

WINGATE UNIVERSITY
SCHOOL OF GRADUATE & CONTINUING EDUCATION

Doctoral Capstone Project Handbook



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ACKNOWLEDGEMENTS

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Cynthia Compton	Assistant Professor Capstone Coordinator, Ed.D Cohort III
Bill Stegall	Assistant Professor
Rick Watkins	Assistant Professor
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CAPSTONE GUIDE
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CAPSTONE PROJECT CHECKLIST

- Student* ♦ Student completes all required coursework
- Student* ♦ Portfolio submitted (prior to written exam)
- Wingate ♦ Written and Oral Exams Scheduled
- Student* ♦ Written Exam completed
- Student* ♦ Oral Exam completed
Includes follow up on portfolio and dispositions if applicable
- Student* ♦ Apply for Ed.S after successful completion of written & oral exam
 - Application for Capstone Experience & Candidacy
 - Petition for Ed.S
 - Complete Form A Application for North Carolina License and \$55 check made out to NCDPI Licensure Division
 - Form V Verification by Institution
 - Provide copy of current professional license
- Student* ♦ Student completes capstone courses during capstone process
- Wingate ♦ Request for Assistance distributed
Reviewed by committee
for Assistance/topics assigned to student
- Wingate ♦ Committee assigned to each student
- Student* ♦ Student meets with capstone committee
- Student* ♦ Memo of Understanding completed
- Student* ♦ Scope of Work submitted to committee chair (advisor)
- Student* ♦ Student begins research/writing
 - Guidance for Developing Research
 - Guidance for Protection (HIPAA)
 - Research Review Board Checklist
 - Research Review Board Application

- Student* ♦ Meet with advisor
Capstone Format

- Student* ♦ Schedule defense with committee (request for defense
submitted 10 days in advance)
Complete a Defense Schedule Form

- Student* ♦ Electronic copies sent to committee 10 days prior to defense

- Student* ♦ Prepare for defense
(contact advisor for defense format)
Defense Copy Content Checklist

- Student* ♦ Defense

- Student* ♦ Make changes as necessary and submit to advisor

- Wingate ♦ Final review of capstone

- Wingate ♦ Committee approves/disapproves capstone and recommends

- Student* ♦ Student prints Capstone 100% cotton resume' paper E1 pure white
3 copies (include copy of capstone on jump drive)

- Wingate ♦ Document bound (3 copies) for publication

- Student* ♦ Completes application for North Carolina (including check to
N.C. Department of Public Instruction

- Wingate ♦ Licensure Officer submits application for North Carolina license
(Doctorate) to N.C. Department of Public Instruction

- Student* ♦ Completes application for graduation (diploma and cap/gown).
Student writes check to Wingate University registrar

- Wingate ♦ Wingate University Office of Registrar processes application for
graduation for issue of diploma

- Wingate ♦ Wingate University sets date for diploma conferral.

Doctoral Capstone Guide

I. Completion of exam

At the close of the second year of study, Ed.D. candidates must sit for a series of comprehensive exams covering the standards addressed in each course. In general, the questions will be generated and assessed by the faculty member who served to instruct the course. The exams will be timed and take place on the Graduate School Campus. In addition, candidates will present their Leadership Portfolio during the oral portion of the comprehensive examinations. Once the examinations are deemed by the faculty and Director to be acceptable, the candidate may then enter the capstone project year.

II. Approval to continue

Once the comprehensive examinations are complete, a student may receive approval to continue into the Capstone year or may apply for the Ed.S. An *Application for Capstone Experience* should be submitted to the Director of Graduate Studies during the comprehensive examination process. The Capstone courses cannot be entered until the process is complete.

III. Entering the capstone year

Once a Wingate University Ed.D. candidate becomes eligible to enter the Capstone Project process, the candidate can continue into the third year of study. During the following three semesters, each candidate will enroll in a series of research courses and a doctoral capstone seminar. The Capstone Seminars will meet a minimum of twice per semester, and will be directed, in general, by the Capstone Director. During each semester, the Capstone Seminars will aid the candidates in focusing their research, completing key sections of the Capstone Project, and collaborating with their professional writing group, where applicable.

IV. Continuous enrollment

Once a candidate has been approved to continue into the Capstone Year, he/she must remain continuously enrolled in the Capstone Seminar (3 hours). This enrollment ensures that the candidate has full access to materials and faculty expertise.

- a. Candidates are expected to complete and defend their Capstone Project within the allotted three semesters. However, should a candidate require more time, continuous enrollment in 3 hours of Capstone Seminar is necessary.

- b. If a candidate continues his/her research past the 3 semesters allotted and does not enroll in 3 hours of Capstone Seminar, the candidate will not have access to Wingate electronic resources or faculty expertise during that time period.
- c. Candidates must complete their Ed.D Doctoral degree within 5 years of initial program enrollment. This ensures that a candidate's experiences and research are timely and relevant.
- d. If a Capstone Project remains undefended after the given Capstone Year, candidate must apply for *Extended Capstone Project Status*. The Director of Graduate Studies and the Capstone Director will monitor the status of any project in this situation. The School reserves the right to reassign or realign any project which enters an extended status to ensure that the project and data remain timely and relevant.

V. Capstone Project

a. Purpose

While the aim of many doctoral programs in education is to prepare scholars, the goal of the Wingate University Ed.D program is to prepare Practitioner-Scholars. This purpose is unique to the kind of program offered at Wingate. Practitioner-Scholars are expected to contribute to the field in which they work by developing and disseminating knowledge within the framework of their experience. The Capstone project is an opportunity to provide prospective Practitioner-Scholars with a supervised project that demonstrates the knowledge, skills and understandings candidates have acquired in the doctoral course of study. Ed.D candidates are expected to work within the areas identified by Local Education Agencies (LEAs) or community organizations, applying what they have learned in order to address an issue or problem. The written work should reflect the purpose of the program by focusing on the intended benefit to practitioners and, ultimately, the public.

Like the dissertation, the Capstone Project should be a demonstration of the candidate's ability to perform disciplined inquiry in accordance with traditional standards for doctoral performance. The standards for performance set forth here should prepare candidates for the work of a leader in his or her field of practice. The Capstone Project should adhere to the intellectual values of doctoral education and "build capacities and dispositions for critical thinking, disciplined inquiry, and argumentation; develop attitudes supporting reflection and intellectual curiosity; and develop advanced competence for written and oral exposition" (Archibald, 2008, p.710).

b. Process for selection

Upon entering the Capstone year, candidates will begin the research courses offered in the program and will also enroll in the Capstone Seminar. Once a

candidate has entered this phase, she/he will consult with the Director of Graduate Education and the Faculty Capstone Advisor to select a project. Projects are generally provided by local institutions that request research assistance in an area.

c. Projects

Projects are generated each semester at the request of the Director of Graduate Education. Local Education Agencies, non-profit community agencies and local higher education institutions, among others, respond to the director's request, and a list is generated.

d. For illustrative purposes only, the following indicate the variety of Capstone topics:

