves (check as appropriate): Human Subjects Animal Subjects Neither Human nor Animal Subjects

If human or animal subjects are involved in this research, a copy of any required IRB or IACUC approval(s) must be attached to this form.

Student's signature Date

Signatures of each Advisory Committee member signifying approval of the attached Dissertation Proposal are required below: names printed names signed

Major Advisor

Associate Advisor

Associate Advisor

(Associate Advisor)

(Associate Advisor)

Reviewed and Approved by the Department or Program:

- Dissertation Proposal Read by two reviewers
Review Option Student presentation to Advisory Committee and two reviewers
(check one) Review Committee

Department or Program Head or Review Committee Chairperson Signature Date

Do not write below Received by the Graduate School Signature Date



Whetten Graduate Center, 438 Whitney Road Ext., Unit 1152, Storrs, CT 06269-1152

Telephone: (860) 486 - 3617 \* Facsimile: (860) 486-6739 \* www.grad.uconn.edu

DISSERTATION PROPOSAL FOR THE DOCTORAL DEGREE

Please follow carefully the instructions on the reverse side.

Student's name in full

Mr. Miss

Ms. Mrs.

Dr.

First

M.I.

Last

Student ID #

Telephone # ( ) E-mail address

Mailing address for reply

Field of Study

Area of Concentration (if any)

Title of proposed dissertation

Date by which you expect to complete and defend the dissertation

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Dissertation Proposal Read by two reviewers

Review Option

(check one)

Student presentation to Advisory Committee and two reviewers

Review Committee

Department or Program Head or Review Committee Chairperson Date

Signature

Do not write below

Received by the Graduate School Date

Signature

# DISSERTATION PROPOSAL FOR THE DOCTORAL DEGREE

## INSTRUCTIONS

The Dissertation Proposal should be written, reviewed, and fully approved before preparation of the dissertation is well underway. Any delay in timely review and approval of the Proposal may result in wasted effort on a dissertation. At the latest, your Proposal should be ready for final review at least six months before your expected date of degree completion. Once the Proposal is approved by the members of your advisory committee, submit your Proposal to the Head of your Department or Program [or to the Chairperson of the Review Committee if appropriate]. Your Proposal must be fully approved at least three months prior to the date of your Oral Defense.

Your Plan of Study must be fully approved at the time your Dissertation Proposal is submitted for final review.

Required are:

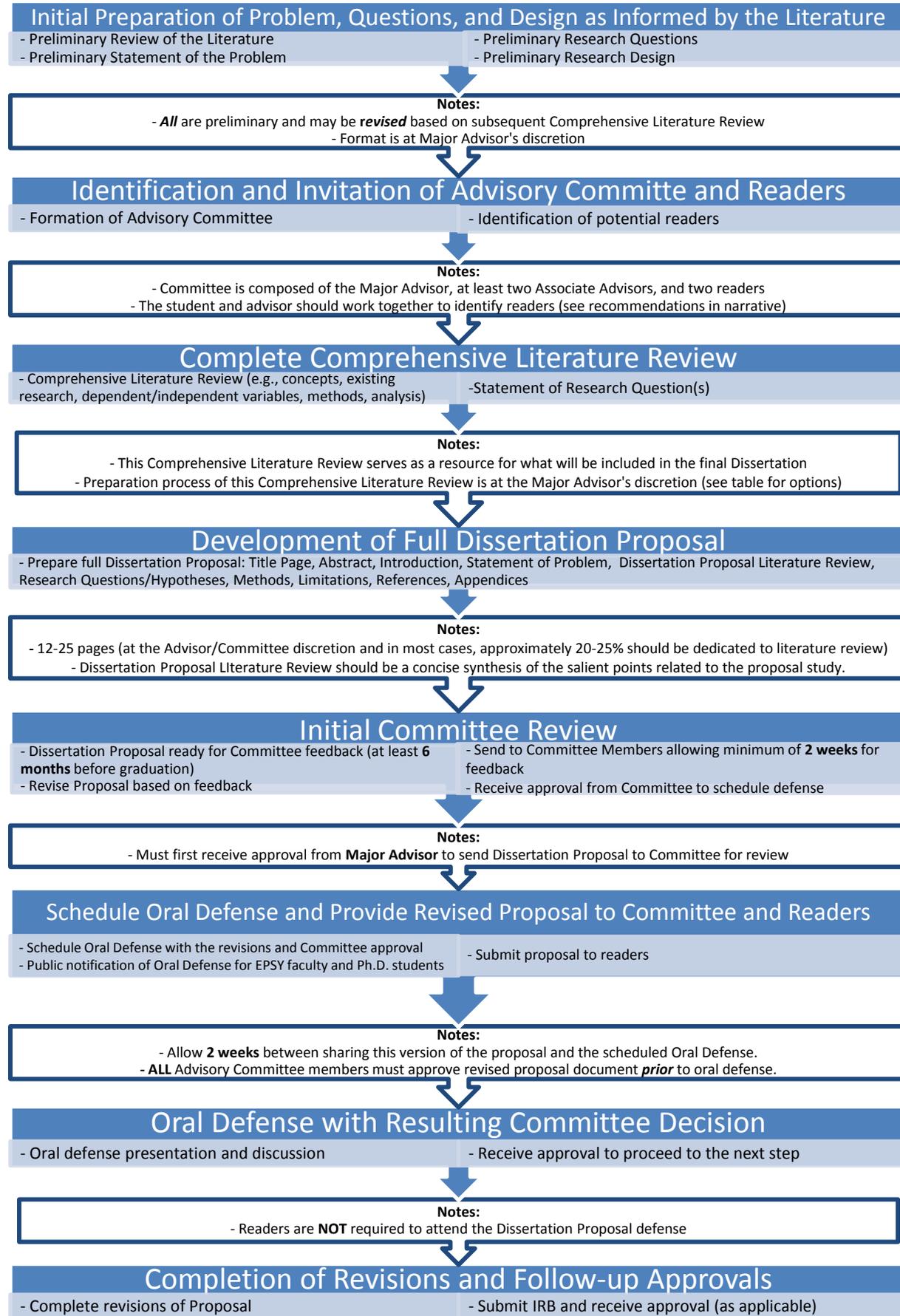
1. The completed and signed Dissertation Proposal Approval form (with a copy attached of current IRB approval for human subjects and/or IACUC approval for animal subjects to be used in the research)
2. An accurate title
3. A concise statement which includes (a) the purpose, importance, and novelty of the study; (b) methods and techniques to be used; (c) availability and location of research facilities; and (d) a statement concerning the use of any human or animal subjects that are involved in the research
4. A selected bibliography.

The Proposal is to be as brief as possible without sacrificing completeness. A statement of not more than ten pages usually is sufficient. Please limit appendices and other attachments to those that are essential. Proposals of unnecessary length are discouraged since reviewers lack the time to read them.

When your Dissertation Proposal is ready for approval by your advisory committee, print three identical copies. Complete the following page in triplicate and staple one copy to the front of each of the copies of the Proposal. Each member of your advisory committee then signs each of the three copies where indicated. Finally, all three copies of your Proposal are to be submitted for review to the Head of your Department or Program [or to the Chairperson of the Review Committee if appropriate].

The three copies then will be forwarded to the Graduate School. You and your Major Advisor each will receive a copy of the Proposal when it is signed by the Graduate School, indicating that final approval has been granted.

# EPSY Dissertation Proposal Flowchart



**After all steps are complete, initiate the dissertation study!**