



***DOCTORAL
DISSERTATION
HANDBOOK***



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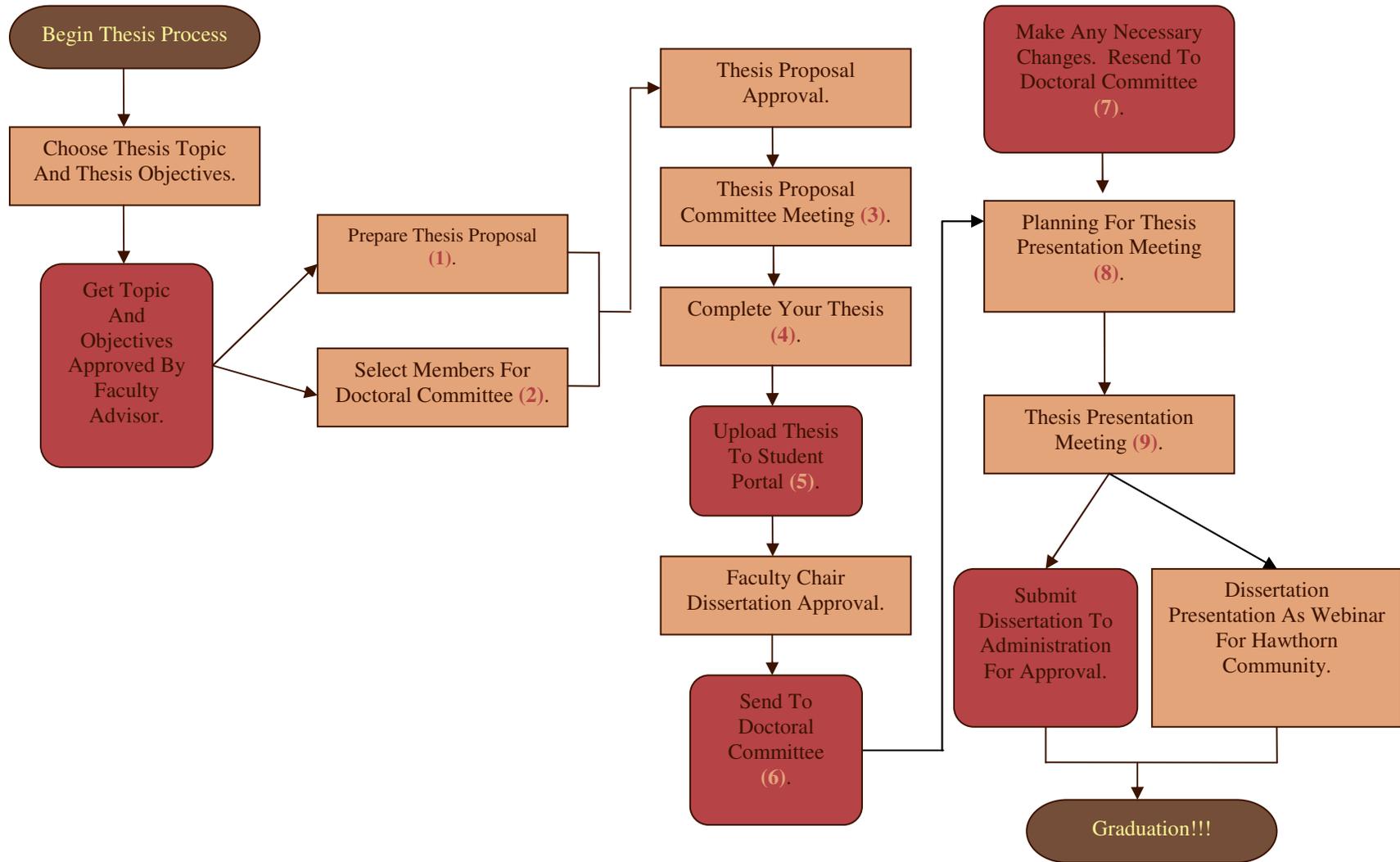
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DOCTORAL DISSERTATION FLOWCHART: UNDERSTANDING THE PROCESS





DOCTORAL DISSERTATION FLOWCHART: IN DEPTH EXPLANATION

The following information corresponds to the numbers indicated in the previous Doctoral Dissertation Flow Chart

1. Prepare Dissertation Proposal.
 - a. Proposal.
 - b. IRB application if using human subjects.
 - c. Consent forms.
 - d. Assessment tools, forms, handouts, or any other materials that you will be using to gather data, educate, analyze.
 - e. Upload research proposal on your student portal and schedule time to meet with your chair.

2. Select Members for Doctoral Committee.
 - a. Choose a member of Hawthorn's faculty to be your course instructor. This individual will be the chair of your committee.
 - b. The other two members should be subject specialists.
 - c. All three members may be chosen from Hawthorn's DSC faculty.
 - d. One committee member may be chosen from outside of the Hawthorn community. This person must be an expert in the subject of your dissertation and will be compensated for his/her input.

3. Dissertation Proposal Committee Meeting.
 - a. Planning for the meeting.
 - i. Once the research proposal has been approved by the chair organize a time for the doctoral committee to meet via conference call.
 - ii. You will facilitate this meeting. See agenda suggestions in this dissertation handbook.
 - b. Dissertation proposal committee meeting: At this meeting you get approval to begin your dissertation project.

4. Complete your Dissertation.
 - a. During this process stay in close contact with your chair by email and phone.



- b. This will help to prevent problems later on.
5. Submit Dissertation by uploading it to your student portal.
 - a. It is likely that there will be several revisions before it is ready to send to the entire committee.
6. Send To Doctoral Committee.
 - a. They will need at least 30 days for their responses.
7. Make any necessary changes. Resend to Doctoral Committee.
 - a. There may be substantial or minimal revisions to the dissertation.
8. Planning for Dissertation Presentation Meeting.
 - a. Set up conference call.
 - b. Create agenda for meeting.
9. Dissertation Presentation Meeting.
 - a. Meet with doctoral committee.
 - b. Approval of dissertation. There may or may not be some final revisions at this point.
 - c. All committee members sign approval form.



DOCTORAL DISSERTATION HANDBOOK

This document contains information that is specific to the Doctor of Science in Holistic Nutrition (DSC) program at Hawthorn University regarding the process and procedure for writing the doctoral dissertation. The dissertation is a requirement for graduation and the receipt of the doctoral degree and is also a permanent record of original research.