- i. Design a teacher pay for performance plan for the state.
- ii. Evaluate a school district's grading policy and make recommendations or an alternative student performance appraisal system
- iii. Complete a case study of education alignment between NC's K-12 schools and its two-year community college system;
- iv. Explore and evaluate sustainability of Freshmen Academies in High School
- v. Explore and evaluate University Faculty and Staff Retirement Issues
- vi. Evaluate and explore University student engagement studies

VI. Selecting the committee

Each candidate will receive guidance from the Director of Graduate Education and the Faculty Capstone Advisor in order to select an appropriate project. Once the candidate has identified a project, a full time faculty member will be selected to advise the candidate on this project. Other members of the committee may include: other full time faculty members, school district personnel (as deemed appropriate) and/or representatives from the agency sponsoring the research. A doctoral Capstone committee will contain three members, unless otherwise specified by the Director of Graduate Education or the Faculty Capstone Advisor. Each committee should contain a Chair, second faculty member/reader, and agency/LEA partner or liaison. The *Capstone Committee Formation* form should be used to document committee membership. This form must be kept current with any changes that occur (though rare) in committee membership.

VII. Gaining approval for your project from your committee

a. Formal Proposal (Scope of Work Memo)

In partnership with the involved parties, a formal proposal will be completed to 1) define the scope of the project, including key questions and contexts (temporal, comparative, local, statewide, national; 2) specify the project focus and data collection strategy; 3) develop a timeline and task completion

schedule. The *Formal Proposal Outline* should be used to submit and defend your proposal to your Capstone Committee.

b. Human subjects, institutional review, Research Review Board

All projects that encompass human subjects or human subject data are subject to guidelines for the ethical treatment and consent of human subjects. All proposals must submit to the Research Review Board, even if the project does not appear to work with human subjects. A status of “exempt” can be assigned by the RRB wherever appropriate.

c. Doctoral Capstone Contract

A formal agreement will be developed between the candidate, the committee and the LEA or agency in which the project will be investigated. The signature of all committee members and a representative of the LEA/agency must be obtained and filed with the Faculty Capstone Advisor and the Director of Graduate Education. No changes can be made to the scope of the project, or the project itself, without the approval of the committee and the LEA/agency representative.

VIII. Proceeding with the Capstone

During the Capstone year, candidates will work to complete their projects while mastering the tenets of research in the assigned courses, as well as attending several mandatory capstone seminars. The capstone seminar is designed to insure quality and appropriate progress throughout the capstone year. The seminars will be taught by the Faculty Capstone Advisor and/or other full time doctoral faculty. A candidate’s performance, both academic and dispositional, will also be assessed throughout the Capstone year during the seminar process.

IX. Requirements for writing

All Capstone Projects will take the form most appropriate for the audience, but will have common elements. The *Capstone Project Checklist* will delineate these areas. All projects will adhere to the most recent APA writing manual (6th edition as of 2010). Since this applied research differs from a traditional dissertation, no formal chapters are required, however, the common elements of doctoral level research will appear within the flow of the project. The *Checklist* will further guide this process, and much time in the Capstone Year courses and seminars will be dedicated to the proper use of this research format.

X. Expectations

While the length of each project will vary, according to the scope of the work and the needs of the client, the expectation is that the formal report will comprise 60-75 pages or more. The product should contain multiple sections, depending again upon the subject and client needs. The sections for each product should

include as a minimum: 1) Analysis of the problem, 2) supporting research for the investigation, 3) data analysis, 3) recommendations, 4) implementation strategy, where appropriate, 5) cost benefit and evaluation plan, 6) conclusions, 7) appendices, 8) references, 9) client contact hours. These sections will be formally defined by the committee overseeing the actual project, as appropriate. Capstone products will meet the *formal checklist* guidelines and a format acceptable for library storage, reader access, and electronic retrieval, as defined by the Graduate School at Wingate University.

XI. Requirements for reporting

The Capstone Project requires a minimum of 800 documented contact hours for the problem-centered experience. A log of this time should be kept during the entire experience (form provided) and included with an explanatory narrative in the appendix of the final product. These hours are accrued during the entire Capstone year and include meetings, project work, research, collaboration, seminars, client contact, etc.

XII. Completing the Capstone Project

During the Capstone Year, candidates take courses focused on learning and applying appropriate research techniques and meet in seminars to receive feedback and assistance with this process. At the completion of the Capstone Project, candidates must present their findings to the client (whether in person, electronically, or via conference call) and defend their process and subsequent report to the Capstone Committee. A variety of results may be expected:

- a. the client's need must be met, or revisions must occur
- b. the Committee may accept the product, as is, and sign the *approval sheet* at the candidate's defense
- c. The Committee may request revisions of the product that do not significantly change the scope of the product, and all but the Chair may sign the *approval sheet*. In the case of revisions, only the Chair must review the changes, the other committee members may review electronically before the Chair signs the final approval
- d. In rare instances, particularly if client needs are not met and committee expectations are not met, the product may be reassigned for further work, and another formal defense must occur.

XIII. Evaluation of the Capstone

- e. The Capstone Product will be evaluated holistically by the committee overseeing the project. The process will encompass, for example, an evaluation of the expectations for doctoral writing and communication, the rigor of the research conducted on behalf of the client, the final product, and the defense of this product. This process will be completed by all the members of the committee, and the results will determine the

action taken by the committee (as described in section XII). The judgment of the committee takes into consideration all the items from the checklist, format, etc and a copy can be found at the end of this guide. The judgment of the committee is final.

- f. Once the committee has accepted the defense of the Capstone Project and the Capstone Project has been judged complete, the Approval Sheet may be completed and signed.
- g. The Approval Sheet is then forwarded to the Capstone Advisor and the Director of Graduate Education for their signatures.
- h. Once this is complete, the Dean of the School of Graduate and Adult Education will receive the sheet, and his/her approval will be added.
- i. In order for a candidate to be awarded the Ed.D, the Vice President of Academic Affairs and the University Registrar must be notified of the candidate's status.
- j. Graduation deadlines occur mid-way through each semester. Doctoral candidates are responsible for knowing the deadlines and filing the appropriate paperwork in a timely fashion. Currently, Wingate University only conducts formal graduation ceremonies in May of each year, though a degree can be conferred prior to the graduation ceremony.

Wingate University
Doctoral Program in Educational Leadership
Capstone Project

Student Responsibilities

During the Capstone Project:

- Meet at least regularly (conference call or face-to-face) with the community agency advisor.
- Meet at least every two weeks (conference call or face-to-face) with the faculty advisor.
- Coordinate monthly meetings (conference call or face-to-face) with both the community faculty or committee member.
- Follow established timelines, notify in writing faculty, community agency representative, and Capstone Coordinator if extenuating circumstances occur and an extension is anticipated.
- Fulfill the competencies, objectives, and timelines outlined in the Capstone Project proposal.

