Guidelines for Preparation of the

Doctoral Dissertation

The University of Texas Health Science Center at Houston School of Nursing
PhD in Nursing Program

The *PhD Council*
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TABLE OF CONTENTS

Page

OVERVIEW OF THE DISSERTATION PROCESS..... 6

Guidelines for Dissertation Research Project 7

Dissertation Chairperson and Committee 8

Chairperson 8

Committee Members..... 9

Changes in Committee Membership..... . 10

Approval of Dissertation Topic and Committee..... 11

DISSERTATION PROPOSAL..... . 13

Content of Dissertation Proposal 13

Option A 14

Option B 19

Procedures for Oral Defense and Institutional Review..... 30

Oral Defense..... 30

Institutional Review(s)..... 32

DISSERTATION 34

Content of Dissertation 34

Option A 34

Option B 38

Procedures and Oral Defense..... 47

Instructions for Preparing the Dissertation 49

Format..... 49

Paper 49

Typing 49

Illustrations..... 51

References..... 52

Submission 54

REFERENCES 55

APPENDIXES

A. Approval Forms and Samples of Format 55

Approval Form D-1 56

Form D-1 (Sample)..... 60

Approval Form D-2 61

Approval Form D-2 (Sample)..... 62

Title Page (Sample)..... 63

Approval Form D-3 64

Approval Form D-3 (Sample)..... 65

Table of Contents for Option A Format (Sample) 66

Curriculum Vitae (Sample) 68

Table of Contents for Option B Format (Sample) 73

B. Checklists 76

Dissertation Content Checklist: Option A..... 77

Dissertation Content Checklist: Option B..... 78

Steps in the Dissertation Process..... 79

C. Policies Related to the Dissertation 82

Introduction to the Manual

This manual is intended to provide the student with guidelines for completing the dissertation research project. The appendixes to the manual also contain approval forms, checklists, and The University of Texas Health Science Center at Houston School of Nursing policies and procedures for the dissertation. The manual is further intended to be used in conjunction with the list of works cited in the reference section.

The student is encouraged to read the entire manual, including the appendixes, before beginning the process of dissertation work and to obtain necessary clarification from faculty. The student is responsible for the timely and appropriate use of forms necessary to complete dissertation requirements. The forms and samples of the forms are included in the appended materials of this manual. A calendar of deadlines, available from the Registrar's Office, lists graduation requirements and deadline dates. Final dates for submitting papers and manuscripts cannot be waived. Each degree candidate, and not the faculty advisor, is responsible for meeting UTHealth requirements and deadlines.

OVERVIEW OF THE DISSERTATION PROCESS

The dissertation is recognized within academic and scientific communities as the candidate's beginning research effort in a substantive area, and it is viewed as a mentored process. Working closely with the Dissertation Committee Chairperson (Chair), members and others, the candidate conducts original research that makes a substantial contribution to the body of knowledge in nursing. Because of the complexity and interdisciplinary nature of health care problems, the candidate may work in collaboration with scientists from other disciplines in the design, conduct, evaluation, and dissemination of the research.

The dissertation process begins after the student is advanced to candidacy for the PhD in Nursing degree. The dissertation process consists of the following five stages: (a) approval of dissertation topic and committee membership, (b) defense of the research proposal, (c) institutional review/s for the protection of human subjects and/or animals, (d) conduct of the study, and (e) defense and dissemination of the dissertation project. Each stage is discussed in later sections of this manual. Defense of the dissertation project for proposal approval and final project approval require both oral and written presentations.

As an academic requirement for award of the PhD in Nursing degree, the dissertation is expected to reflect high standards of research, scholarship, and scientific writing. The style, format, and substantive content of the dissertation must meet the standards of the School of Nursing and the Dissertation Committee. It is the responsibility of the student to ensure that the dissertation is clearly written,

grammatically correct, and free of typographical errors. The student may consider contracting with a writing or editing service to assist in preparing the dissertation. Dissemination of the dissertation findings is essential for making a contribution to nursing science.

Guidelines for the Dissertation Research Project

- The student is referred to Appendixes A through C in this manual for approval forms, checklists, and policies that are relevant to the dissertation.
- The student must be enrolled for dissertation credits in order to hold conferences with the Chair and committee members and to participate in the proposal and final defenses of the dissertation work.
- A minimum of 12 dissertation credits are required for graduation. Moreover, the student must be enrolled during the semester of graduation.
- The student negotiates the scope of the research with the Dissertation Chair. The student may use an observational approach, with quantitative or qualitative methods, or an experimental approach to study the research problem. The approach must be justified based on what is known across disciplines about the topic. The completed dissertation project makes an original contribution to nursing science.
- A two-level approval process exists for the dissertation. The PhD Council approves both the topic of the dissertation and the membership of the Dissertation Committee. The Dissertation Committee approves the research proposal and the final dissertation product.

- The student in conjunction with the Chair may choose one of two options for the dissertation format: Option A or Option B.
  - Option A allows the student to use the U. S. Public Health Service 398 (PHS 398) grant proposal as a model for the dissertation proposal. It also allows the student to use the PHS 398 grant proposal with one or more student publications or manuscripts containing the results of the dissertation research as the final dissertation product.
  - Option B offers the traditional five-chapter dissertation, with Chapters 1 through 3 serving as the dissertation proposal and Chapters 1 through 5 serving as the final product.

Dissertation Chairperson and Committee

Chairperson

To qualify as Dissertation Chair, the individual must be doctorally-prepared, a full-time nurse member of the UTHealth School of Nursing faculty, and approved by the PhD Council. A list of faculty who meet the requirements is available from the Student Affairs Office, the Office of Academic Affairs, and the PhD web page on the SON web site. The Chair is not only the major professor who guides the student through the dissertation process, but also one who has expertise in the substantive area of the student's research problem. The role of the Chair includes

a. assisting the student in selecting committee members and resources
b. assisting the student in formalizing researchable hypotheses, or

research questions, and methods

c. critiquing the student's drafts for clarity, logic, and substance, suggesting revisions as appropriate. The Chair will critique a draft within 15 working days.

d. approving cognates before the dissertation proposal defense

e. assisting the student in formal preparation of the proposal, institutional review board and agency forms, final report, and manuscript(s)

f. deciding if the institutional review board and agency forms are ready for submission

g. chairing the student's dissertation proposal and final defense meetings

h. deciding with the other committee members if the proposal and final report meet quality standards that merit approval and submission.

Committee Members

Together with the Chair, the student identifies and recruits members for the Dissertation Committee. A minimum of 3 members, including the Chair, is required, with a maximum of 5 members possible. Two of the committee members, including the Chair, must be full-time, doctorally prepared nurse faculty in the UTHealth School of Nursing. At least 1 member must be from a discipline other than nursing. Additional members may be from nursing, other disciplines, and other institutions, and, in every case, must have an earned doctorate or hold the terminal degree of their profession and have substantive evidence of scholarship. Members may be selected to provide expertise in methods, the target population for study, the

theoretical base for the project, an interdisciplinary perspective, and/or other areas that enhance the quality of scholarship. The role of the committee member includes

a. assisting the student in formalizing researchable hypotheses, or research questions, and methods
b. critiquing student drafts of the proposal and the final dissertation product forwarded by the Chair and suggesting revisions as appropriate. A maximum of 15 working days per draft is provided for each committee member to comment. The members communicate their critiques and comments to the Chair and to the student.
c. suggesting cognates before the dissertation proposal defense
d. participating in the student's dissertation proposal and final defense meetings
e. deciding with the Chair if the proposal and final report meet quality standards that merit approval and submission

Changes in Committee Membership

On occasion, conflict may arise among committee members. In the case of major disagreement, committee members will make every effort to resolve their differences. If a change in the Chair or in the Dissertation Committee membership becomes necessary, the student is required to obtain proper approval. In addition, any work that the student completed before the change may be subject to revision.

a. To change a committee member, the student informs the Chair of the rationale for considering a change. If the Chair approves the request,

the student meets with the committee member for whom replacement is proposed to discuss the rationale for change. The student then sends revised Form D-1 to the Office of Academic Affairs with a memo outlining the change and the rationale. The student and the Committee Chair sign the memo.

b. To change a Committee Chair, the student needs to obtain the approval of the PhD Council. A memo, signed by the student and the faculty member to be replaced as Chair, is sent to the Chair of the PhD Council. The memo explains the rationale for changing the Chair and includes the name and qualifications of the faculty member being recommended as the new Chair. A revised Form D-1 and bio-sketch of the proposed new Chair are attached to the memo. Upon approval of the change by the PhD Council, the student files the revised Form D-1 with the Office of Academic Affairs.

Approval of Dissertation Topic and Committee

PhD Council approval of the dissertation topic and committee membership is required before the student may proceed with development of the dissertation proposal. The purpose of this first-level approval is to ensure that the resources that are necessary to support the student are also appropriate for the particular nature and scope of the research.