This handbook outlines procedures designed to assist you in preparing a proposal and dissertation of highest quality. It also provides relevant information on selecting a doctoral committee chair and committee members, and tips on preparing and successfully completing a defense.

GENERAL DEGREE REQUIREMENTS

The DSC degree is awarded to students who have completed all the course requirements and dissertation. All files must be complete and any financial obligations to the University must be cleared. Students are expected to complete the program in no less than three years and no more than ten years after first enrolling into the DSC program.

DSC 900, 901, and 902

Students in the DSC 900 series courses will be supervised by the dissertation committee and will progress in the following way:

Dissertation Seminar DSC 900:

This is the first of three courses leading to the completion of a dissertation. You are required to:

1. Write a preliminary draft of your dissertation proposal using the knowledge and skills gained in prior coursework. Upon approval of your initial proposal, you will advance to candidacy;
2. Choose your doctoral committee, and write up a Doctoral Committee Rationale. (See Appendix A);
3. Work with your chair to develop a research proposal;
4. Fill out a Dissertation Proposal Approval Form. (See Appendix B);



5. Upon acceptance by all members of your committee, begin to draft the first three chapters of your dissertation;
6. Once the chair has approved this document, meet with your doctoral committee via conference call for the dissertation approval meeting.

Objectives:

- Choose an appropriate dissertation committee and understand the role of the committee in the dissertation process; complete Doctoral Committee Rationale form and submit to chair.
- Analyze and critique past research in the dissertation topic;
- Write a concise introduction for the dissertation;
- Begin a comprehensive literature review;
- Develop a conceptual framework and the hypotheses for the proposed study;
- Determine the appropriate methods that should be used to guide the dissertation research including study design, sampling of participants, data collection and analysis.
- Identify the methodology of the preliminary draft of the dissertation proposal;
- Discuss the IRB approval process;
- Design and submit a dissertation proposal draft that reflects a large part of the research plan.
- Interact with your doctoral committee to obtain approval of the first three chapters of your doctoral dissertation.

Doctoral Dissertation DSC 901:

In this course you are required to:

1. Develop and refine the first three chapters of your accepted dissertation proposal as required by your committee;
2. Continue working closely with your committee chair and members while you proceed to write chapters four and five of your final dissertation research. This Doctoral Dissertation Handbook contains detailed information about the development of your dissertation proposal, format for the dissertation, additional objectives for the dissertation requirement, and the process of submission.



- Chapter One – Introduction
- Chapter Two – Problem Statement and Research Questions
- Chapter Three – Literature Review
- Chapter Four – Methodology
- Chapter Five – Data Analysis and Results

Objectives:

- Submit a comprehensive methodology section;
- Identify and attain a study population if necessary;
- Understand the various data collection tools;
- Identify independent and dependent variables;
- Do statistical analysis in quantitative studies;
- Analyze data;
- Present results;
- Demonstrate a significant amount of work towards completion of the dissertation including a literature review

Doctoral Dissertation DSC 902:

This is the final course in the twelve (12) credit series of dissertation courses. In this course you are required to:

1. Complete Chapter Six - Discussion and Conclusion;
2. Add the finishing touches and put your document together;
3. Present and defend your dissertation to your committee.

Objectives:

- Successfully complete the doctoral dissertation;
- Orally present and defend the dissertation to the doctoral committee;
- Receive approval of the dissertation;
- Receive readiness to graduate from doctoral committee and administration.

DOCTORAL COMMITTEE COMPOSITION AND SELECTION

The doctoral committee shall consist of one chair and two committee members. One of these individuals may be an external expert. Two members must from Hawthorn University. Either one can be the committee chair.



The chair will serve as a mentor through the entire doctoral dissertation phase of the program. During the 900 series courses, you are required to send all work to the chair for evaluation. It is expected that communication with the chair and committee will occur as often as needed but definitely as required and outlined in each course syllabus.

All doctoral committee members must have an earned Ph.D. or other terminal degree in the area being studied or an allied field. Additionally there may be no personal or organizational conflicts of interest between you and any member of your committee.

One committee member may be from outside Hawthorn University. This person will be chosen because they have specific expertise in your research area. Any outside expert who serves on a doctoral committee will receive a stipend totaling \$400 for his/her contribution when you have successfully defended your dissertation.

The following criteria must be met by dissertation committee members:

1. The chair of the committee must hold an earned Ph.D. or other terminal degree from an appropriately accredited institution;
2. The academic background of the members must be related to your field of study;
3. All committee members shall be approved by the director of doctoral studies.

DOCTORAL COMMITTEE RATIONALE

DSC 900 requires candidates to fill out and submit the Doctoral Committee Rationale Form to the committee chair for approval. Information and samples appear in Appendix A of this document.

REPLACEMENT OF COMMITTEE MEMBERS

Typically doctoral committee members remain the same during the dissertation project. However, if it becomes necessary to replace a member, the change must be discussed with the chair and the director of doctoral studies.



STUDENT RESPONSIBILITIES

In consultation with the chair you are expected to:

- Choose the members of the doctoral committee;
- Request changes in committee membership if necessary;
- Schedule committee meetings;
- Design and carry out the dissertation project with the advice and consent of the committee;
- Design and produce a dissertation of the highest academic quality that respects the educational process, values, and criteria for excellence of Hawthorn University;
- Facilitate the committee by submitting information and dissertation drafts in a timely fashion and working within set time frames as detailed in each course syllabus;
- Communicate regularly with the chair and committee members;
- Submit all required forms to the chair and/or committee;
- Meet all graduation requirements;

COMMITTEE RESPONSIBILITIES

Doctoral committee members have specific responsibilities and are expected to:

- Support and guide you through the entire dissertation process;
- Be open to divergent opinions and to evaluate them based upon what will promote your learning objectives;
- Manage their own roles and perform them with the same high standards that are expected of you;
- Make specific recommendations to you regarding your dissertation project;
- Return dissertation materials to you in a timely fashion;
- Share in the responsibility of making the committee function effectively;
- Insure that you produce your best work and that it is of high academic quality;
- Attend and participate in the proposal and completed dissertation defense;
- Serve on the Institutional Review Board for your dissertation.

DOCTORAL COMMITTEE MEETINGS

The doctoral committee will meet twice. The first meeting will be to refine and to

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updated 10/21/13

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approve the dissertation proposal. The second meeting will be the oral defense, where you will discuss and defend your dissertation topic, what you learned, what more there might be to explore, and answer questions posed by your committee.