At the end of the capstone project:

- Turn in the written product at the end of the academic session. Make sure Advisory Committee has at least an electronic version. Please provide a hard copy to your committee, if requested.
- Turn in an electronic copy of the written product and complete Capstone template to the program office within your electronic portfolio.
- If you have fulfilled the requirements for graduation, submit your exit presentation application. Your Capstone evaluation must be turned in by your advisor before you are permitted to do your exit presentation.

Wingate University
Doctoral Program in Educational Leadership
Capstone Project

Capstone Coordinator Roles and Obligations

The Capstone Coordinator will do the following:

- Introduce the Capstone Project requirements to new students.
- Assist students in developing their Capstone Projects.
- Review Capstone application with Wingate University Graduate Education Committee for approval.
- Orient faculty and community on Capstone guidelines.

Wingate University
Doctorate Program in Educational Leadership
Capstone Project

Faculty Advisor Role and Obligation

The faculty advisor will do the following:

- Assist in providing the academic structure for the project.
- Assist the student in developing a project plan.
- Advise the student regarding preparation of an appropriate written product for his/her project.
- Assist the student in obtaining RRB approval for the project, if necessary.
- Meet (either by conference call or face-to-face) with the student and Advisory Committee once a month to assess progress.
- Turn in a mid-term progress report and end-term evaluation. Interim evaluations may be contingent on the project and number of credits.

Wingate University
Doctorate Program in Educational Leadership
Capstone Project

Community Agency/LEA Representative Role:

The community agency will:

- Provide direction on the application of the agency's competencies to the project.
- Provide a setting in which the student may demonstrate work with the Capstone Project.
- Have signed and completed Capstone Project contract.
- Assist in developing a project plan in conjunction with the faculty advisor and the student.
- Assist in developing an appropriate written end product.
- Meet regularly (either by conference call or face-to-face) with the student.
- Meet (either by conference call or face-to-face) with the student and faculty to assess student progress once a month.
- Assist the student during the project using expertise and experience.

CAPSTONE PROJECT TEAM

Greg Clemmer, Assistant Vice President, Wingate School of Graduate & Continuing Education

Ed.S Appalachian State University

Former Deputy, Associate and Area Superintendent Charlotte-Mecklenburg Schools

35 Years experience Charlotte-Mecklenburg Schools

CMS Providence High School and Carmel Middle School Principal

While serving as Providence High School principal received National

School of Excellence Award, CMS First Union Ben Craig Award Outstanding Educator of the Year (1996), Member Southern Association Colleges and Schools Commission;

N.C. Committee Secondary and Middle 1997-2003.

Lloyd Wimberley, Director/Associate Professor Wingate School of Graduate & Continuing Education

Ed.D UNC Chapel Hill

30 Years experience Charlotte-Mecklenburg Schools, N.C. Department of Instruction, Louisville Jefferson County Schools

Former Assistant Superintendent , Executive Director Secondary Schools, High School, Middle, Elementary, Special School Principal, N.C. State Department of Public

Instruction Chief Consultant, University Instructor UNC Charlotte, University of South Carolina, University Southeastern LA University, CMS Wachovia Principal of the Year

1998, 2002, Wachovia Southwest Region N.C. Principal of the Year, N.C. State Wachovia Principal of the Year 2002, Recipient Yale University School Development Program

Patrick Daly Educational Leadership Award 1998, Member Southern Association of Colleges and Schools Commission; N.C. Committee Secondary and Middle Schools

2001-2007.

Amy White, Associate Professor/MAT Program Coordinator/Capstone Coordinator Wingate School of Graduate and Continuing Education

Ph.D University of North Texas

Former Director and Program Coordinator Teacher Education Central Piedmont Community College; Site Coordinator Lewisville Professional Development School, Denton Texas; Assistant Professor Department of Middle Grades Education UNC

Charlotte; Adjunct Faculty University North Texas; Former Supervisor of Reading Assessment Child and Family Resource Clinic University of North Texas;

Research Assistant Awards: Outstanding Research Article of Year-Organization of

Teacher Educators in Reading (2006); Moore's Most Wanted Award for Teaching Excellence -selected by teacher education undergraduate students (2004).

Numerous presentations to state and regional conferences

Five publications in educational journals (2002-2006)

Bill Stegall, Assistant Professor Wingate University School of Graduate and Continuing Education

Ph.D University of North Carolina Chapel Hill

Deputy Superintendent Union County Public Schools, Associate

Superintendent/Superintendent for Instruction Union County Schools, Director of Elementary Education K-8 Union County Schools, Principal/Teacher K-8.

Member American Association of School Administrators, Association for Supervision and Curriculum Development, North Carolina Association of School Administrators, North Carolina Association for Supervision and Curriculum Development.

Rick Watkins, Assistant Professor Wingate University School of Graduate and Continuing Education

Ed.D Nova Southwestern University Educational Leadership

27 Years experience in North Carolina public schools

Assistant Superintendent for Administrative Services Scotland County Schools,

Assistant Superintendent for Human Resources Richmond County Schools,

Adjunct/Assistant Professor University of North Carolina Pembroke;

Educational Consultant, Community Schools Coordinator; Scotland County Chamber

of Commerce Board of Directors 2 years; Richmond County Chamber of Commerce

Board of Directors 3 years; member numerous professional educational administration organizations state and national.

Principal of Year Richmond County Schools 1993, 1994, 2002, 2003

District Wachovia Principal of Year 1994, 2002

Recipient Service Award Richmond County W.L. Haltiwanger Award Richmond

County Association of Principals and Assistant Principals 1996.

Cynthia Compton, Assistant Professor Wingate University School of Graduate and Continuing Education

Ph.D. University of Virginia Educational Leadership

20 Years in K-12 Public Instruction, including Lead Teacher, Instructional Coordinator,

Curriculum Assessment, School Administration

Educational Program Consultant for Multinational Corporation

Program Evaluation Consultant for Richmond Ballet

Research Associate for Virginia Association for School Superintendents

Statewide Coordinator for Virginia Successful Schools Standards Expositions

Board member, Safe Place, Hanover County, Virginia

Recent Publications: "What Do Teachers Want?" *Journal of Staff Development* 2010

Thank You, Miss Katherine" *Kappan* 2009 Leadership via Successful Schools Standards Expositions

Board member, Safe Place, Hanover County, Virginia

Recent Publications: "What Do Teachers Want?" *Journal of Staff Development* 2010

Thank You, Miss Katherine" *Kappan* 2008-2009

APPENDICES

Wingate University
 Application for Candidacy
 Ed.D Educational Leadership
 Ed.S Degree
Sample

Instructions

•Application for Candidacy/Capstone Experience

The Application for Candidacy (Application for Capstone Experience) is to be completed by September 23, 2010 and report of results on the comprehensive exam portion of the Wingate University Ed.D in Educational Leadership. Results reported will include both the written and oral portion of the comprehensive exam. Application for Candidacy cannot be submitted before completion of required coursework leading up to the Comprehensive Examination of Leadership Proficiencies. The completed application will be forwarded as indicated by the order of signatures on the attached form. Once you have completed the Application for Candidacy, save a copy to your desktop, etc. for future editing (should you need to modify it) and for your own records.