The student submits a completed Approval Form D-1 to the Chair of the PhD Council. On the form, the student lists the working title of the dissertation and the

proposed members of the Dissertation Committee. The title may not exceed two lines and conveys the substantive area of study, the target population, and the general methods approach. The number of signature lines matches the number of committee members. If the number of committee members is less than 5, the student deletes lines from the form as appropriate. In all other aspects, the format of Approval Form D-1 must be the same as that shown in Appendix A. In addition, the student attaches a curriculum vitae or two-page PHS 398 bio-sketch for each proposed committee member, including the Chair. A sample of a completed form appears in Appendix A of this manual.

Upon approval of the proposed topic and committee membership by the PhD Council, the student files the final Form D-1 with the Office of Academic Affairs and distributes a copy to each member of the Dissertation Committee. The student then proceeds with development of the dissertation proposal.

DISSERTATION PROPOSAL

Together with the Chair, the student selects Option A or Option B for presentation of dissertation work. Both options require scientific rigor, critical analysis and synthesis, logical development of arguments, and justification for research decisions. In addition, both options require the student to meet the academic standards for scholarly writing and expression of ideas. Content of the dissertation proposal, procedures, oral defenses, and required forms are essentially the same for Option A and Option B. The format and depth of development, however, are different for Option A and Option B.

A variety of referencing systems may be preferred for the dissertation (i.e. due to page limitations for the PHS 398 you may use a referencing system other than APA; some of the journals to which you submit your work will use still other referencing systems). Therefore, students are advised to use a software referencing program in the preparation of written work for all dissertation documents requiring references. A software referencing program is available on all computers in the computer labs. Student pricing is also available in the UTHSC bookstore and on the web sites of referencing software.

Content of Dissertation Proposal

The dissertation proposal addresses the following areas: (a) what the student intends to do, (b) why the proposed work is important, (c) what has already been done by the student and others, and (d) how the student is going to conduct the research.

Option A

The proposal is prepared by using the most recent version of the PHS 398-RO1 guidelines. The student must strictly adhere to the guidelines for preparing a grant application under the headings of General Instructions and Specific Instructions (from Face Page through Appendix only). The Specific Aims and Research Strategy (discussed below) may not exceed 13 pages, including all tables and figures. The components of the research plan are described as follows:

Specific Aims- 1 Page

This section concisely and briefly introduces the reader to the problem of interest and sets the context for the substance of the proposed research. The broad, long-term objectives of the student's program of research are stated, followed by the specific aims of the dissertation research. The hypotheses, or research questions, to be addressed are listed. Specific aims are limited to one page.

Research Strategy- Significance, Innovation and Approach- 12 pages

Significance- This section of the proposal provides a critical evaluation and synthesis of the literature leading to the proposed research. Include the following:

1) A literature review that reflects current research from multidisciplinary sources.

2) Gaps in knowledge that the dissertation will address are clearly, logically, and concisely articulated.

3) This section should explain the importance of the problem, how the proposed project

will improve knowledge and describe how the concepts being proposed will drive the field if the aims are achieved.

4) The importance of the proposed research to health and nursing is described by relating the specific aims to the broad, long-term objectives.

Innovation – This section should explain how the research challenges and seeks to shift current research. Describe any novel theoretical concepts, methodologies, instrumentation or interventions that will be tested.

Preliminary Studies

This section provides an account of preliminary work done by the student that is related to the proposed research. Examples of previous work include the student's thesis, pre-testing of instruments, pilot studies, and clinical observations. The purposes of the Preliminary Studies section are to demonstrate (a) cumulative study in the substantive area of the proposal, (b) feasibility of the project, and (c) competence of the student to conduct the research.

Approach – This section describes the overall strategy for the study. The elements include the following: research design, setting, population, sample, sampling procedures, instruments, intervention(s) as appropriate, procedures for data collection, procedures for data analysis, how the data will be interpreted, study limitations, potential problems with the proposed procedures, and alternative approaches to achieve the specific aims and human subject considerations.

1) Research Design and Setting- Briefly identify the design and setting
2) Population, Sample, Sampling Procedures- Identify the sample composition, how the sample will be obtained and the sample size with justification. The sample is described in enough detail for the reader to determine feasibility of obtaining a suitable sample size to test the hypotheses, if applicable.
3) Instruments- Detail and define each instrument with reliability and validity information. Evidence of the psychometric or biometric properties of the proposed instrument(s) is presented, with plans for further testing in the

dissertation as appropriate.

4) Data Collection Procedures, Intervention(s) as appropriate, Procedures for data collection. The proposed procedures for data collection include the measurement points and application of the intervention(s).
5) Data Analysis- Restate each hypothesis/or specific aim. Detail the analysis procedures to address each hypothesis/or aim and how the data will be interpreted. Data analysis procedures must be justified and specifically address the testing of each specific aim and hypothesis or research question.
6) Study Limitations- potential problems with the proposed procedures, and alternative approaches to achieve the specific aims and human project from proposal defense through dissemination of the results. Each element is fully justified and referenced as appropriate.
7) Human Subjects- A paragraph on protection of research participants includes approvals that will be sought, consents that will be obtained, potential risks to research participants, and procedures proposed to reduce the risks. The inclusion of women and members of minority groups appropriate to the scientific aims of the dissertation project is addressed. A minority group is a subset of the U. S. population that is distinguished by racial, ethnic, or cultural heritage, as defined in the PHS 398 guidelines. Unless a clear and compelling rationale shows that inclusion of women and minorities is inappropriate to the purpose of the dissertation research, research participants must be recruited from these populations. The composition of the proposed study population with respect to gender and minority status is described, and justification for strategies that will be used

to recruit and select participants is provided.

Bibliography/References in appropriate format

Human participants. The student is responsible for adhering to the U. S. Department of Health and Human Services regulations for the protection of human participants (OPRR Reports, 1991). The following 6 points are enumerated and succinctly addressed:

a. A description is provided of the proposed involvement of human participants in the dissertation research. The number, age range, and health status of the study population(s) and criteria for inclusion or exclusion in the research are described. In addition, the involvement of vulnerable participants, such as fetuses, pregnant women, children, or institutionalized individuals is justified.

b. Potential risks to the participants from study participation are identified, and for each potential risk, a justified assessment of likelihood of occurrence and seriousness of risk is provided. All potential risks (physical, psychological, social, legal, or other) are included.

c. The procedures that will be used to minimize the potential risks listed in above, including risk for loss of confidentiality, are described.

Vertebrate animals. The student is responsible for adhering to the U. S. Public Health Service Policy on Humane Care and Use of Laboratory Animals for the protection of animal subjects (National Research Council, 1996). The following 6 points are enumerated and succinctly addressed:

a. A description of the proposed involvement of animal subjects in the dissertation research is provided. The species, strains, age, sex, and number of animals to be used and criteria for inclusion or

exclusion in the research are described.

b. The use of animals, the choice of species, and the numbers proposed for use are justified.

c. The veterinary care that the subjects will receive is discussed.

d. Potential risks from study participation are described, and for each potential risk, a justified assessment of likelihood of occurrence and seriousness of risk is provided. As appropriate, the method of euthanasia to be used is described and justified.

e. The procedures are described that will be used to minimize the potential risks listed above, including the use of analgesics, anesthetics, tranquilizers, and restraining devices to minimize discomfort, distress, pain, and injury.

Appendix

The appendix may include the following materials:

a. Up to 3 publications, manuscripts (submitted or accepted for publication), abstracts, or other printed materials directly relevant to the proposed research

b. CPHS or AWC approval letters

c. Surveys, questionnaires, data collection instruments, and clinical protocols

d. Glossy photographs or color images of biological or histological data

e. Participant consent form/s

Option B

The proposal is prepared by using the most recent edition of the Publication Manual of the American Psychological Association (APA) in conjunction with the

school Guidelines for Preparation of the Doctoral Dissertation. The dissertation proposal includes Chapters I, II, and III; a complete reference list; and appendixes.

Chapter I - INTRODUCTION

The nine components of Chapter I are first listed then discussed as follows: (a) introduction and background to the study, (b) statement of the research problem, (c) theoretical or conceptual framework, (d) purpose of the study, (e) definitions of terms, (f) hypotheses or research questions, (g) significance of the problem, (h) assumptions, and (i) limitations.

Introduction. The student introduces the reader to both the topic of study and the background of the study. Appropriate background information may include the incidence or prevalence of the problem, synthesis of what is known including the gaps in current knowledge, and why the problem of study is important. In general, 3 to 10 pages are adequate for this section. Although the word "INTRODUCTION" is used as the title of the chapter, the word is not used as a heading.

Statement of the problem. The student may phrase the problem statement in the interrogative or declarative form. Either way, it concisely expresses what concepts or variables will be examined and describes the relationships between and among the concepts or variables. The statement of the problem may be one sentence but in no case should it exceed two paragraphs. The problem statement logically flows from the introduction.

Theoretical or conceptual framework. The student uses either "Theoretical Framework" or "Conceptual Framework" as the heading to this section that

addresses the theoretical basis for the research. The section includes a succinct description of the framework, discussion of the concepts that are relevant to the proposed study, and explanation of the relations among the concepts. Limitations of the framework are discussed. The theoretical proposition to be tested is expressed in terms of the relationships among the concepts. When the student uses a qualitative design, the philosophical underpinnings of the approach to the study are discussed instead. The page length of this section is expected to vary based on the complexity of the theoretical perspective and the scope of the research project. The section should be developed in sufficient detail so that clear and logical linkages among the study variables are evident.