You are required to present your project to the doctoral committee at the doctoral dissertation conference, either in person or via an electronically facilitated meeting.

DISSERTATION APPROVAL MEETING

You will meet with your committee while completing DSC 900. At this meeting you will present the first three chapters of your dissertation (Introduction, Problem Statement and Research Dissertation, and Literature Review) for approval. At this time, your committee will help you to refine any areas that need improvement and offer specific suggestions. Once approved, your topic and direction is set. This protects you in case someone on your committee later wants you to pursue a different direction.

FINAL DEFENSE

The purpose of the oral defense is to demonstrate that:

1. the dissertation meets the standards for original research;
2. the ethics and standards of the University have been met;
3. the candidate has mastery of the research and methodology;
4. the candidate understands the relationship between his/her work and the broader field.

The expected result of this meeting is that you will be recommended for graduation. All committee members will sign the final dissertation form. At this time, the committee may also require revisions to the dissertation before approval for graduation can be given.

Once revisions have been made and all committee members have signed the form, the dissertation will be sent to the committee for final review.

PLANNING FOR THE MEETINGS

The following are the criteria for planning meetings:



- Prepare a presentation of the dissertation
- Make arrangements with Hawthorn administration to record the meeting. This insures a complete and accurate record of the proceedings for the review following the meeting, for review by any member who may be unable to attend due to an emergency, or for review by the chair, chief academic officer, or director of doctoral studies if verification should ever be necessary.

EVALUATION OF THE DISSERTATION

Criteria used in evaluation of the dissertation will include assessments of the following:

- Topic is clinically relevant to nutrition and provides an original and scholarly contribution to the field;
- Has a practical application and can be placed in the broader context of social, political, health, environmental, or other issues of interest;
- Information is presented accurately and well sourced;
- The concepts are arranged logically;
- The report flows smoothly from one idea to the next;
- The dissertation holds focus and stays on topic;
- Concepts are clearly defined and understandable;
- The report is free of grammatical or spelling errors;
- The writing is concise;
- All sources are cited. (Plagiarism is a serious offense, so cite heavily).

HAWTHORN WEBINAR PRESENTATION

You are required to develop a 30-50 minute audiovisual presentation of your dissertation. You may present your work in a webinar for Hawthorn DSC students. Truly to learn is to teach. Doing so would provide you with the ability to teach and share your new found knowledge with the Hawthorn community. Depending on scheduling availability, this webinar may occur after you have already graduated.

Be sure to follow the instructions in the DSC 902 syllabus regarding the scheduling of our doctoral dissertation defense. All members of the dissertation committee must attend the defense. If other members of Hawthorn wish to attend the defense, they must be pre-approved by the committee chair.



The outcome of the oral defense is decided by consensus of the committee. Only the members of the dissertation committee have the authority to decide if the candidate passes or fails.

ELEMENTS OF THE DISSERTATION PROCESS

A doctoral degree is a research degree. Hawthorn University requires that each doctoral student complete a dissertation which makes a contribution to the knowledge base in the field of nutrition. It demonstrates to others in the field, and to the larger community, that you have achieved excellence in scholarship and a proficiency in your field and made an original scholarly contribution to the literature.

Original research is defined as:

- something new that contributes to the body of current knowledge;
- systematic investigation including the independent collection and analysis of data through surveys or other instruments;
- original in approach, and/or interpretation of the findings;
- leading to the development of new theories or accepted facts;
- including all the methodology, results, interpretation with a discussion and conclusion;
- something that fills a “gap” in current research or expands a theory;
- Provides possible implications or areas for further investigation and study.

Writing a dissertation allows you to branch out in your field(s) of interest and to express your originality and creativity. A successfully completed dissertation will provide new knowledge which can be used by the larger scholarly nutrition community. Writing a dissertation also helps to develop the skills of a modern scientist. Your work contributes to the field by providing new knowledge or looking at current knowledge in a new way.

PLANNING FOR THE MEETINGS

You are expected to:

- Acquire a coherent and sophisticated body of knowledge in the field of nutrition and study an area of specialty in the field by undertaking new learning in the doctoral program and by building upon knowledge and skill



brought forward from previous academic, professional, and experiential activity.

- Present evidence of the ability to formulate research questions, to develop hypotheses, to assemble data, and to weigh evidence.
- Display clarity and sophistication in written and oral presentations characterized by logical coherence and consistency, by the proper use of evidence and citations, and by the development of your unique point of view.
- Demonstrate that your dissertation has a practical application that may be placed in the broader context of social, political, health, environmental, or other issues of interest.

FORMULATING THE DISSERTATION

The research dissertation allows you to expand from the standard curriculum to demonstrate learning and knowledge in a particular area of your own interest. In a dissertation you seek to answer specific questions or gain insights into problem that are of concern. You may find gaps in the research that can be filled as a result of the outcomes of your study. You gather information and synthesize what you have learned in a clear, structured paper.

A dissertation adds to the required learning courses in the DSC program and may take many forms as long as it is rigorous, well-formulated, and well adapted to the nature of the research topic and questions. The nature of the research may vary according to the intended career path of the candidate. It may also address larger ideas about our culture in general and demonstrates your grounding in the scholarship of the field of nutrition. Regardless of the nature of the research, the successful dissertation research project should add meaningful information to the established body of knowledge surrounding the topic. It is expected that all dissertations will make some contribution to collective knowledge and theory in the field of nutrition.

Writing a dissertation gives you the opportunity to become an “expert” in one area of the field of nutrition. In order to do this, you will need to do extensive search of the current literature in your particular area of interest. To do a literature search, you can look at books, spend time in libraries, and use online materials.

Hawthorn’s online database EBSCO host offers current literature and studies in



peer-reviewed journals in nutrition and should be used extensively throughout the research process. Another source that can be of great assistance is the National Institutes of Health database (PubMed) which holds current peer-reviewed literature abstracts and articles. Pubmed and can be accessed at:

<http://www.ncbi.nlm.nih.gov/entrez/query.fcgi?DB=pubmed> . Interviewing experts, listening to audios, attending conferences and workshops are also ways to gather information. Nutrition is a multi-disciplinary field, so dissertation research and topics may lead into tangential areas of study outside of the specific field of nutrition.