The Application for Candidacy form must be typewritten. It is your responsibility to make sure that all appropriate procedures are completed before turning the form into the Director of Graduate Education Programs office. It is the responsibility of the student completing the application to have complied with all current Graduate and University guidelines and regulations as stated in the Graduate School handbook. Copies of the handbook are available in the office of Graduate Education Programs and at the website www.educationgraduate.wingate.edu.

• Ed.S

Students may petition for the Ed.S Degree after they have successfully completed the following:

- Taken and passed the School Leadership Series Exam at a score of 163 or have current N.C. licensure in K-12 administration
- Passed at least 33 hours of coursework in the Wingate Ed.D/Ed.S Educational Leadership Program.
- Successfully completed the Leadership Portfolio.
- Successfully taken the Comprehensive Exam of Leadership Competencies

(written and oral).

Based upon meeting the requirements stated above, students with approved petitions will be awarded an Educational Specialist degree in Educational Leadership.

Application for Capstone Experience and Candidacy
Wingate University
Ed.D Educational Leadership Program

Part IV Dispositions

	Initial Evaluation	Mid Term Evaluation	Final Evaluation
Dispositions Completed			
Dispositions Reviewed			

Part V Candidacy Statement (check one)

- I elect to pursue the Ed.D and do NOT request that application for a sixth year administrative license be submitted to NCDPI.
- I elect to pursue the Ed.D degree and request that I be granted an Ed.S and the sixth year administrative license as recognized by the Public Schools of North Carolina and will submit the required licensure paperwork.
- I do not wish to pursue the Doctorate in Educational Leadership. Therefore, I am requesting that Wingate University confer upon me the degree of Educational Specialist with all rights and privileges thereunto.

Part VI Verification by Institution

- Transcripts (Ed.D coursework) attached _____
Theresa Hopkins
- Copy of North Carolina License (which includes Administrative license) _____
- Completion of Application for a North Carolina License (Form A) _____
- Check to NC Department Public Instruction Licensure Division \$55.00 _____
- Completion of Verification by Institution (Form V)
(Student section) _____
- Taken and passed the School Leadership Series PRAXIS _____
- if not taken, date scheduled to take _____

Application for Capstone Experience and Candidacy
Wingate University
Ed.D Educational Leadership Program

Part VII Signatures and Routing

Please sign and date as indicated

Student

Date

Finance Obligations Clearance

Date

Director, Graduate Education Programs

Date

Assistant Vice President Matthews Campus

Date

Petition
 Education Specialist Degree
 Educational Leadership
 Wingate University
 School of Graduate and Adult Education

Student Completion	
First Name Middle Name Last Name	N.C. Licensure K-12 Administration Valid through:
Wingate ID:	School Leadership Exam Taken: _____
Wingate E-Mail:	Score: _____
Social Security Number:	

Director's Office Only (check all areas completed)
<input type="checkbox"/> Completion of Leadership Portfolio
<input type="checkbox"/> Leadership Exam
<input type="checkbox"/> Completion of Educational Leadership Courses (33 hours or more)
<input type="checkbox"/> Successfully Taken Comprehensive Exam of Leadership Competencies
_____ Director Signature (signature required before routing to Dean, Thayer School of Education)

Licensure

All applications for licensure will be processed out of Dr. Sarah Harrison-Burns office at the Thayer School of Education on the main campus upon posting of the final transcript.

You must complete **Form A** and attach a **\$55 check** made payable to NCDPI and then send to:

**Theresa Hopkins, Academic Advisor
Wingate University --- Graduate School of Education
Post Office Box 3549
Matthews, NC. 28106**

Once your paperwork has been received it will be forwarded to the Registrar's Office, processed through the Thayer School of Education, and submitted to NCDPI.

Note: Anytime you make a change to a license in the state of North Carolina you must complete an application for licensure and include a check for \$55 to NCDPI Licensure Division

Therefore, the following degree programs - MAT, MAED, EDLD, MAPE, MAHPE, Ed.S, and Ed.D - must complete the application for licensure (Form A) and submit along with a check for **\$55 check** - to Theresa Hopkins.

The check must be made out to **NCDPI Licensure Division**

The Add-On Licensure Program students must also complete the application and return with a **\$55 check** made out to **NCDPI Licensure Division**.

We encourage you to submit your application and check for licensure during the semester you complete the program.

FYI - The state department processing time is approximately 4 to 6 weeks after receiving the paperwork from the University.

Please contact:

Theresa Hopkins (704-849-3403 or t.hopkins@wingate.edu)

Lisa Wood (704-233-8127 or l.wood@wingate.edu)

If you have additional licensure questions:

Dr. Harrison-Burns (704-233-8128 or shburns@wingate.edu)

APPLICATION FOR A NORTH CAROLINA LICENSE

Type or print the following information.

(See reverse side for instructions)

last name	first name	middle name	maiden			
street address		city	state	zip code		
social security number	date of birth (month, day, year)		telephone number (with area code)			
race	sex					
<input type="checkbox"/> male <input type="checkbox"/> female	<input type="checkbox"/> African American	<input type="checkbox"/> American Indian	<input type="checkbox"/> Asian	<input type="checkbox"/> Caucasian	<input type="checkbox"/> Hispanic	<input type="checkbox"/> Other

List the areas of licensure for which you are applying

STATEMENT OF APPLICANT

Have you ever had a certificate or license revoked or suspended by any state or other governing body? If yes, attach a statement giving full details and official documentation of the action taken.

yes no

Have you ever been convicted of a crime (excluding minor traffic violations)? If yes, you must submit court documents that indicate judgment and disposition of the case from the court of conviction and an explanation of the incident(s).

yes no

I certify that the information provided in this application is correct and true. I understand that the falsification of any statement or document will result in the revocation of my North Carolina license.

Signature: _____

Date: _____

Public Schools of North Carolina
State Board of Education
Department of Public Instruction
Licensure Section
6365 Mail Service Center
Raleigh, North Carolina 27699-6365

Form A
March 2006

Form A: Instructions

1. Fill in complete name, beginning with your last (no initials please).
 2. Give complete address, including zip code.
 3. Fill in your telephone number in case the Licensure Section needs to contact you about your application.
 4. Write in your social security number. This number serves as your license number.
 5. Fill in your date of birth (month, day, year).
 6. Check the correct box for sex and race.
 7. Indicate the areas of licensure for which you are applying.
 8. Answer the questions under Statement of Applicant. Your application will not be evaluated without this information. An answer of "yes" does not automatically exclude a person from obtaining a license.
 9. Sign the application. Your signature certifies that the information provided is correct and true. Falsification of any statement or document is grounds for revocation of a license.
 10. Write in the date of your application.
-

The program completed meets the following accreditation, approval, or program requirements (check all that apply):

- National Council for Accreditation of Teacher Education (NCATE)
- National Association of State Directors of Teacher Education and Certification Standards (NASDTEC)
- Education program approval by the state of _____
- Regional accreditation by (name of body) _____

Public Schools of North Carolina
Department of Public Instruction
Licensure Section 6365 Mail Service Center
Raleigh, North Carolina 27699-6365

The applicant completed an education program approved in the area(s) and at the level(s) recommended. The approved program was in effect during the applicant's period of study.

name of institution

designated official (licensure officer, dean of education)

title

signature date

email address

Form V
August 2008

Form V: Instructions

Follow these instructions for completing Form V:

Applicant:

- Fill in current personal information (please print or type).