Purpose of the study. One paragraph is used to synthesize the purpose and the importance of the proposed study within the theoretical or philosophical perspective.

Definitions of terms. In alphabetical order, all major study variables are defined conceptually and operationally. Conceptual definitions are derived from the theoretical or conceptual framework. Operational definitions specify precisely how the major study concepts will be measured and interpreted. Typically, an operational definition is expressed as a score obtained from administration of an instrument, with the magnitude and direction of the score indicating more or less of the concept being measured.

Hypotheses or research questions. The hypotheses or research questions are enumerated in conceptual terms. Hypotheses are statements of predicted outcomes

of the study that are consistent with the theoretical framework. They include the major variables and imply cause and effect from differences, or lack thereof, in quantity or groups. Research questions are used when the theoretical perspective provides insufficient support for explanation or prediction of study outcomes. All of the major study variables are included in the hypotheses or research questions. The research questions must be consistent with the theoretical or philosophical underpinnings and the study design.

Significance of the problem. This section serves as the justification for conducting the proposed research project. The synthesized overview of the background information provided in the introductory material is developed in greater detail in this section. For example, historical trends in the problem of interest, conflicts in existing literature, emerging technologies and methods, and other issues may be used to develop logical arguments that clearly support the value of the investigation. The significance section concludes with potential and realistic implications that the study results may have for nursing science and clinical practice.

Assumptions. Assumptions are premises taken to be true without proof or demonstration. They are not tested; rather, they are accepted on the basis of logic or reason. The student briefly discusses only those select assumptions that are strongly relevant to the proposed study.

Limitations. Limitations include the boundaries, exceptions, and qualifications that are inherent in every research study and that restrict the interpretation and generalizability of the findings. The student includes statements that clarify, qualify,

or restrict aspects of research decisions made to give the reader introductory information about the actual scope of the study.

Chapter II - REVIEW OF THE LITERATURE

Chapter II begins with an unlabeled introduction that conveys to the reader the major areas of literature that are addressed in the order that they are addressed. The review of literature serves two purposes. First, it provides justification from a scientific basis for why the proposed study is needed. Controversy, conflict, and incomplete understanding about the phenomena of interest are examples of justification for need. To establish the scientific need for the dissertation project, the student presents, critically evaluates, and synthesizes relevant research studies. While specific information such as conceptual perspective, definitions, sample size and characteristics, instruments and their psychometric or biometric performance, methods, results, conclusions, and limitations are critical to evaluation of the usefulness of the key sources of literature, this chapter is more than a listing of research conducted on the topic. The studies cited, individually and collectively, are critiqued, and then used to develop a clear and compelling argument for why the proposed work is scientifically justified.

The second purpose of the review of literature is to justify the general approach to studying the problem. For example, while a dearth of research on a particular topic or inconsistent and variable uses of a concept may argue for an exploratory research approach, a plethora of research with conflicting findings may argue for an experimental approach.

The literature reviewed must reflect current research from multidisciplinary sources. Primary sources are cited. A synthesis of the literature concludes each topical subheading. A summary at the end of the chapter is used to synthesize all topical areas and to clearly articulate application to the proposed study.

Chapter III - METHODS

Chapter III begins with an unlabeled introduction that both restates the purpose of the study along with the hypotheses or research questions and delineates the organization of the chapter. The study design is then labeled, described, applied to the dissertation, justified, and referenced. In applying the study design to the dissertation project, potential threats to internal and external validity are discussed, and proposed methodological or statistical controls are proposed to reduce the threats. Finally, nine components are developed, using headings for each component in the order enumerated below.

Setting, population and sample. The setting and population from which the sample will be drawn are described in sufficient detail to justify feasibility and appropriateness of sampling procedures and generalizability of study findings. The inclusion of women and members of minority groups appropriate to the scientific aims of the dissertation project must be addressed. A minority group is a subset of the U. S. population that is distinguished by racial, ethnic, or cultural heritage. Unless a clear and compelling rationale shows that inclusion of women and minorities is inappropriate to the purpose of the dissertation research, research participants must be recruited from these populations. The composition of the

proposed study population is described with respect to sex and minority status, and justification is provided for strategies that will be used to recruit and select participants.

The sample and specific details of the setting for recruitment and data collection are described. Eligibility criteria for study participation are enumerated and justified; and the size of the sample is justified. When power analyses serve as the basis for sample size justification, all parameters considered in the sample size justification are specified, and the anticipated effect size is justified from pilot work or from existing literature. The sampling methods to be used are described, justified, and referenced. Assignment of individual participants to groups is discussed as appropriate, and justification is needed for assignments that are not random.

Instrumentation. A non-labeled introduction states the number and names of instruments that are proposed for data collection, including forms designed for demographic data. Each instrument is matched with the concept to be measured.

Using a subheading for each instrument, the following issues are discussed in enough detail to permit evaluation of the conceptual-operational fit between the concept of interest and the means of measuring it:

- purpose for which the instrument was designed and has been used;
- description of the instrument with reference to the appropriate appendix where the instrument is attached;
- literature evidence for psychometric or biometric properties, including the samples with which the properties were evaluated; and

- procedures for administration and scoring.

As appropriate, plans and methods that are proposed for further psychometric or biometric testing in the dissertation and criteria that will indicate acceptable evidence of performance for the purposes of the dissertation research are discussed.

For qualitative approaches, the following issues are discussed for each method that will be used to collect data (e.g., observations, interviews, field notes): truthfulness or trustworthiness of the data, applicability to other contexts and respondents, consistency of findings, and bias (Lincoln & Guba, 1985). Each instrument (e.g., interview guide) is described and referenced to the appropriate appendix. Literature evidence for technical development and use of the method to enhance rigor in qualitative inquiry is presented, and plans to ensure rigor in the dissertation research are discussed with referenced justification.

Pilot studies. Preliminary work related to the dissertation project is discussed, including the purpose, methods used, and results. In addition, the student discusses how the preliminary work provided guidance for the development of the proposed dissertation project.

Procedure for data collection. In this section, the step-by-step process proposed for data collection is discussed. The process begins with enrollment of participants into the study and extends through preparation of data for entry into databases for analyses. The procedures must match the study design. A detailed study protocol may be included in the appendixes; however, the general procedures

to be followed must be discussed sequentially in this section. The procedure and/or appended protocol must provide enough detail for study replication by a person other than the investigator.

Protection of research participants and subjects. This section includes a description of potential risk for participants/subjects from study participation and how the student will comply with the rules and regulations of the Institutional Review Boards at the University of Texas Health Science Center at Houston and clinical or community agencies, as appropriate. Guidelines for human participants or vertebrate animal subjects must be followed. All investigators are required to complete training regarding subject (human and/or animal) protections. This training must be completed before beginning any research sponsored through the university. Visit the web site of the Office of Research Support Committees for educational requirements and offerings to meet the requirements at:

https://inside.uthouston.edu/evpara/finance/departments/orsc.htm

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Human participants. The student is responsible for adhering to the U. S. Department of Health and Human Services regulations for the protection of human participants (OPRR Reports, 1991). The following 6 points are succinctly addressed:

a. A detailed description of the proposed involvement of human participants is provided in the dissertation research. The number, age range, and health status of the study population(s) and criteria for inclusion or exclusion in the research are described, and the

involvement of vulnerable subjects, such as fetuses, pregnant women, children, or institutionalized individuals is justified.

b. Sources of data that will be obtained for research purposes are identified.

c. Plans for the recruitment and retention of participants are described.

d. Potential risks to the individuals from participating in the study are identified, and for each potential risk a justified assessment of likelihood of occurrence and seriousness of risk is provided. All potential risks (physical, psychological, social, legal, or other) are included.

e. The procedures that will be used to minimize the potential risks listed in (d) above, including risk for loss of confidentiality, are described.

f. A statement of cost-to-benefit with respect to the acceptance of risk in relation to the importance of knowledge that may result from the research is provided.

Vertebrate animals. The student is responsible for adhering to the U. S. *Public Health Service Policy on Humane Care and Use of Laboratory Animals* for the protection of animal subjects (National Research Council, 1996). The following 6 points are enumerated and succinctly addressed:

a. A detailed description of the proposed involvement of animal subjects in the dissertation research is provided. The species, strains, age, sex,

and number of animals to be used as well as criteria for inclusion or exclusion in the research are described.

b. The use of animals, the choice of species, and the numbers proposed for use are justified.

c. The veterinary care that the subjects will receive is discussed.

d. Potential risks to the subjects from study participation are described, and for each potential risk a justified assessment of likelihood of occurrence and seriousness of risk is provided. As appropriate, the method of euthanasia to be used is described and justified.

e. The procedures are described that will be used to minimize the potential risks listed above, including the use of analgesics, anesthetics, tranquilizers, and restraining devices to minimize discomfort, distress, pain, and injury.

f. A statement is provided of cost-to-benefit with respect to the acceptance of risk in relation to the importance of knowledge that may result from the research.