CHOOSING A TOPIC

Students generally find that the choice of a topic is the most difficult part of the dissertation process. It's important to choose a topic that holds your interest and curiosity. Ideally, a dissertation should be the logical culmination of the courses taken at Hawthorn. Students usually choose a topic prior to beginning the dissertation seminar. It is recommended that you choose a topic that is not too broad. A successful dissertation topic must involve a substantial element of theory, not just a review of current practices or an evaluation or evaluations of prior studies.

It may be helpful for you to write up specific questions or review a problem area that is of interest to them. For example:

- What does the scientific research demonstrate about the theory of balancing pH? How important is pH balance to long-term health and well-being? What does the research really demonstrate?
- Which foods and herbs do the best job at helping remove toxins (or a specific toxin) from the human body?
- How can I implement a nutritious school lunch program in my child's school? What might be the benefits? What might be the stumbling blocks for implementation? What research has been done in this area and how can it be improved?
- What would be the most effective way to teach nutrition to teenagers? (Or auto-mechanics, or cardiac patients, etc.) What types of learning tools and materials would I create or use? Has this type of initiative ever been done before? If so, what were the researcher's findings?



- Do people who eat organically grown food have fewer hospitalizations and take fewer medications than people who eat a standard American diet?
- What does the scientific research indicate about the use of Coenzyme Q10 in cardiovascular health? What is known and what remains controversial?
- What is known about the relationship between soil biology and human health?
- What role does B12 insufficiency play in childhood asthma?

One mistake that people often make is that they choose a topic that is much too broad to fit into one paper or even one lifetime. Often a dissertation concludes with even more questions or problems requiring additional research. As such, additional papers for publication may result from the conclusions drawn in the dissertation.

Once you have chosen a topic, it should be discussed with the chair. The chair can offer suggestions for clarity, or may be able to offer resources and materials that will be of help in the process.

DISSERTATION PROPOSAL

The Dissertation Proposal developed in DSC 900 (Dissertation Seminar) will help you design and carry out the research necessary to create the dissertation. As the Dissertation Proposal is developed, you should become familiar with the approaches, methods, and critical questions asked by researchers in the particular field(s) of study being investigated.

Once a topic has been discussed with the chair, a formal proposal for the dissertation is presented to and approved by the chair and the dissertation committee before the actual work is done. (See Dissertation Proposal and Acceptance Form in Appendix B)

PREPARING THE DISSERTATION PROPOSAL

The Dissertation Proposal includes all of the following elements.

Timeline and Goals:

Provide a short statement about the timeline and goals for the dissertation project.



- **PROBLEM STATEMENT AND RESEARCH QUESTIONS:** A problem statement provides a one to three sentence statement about the dissertation topic. In it a question is posed about a theoretical idea and how it is proposed to be tackled. It provides not only the topic, but the direction or opinion about the topic. It expresses an unresolved problem, a place where there is a gap in the research about a specific topic, idea, therapy, or a controversy about an issue. It also includes a statement about a plan to expand upon what is known to help clarify the issue.
- **OUTLINE:** A description of the topic studied, questions and/or problem, methodology, and final deliverables for the paper and an outline of the presentation.
- **PRELIMINARY LITERATURE REVIEW:** This literature review is an initial listing and brief review of the scientifically based resources that will be used to gather data for the study. Discussion of the literature review is available in the Reading Materials for DSC 900. Use APA 6.0 formatting style.

DISSERTATION PROPOSAL APPROVAL

When the chair approves the proposal you must send the document to the rest of the committee for their review and approval. They will have approximately fourteen (14) days to complete their review.

The first doctoral committee meeting should be scheduled about two weeks after the committee receives the dissertation proposal. At this time, you should set up a meeting with your committee via Skype and webcam to review and discuss refinement of the first three chapters of the dissertation.

After the defense of the proposal, the committee will reach one of the following conclusions:

1. Approved the proposal (with minor adjustments only);
2. Approved but with major adjustments;
3. Approved only after significant restructuring. If this occurs, the proposal must be rewritten and defended a second time;
4. Not approved. If this occurs, you will have to repeat DSC 900 and defend the proposal a second time.



ADVANCEMENT TO CANDIDACY

Once you have completed all coursework and the final exam, you are considered to be a “Doctoral Candidate”.

All DSC students must follow the standard academic protocols as follows:

1. Only when you receive confirmation that you have advanced to candidacy may you refer to themselves as “doctoral candidates”.
2. No DSC student may ever use the initials D.Sc. after their name until the degree has been conferred.
3. No DSC student in candidacy status may refer to themselves as “Dr.” or “Doctor”.
4. In preparing resumes students who have not yet been admitted to candidacy should refer to themselves as DSC students in Holistic Nutrition, Hawthorn University, and the expected date of completion 20XX.
5. Students who have achieved candidacy status may refer to themselves as a Ds.C. Candidate in Holistic Nutrition, Hawthorn University, and expected date of completion 20XX. At this time students may put “Doctoral Candidate” or “Doctoral Cand.” on a business card, website, letterhead, etc.
6. Once you are admitted to candidacy, you may refer to yourself as “ABD” (all but dissertation).

INSTITUTIONAL REVIEW BOARD (IRB)

IRB approval is required for all research involving human subjects. This is required by Federal law and regulations. You must submit an application (located in Appendix C and on the student portal) to your committee chair and members summarizing the project and the human subject protection issue that it poses along with a description of the research, methodology, data collection procedure, and all relevant forms.

RESEARCH INVOLVING HUMAN SUBJECTS

All human subjects shall sign an Informed Consent Waiver, which shall first be approved by the doctoral committee. A sample of this is included in the Reading Materials for this course. **You must NOT collect any data before IRB approval is received.**



The IRB has the responsibility to determine if any potential risks and benefits are clearly written for potential subjects.

Hospitals and other institutions may require further approval by their own internal IRB committees.

For individuals such as children or those not competent to understand the benefits or risks involved in research, it is vital that we ensure the confidentiality of all subjects. Federal guidelines mandate that parental consent forms and assent forms be used for research involving minors.

RESEARCH INVOLVING ANIMALS

If animal studies are done, they must be approved by the Institutional Animal Care and Use Committee (IACUC).