Designated college official:

- complete **one (1)** of the boxes in the center section of this form
- check the regional accreditation, state approval and program requirement boxes at the bottom of this form
- sign form verifying the above
- include email address

Submission:

- Mail the completed Form V, **official transcript**, processing fee, and any other applicable documents

Department of Public Instruction
Licensure Section
6365 Mail Service Center
Raleigh, North Carolina 27699-6365

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REQUEST FOR ASSISTANCE FOR INSTITUTIONAL EFFECTIVENESS
 Doctor of Educational Leadership Program
 Wingate University

School, District, or Other Agency:	
Contact Information (Superintendent, Director, or Other Authority Requesting Assistance)	
Name	
Title	
Contact Number	

Describe the problem centered research for which assistance is requested (see explanation). What is the question you wish to have answered or problem you hope to have solved: Why is this a problem or concern?

What is the estimated time frame for completing this research?
 Beginning _____ End _____

Key contact for the school, district, etc?

What resources can/will you provide to the Ed.D candidate (office space, computer hardware/software, etc)?

What are the outcomes, products, etc. you expect or need to gain from this process?

How will you determine or evaluate the success of the outcome?

What types of data will you be able to provide? What methods of data collection do you anticipate being used?

What do you plan to do with the results?

Is someone currently working on this problem? If so, what is the status?

Have you read the description on the Capstone process and product? What questions do you have about the process and/or product?

Wingate University
 Capstone Committee
 Candidate – Committee Memo of Understanding

Candidate Name		Signature
Committee Chair		
2 nd Reader		
LEA Representative		

Approved Problem Topic:

General Topic Accepted by Capstone Advisor _____

Date _____

General Topic Accepted by Director of Graduate Education _____

Date _____

Scope of Work Memo Filed _____

Scope of Work Memo Accepted by Committee _____

IRB Approval obtained/exempted _____

Capstone Scope of Work

The following are the suggested topics (minimum standards) to be covered in a Capstone Student's "Scope of Work Memo" which stands as the formal proposal to do research for the Capstone year. Ultimately, each memo (proposal) will reflect the nature of the project, and the wishes and needs of each committee.

When a candidate's committee approves the SOWM, he/she may (at the guidance of his/her chair) proceed to the filing of requests with the Research Review Board (RRB). Forms will be provided in Capstone Seminar and/or by the chair of each committee.

- 1) Clear research questions
- 2) Description of Sample and how data/subjects, etc will need to be protected
 - a. if human subjects are used, candidate should use guidelines provided by RRB to describe in narrative the usage and protections
 - b. if post hoc data is to be used, candidate should discuss anonymity, etc. and how actual data will be stored and protected.
- 3) Evidence of a theoretical framework-each chair will determine the amount of information desired here. Candidates are working through reviewing literature attached to and in support of their project.
- 4) Method of analysis/Procedures
- 5) Timeline - all chairs, dependent on desires and project parameters, should indicate to their candidates whether they wish this timeline described in narrative or graphic form. This should demonstrate their plan and awareness of how long projects are estimated to take.
- 6) Format of product - while all papers should be APA 6 compliant, depending on the nature of the project, the "sections" used may vary completely from one project to another. Some description of each candidate's "write up" should encompass what is appropriate and defined between the committee and the candidate.
- 7) Deliverable/Delivery method/audience - while each candidate will write a formal Capstone Paper for the University, the partner agency might wish him/her to make a presentation using multimedia, for school board or group cabinet members. The agency may wish an executive summary or possibly no additional resource beyond the formal paper. This should be carefully defined so that the partner agency has its needs met, and the student knows what he/she must deliver at the projects end. It is important that this not change without written consent of the committee.

As stated in the Capstone Guide, once the SOWM is formally approved by all committee members, it cannot be changed without written consent of the candidate and committee.

Wingate University Research Review Board Guidance for Developing Research Proposals Involving Human Subjects

All of the factors below should be addressed using lay language. The RRB is comprised of individuals from diverse scientific and nonscientific backgrounds. You should avoid all jargon and assume that RRB members have no prior knowledge on the research topic, theoretical or methodological approaches, or measurement techniques or instruments.

The best way to avoid unnecessary delays is to provide the RRB with as much information about your study as possible. **You will need to attach a copy of all demographic forms, survey instruments, and other data collection systems to your proposal.** If you are unable to attach the above, please contact the Research Review Board Chairperson for advice.

Also, it is important to remember that informed consent is a process, not a document. Informed consent begins with recruitment and ends only after a study is completed.

1. **Describe the purpose of this study.** Be sure to clearly indicate the research question being asked.
2. **Briefly describe the research that has already been conducted in this area.** The RRB needs to understand how this study adds to the knowledge on this topic in order to be able to judge the risks and benefits to participants.
3. **Describe the population from which your research sample will be drawn.** Be sure to indicate if subjects are from a vulnerable population such as infants, children, pregnant women, mentally disabled persons, prisoners, employees, students, economically or educationally challenged persons etc. *What additional safeguards will be included to protect the rights and welfare of these participants?*
4. **Explain the inclusion and exclusion criteria that will be used (e.g., age, race, gender, language, academic abilities, free or reduced lunch status, academic program, pre-existing conditions, etc.).**
5. **Indicate how many potential participants will be approached.** The RRB needs to know the maximum number that might be asked to participate, NOT the minimum number needed to adequately ask the research question. It is recommended that you choose a number higher than you expect to need because once the number is approved you will need to apply to the RRB for permission to recruit additional participants. However, do not choose an unnecessarily large

number because sample size may affect the risk/benefit ratio decision that the RRB must make.

6. **Please break down your maximum numbers by category** (e.g., child, adult, male, female, depressed, non depressed , Wingate Student, Non-Wingate Student, etc.) such that the board can evaluate the risks for different types of participants.
7. **Describe how participants will be identified, approached, recruited and consented.** Indicate who will make the first contact and when and where will it occur. All materials used to recruit participants need to be submitted for review (e.g., media advertisements, brochures, email, poster/signs or sign-up sheets, etc.). If verbal announcements will be made for recruitment purposes please provide a script of how the study will be described or a list of the points that will be made.
8. **Specifically identify all individuals who will be used to describe the study to potential participants. Also, specifically identify all individuals who will obtain consent from potential participants.** *Do these individual(s) have a dual relationship with potential participants (e.g., instructor, mentor, employer, caregiver, etc...) that might create the potential for the perception or actual existence of coercion or undue influence? What procedures will you put in place to reduce or eliminate potential/perceived coercive situations?*
9. **Describe your research procedures.** Describe all of the procedures that will occur and, in particular, provide a description of what the participants will experience. For example, a description of the instructions that will be given to them, activities in which they will engage, the length and timing of involvement, and the circumstances under which they will provide data (i.e., group assessments, one-on-one interview, videotaping, audio taping, phone calls, spending time in an uncomfortable position, etc.).
10. **If this study involves deception, describe and justify its use.** Deception will require that subjects be debriefed following data collection. The purposes of the debriefing are to explain the true purpose of the study, reduce any negative consequences participants may experience from participation and to provide a clear, easy opportunity for withdrawal of consent and elimination of that individual's data from the study. You must include a copy of the debriefing statement in your application.
11. **Describe any form of compensation that participants will receive (e.g., money, extra credit, toys, food, etc.).** If so, please describe amount, type, when they will receive it. If withdrawal from the study will change the amount or type of compensation, please describe how (i.e., prorated, elimination, etc.). *Note that academic extra credit can only be awarded at the discretion of the course instructor, not the principal investigator.*