Data analysis. This section includes a discussion of how the sample characteristics will be described and how data will be analyzed to address hypotheses or research questions. Level of data, statistical approach to analysis of data with referenced justification, specific techniques proposed, preparation of data for analysis, and presentation formats (e.g., sample tables, figures) are included.

Reference list. All references cited in the proposal are listed according to APA format. References must be complete, accurate, current, multidisciplinary, and relevant to the proposed work. Substantive references cited must be primary sources.

Appendixes. Appended materials are organized sequentially according to first mention in the text. Each appendix has a title page that includes the sequential capital letter for identification and name of the appended material. Examples of appended materials include study instruments, data collection forms, study protocols, consent forms, and permission letters for use of instruments and agencies.

Procedures for Oral Defense and Institutional Review

Oral Defense

Oral defense of the dissertation proposal is mandatory for both Option A and Option B. The purpose of this meeting is to ensure that the candidate has a well developed dissertation plan and the necessary resources to successfully conduct and disseminate the dissertation research.

- When the student has prepared a proposal that is acceptable to the Dissertation Chair, the student makes copies of the proposal for distribution by the Chair to the committee members. When all committee members agree that the student is ready to defend the proposed research, the student arranges an oral defense. Two weeks prior to the selected date and time for the oral defense the student provides notice of the date, time, place, and title of the defense to the Office for

Academic Affairs, and the student obtains Form D-2 from the Office. Form D-2 and a completed sample Form D-2 appears in Appendix A of this manual. Although the standard time period for the oral defense is approximately 2 hours, the actual time allocated should be long enough to ensure an adequate oral presentation and committee comment.

- At the oral defense, the student presents the proposed research in the order of the sections of the written proposal, inclusive of specific aims through research design and methods for the Option A format and Chapters I through III for the Option B format. After the presentation, members of the dissertation committee may ask questions, make recommendations, and offer comments. Then the student is asked to leave the room, and the committee votes on the acceptance of the proposed research for implementation. Majority decision of the committee prevails. The committee decision takes one of the several forms listed below.

    a. Approval: If the proposal is followed precisely as detailed, the student's research design will not be challenged later.

    b. Approval with Reservations: Changes may be made under the supervision of the Chair without further committee meeting.

    c. Disapproval: The student must revise the proposal and meet again with the entire committee.

The Dissertation Chair files Form D-2 with the Office of Academic Affairs after the proposal defense. If the committee decision is disapproval, a new Form D-2 is generated and filed after the second proposal defense.

Institutional Review(s)

Upon approval of the proposal, the student prepares the appropriate Institutional Review Board (IRB) forms. The United States Department of Health and Human Services stipulates the necessary elements of an informed consent. These elements provide the basis for guidelines used by IRBs of academic and clinical institutions within the United States. IRB guidelines for research with human participants or animal subjects are available from the Center for Nursing Research or from the UTHealth IRB office. To uphold the right of every human being to know about and give consent to any investigational procedure, ethical review by the UTHealth Committee for the Protection of Human Subjects (CPHS) is required for dissertation research that involves humans. To assure subject welfare and protection from discomfort, ethical review by the UTHealth Animal Welfare Committee(AWC) is required for research that involves animals.

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Human participation consent forms must be in language that is understandable to the participant (Rempusheski, 1991). Consent forms should be written at the sixth-to-eighth grade reading level. The appropriate reading level may be ascertained by testing comprehension of a 12-year-old child or by testing the readability score with such readability formulas as the SMOG, Flesch, and Flesch-Kincaid (Zakaluk & Samuels, 1988).

If the research will require participants from institutions other than UT-Houston permission is required from the IRB of those institutions. The student obtains a copy of clinical agency or other IRB forms from the approval-granting

agency. It is the student's responsibility to ensure that current forms are used. Since the UT IRB uses an online application process, a copy of the approved proposal, Form D-2, and all necessary completed IRB forms are to be submitted to the Chair before submission for IRB approvals. After the Chair has signed off on IRB applications, the student distributes the proposal and copies of the completed electronic IRB forms to dissertation committee members.

The student completes all IRB and AWC procedures. IRB submissions are electronic and submission is done directly with CPHS.
(AWC) protocols are submitted on-line directly to the AWC. Students are responsible to check all due dates for submission to either committee.

DISSERTATION

Content of the dissertation, procedures, oral defense, and required forms are similar for Option A and Option B. The format and depth of development, however, are different for Option A and Option B. Both options will use APA referencing format except that any manuscript(s), included in the dissertation with Option A, may use the format of the journal(s) to which it(they) is(are) submitted. In order to use an on-line bindery, however, it may be advisable to use APA format throughout so that the entire dissertation can be in one file for on-line submission.

Content of Dissertation

The dissertation addresses the following areas: (a) what the student did, (b) how the student conducted the research, (c) what was found, and (d) how the research extends the science and practice of nursing. The dissertation product for Option A or Option B represents the culmination of the candidate's doctoral training and, as such, must reflect critical thinking, analysis, synthesis, and scholarly expression of ideas.

Option A

The final dissertation product for Option A includes the following components: preliminary pages; a summary of the study with reference to appended materials; the dissertation proposal; one or more manuscript(s) ready for submission to a peer-reviewed research journal; IRB and agency approvals; consent form(s); instrument(s) used for data collection; complete, detailed study protocol(s);

presentation of data beyond that included in the manuscript; and curriculum vitae. Each component is described.

Preliminary Pages

a. Blank sheet of paper for protection of text

b. Title page

A sample title page is found in Appendix A of this manual. The title may not exceed 2 lines and conveys the substantive area of study, the target population, and the general methods approach. If the title runs to 2 lines, the second line is double-spaced and in inverted pyramid form. Use word substitutes for formulas, symbols, superscripts, subscripts, Greek letters, or other non-alphabetical symbols in the title. The date indicates the month and year that the Doctor of Philosophy in Nursing degree is conferred; it does not indicate the date the work was completed or the date of the defense. The title page is page i, but the number does not appear on the page.

c. Approval page (Form D-3)

The date on the approval page is the date of the final examination. The page is prepared with the same typeface, paper, and font as the remainder of the dissertation, following the format in Appendix A in the sample. Every member of the dissertation committee must sign the approval page in black ink. The number of signature lines must be identical to the number of committee members. The approval page is page ii, but the number does not appear on the page. Because PDF format is required to submit the final dissertation, this approval page may need to be scanned into the final dissertation.

d. Acknowledgments page (Optional)

This page is optional and may be used if the student wishes to express formal recognition and appreciation for extraordinary support that made possible the completion of the research. Grant support for the dissertation is acknowledged on this page. It is not necessary to acknowledge any assistance that the student received from the Chair and members of the dissertation committee. This page, if used, is numbered iii.

e. Abstract

The abstract is the abstract for the entire dissertation and includes the student's name, the title of the dissertation, and the date of graduation. If the title runs to 2 lines, the second line is single-spaced and in inverted pyramid form. The abstract must not exceed 350 words and must not contain tables, figures, graphs, references, or formulas. Symbols and foreign words must be displayed clearly and accurately, with accents and diacritical marks as appropriate. The abstract will be bound with the dissertation and must conform to specified margin and paper requirements. Elements that must be addressed include the following: the problem or purpose of the study, the general procedure(s) used, major source(s) of data, major data analysis approach, and conclusion(s). The abstract must be equivalent to the dissertation in meeting the standards for scholarly writing. The abstract is numbered as page iii, or page iv, if an acknowledgment page is included. If an abstract is required for a manuscript included in the dissertation, it follows the form required by the journal and is placed with the manuscript(s).

f. Table of contents

The Table of Contents is a list of all elements included in the dissertation, enumerated in sequential order. A sample Table of Contents page is found in Appendix A of this manual.

Summary of Study

The Summary of Study provides an overview of the research project and guides the reader through the organization of the dissertation. It provides transition between the two major components of Option A; that is, the proposal and the manuscript reporting study results. Any problems encountered or decisions made that resulted in change from what was proposed to what was done are discussed. This section references appended materials.

Proposal

The PHS 398 proposal approved by the dissertation committee is inserted next (Face Page through Appendixes). Use your referencing software to change the format to APA including double spacing. Sequential page numbers are added to the upper right hand corner of pages to provide continuity within the entire document.

Manuscript

Include at least one complete manuscript that reports the study findings and that is ready for submission to a peer-reviewed research journal. If the journal style is other than APA, submit the manuscript in APA style for the dissertation and then convert the style to the required submission format of the journal you selected using reference management software as appropriate. A cover letter to the journal editor is

the first page of this section. Sequential page numbers are added to the upper right hand corner of pages to provide continuity within the entire document.

Appendixes

The appendixes provide additional information to that in the proposal and manuscript so that study replication by others is possible. Institutional approvals, consent forms, instruments used for data collection, and detailed study protocol(s) are placed in the appendixes. Data not included in the manuscript are presented in tabular or figure format. The appended materials must not repeat information in the proposal or manuscript. Rather, they serve to supplement the major components of the dissertation prepared in the Option A format.