DISSERTATION FORMATS

Hawthorn University accepts doctoral dissertations in several forms:

- Traditional Research Dissertation
- Creative/Artistic Project
- Social Action Project

Regardless of which format is used, the Dissertation Proposal must include a detailed discussion of the research methodology and the rationale for selection. Present this in a way that can be critically evaluated by other scholars in the field

TRADITIONAL RESEARCH DISSERTATION

A traditional research dissertation allows you to explore a specific area of interest. You will collect and analyze relevant data in the exploration of a specific empirical question, examine a theory or explore an area of scholarly interest. It must make an original contribution to the field and may not be only a scholarly review of the work of others. It demonstrates the ability for critical thought and exploration in the field of nutrition and/or allied fields. A dissertation allows you the opportunity to add to a growing field of scholarly research.

The dissertation must demonstrate knowledge and excellence in the field of study in a scholarly fashion, using appropriate methodology. Research may be



qualitative, quantitative, heuristic, experimental, naturalistic, phenomenological, laboratory-based, field-based, or some combination of these approaches.

A dissertation typically includes information about the history of the topic and various theories that have been proposed.

SOCIAL ACTION PROJECT DISSERTATION

Doing a dissertation that involves a social action may be something that is of interest to you. For example, you could work with a school, preschool, nursing home, doctor's office, etc. to try to make constructive changes in the foods that they offer; or you could organize local farmers and help develop a local foods campaign, or increase community awareness about Genetically Engineered food. If a Social Action Project is chosen, it must explore something new and you must document your experience and the results in great depth.

A Social Action Project should be a unique contribution to our understanding of the social implications for change, structures, and actions on our nutrition and/or health culture. You will develop the project and assess the impact. You must actually perform the Social Action Project and fully evaluate the findings. This must be well-documented. This could be qualitative, quantitative, or another form of research that is required and must grow from current scientific research.

This type of project may lead to a newsletter, a handbook, a training manual, or some other concrete document. If so, the document must be tested in the field and evaluated by the users.

Some areas that may be chosen include:

- Social Action Advocacy
- Case Studies
- Evaluation Research

As a social researcher, the world between scholars and activists or community groups is bridged. This type of dissertation requires a contextual essay. (See below.)



ARTISTIC/CREATIVE PROJECT

An Artistic/Creative Dissertation Project will explore something new, demonstrate seriousness of purpose, and provide clear evidence of the contribution to the field of holistic nutrition education and research. This type of project must conclude with the outcomes and assessment of the project. The findings may be expressed as a book, or a play, or in some other relevant manner. An artistic/creative project must also contain a relevant literature review, methodology, and data analysis. It is strongly advised that this project be discussed with the chair of your doctoral committee before developing it.

This type of dissertation requires a contextual essay. (See below.) For example, you may choose to write a popular press book about a given topic. The contextual essay must show how the work relates to the relevant literature and theories in the field. For example, a book may document a research study; an example of a book like this is *The China Study* by Colin Campbell. He did a scientific research study and then wrote a popular press book about the study.

CONTEXTUAL ESSAY

A Social Action Project Dissertation or an Artistic/Creative Dissertation will require a Contextual Essay. This document will describe the social background and scholarly research that goes into the intended outcomes, e.g., a project or book. It must include the development of the project, the institution or population being studied, and the scholarly context for this project. Depending on the topic, documentation may also include the methodology, history, and the critical, clinical, and theoretical implications. This essay addresses both the scholarly community, and other aspects of the work that have not already included in the dissertation project.

Included in this essay:

- This work contains the ideas and vision. You will want it to help be an effective tool for a researcher or community group to aid in the organization or creation of change.
- Historical and cultural context
- The contextual essay will contain the theoretical background of the work. It might contain information about the history, politics, other similar works,



epidemiology, and strategies for social change, cultural issues, communication, psychology and more.

- Learning resource review and commentary about how this helps shape social action or book.
- What is the scholarly aspect and contribution that are expected?
- What was actually learned and what contribution was actually made?
- How does this project or book fit in the context of the literature review?
- What does the project or book contribute to the work of other contemporaries in the field?
- Finally, you need to analyze the project or book and its relationship to contemporary theories in the field.

RESEARCH DESIGN AND METHODOLOGY

An understanding of the types of research is essential in helping prepare for doing research. You must be knowledgeable about general research methods and also specific research methods that may characterize nutrition or additional field(s) of study. In order to evaluate research and to perform research, you will also need to have an understanding of statistical analysis.

At Hawthorn, we appreciate the contribution to science and community that is made in interdisciplinary research. We encourage you to explore the margins between the field of nutrition and other fields of knowledge.

Research design methods may include:

- Heuristic research
- Phenomenological research
- Hermeneutic research
- Quantitative research
- Qualitative research
- Case Studies
- Field studies
- Ethnographic studies
- Participant observation
- Social Action and Advocacy
- Evaluation research



Regardless of which methodology used, the Dissertation Proposal must include a detailed discussion of the research methodology and the rationale for selection. Present this in a way that they can be critically evaluated by other scholars in the field.

DISSERTATION RESOURCE MATERIALS

To formulate a Dissertation Statement and topic, begin to collect and order books, online materials, audios, and other resource materials. Also refer to the Hawthorn Citation Guidelines on your student portal.

For the dissertation, spend time in libraries reading original journals. Many states have online medical libraries with full-text journal articles and textbooks. When reading research it is important to read the entire article rather than relying on abstracts. Often abstracts do not convey complete findings.

ENDNOTE SOFTWARE

You are required to purchase Endnote Software. Endnote will help you organize your reference materials and allows for almost instant bibliographic formatting. Basically you enter your bibliographic materials in it or use it as an interface while downloading information from web-databases, CD's, and library databases. It can also maintain images, abstracts and other materials that have been gathered.

During the writing of the dissertation, put citations in from EndNote. When you are ready to print a bibliography it automatically formats itself. As changes are made, all it takes is one click to format a new bibliography. This software program will save many hours of work and frustration.

DISSERTATION WRITING RESOURCES

You will find that a list of books in your dissertation syllabi that may be useful resources in the development and writing of a dissertation. These books will help identify exactly which type of dissertation is to be chosen and will help in organizing ideas and references.

DISSERTATION FORMAT (SECTIONS OF A DISSERTATION)

The following list indicates the order of the dissertation. Format and contents for each section follows this list.