- 12. Explain if this research might entail psychological, legal, physical, or social harm or discomfort to the subjects.** What steps have been taken to minimize these risks? What provisions have been made to ensure that appropriate facilities and professional attention necessary for the health and safety of the subjects are available and will be utilized? How will the participants be informed of these procedures? If an information sheet describing these resources will be provided to participants, please submit the sheet with your proposal. If university or community professionals agree to provide their services, please submit a signed letter of cooperation from the individuals/agencies that describes the agreement.
- 13. Describe how the potential benefits of this activity to the participants and humankind outweigh any possible risks.**
- 14. Describe how the confidentiality of participant data will be maintained.** What steps and procedures will be used? How (hard copy, electronic, etc.) and where (e.g., locked file cabinet in a locked campus office) will data be stored? If data is stored electronically, please describe the measures in place to secure data from hackers (data on flash drive only, double password protection, etc.). If data will be destroyed following completion of the study, please indicate when and how.
- 15. If data will be anonymous, explain how this anonymity will be achieved.** *Note that anonymity requires that at no time can the data be connected to the participant by anyone involved in the research, even the principal investigator.* If data will be anonymous, explain how and where the consent documents will be stored.
- 16. Explain how any data collected might relate to illegal activities carried out by the subjects.**
- 17. Your attached informed consent document must include each of the following elements as required by the Code of Federal Regulations: Title 45, Part 46.116.**

A statement that the study involves research;

An explanation of the duration of the subject's participation;

A description of the procedures to be used;

A description of any reasonably foreseeable risks or discomforts to the subject;

A description of any benefits to the subject or others which can be reasonably expected from the research; ***(Note: compensation or academic credits are not benefits)***

A statement describing the extent, if any, to which confidentiality of records identifying the subject will be maintained;

An explanation of whom to contact for answers to pertinent questions about the research and research subjects' rights, and whom to contact in the event of a research related injury to the subject; *(Note: should include Wingate RRB, principal investigator and if applicable ,the faculty sponsor)*

A statement that participation is voluntary, refusal to participate will involve no penalty or loss of benefits to which the subject is otherwise entitled and the subject may discontinue participation at any time without penalty or loss of benefits to which the subject is otherwise entitled. *(Note: this statement should be written in language at an appropriate level for the subjects in your study)*

The following may or may not apply to your study. If they apply, your attached informed consent form must include:

An explanation of whom to contact in the event of a research related injury;

A disclosure of appropriate alternative procedures or courses of treatment, if any, that might be advantageous to the subject;

For research involving more than minimal risk, an explanation as to whether any compensation or any medical treatments are available if injury occurs and, if so, what they consist of or where further information may be obtained;

A statement that the particular treatment or procedure may involve risks to the subject which are currently unforeseeable;

Anticipated circumstances under which the subject's participation may be terminated by the investigator without regard to the subject's consent;

Any additional costs to the subject that may result from participation in the research; *(Note: This is not limited to monetary costs)*

The consequences of a subject's decision to withdraw from the research and any procedures for orderly termination of participation by the subject;

A statement that significant new findings developed during the course of the research which may relate to the subject's willingness to continue participation will be provided to the subject; and

The approximate number of subjects in the study

18. If your study includes children, please complete the supplemental Wingate Checklist for Research Involving Children.

19. If you are requesting a waiver of the documentation of informed consent, please explain how you would meet the requirements of 45 CFR 46.117

For questions or additional information, contact Dr. David Compton, RRB Chair
d.compton@wingate.edu

Guidance for Protection of Health Information, Student Records, and Personal Privacy

HIPAA Privacy Rule and Research Activities

45 CFR 164.501, 164.508, 164.512(i)

HIPAA stands for the Health Insurance Portability and Accountability Act of 1996. A major component of HIPAA addresses the privacy of individuals' health information by establishing a nation-wide federal standard concerning the privacy of health information and how it can be used and disclosed. This federal standard will generally preempt all state privacy laws except for those that establish stronger protections. The HIPAA privacy laws were effective April 14, 2003.

Generally, HIPAA "covered entities" will have to comply with HIPAA rules for any health or medical information of identifiable individuals, including their medical records, medical billing records, any clinical or research databases, and tissue bank samples.

Covered entities are health care providers, health plans (including employer sponsored plans), and healthcare clearing houses (e.g., billing agents). For example, Wingate University is a HIPAA covered entity both as a student health provider and through the University sponsored health benefit plans. The HIPAA Privacy Rule establishes the conditions under which protected health information may be used or disclosed by covered entities for research purposes. Research is defined in the Privacy Rule as "a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge." A covered entity may always use or disclose health information (which has been de-identified as specified in the privacy rule) for research purposes without having to meet the authorization requirements listed below.

The Privacy Rule also defines the means by which individuals will be informed of uses and disclosures of their medical information for research purposes and their rights to access information about them held by covered entities. Where research is concerned, the Privacy Rule protects the privacy of individually identifiable health information, while at the same time ensuring that researchers continue to have access to medical information necessary to conduct vital research.

Currently, most research involving human subjects operates under the DHHS Common Rule (45 CFR Part 46, Subpart A) and/or the Food and Drug Administration's (FDA) human subject protection regulations (21 CFR Parts 50 and 56). The Privacy Rule builds upon these existing Federal protections and creates equal standards of privacy protection for research governed by the existing Federal human subject regulations and research that is not.

How the Rule Works For Identifiable Data

In the course of conducting research, researchers may obtain, create, use, and/or disclose individually identifiable health information. Under the Privacy Rule, covered entities are permitted to use and disclose protected health information for research with individual authorization or without individual authorization, under limited circumstances set forth in the Privacy Rule.