Curriculum Vitae

A curriculum vitae that is current and complete constitutes the final section of the dissertation. The vitae follows the UTHealth School of Nursing format and contains the following headings: Education, Professional Positions, Professional Memberships, Publications, Presentations, Awards and Recognition, and Grants. The words CURRICULUM VITAE are capitalized and placed in the top center of the first page. The candidate's name, degrees, and credentials appear on the second line. A sample of curriculum vitae is found in Appendix A of this manual.

Option B

The final dissertation product for Option B includes the following components: preliminary pages, Chapters I through V, References, Appendixes, and Curriculum Vitae. Each component is described.

Preliminary Pages

a. Blank sheet of paper for protection of text

b. Title page

A sample title page is found in Appendix A of this manual. The title may not exceed 2 lines and conveys the substantive area of study, the target population, and the general methods approach. If the title runs to 2 lines, the second line is double-spaced and in inverted pyramid form. Use word substitutes for formulas, symbols, superscripts, subscripts, Greek letters, or other non-alphabetical symbols in the title. The date indicates the month and year that the Doctor of Philosophy in Nursing degree is conferred; it does not indicate the date that the work was completed or the date of the defense. The title page is page i, but the number does not appear on the page.

c. Approval page (Form D-3)

The date on the approval page is the date of the final examination. The page is prepared with the same typeface, paper, and font used in the remainder of the dissertation, following the format provided in the appended examples. The approval page must be signed in black ink by every member of the dissertation committee. The number of signature lines must be identical to the number of committee members. The approval page is page ii, but the number does not appear on the page (see Appendix A).

d. Acknowledgments page (Optional)

This page is optional and may be used if the student wishes to express formal recognition and appreciation for extraordinary support that made possible the

completion of the research. Grant support for the dissertation is acknowledged on this page. It is not necessary to acknowledge any assistance that the student received from the Chair and members of the dissertation committee. This page, if used, is numbered iii.

e. Abstract

The abstract of the entire dissertation includes the student's name, the title of the dissertation, and the date of graduation. If the title runs to two lines, the second line is single-spaced and in inverted pyramid form. The abstract must not exceed 350 words and must not contain tables, figures, graphs, references, or formulas. Symbols and foreign words must be displayed clearly and accurately, with accents and diacritical marks as appropriate. The abstract will be bound with the dissertation and must conform to the margin and paper requirements specified in these Guidelines. Elements that must be addressed include the following: the problem or purpose of the study, the general procedure(s) used, major source(s) of data, major data analysis approach, and conclusion(s). The abstract must be equivalent to the dissertation in meeting the standards for scholarly writing. The abstract is numbered as page iii, or page iv if an acknowledgments page is included.

f. Table of Contents

The Table of Contents is a list of all elements included in the dissertation, enumerated in sequential order. A sample Table of Contents page is found in Appendix A of this manual.

Chapter I

The chapter title is INTRODUCTION. Chapter I as approved by the dissertation committee is presented with three changes. The literature cited is updated as appropriate, and studies and facts published in the interim between proposal defense and the final examination are incorporated as appropriate. Future tense is converted to past tense. Page numbers are changed to provide sequential continuity within the entire document.

Chapter II

The chapter title is REVIEW OF THE LITERATURE. Chapter II is similar to that approved by the dissertation committee with three changes. The literature cited is updated; studies published in the interim between proposal defense and the final examination are incorporated as appropriate. Sections of Chapter II that discuss application to the dissertation work are converted from future tense to past tense. The page numbers are changed to provide sequential continuity with the entire document.

Chapter III

The chapter title is METHODS. Chapter III is similar to that approved by the dissertation committee. Pilot work conducted since proposal approval is incorporated into this chapter. Numbers and percentages of subjects who were approached, recruited, and participated in the study are specified. The attrition rate and reasons for study attrition are presented. Future tense is converted to past tense and page numbers are changed to provide sequential continuity within the entire document.

For qualitative studies, the rationale for decisions made during the course of the study is discussed. Decision rationales may be included in Chapter III or in Chapter IV as appropriate for maintaining the context and flow of logical development.

Chapter IV

Chapter IV is labeled ANALYSIS OF DATA. Chapter IV begins with an unlabeled introduction that conveys to the reader the major areas of data analysis that are presented and the order in which they are presented. The chapter minimally includes description of the sample and the study findings. Secondary analyses or empirical findings may be included as appropriate. The organization and content of Chapter IV are different for quantitative and qualitative research as discussed below.

Quantitative research. Sample demographics are described. Tables are indicated when the number of variables is large or when comparisons among groups on multiple characteristics are presented. Each table is labeled and organized to stand alone as well as referenced and explained in the text. Repetition of data is to be avoided. In cases of more than one sample or sub-samples, each sample or sub-sample is systematically described and then comparisons are made. If statistically significant differences between sample characteristics were detected, the statistic and relevant information (e.g., degrees of freedom, probability level) are reported in parentheses when the difference is reported.

The findings are reported according to the hypotheses tested or research questions posed. The hypotheses or research questions are restated in the sequential order presented in Chapter III. The statistical technique used, the

assumptions underlying the technique, the way they were tested, and the results are presented in a straightforward manner with reference to tables and figures as appropriate. Interpretation of the results is reserved for Chapter V. Posthoc analyses are reported following the results. The same presentation order is used for each hypothesis or research question. Power analyses for the final sample or subsamples and effect size are reported as appropriate.

Secondary analyses, if done, follow the originally proposed analyses. Justification is provided for secondary analysis. Empirical findings, if any, are the last results reported. A succinct summary of the results concludes the chapter.

Qualitative research. Sample demographics are described. Tables may be indicated when the number of variables is large or when comparisons among groups on multiple characteristics are presented. In cases of more than one sample or subsamples, each sample or subsample is systematically described and then comparisons are made. If statistically significant differences between sample characteristics were detected, the statistic and relevant information (e.g., degrees of freedom, probability level) are reported in parentheses when the difference is reported. To ensure auditability, tables are indicated by linking the participants' words with the researcher's interpretations. Each table is labeled and organized to stand alone, as well as referenced and explained in the text. Repetition of data is to be avoided.

Before presentation of the findings, the sources of data and how the data were processed, including decision rules, are described. The setting, gaining entry

and exiting, and procedures used for execution of the participant role, data collection, analysis, and synthesis are discussed. The steps taken to ensure the trustworthiness of the data are addressed.

The findings section moves from the specific (e.g., theme, pattern, concept) to the general (e.g., description of phenomenon, theory) in keeping with the inductive approach of qualitative methods. Sections discussing the major findings are presented first. Each level of finding is substantiated with supporting data from interviews, field notes, or observations. Tables may be constructed if the amount of data presented is large. Figures are used to show the relations among themes or concepts when appropriate. The findings must be presented in ways that permit the reader to grasp their meaning and apply the essential elements to other situations.

Chapter V

The chapter title is SUMMARY OF THE STUDY. The components of this final chapter are a summary of the study, discussion of the findings, conclusions, implications for practice, and recommendations for further research.

An unlabeled introduction provides a brief overview of the problem and the hypotheses or research questions. The organization of the chapter is explained.

Summary. This section concisely summarizes how the study was conducted to test the hypotheses or answer the research questions reviewed in the introduction to the chapter. Three or four pages are enough to summarize the material already discussed in detail in Chapters III and IV.

Discussion. This section is the place for interpretation of the findings, integration of the findings with existing literature, and discussion of the extent to which the findings support or refute the theoretical perspective underlying the research. In essence, the discussion section is a scholarly debate between the candidate and the reader to explain the findings and to interpret them within the literature discussed in Chapter II. In addition, new literature is incorporated that offers insight into alternative explanations and the limitations of the study methods.

The student restates the theoretical propositions that were tested and evaluates the extent to which the findings lend support for the conceptual or theoretical framework. Explanations are offered that are related to the theory critique in Chapter I. If the findings suggest linkages among concepts that are new or configured differently than those proposed by the framework, new propositions may be suggested.

Conclusions. Conclusions derived from the findings and entirely supported by the data are enumerated and discussed. The ordering of conclusions follows the general order of the hypotheses or research questions. Conclusions are presented in concise, direct statements without explanation or discussion.

Implications. Implications for health, health care delivery, and nursing, as appropriate to the focus of the study, are derived from the conclusions. This section of Chapter V suggests appropriate use of the study results.

Recommendations. The researcher suggests a few potential studies that derive logically from the dissertation research and that would extend science and

practice in the substantive area. The suggestions should be succinct and salient, building on the work already done. It is not appropriate to either construct a long list or make tangential recommendations for future research.

Reference List

All references cited in the dissertation are listed according to APA format. References must be complete, accurate, current, multidisciplinary, and relevant to the proposed work. Substantive references cited must be primary sources.

Appendixes

Appended materials are organized sequentially according to first mention in the text. Each appendix has a title page that includes the sequential capital letter for identification and name of the appended material.