Doctoral Dissertation Handbook

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updated 10/21/13

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- A. Title Page
- B. Biographical Sketch
- C. Signature Page
- D. Dedication (Optional)
- E. Acknowledgements (Optional)
- F. Table of Contents
- G. List of Tables (if any)
- H. List of Figures or Illustrations (if any)
- I. Abstract
- J. Text
 - 1. Chapter One – Introduction
 - 2. Chapter Two – Problem Statement and Research Questions
 - 3. Chapter Three – Literature Review
 - 4. Chapter Four - Methodology
 - 5. Chapter Five – Data Analysis and Results
 - 6. Chapter Six – Discussion and Conclusion
- K. Appendix or Appendices (if needed)
- L. Bibliography
- M. Glossary (optional)
- N. Index (optional)

TITLE PAGE FORMAT

The title is written in all capital letters, centered within the left and right margins, double-spaced and ½ inch from the top of the page.

At the vertical and horizontal center of the margins and double-spaced type the following lines (all centered)

- Line 1: A Dissertation
- Line 2: Presented to the Faculty
- Line 3: of Hawthorn University
- Line 4: In Partial Fulfillment of the Requirements for the Degree of
- Line 5: Doctor of Science in Holistic Nutrition

Approximately 1 ½ inches from the bottom of the page (double spaced) insert:

- Line 1: by
- Line 2: Your Name



Line 3: Month and Year of degree conferral (no comma between month and year) *

- This is not the date that the dissertation is submitted but the expected date that the degree will be received. If necessary, this can be changed.

The title of the dissertation must be exactly the same where ever it appears: title page, abstract, Dissertation Approval Form.

SIGNATURE PAGE

You should prepare this page prior to the dissertation defense. If you wish to publish your work in a dissertation database, the page must be inserted in the document.

The following page illustrates layout for the Signature Page.



**HAWTHORN UNIVERSITY
WHITETHORN, CALIFORNIA 95589**

(NAME OF STUDY – ALL CAPS)

This dissertation written by:

(Name of Student)

Submitted to the Faculty of Hawthorn University in partial fulfillment of the requirements for the degree of

**DOCTOR OF SCIENCE IN
HOLISTIC NUTRITION**

Approved by:

Dr. Dorothy M. Germano, President/Chief Academic Officer

Dr. Janet Ludwig, Director of Doctoral Studies

Date:

We, the undersigned, certify that we have read this dissertation and approve it as adequate in scope and quality for the Doctor of Science

Dissertation Committee:

(Name of Chair)

(Name of Member)

(Name of Member)



BIOGRAPHICAL SKETCH

Written in the third person, the biographical sketch should contain your educational background and other pertinent facts. The heading must be centered and in caps (BIOGRAPHICAL SKETCH) at the top of the page. Font, margins, and spacing must match the text of the document. This page is numbered at the bottom centered in lowercase Roman numbers.

DEDICATION

This is optional. No heading is to be used. The page is numbered at the bottom centered in lowercase Roman numerals.

ACKNOWLEDGEMENTS

This is optional. Acknowledgements may be written in the first person. The heading is ACKNOWLEDGEMENTS, centered, with page numbering at the bottom in lowercase Roman numerals.

TABLE OF CONTENTS

Center the heading TABLE OF CONTENTS in all capital letters. Page numbers must be listed for each chapter. Page numbering should be centered at the bottom of each page in lowercase Roman numerals.

LIST OF FIGURES, TABLES, OR ILLUSTRATIONS

For each separate page, the title must be centered and in capital letters. Each page should be fashioned like the Table of Contents and include the entire figure caption or table heading.

ABSTRACT

An abstract is a synopsis of the dissertation in 300-350 words. Abstracts are used by researchers to quickly review an article and to decide whether it is relevant to their work and whether or not they want to read the entire article. An abstract should accurately reflect and highlight the substance of the research so that it can stand alone as an independent statement and description of the dissertation. It should highlight the main reason for the study and describe the content, scope, and limitations of the study. The more accurate and informative an abstract is, the more useful it will be.



An abstract should concisely and accurately summarize the dissertation. Good abstracts are specific and include directly significant details. If information is given in the title of the article, it need not be repeated in the content. Abstracts submitted to University Microfilm International must not exceed 350 words. A typical abstract is about 300 words.

Good abstracts are written as one coherent paragraph. Use complete sentences with ideas that flow rather than being disjointed. The intention is to get information to be understood so write in language that is easy to understand. Abstracts are typically written in the same language as the dissertation. They typically are not written in first person. If a term is used that is unusual, it must be defined. If acronyms are used, first write out the entire phrase and put the acronym in parentheses. After that the acronym may be used in place of the entire phrase. Keep tenses consistent and use active verbs. Active verbs are direct-- "Children demonstrated wild behavior after eating foods that contained artificial colors" rather than "Children were wild after they had been eating foods that contained artificial colors."

The abstract should state the problem, describe the methods and procedures and address the conclusion drawn from the research. Abstracts should be double spaced and in the same font as the dissertation. This page(s) are not to be numbered.

The heading for the dissertation abstract is as follows:

TITLE OF DISSERTATION

Student's Name, Ds.C.

Hawthorn University 20__ (year of conferral)

TEXT

Begin the text of the dissertation with Arabic numbers. Page numbers should be centered at the bottom of each page. Each new chapter should begin on its own page and following for format below:



C CHAPTER ONE – INTRODUCTION

This chapter will introduce and explain the reason the particular topic was chosen.

CHAPTER TWO – PROBLEM STATEMENT & RESEARCH QUESTION(S)

You should state the issue(s) and identify the specific problem that is the subject of the dissertation. The process leading to the choice of the topic is to be explained. This chapter should contain adequate references to the literature to justify the selection.

CHAPTER THREE – LITERATURE REVIEW

All relevant literature should be used to develop any theoretical background needed to conduct the research. You should describe the current state of the research related to your issue or problem and introduce formal hypotheses. These hypotheses should be discussed in this chapter.

CHAPTER FOUR – METHODOLOGY

Any instruments or tools used to conduct the research are to be described and justified in this chapter. If statistical tests are used, they should be described and their use should be justified.

CHAPTER FIVE – DATA ANALYSIS & PRESENTATION OF RESULTS

You should draw conclusions regarding your hypotheses or research questions. Complete results must be described and support or reject the hypotheses.

CHAPTER SIX – DISCUSSION, CONCLUSION, & APPLICATION OF THE RESEARCH

This final chapter should discuss the findings in relation to the research questions and explain the implication of the research. Suggestions for further research should be included.

APPENDICES

Peripheral materials are to be included here. Examples include

- survey instruments,
- additional data,
- computer printouts,



- case histories,
- educational materials,
- sample release form,
- other relevant materials.