- A. To disclose protected health information without authorization by the research participant, a covered entity must obtain documentation that an alteration or waiver of research subject authorization for use or disclosure of information about him/her for research purposes has been approved by the RRB. (See 45 CFR 164.512(i)(1)(i))
 1. This waiver might be used to conduct records research, when researchers are unable to use de-identified information, and the research could not practicably be conducted if research participants' authorization were required.
 2. A covered entity holding protected information is allowed to disclose protected health information for research purposes pursuant to a waiver of authorization by the RRB but it must have documentation of all of the following:
 - a. A statement from the RRB identifying the date on which the alteration or waiver of authorization was reviewed and approved under normal or expedited review procedures. Also, the RRB has determined that the alteration or waiver of authorization, in whole or in part, satisfies the three criteria in the Privacy Rule;
 - b. A brief description of the protected health information for which use or access has been determined to be necessary by the RRB;
 - c. The signature of the RRB chair attesting to the validity and completeness of the review
- B. The following three criteria must be satisfied for the RRB to approve a waiver of authorization under the Privacy Rule:
 1. The use or disclosure of protected health information involves no more than a minimal risk to the privacy of individuals, based on, at least, the presence of the following elements:
 - a. An adequate plan to protect the identifiers from improper use and disclosure;
 - b. An adequate plan to destroy the identifiers at the earliest opportunity consistent with conduct of the research, unless there is a health or research justification for retaining the identifiers or such retention is otherwise required by law
 - c. Adequate written assurances that the protected health information will not be reused or disclosed to any other person or entity, except as required by law or for authorized oversight of the research project
 2. The research could not practicably be conducted without the waiver or alteration
 3. The research could not practicably be conducted without access to and use of the protected health information

- C. When approached by an investigator asking for disclosure of protected information in order to design or determine feasibility of a study, the covered entity must obtain a representation from the researcher, either in writing or orally, that the use or disclosure of the protected health information is solely to prepare a research protocol or for similar purposes preparatory to research, that the researcher will not remove any protected health information from the covered entity, and that the protected health information for which access is sought is necessary for the research purpose. This activity is the responsibility of the Principal Investigator and must be reported in the project description sent to the RRB after the study is designed.
- D. When approached by an investigator asking for disclosure of protected information from deceased individuals, the covered entity must obtain a representation from the researcher, either in writing or orally, that the use or disclosure being sought is solely for research on the protected health information of decedents, and that the protected health information being sought is necessary for the research. At the request of the covered entity, the Principal Investigator may be required to present documentation of the death (Death Certificates) of the individuals about whom information is being sought.
- E. When approached by an investigator asking for disclosure of protected information on nondeceased individuals with potentially identifying data left in place, a data use agreement is entered into by both the covered entity and the researcher, pursuant to which the covered entity may disclose a limited data set to the researcher for research, public health, or health care operations. A limited data set excludes specified direct identifiers of the individual or of relatives, employers, or household members of the individual, but it may contain other data which could potentially be used to identify individuals or groups. The data use agreement must:
1. Establish the permitted uses and disclosures of the limited data set by the recipient, consistent with the purposes of the research, and which may not include any use or disclosure that would violate the Rule if done by the covered entity;
 2. Limit who can use or receive the data; and
 3. Require the recipient to agree to all of the following:
 - a. Not disclose the information to anyone other than as permitted by the data use agreement or as otherwise required by law
 - b. Use appropriate safeguards to prevent the use or disclosure of the information other than as provided for in the data use agreement
 - c. Report to the covered entity any use or disclosure of the information not provided for by the data use agreement of which the recipient becomes aware
 - d. Ensure that any coinvestigators, students, or other individuals involved in the research project, to whom the recipient provides the limited data set agrees to the same restrictions and conditions that apply to the recipient with respect to the limited data set
 - e. Agree not to identify the information or contact the individual

- F. The Privacy Rule also permits covered entities to disclose protected health information for research purposes when a research participant authorizes the use or disclosure of information about him or herself. A research participant's authorization will typically be sought for most clinical trials and some records research. In this case, documentation of RRB approval of a waiver of authorization is not required for the use or disclosure of protected health information.
1. To disclose protected health information with authorization by the research participant, the covered entity must obtain an authorization that satisfies the requirements of 45 CFR 164.508.
 2. Unlike other authorizations, an authorization for a research purpose may state that the authorization does not expire, that there is no expiration date or event, or that the authorization continues until the "end of the research study"
 3. An authorization for the use or disclosure of protected health information for research may be combined with consent to participate in the research or with any other legal permission related to the research study
- G. The Privacy Rule gives individuals the right to receive an accounting of certain disclosures of protected health information made by a covered entity. Research disclosures following an individual's authorization or under the provisions of a data use agreement are exempt from the accounting requirement.

FERPA

The Family Educational Rights and Privacy Act (FERPA) (20 U.S.C. § 1232g; 34 CFR Part 99) is a Federal law that protects the privacy of student education records. The law applies to all schools that receive funds under an applicable program of the U.S. Department of Education.

- A. FERPA gives parents certain rights with respect to their children's education records. These rights transfer to the student when he or she reaches the age of 18 or attends a school beyond the high school level. Students to whom the rights have transferred are "eligible students."
1. Generally, schools must have written permission from the parent or eligible student in order to release any information from a student's education record. However, FERPA allows schools to disclose those records, without consent, to the following parties or under the following conditions (34 CFR § 99.31):
 - a. School officials with legitimate educational interest;
 - b. Other schools to which a student is transferring;
 - c. Specified officials for audit or evaluation purposes;
 - d. Appropriate parties in connection with financial aid to a student;
 - e. Organizations conducting certain studies for or on behalf of the school;

- f. Accrediting organizations;
 - g. Compliance with a judicial order or lawfully issued subpoena;
 - h. Appropriate officials in cases of health and safety emergencies;
 - i. State and local authorities, within a juvenile justice system, pursuant to specific State law
- B. Schools may disclose, without consent, "directory" information such as a student's name, address, telephone number, date and place of birth, honors and awards, and dates of attendance. However, schools must tell parents and eligible students about directory information and allow parents and eligible students a reasonable amount of time to request that the school not disclose directory information about them
- C. Schools may also disclose information that has been completely de-identified. Care must be taken in small entities not to leave students listed in groups where, by virtue of the group listing, their identity could be determined
- D. The RRB does not have authority to waive or amend provisions of FERPA. Investigators must obtain letters of permission from each school entity attesting to their willingness to release data for the research project.

PRPA

The Protection of Pupil Rights Amendment (PPRA), an amendment to No Child Left Behind (NCLB), is a law that provides protection of the rights of students and parents. PPRA has expanded upon the rights originally provided to parents and students in NCLB. PPRA covers items like instructional materials, surveys, analysis, and evaluation of minor students.

There are different requirements for PPRA based upon whether the research program is being conducted under the U.S. Department of Education or whether surveys are conducted in schools receiving funds from the Department of Education. PPRA provides the following rights to parents and students:

- A. It indicates that schools must notify parents of their rights to inspect student surveys and make these materials available to the parents to review.
- B. If the research is funded by the U.S. Department of Education, the researcher must obtain written parental permission before minor students are allowed to participate in any survey, analysis, or evaluation that reveals information concerning one of the following 7 topic areas:
 - 1. Political affiliations or beliefs of the student or the student's parent
 - 2. Mental and psychological problems potentially embarrassing to the student and his/her family
 - 3. Sexual behavior or attitudes
 - 4. Illegal, anti-social, self-incriminating and demeaning behavior
 - 5. Critical appraisals of other individuals with whom the participants have close family relationships
 - 6. Legally recognized privileged or analogous relationships, such as those of lawyers, physicians, and ministers

7. Income (other than that required by law to determine eligibility for participation in a program or for receiving financial assistance under such program).