Curriculum Vitae

A current and complete curriculum vitae constitutes the final section of the dissertation. The vitae must follow the UTHealth School of Nursing format and contain the following headings: Education, Professional Positions, Professional Memberships, Publications, Presentations, Awards and Recognition, and Grants. The words CURRICULUM VITAE are capitalized and placed in the top center of the first page. The candidate's name, degrees, and credentials appear on the second line. A sample Curriculum Vitae is found in Appendix A of this manual.

Procedures and Oral Defense

Final defense of the dissertation is mandatory. The purpose of this meeting is to ensure that the candidate has satisfactorily implemented the dissertation plan and prepared a scholarly dissemination report of the research. The dissertation must be approved 4 weeks before the last class day of the semester. The deadline for oral defense will be published in the calendar of events for each semester. To meet the deadlines, the student should work with the dissertation Chair to devise a schedule. The schedule should provide enough time after the oral defense for final printing and preparation of the dissertation.

- When the student has prepared a final dissertation product that is acceptable to the Chair, the student makes copies of the dissertation for distribution by the Chair to the committee members. When all committee members agree that the student is ready to defend the research, the student arranges an oral defense. At least *2* weeks before the scheduled defense, the student provides notice of the date, time, place, and title of the defense to the Office of Academic Affairs. At the same time, the student will send an email of their abstract and names of the Chair and committee members with their credentials to the Office of Academic Affairs. Although the standard time period for the oral defense is approximately 2 hours, the actual time allocated should be long enough to ensure an adequate oral presentation and committee comment.
- At the oral defense, the student presents the research in the order of the sections of the dissertation, inclusive of specific aims through recommendations for further

research with the Option A format and Chapters I through V with the Option B format. Specific aims through methods for Option A and Chapters I through III for Option B receive cursory coverage because they were presented in detail during the first obligatory defense. The majority of presentation time is focused on the findings and interpretation, discussion, conclusions, and implications for practice and the profession. After the presentation, members of the dissertation committee first, followed by guests, may ask questions, make recommendations, and offer comments. Then the candidate and guests are asked to leave the room while the committee votes on the acceptance of the proposed research for partial fulfillment of the requirements for the PhD in Nursing degree. Majority decision of the committee prevails. The committee decision takes one of the several forms listed below.

a. Approval: The committee recommends the student be approved for the degree of PhD in Nursing.

b. Approval with Reservations: Suggested changes are to be made under the supervision of the Chair without further committee meeting. After receiving notice from the Chair that the changes have been made, the committee will then recommend that the student be approved for the degree of PhD in Nursing.

b. Disapproval: The research needs to be repeated or modified; or the dissertation needs to be rewritten extensively and resubmitted for another meeting of the committee. A second formal defense of the

dissertation may not be scheduled in the same semester as the first formal defense.

Instructions for Preparing the Dissertation

Specific guidelines for preparing the dissertation are given on the following pages. The dissertation must be grammatically correct and free of typographical errors. It is the student's responsibility, and not that of the Chair and committee, to submit a dissertation that reflects a high standard of scholarly writing. The student may consider contracting writing, editing, or typing services to assist with preparation of the dissertation. A list of resources is available from the Center for Nursing Research, but there are no authorized services for the School of Nursing. The student chooses the service and makes all business arrangements concerning the service. In short, the student has full responsibility for the form, accuracy, and completeness of the dissertation.

Format

- The dissertation should be arranged as indicated by the content checklists that are found in Appendix A of this manual.
- Funding agencies are credited in the Acknowledgments section of the dissertation.

Paper

- Two copies on 8-½ X 11-inch white paper is acceptable.

Typing

- Font size must be12. Use the same type consistently throughout the dissertation. Type double-spaced. If you used Option A and typed your proposal single spaced convert it to double space and use referencing software to

convert references if necessary to APA format. Appendixes, figures, tables, charts, and references may be typed single-spaced with prior approval of the dissertation committee.

- Make sure your printer is of letter quality. The dissertation will be rejected for uneven print quality, smudges, or uneven alignment. Computer printouts with small and difficult-to-read print are unacceptable.
- Margins must be 1-½ inches on the left and at least 1 inch on the top, right, and bottom for binding purposes.
- Number the pages ¾ inch down from the top of the page and aligned with the right margin. All pages are to be numbered consecutively from Summary of Study (Option A) and Chapter I (Option B) through Appendixes, including figures, tables, charts, and photographs. The introductory pages are numbered ¾ inch up from the bottom center of the page in small Roman numeral letters.
- Running headers are not permitted except for the manuscript portion in Option A.
- Left justification (i.e., hanging margin) is used.

Illustrations

- Charts, graphs, diagrams, maps, figures, photographs, and other pictorial components must be clear, clean, and pertinent to the substance of the dissertation. Symbols or labels are preferred for identification of graphs and charts rather than color. Cross-hatching on shaded areas will provide more of a contrast than color provides. Lettering and symbols must be large enough to be easily readable. If colors are essential in interpreting illustrations, then they must be reproduced accurately and precisely for inclusion in the dissertation. Note that the color blue does not photocopy and should not be used in graphic illustrations. Photographs should be professional-quality black and white.
- Original illustrations (not copies)must be included in all copies of the dissertation turned in to the School of Nursing.
- If any materials will not fit within the margins, the student may request that the binder place the material in a packet at the back of the dissertation. Examples of such materials include questionnaires, which due to copyright laws cannot be shrunk, and videotapes.

References

- References are to be prepared in APA format for both Option A and Option B dissertation formats. References must be in the form of the latest edition of the *Publication Manual of the American Psychological Association (APA Manual)*. However, for the dissertation document, revert the scripted content of the areas of PHS 398-RO1 to APA format using your reference management software. PHS 398-RO1"fill in" forms can remain as originally completed.

- Electronic media should be referenced as specified in the APA Manual. Electronic correspondence is cited as personal communication in the text.

Submission

- Signatures in black ink must be obtained from every member of the dissertation committee on Form D-3. The signed form may need to be scanned for inclusion in the dissertation for electronic transmission and storage.
- One copy of the final dissertation on any type of paper is first submitted to the Office of Academic Affairs for review of the quality of scholarship, format, and style. Submit this material in a paper box with a large paper clamp securing the pages. The student must adhere to the timetable deadline for dissertation/thesis/ clinical project approval. Students who do not meet the deadline will need to enroll in one more semester to graduate.
- After the final dissertation is approved by the Office of Academic Affairs (OAA), the student must submit several items to the OAA no later than the last day of the semester. Again, this deadline must be met to graduate; otherwise, the student will need to enroll for an additional semester. Note that prices are subject to

change. Therefore, confirm prices with the OAA during the semester in which the dissertation is submitted. The following process must be completed with the OAA:

a. The original copy previously reviewed by OAA, with all markers in place, is to be reviewed again for the corrections required.

b. When the Office of Academic Affairs notifies the student that the dissertation meets the standards of scholarship and these Guidelines, the student submits the completed copies to be bound. Forms and letters to be included in the bound copy may need to be scanned into an electronic file.

c. It is common practice to provide a bound copy of the dissertation to the Dissertation Chair. Additional bound copies can be ordered at the same time, if desired.

d. A cashier's check or money order payable to the HF Group, LLC will cover the cost of binding the dissertation.

REFERENCES

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Zakaluk, B. L., & Samuels, S. J. (Eds.). (1988). Readability: Its past, present, and future. Newark, DE: International Reading Association.

Appendix A

Approval Forms and Samples of Format

Approval Form D-1

Student Name: _____ Date: _____

Dissertation Title: _____

_____

Dissertation Committee Membership

(Include name and degrees, institution and position, and area of expertise for dissertation research).

1. _____

_____
Chairperson Signature

2. _____

_____
Signature

3. _____

_____
Signature

4. _____

_____
Signature

5. _____

_____
Signature

File a copy of this form with the Office of Academic Affairs and with each Committee member.

Academic Affairs to complete
PhD Council approval date: _____

Sample Form D-1

Student Name: Amanda T. Lawford, MSN Date: May 5, 1997

Dissertation Title: Biorhythms of Cardiac Function in a Porcine Model of Critical Care

Dissertation Committee Membership

(Include name and degrees, institution and position, and area of expertise for dissertation research).

1. Sandra K. Hanneman, PhD, RN; Professor, UTHealth School of Nursing; Biorhythms of physiologic function in a porcine model

Chairperson Signature

2. Janet Meininger, PhD, RN; Professor, UTHealth School of Nursing; Cardiovascular reactivity

Signature

3. Michael H. Smolensky, PhD; Professor, UTHealth School of Public Health; Chronobiology theory and methods

Signature

4. Nikhil Padhye, PhD; Biostatistician, UTHealth School of Nursing; Time series analyses

Signature

5. Fred J. Clubb, Jr., DVM, PhD; Director, Experimental Cardiovascular Pathology, Texas Heart Institute; Comparative cardiovascular techniques

Signature

File a copy of this form with the Office of Academic Affairs and with each Committee member.