Appendix A
(Name)

Appendix B
(Name)

BIBLIOGRAPHY

Hawthorn University requires that you use the APA.6 style in the formatting of your dissertation and bibliography.

Bibliographies should be single-spaced within each entry and double-spaced between each entry. Page numbers are to be centered at the bottom of the page.

You are responsible for acknowledging any information or materials of others in their work. Plagiarism is strictly prohibited.

ALL works cited in the dissertation must be included in the bibliography.

LENGTH OF DISSERTATION

While there is not a specific length required for a dissertation, it is important that you cover the concepts well and to do a thorough literature search. A dissertation of 100-300 pages would not be unreasonable to expect.

SUBMITTING THE DISSERTATION

Before the dissertation is submitted, you should make sure that you have achieved the following:

- Presented the materials in a clear and concise format;
- Double checked grammar and spelling;
- Gathered extensive information from a variety of sources;
- Report flows smoothly from one idea to another;
- Included any developed visual aids or an educational handout for the project;



- Completed and included all the elements in each chapter;
- Submitted the dissertation double-spaced and in 12 point type in a font that is easy to read.

Follow the instructions in the course syllabi to ensure that all assignments have been completed.

CONTINUATION COURSES

Any student who cannot complete the dissertation with the last DSC 900 series course, DSC 902, must request a continuation of the course. This will cost the student ½ the price of the DSC 902 course. You may request as many continuation courses as necessary to complete your dissertation. You must maintain matriculation and be actively enrolled at the time your dissertation is completed in order to be eligible for graduation

TIME LIMITATION

It is expected that all DSC students will make steady and continued progress through the program. All requirements for graduation must be completed no less than three (3) years and no more than ten (10) years of enrollment.

DSC DISSERTATION CHECKLIST

FORMAT

- All pages 8 ½ x 11 inches, one side only
- Consistent text, either 11 or 12 point font
- Margins at least 1 ½ inches on the left and at least one inch on all other sides
- Double-spaced (except Bibliography, Table of Contents, List of Tables, List of Figures)
- No “orphans”
- Avoid “widows”

PRELIMINARY PAGES

- Small Roman numerals used at the bottom of the paged, centered, with at least ½ inch clearance from bottom of page
- Arrange in proper order



ABSTRACT

- Double-spaced
- Same font as dissertation
- No more than 350 words
- Pages not numbered

TEXT

- Each chapter begins on a new page
- Sections within chapters do not begin on new pages
- Page numbers at bottom of page, centered, with at least ½ inch clearance
- All pages numbered consecutively

FIGURES, TABLES, PHOTOGRAPHS

- Table headings should be at the top of the tables
- Figures captions should be placed at the bottom of the figures
- All lettering clear and legible.



APPENDIX A

Doctoral Committee Rationale

- Name
- Degree(s) and colleges/universities attended
- Honors, board certifications, etc.
- Curriculum Vitae
- Contact information
- Rationale statement:
 - Reasons for choosing this person as a committee member
 - Support to be provided
- Signature of approval from your doctoral chairperson

Rational Statement Samples:

A. My rationale for choosing Dr. Gael P. is based on proximity of interests in nutrition and environmental sciences. Gael holds the CCN board certification in clinical nutrition that I also hold. She also shares my interest in functional medicine. I was pleased to discover that she received her degree from a distance learning school so has experience with a similar model. I had been looking for an environmentalist to sit on my committee to assist with my dissertation. Gael and I attend the same professional meetings twice each year which gives us the opportunity to spend direct time together.

I expect Dr. Gael P. to support my program in several ways:

- ◆ To facilitate and encourage me through the dissertation process;
- ◆ To help shape and refine my research concept;
- ◆ To act as a resource in the field of clinical nutrition and environmental sciences;
- ◆ To help shape and evaluate my coursework and areas of proficiency in nutrition and environmental sciences.



B. I have heard Dr. Michael Q. speak at several conferences on nutritional medicine. He is well-recognized for his writing and research and bridges the worlds of allopathic and functional medicine. His passion for nutrition and nutritional medicine and interest in my work make him an ideal member of my committee.

In addition, Michael and I became colleagues because we have similar interests. We have developed not only a good professional relationship but I consider him to be a friend. He has excellent critical thinking and research skills. He gives me sound guidance and is someone that I naturally turn to for professional advice.

I expect Dr. Michael Q. to help me in the following areas:

- ◆ The research and design of my dissertation. He has quite a bit of expertise in research methodology.
- ◆ To learn to read research more critically
- ◆ To evaluate several of my courses as to the content and my demonstration of proficiency.



APPENDIX B

Doctoral Dissertation Proposal and Approval Form

Submit this form along with your Dissertation Proposal to your committee chair for approval. Once the chair has approved it, send it to your other committee members for approval.

The purpose of writing a doctoral dissertation proposal is to demonstrate that:

- Your topic addresses a significant issue related to your studies in holistic nutrition;
- You are able to identify a variety of resources to support your research;
- You are able to do a thorough and comprehensive literature review;
- Your research will make a contribution to the field;
- Ethical issues have been considered and addressed, and;
- The topic matches your interests and capabilities, and is appropriate.

Student's Name: _____

Address: _____

City, State, Zip Code: _____

Phone: _____

Email: _____

Dissertation Title: _____

Instructor: _____

Date Submitted by Email: _____



I agree that the dissertation described herein is my original work and of my own design, that I have consulted with my instructor on the topic and methodology selected and that I will personally complete all of the work for this project.

Student's Signature: _____ Date: _____

DISSERTATION PROPOSAL (Attach additional pages as needed)

1. DISSERTATION STATEMENT / RESEARCH STATEMENT

State the issue(s) and identify the specific problem that is the subject of the dissertation. The process leading to the choice of the topic is to be explained.

A dissertation statement provides a one to three sentence statement about the dissertation topic. It expresses an unresolved problem, a place where there is a gap in the research about a specific topic, idea, therapy, or a controversy about an issue. It also includes a statement about a plan to expand upon what is known to help clarify the issue.

2. OUTLINE

Create an outline of your goals, methodology, and final deliverables for your research paper and an outline for your presentation.

Include a description of the topic studies, questions and/or problem, methodology, and expected outcomes. Also include a brief outline of your presentation.

Refer to the online document "Creating a Dissertation Outline." Additional information and sample outlines can be found through a search on the Internet.

3. LEARNING RESOURCES

Provide an initial listing of the possible scientifically based resources that will be used to gather data for the study. This is a preliminary literature review. (The list of resources must follow APA style format.)

Students have the right to change resources based on availability and on the discovery of additional information that results from an intensive literature review and the direction of the research.



Scientific Journals/Articles:

Web-based Resources:

Books:

Other publications or sources:



4. TYPE OF RESEARCH PROJECT: (Choose one)

- Traditional Dissertation Research Project
- Social Action Project with Contextual Essay
- Creative Dissertation with Contextual Essay

5. TYPE OF RESEARCH STUDY:

Possible research types: Quantitative research, qualitative research, hermeneutic research, phenomenological research, case studies, field studies, ethnographic studies, participant observation, social action and advocacy, evaluation research, outcomes research

6. APPROVALS

Institutional Review Board (IRB)

Research that involves human subjects must have Hawthorn University IRB approval prior to the start of the project, for example: case studies or clinical trials. (Refer to the Dissertation Handbook for more details.)

The purpose of an IRB review is to assure that appropriate steps are taken to protect the rights and welfare of humans participating as subjects in a research study. To accomplish this purpose, IRBs review research protocols and related materials (e.g., informed consent documents for the protection of the rights and welfare of human subjects of research). The chief objectives of every IRB protocol review are to assess the ethics of the research and its methods, to promote fully informed and voluntary participation by prospective subjects who are themselves capable of making such choices (or, if that is not possible, informed permission given by a suitable proxy) and to maximize the safety of subjects once they are enrolled in the project.

An IRB approval is **NOT** needed when the research does not have a potential risk to participants. For example,

- Anticipated risk does not exceed those encountered in daily life;
- Responses to survey questions where the subjects' identities are thoroughly protected, made anonymous, and kept confidential.
- Research involving existing studies if the information is publicly available.
(This type of information must be cited in your document.)

You are encouraged to submit an IRB Approval Form regardless of the type of study you are doing to ensure that all ethical and legal obligations are met.



Note: If human subjects are used in your research, you must obtain a signed Informed Consent form from your participants and submit it to your instructor.

Instructor Approval:

Instructor: _____ Date: _____

Committee Chair: _____ Date: _____

Member: _____ Date: _____

Member: _____ Date: _____



APPENDIX C

INSTITUTIONAL REVIEW BOARD (IRB) APPROVAL FORM

| | | |
|---|--------------------------|----------------|
| Title of proposed project: | | |
| Researcher Information | | |
| | | |
| Researcher Name: _____ | | Date: _____ |
| Phone: _____ | E-mail: _____ | Program: _____ |
| Instructor Name: _____ | | |
| Instructor Phone: _____ | Instructor E-mail: _____ | |
| Facilities/location where project will be carried out: _____ | | |
| Is this submission part of an external grant proposal? Yes <input type="checkbox"/> No <input type="checkbox"/> | | |
| Signature of researcher: _____ | | |
| For student research projects: | | |
| By signing this form, I verify that I have reviewed this proposal for completeness and verified that it is in compliance with IRB regulations. | | |
| Signature of Instructor: _____ | | |
| Submission Instructions | | |

Submit your proposal along with this form to your instructor by e-mail or fax.
Applications are reviewed by the full committee. Approvals may take 1-4 weeks.

You will receive approval by email.



IRB Approval: To be completed by Institutional Review Board Committee prior to implementation of the study.

_____ Minimal risk where informed consent is recommended, but not required. Justification for waiver of informed consent for research with subjects under 18 years of age.

_____ Minimal risk where informed consent is REQUIRED.

_____ More than minimal risk where informed consent and a qualified scientist or medical doctor are required.

Instructor or supervising health professional:

Name: _____ Date: _____
Signature

Title: _____

IRB Committee:

President/Chief Academic Officer

Dorothy M. Germano, Ph.D. _____ Date: _____
Signature

Director of Doctoral Studies/Education Director:

Janet Ludwig, Ph.D. _____ Date: _____
Signature

Summary of Research Protocol

Please answer each section completely and as succinctly as possible. Please indicate N/A if the questions does not apply to your research.

1. Purpose of project and project background

Describe your research question or hypothesis, including why the question/hypothesis is important and how your research project will attempt to answer it.



| |
|--|
| |
|--|

2. Recruitment procedures and participant population(s)

Indicate the expected number of participants:

Provide a profile of your proposed population including demographics. Explain why you are targeting this specific population. Indicate whether anyone might be excluded from participating and explain why.

Please indicate whether any of your participants include people whose ability to give informed consent may be problematic (e.g., children, prisoners, mentally disabled, etc.)

How will you find, recruit, or identify potential subjects? How will you select, from the volunteers, the final group of participants?



| |
|--|
| |
|--|

Will you use recruitment flyers or other forms of media/communication solicit participants? Yes No

3. Methodology – Research Protocol

Describe your research methodology, e.g., provide detailed chronology of your research activities. How will your information or data generated and how will it be analyzed. In other words, how will you get your results?

4. Informed Consent Process

How and when will you explain the research project and the required elements of Informed Consent? Remember, you need to email your Sample Letter to Study Participants along with your proposal to your instructor.

Are any subjects under age 18? If so, how will you explain the study to them? Be sure to provide both parental consent and child assent forms with this application.

If you are requesting a Waiver of Signed Consent, explain why this is needed.



Outline alternative procedures for obtaining consent or providing research project information (e.g., information sheet, introduction screen for web survey).

5. Participants' debriefing or feedback

- If deception is involved in your research, participants should be debriefed about the nature of the study as soon as possible. For example, this is necessary in a double-blind study.
- All participants should be given the opportunity to request a copy of the results of the study/your final report. (This should be included in your Letter to Study Participants.)

6. Potential risks to the dignity, right, health or welfare of the human participants.

- Please be sure the risks listed here match the risks mentioned in your consent letter or information sheets.
- Please consider this very carefully.

List and explain potential risks to your participants. Risks may be both physical/psychological responses, such as strong emotional and/or negative reactions to research questions.

List risks related to confidentiality of data.



7. Study Benefits

Discuss any potential individual and/or societal benefits. Note: often there is no direct benefit for the participants, but rather the study contributes to the literature and/or future research. If this is the case, please state this and explain.

8. Checklist

Be sure to include the following, as applicable:

- Recruitment flier(s) or advertisements
- survey(s), questionnaires, or interview questions
- Consent and/or child assent form(s) or information

NOTE:

Thoroughness of this application will impact the timeliness of the review process.