Academic Affairs to complete

PhD Council approval date: _____

UNIVERSITY OF TEXAS
HEALTH SCIENCE CENTER AT HOUSTON
SCHOOL OF NURSING

Approval Form D-2

APPROVAL OF DOCTORAL DISSERTATION PROPOSAL

Student Principal Investigator: _____

Title of Study: _____

_____

This research proposal has been reviewed and approved by the Principal Investigator's Dissertation Committee.

Committee Chair: _____ Date: _____

Committee Members:

_____ Date: _____

_____ Date: _____

_____ Date: _____

Dissertation Committee Recommendation:

_____ Approval

_____ Approval with Reservations

_____ Disapproval

Original to Associate Dean for Academic Affairs; Copy to Chair, Committee members, and IRB(s)

THE UNIVERSITY OF TEXAS
HEALTH SCIENCE CENTER AT HOUSTON
SCHOOL OF NURSING

Sample Form D-2

APPROVAL OF DOCTORAL DISSERTATION PROPOSAL

Student Principal Investigator: Amanda T. Lawford, MSN

Title of Study: Biorhythms of Cardiac Function in a Porcine Model of Critical Care

This research proposal has been reviewed and approved by the Principal Investigator's Dissertation Committee.

Committee Chair: _____ Date: 9/15/97

Committee Members:

_____ Date: 9/15/97

_____ Date: 9/15/97

_____ Date: 9/15/97

Dissertation Committee Recommendation:

_____ Approval

__X__ Approval with Reservations

_____ Disapproval

Original to Office of Academic Affairs; Copy to Chair, Committee members, and IRB(s)

Sample Title Page

BIORHYTHMS OF CARDIAC FUNCTION IN A

PORCINE MODEL OF CRITICAL CARE

A DISSERTATION

SUBMITTED IN PARTIAL FULFILLMENT OF THE REQUIREMENTS

FOR THE DEGREE OF DOCTOR OF PHILOSOPHY IN NURSING

THE UNIVERSITY OF TEXAS HEALTH SCIENCE CENTER AT HOUSTON

SCHOOL OF NURSING

BY

AMANDA T. LAWFORD, M.S.

MAY, 1998

Approval Form D-3

The University of Texas Health Science Center at Houston
School of Nursing
Houston, Texas

_____
Date

To the Dean for the School of Nursing:

I am submitting a dissertation written by [Student's name] and entitled "[title of dissertation]." I have examined the final copy of this dissertation for form and content and recommend that it be accepted in partial fulfillment of the requirements for the degree of Doctor of Philosophy in Nursing.

_____
[Name], Committee Chair

We have read this dissertation
and recommend its acceptance:

_____

_____

_____

_____

Accepted

_____
Dean for the School of Nursing

Sample Approval Form D-3

The University of Texas Health Science Center at Houston
School of Nursing
Houston, Texas

April 15, 1998
Date

To the Dean for the School of Nursing:

I am submitting a dissertation written by Amanda T. Lawford and entitled "Biorhythms of Cardiac Function in a Porcine Model of Critical Care." I have examined the final copy of this dissertation for form and content and recommend that it be accepted in partial fulfillment of the requirements for the degree of Doctor of Philosophy in Nursing.

Sandra K. Hanneman, Committee Chair

We have read this dissertation
and recommend its acceptance:

Accepted:
Dean for the School of Nursing

Sample Table of Contents for Option A

TABLE OF CONTENTS

APPROVAL PAGE ii

ACKNOWLEDGEMENTS (Optional) iii

ABSTRACT iv

SUMMARY OF STUDY 1

PROPOSAL..... 16

Specific Aims..... 16

Background and Significance 17

Preliminary Studies..... 21

Research Design and Methods 30

Research Subject Risk and Protection 38

Literature Cited..... 42

Appendixes..... 46

A Hanneman SK, Smolensky MH, Lawford AT 46
Biorhythms of hemodynamic functions. Chronobiology International 15:7-17, 1998.

B Hanneman SK, Clubb FJ, Lawford AT. A porcine 56
model of critical care. Journal of Veterinary Science (submitted).

C Data Log 61

MANUSCRIPT 64

Lawford AT, Hanneman SK, Smolensky MH,Padhye, N., & Meininger, J..

Biorhythms of cardiac function in a porcine critical care model.

APPENDIXES

A University of Texas Animal Welfare Committee Approval 83

B Texas Heart Institute Approval 84

C Continuous Temperature Data Acquisition Schema..... 85

D Physiological Monitor Data Acquisition Schema 86

E Continuous Cardiac Output Data Acquisition Schema .. 87

F Ventilator Data Acquisition Schema..... 88

G Data Log Sample 89

H Study Protocol 92

I Sedation Protocol..... 102

J Alimentation Protocol 105

K Rhythm Plot for Body Temperature 113

L Rhythm Plot for Cardiac Output 114

M Correlograms for Cardiac Output during Baseline and ... 115

Follow-up Time Periods

CURRICULUM VITAE

Sample Curriculum Vitae

CURRICULUM VITAE
Amanda T. Lawford, PhD, RN, CCRN

EDUCATION:

University of Texas, Houston, Texas	1998	PhD	Nursing
Texas Woman's University Houston, Texas	1995	MS	Nursing
University of California Los Angeles, California	1989	BSN	Nursing

PROFESSIONAL POSITIONS:

The University of TexasHouston Health Science Center at Houston
School of Nursing
Houston, Texas
Graduate Research Assistant 1995-1998

St. Luke's Episcopal Hospital
Cardiovascular Recovery Room
Houston, Texas
Cardiopulmonary Clinical Nurse Specialist 1991-1995

Loma Linda University Medical Center
Cardiothoracic Intensive Care Unit
Loma Linda, California
Clinical Nurse I 1989-1991

PROFESSIONAL MEMBERSHIPS:

American Association of Critical-Care Nurses 1989-present
Member, Advanced Practice Nurse Advisory Team 1996-present
Houston-Gulf Coast Chapter 1991-present
Member, Research Committee 1995-1997

Curriculum Vitae
AMANDA T. LAWFORD
Page 2

PROFESSIONAL MEMBERSHIPS (Cont'd.):

Southern Nursing Research Society	1996-present
Sigma Theta Tau International	1995-present
Zeta Pi Chapter	1995-present
American Heart Association Council of Cardiovascular Nurses	1991-present
Membership Committee, Texas Council Representative	1993-1995
Texas Nurses Association	1997-present
Society of Critical Care Medicine	1995-present
Greater Houston Society of Critical Care Medicine	1995-present

PUBLICATIONS:

Lawford, A. T., Hanneman, S. K., Smolensky, M. H., Padhye, N., & Meininger, J.. (in press). Biorhythms of cardiac function in a porcine critical care model. American Journal of Critical Care.

Hanneman, S. K., Padhye, N., & Lawford, A. T. (1998). A porcine model of critical care. Journal of Veterinary Science 22 (2), 227-232.

Hanneman, S. K., Smolensky, M. H., & Lawford, A. T. (1998). Biorhythms of hemodynamic function. Chronobiology International, 15, 7-17.

Lawford, A. T. (1998). AACN research-based practice protocol: SvO_2 monitoring. Aliso Viejo, CA: American Association of Critical-Care Nurses.

Weston, C., Joseph, K., Lawford, A. T., & Houston, S. (1995). A comparison of thermo-resuscitation methods in the postoperative cardiovascular surgery patient [Abstract]. American Journal of Critical Care, 4, 256.

Lawford, A. T., Alexander, W. A., Anderson, J., & Houston, S. (1995). Fast track recovery following cardiac surgery. Seminars in Perioperative Nursing, 5, 12-22.

Curriculum Vitae
AMANDA T. LAWFORD
Page 3

PRESENTATIONS:

Paper

Lawford, A. T., Hanneman, S. K., Smolensky, Padhye, N., & Meininger, J.. (1998, May). *Biorhythms of cardiac function in a porcine critical care model.* Paper presented at the American Association of Critical-Care Nurses National Teaching Institute, New Orleans.

Hanneman, S. K., Smolensky, M. H., & Lawford, A. T. (1998, March). *Biorhythms of hemodynamic function*. Paper presented at the 9th International Chronobiology Meeting, Heidelberg, Germany.

Hanneman, S. K., Padhye, N., & Lawford, A. T. (1998, February). *A porcine model of critical care*. Paper presented at the Annual Meeting of Veterinary Medicine, New York.

Weston, C., Joseph, K., Lawford, A. T., & Houston, S. *A comparison of thermo-resuscitation methods in the postoperative cardiovascular surgery patient.* (1996, May). Paper presented at the American Association of Critical-Care Nurses National Teaching Institute, Anaheim, California.

Lawford, A. T., Alexander, W. A., Anderson, J., & Houston, S. (1995, November). *Accelerated recovery program for select aorta-coronary bypass patients.* Paper presented at the 3rd Annual Outcomes Management Conference, St. Luke's Episcopal Hospital, Houston, Texas.

Lawford, A. T., Alexander, W. A., Anderson, J., & Houston, S. (1995, May). *Fast track recovery following cardiac surgery.* Paper presented at the American Association of Critical-Care Nurses National Teaching Institute, Atlanta.

Lawford, A. T. (1994, November). *Research utilization*. Paper presented at the Sigma Theta Tau International Region 3 Meeting, Houston, Texas.

Lawford, A. T. (1994, March). *Hemodynamic monitoring*. Paper presented at the AACN Houston-Gulf Coast Chapter Trends Seminar, Houston, Texas.

Curriculum Vitae
AMANDA T. LAWFORD
Page 4

PRESENTATIONS (Cont'd.):

Poster session

Lawford, A. T., Hanneman, S. K., & Meininger, J.. (1998, March). *Comparison of continuous cardiac output and thermodilution cardiac output measurements.* Poster presented at the Southern Nursing Research Society meeting, Dallas, Texas.

Lawford, A. T., Hanneman, S. K., & Hanneman, J. (1998, March). *Comparison of continuous cardiac output and thermodilution cardiac output measurements.* Poster session presented at the Texas Medical Center 2nd Annual Student Research Day, Houston, Texas.

Weston, C., Joseph, K., Lawford, A. T., & Houston, S. (1995, March). *A comparison of thermo-resuscitation methods in the postoperative cardiovascular surgery patient.* Poster session presented at the 3rd Annual Research Conference, Texas Woman's University, Houston, Texas.

AWARDS AND RECOGNITION:

1996-1997	Biographee, Who's Who in American Nursing
1996	Recipient, PARTNERS Scholarship, University of Texas-Houston School of Nursing ($6,000)
1996	Advanced Practice Nurse - Clinical Nurse Specialist, Texas State Board of Nurse Examiners
1995	Outstanding Critical Care Clinical Nurse Specialist award, American Association of Critical-Care Nurses, Houston-Gulf Coast Chapter
1994-1996	Advanced Cardiac Life Support (ACLS) Instructor, American Heart Association
1991-present	ACLS Provider, American Heart Association
1991-present	CCRN certification, American Association of Critical-Care Certification Corporation

Curriculum Vitae
AMANDA T. LAWFORD
Page 5

AWARDS AND RECOGNITION (Cont'd.):

1988 Recipient, Reynold's Estate Scholarship for academic excellence in surgical nursing, University of California, Los Angeles ($500)

GRANTS:

Lawford, A. T. (Sandra K. Hanneman, PhD, RN, sponsor) Biorhythms of cardiac function in a porcine critical care model. National Institutes of Health National Research Service Award, National Institute of Nursing Research, 1 F31 NR06974-01, 1997-1998, $29,496.

Lawford, A. T., & Hanneman, S. K. Comparison of continuous cardiac output and thermodilution cardiac output measurements. Hewlett Packard-AACN Research Grant, 1996, $32,000.

Houston, S., Lawford, A. T., Alexander, W. A., Anderson, J. Effects of progressive recovery program for aorta-coronary bypass patients. McDonald Fund, St. Luke's Episcopal Hospital, 1994, $12,000.

Weston, C., Joseph, K., Lawford, A. T., & Houston, S. A comparison of thermo-resuscitation methods in the postoperative cardiovascular surgery patient. Sigma Theta Tau International, Zeta Pi Chapter, $500.

Weston, C., Joseph, K., Lawford, A. T., & Houston, S. A comparison of thermo-resuscitation methods in the postoperative cardiovascular surgery patient.
AACN Houston-Gulf Coast Chapter, 1993, $1,500.

Sample Table of Contents for Option B

TABLE OF CONTENTS

APPROVAL PAGE ii

ACKNOWLEDGMENTS (optional) iii

ABSTRACT iv

LIST OF TABLES (if appropriate) v

LIST OF FIGURES (if appropriate) vi

CHAPTERS

I. INTRODUCTION 1

Statement of Problem 9

Theoretical Framework 9

Purpose of Study 20

Definitions of Terms 20

Hypotheses 22

Significance of the Problem 23

Assumptions 26

Limitations 27

II. REVIEW OF THE LITERATURE 29

Cardiac Function 29

Time Structures of Cardiac Function 43

Comparative Anatomy and Physiology 50

III. METHODS 61

Setting, Population, and Sample 63

Study Instruments 64

Body temperature 64

Cardiac output 66

Pilot studies 69

Body temperature 69

Cardiac output 71

Procedures for data collection 73

Protection of research participants and subjects 78

Data analysis 81

IV. ANALYSIS OF DATA 82

Description of Sample 83

Findings

Cosinor analyses 84

Nonlinear dynamics analyses 94

Empirical Findings 102

V. SUMMARY OF THE STUDY 104

Discussion of Findings 107

Conclusions 118

Implications 118

Recommendations 119

REFERENCES 120

APPENDIXES

A. University of Texas Animal Welfare Committee Approval 134

B. Texas Heart Institute Approval 135

C. Data Log Sample 136

D. Study Protocol 138

E. Sedation Protocol 158

F. Alimentation Protocol 162

CURRICULUM VITAE

Appendix B

Checklists

Dissertation Content Checklist: Option A

Student's Name: _____

Dissertation Title: _____

The final copy of the dissertation must be in the following order:

_____ Blank Sheet of Paper

_____ Title Page

_____ Approval Page (Form D-3)

_____ Acknowledgments Page (Optional)

_____ Abstract

_____ Table of Contents

_____ Summary of Study

_____ Proposal

_____ Manuscript(s)

_____ Appendixes

_____ Curriculum Vitae

_____ Blank Sheet of Paper

_____ _____

Signature of Dissertation Committee Chair Date

_____ _____

Signature of Associate Dean for Academic Affairs Date

Dissertation Content Checklist: Option B

Student's Name: _____

Dissertation Title: _____

The final copy of the dissertation must be in the following order:

_____ Blank Sheet of Paper
_____ Title Page
_____ Approval Page (Form D-3)
_____ Acknowledgments Page (Optional)
_____ Abstract
_____ Table of Contents
_____ List of Tables (if appropriate)
_____ List of Figures (if appropriate)
_____ Chapters I through V
_____ Reference List
_____ Appendixes
_____ Curriculum Vitae
_____ Blank Sheet of Paper

_____ _____
Signature of Dissertation Committee Chair Date

_____ _____
Signature of Associate Dean for Academic Affairs Date

STEPS IN THE DISSERTATION PROCESS

The major steps in the process of initiating the dissertation through its submission are listed in checklist format below. The student is advised to refer to this checklist frequently.

- Select Chair; select committee members with Chair's approval. ☐
- Select with Chair Option A or Option B for dissertation format. ☐
- Using Form D-1, submit dissertation topic and suggested committee membership along with biosketches to PhD Council for approval. ☐
- File a copy of Form D-1 with the Office of Academic Affairs and with each dissertation committee member. ☐
- Before proposal defense, Chair must approve cognates. ☐
- Using *Guidelines for Preparation of Doctoral Dissertation*, write dissertation proposal. Make contact with agencies to negotiate access to research subjects. Obtain necessary IRB and agency approval forms. ☐
- With the Chair's approval, make copies of the proposal for distribution to committee members. ☐
- With the Chair's approval, schedule oral defense of the dissertation proposal. Obtain Form D-2 from the Office of Academic Affairs and notify the Office of the date, time, place, and title of defense. ☐

- Defend proposal. Chair obtains signatures on Form D-2 and files them with the Office of Academic Affairs. Chair also distributes copies of signed Form D-2 to committee members. ☐
- Complete IRB forms and obtain Chair's signature. Submit forms, attachments, and copy of Form D-2 to the Center for Nursing Research (See *Guidelines* for timelines). ☐
- Begin data collection after, and only after, IRB and agency approvals have been received. ☐
- Using the *Guidelines*, write the dissertation. ☐
- With Chair's approval, make copies of dissertation for distribution to committee members. ☐
- Schedule oral defense with Chair and committee members. See the School of Nursing timetable for deadline for dissertation defense. Reserve room for oral defense through the CEIR. At least 2 weeks before the defense date, give notice of the date, time, location, and title of the defense, a typed abstract, and names of the Chair and committee members to the Office of Academic Affairs for official posting. Obtain Form D-3 from the Office of Academic Affairs. ☐
- Defend dissertation. ☐
- Complete revisions. Obtain signatures of the Chair and committee members on Form D-3. ☐

- Submit a copy of the dissertation to the Office of Academic Affairs for review of the quality of scholarship, format, and style. See Timetable for deadline for dissertation/thesis/clinical project approval. Students who do not meet the deadline must enroll in one more semester. ☐
- Complete the IRB final project report (Termination Notification form) and submit it to the Center for Nursing Research. ☐
- Complete the dissertation process by submitting the following to the Office of Academic Affairs no later than the last day of the semester. This deadline must be met to graduate; otherwise, the student will need to enroll for an additional semester. ☐

  ☐ Order two copies of the dissertation, one for the SON and one for the TMC Library

  ☐ A cashier's check or money order made payable to the HF Group, LLC

Appendix C

Policies Related to the Dissertation

Please refer to the dissertation handbook for more specific detail, and samples. UT School of Nursing at Houston > Academic Affairs

Field Co