Revisions to NCLB added an eighth research topic area for which a researcher must obtain written parental permission.

8. Religious practices, affiliations, or beliefs of students or their parents.
- C. For surveys conducted at schools receiving any funding from the U.S. Department of Education, the NCLB Act of 2001 gave parents of students additional rights related to surveys administered in public schools, not just those surveys administered and funded directly through a Department of Education program.

Therefore, every public school system that accepts money from the Department of Education (all public elementary and secondary schools) must develop a policy that informs parents of their rights to inspect third party surveys and related instructional materials and the right to ask that their child not participate.

- D. The RRB does not have the authority to overrule or waiver any of the provisions of PPRA or district policies for implementing these provisions. So, even if research meets the criteria for an exemption, although written parental permission and signature are not required, it may be necessary to provide information to parents in the way of a flyer or letter offering the opportunity to review the study materials and to ask that their child not participate in the research.

Investigator Checklist for Research Involving Children
Wingate University Research Review Board
 (Attach to Proposal Submitted to the Wingate RRB)

Protocol title: _____

Investigator: _____ Faculty Advisor (Students): _____

Investigator Phone: _____ Investigator Email: _____

The inclusion of children in research is a complex and challenging issue. However, it also presents the opportunity for researchers to develop new and innovative interventions that directly benefit this age group while, at the same time, address any concerns that many interventions are arbitrary or based on research conducted with adults.

This checklist is designed to assist the RRB in determining if your research fulfills all the requirements of the federal regulations as outlined in 45 CFR 46 Subpart D and/or 21 CFR Parts 50 and 56 for inclusion of children as research subjects. Special risk/benefit determinations must be discussed and documented by the RRB.

*HHS regulations at 45 CFR 46.402(a) define "children" as "persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law of the jurisdiction in which the research will be conducted." **For purposes of Wingate University, a child is an individual under the age of 18 years.** State laws define what constitutes a "child," and such definitions dictate whether or not a person can legally consent to participate in a research study. However, State laws vary, and many do not address when a child can consent to participate in research. Federal Regulations (45 CFR 46, subpart D, Sec.401-409) address DHHS protections for children who participate in research and rely on State definitions of "child" for consent purposes.*

***Minimal Risk** is defined as the probability and magnitude of harm or discomfort anticipated in the research are not greater in and of themselves than those ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests*

Provided below are categories of research that are permissible in children if the listed requirements are met. Adequate provisions are required for soliciting permission from parents or guardian, and soliciting the assent of each child when the RRB deems the children are capable of assent.

Subpart D of the HHS regulations at 45 CFR part 46 provides additional protections for children participating in human subjects research. Investigators conducting HHS-supported research or

research in school facilities receiving federal funding must comply with the requirements of subpart D, as well as other subparts of the regulations impacting human subject research.

Additional Protections Delineated In Subpart D Include:

- a. **Requiring RRB review of some research activities involving children that would be exempt if the research subjects were adults;**
- b. **Use of parental permission and child assent instead of the procedures for obtaining informed consent used for research involving adults;**
- c. **Specific conditions for RRB approval in three categories based on the level of risk and other specified features of the proposed research activity;**
- e. **Additional conditions for certain research activities involving children who are wards of the State or wards of any other agency or institution**

Subpart D widens the range of research activities requiring RRB review by reducing the scope of the exemption in 45 CFR 46.101(b)(2) regarding research activities involving education tests, survey or interview procedures, or observation of public behavior, if the subjects are children.

ADDITIONAL DOCUMENTATION REQUIRED ON THIS FORM OR CLEARLY NOTED IN THE PROJECT DESCRIPTION

1. **Rationale for Inclusion of Minors:** *provide rationale/justification for including minors as subjects in the RRB protocol application along with a summary of activities or an explanation of the study design, specifically addressing the following points:*
 - a) Is the participation of children as research subjects justified in this particular instance?
 - b) If this research question can be addressed initially in adults, has this research been conducted?
 - c) Have results from any adult research indicated that the proposed research would benefit, or at least not be harmful, to children?
 - d) Has every effort been made to ensure that a parent is present when the research intervention is conducted? This will not only comfort the child but will enable the parent to exercise the right to end the child's participation in the research project at any time. Investigators should note that in some cases (e.g., research into sensitive personal matters, research into abuse, etc.) it may not be appropriate to have a parent present. If a parent will not be present during the course of the project, clearly state why.
 - e) Are the personnel involved in the research and the facility in which the research will be conducted knowledgeable about and sensitive to the physical and psychological needs of the children and their families?

- f) Have you taken into account the child's previous experience with research of this type? Some children may be able to cope with the stress of research better than others as a result of previous experience. Younger, "less experienced", children may be unprepared for participation.
- g) How have you determined the number of children to be enrolled for the study?
- h) Are the proposed research techniques the least invasive (physically or psychologically) in order to obtain the research information?
- i) Have you clearly defined how the assent of the child-subjects will be obtained?
- j) All research involving children as subjects must be reviewed by the full RRB unless the research is exempt from review. All personnel working with children should be familiar with the State laws requiring the reporting of suspected abuse. The RRB cannot approve research that exposes children as subjects to more than minimal risk and does not satisfy the conditions outlined above. The Federal regulations, however, provide a process for seeking approval for such research from the DHHS secretary.

2. **Age Range:** Specify the eligible age range for minors in this study: _____

3. **Informed Consent (Permission from Parent(s)/Guardian(s) and Assent from Minors**

Indicate the consent/permission and assent that will be used for this study:

- Permission (informed consent) addressed to parent(s) and the same information as assent form for minors 13 years old or older
- Simplified assent form addressed to the subject, 7-12 years old; Permission (informed consent) addressed to parent(s)
- Request waiver of consent and/or assent: Complete question #4

- **Remember that you must provide the committee with information about how you will obtain the child's assent to participate.** Children older than 12 are expected to be provided the opportunity to sign to indicate their assent to participate. Children 7-12 should be provided with a written document, which may or may not also be read to them. Depending on the research to be conducted, children 6 years and younger may be read an assent script (please submit this if applicable). *Note: child assent can be solicited only after parental consent has been obtained.*
- **In addition to your procedures to obtain assent,** please indicate what dissent behaviors will lead you to decide a child is not providing or has withdrawn his/her assent to participate.

Waiver of Permission/Assent (45 CFR 46.408)

Under certain circumstances, the federal regulations allow for waiver of parental permission or child’s assent. If you wish to request either type of consent waiver, then check the appropriate box and provide justification in the relevant section.

- Waiver of parental/guardian permission (45 CFR 46.408(c))**
 - Permission is not a reasonable requirement to protect the subjects (e.g., neglected/abused children) **AND**
 - An appropriate advocating mechanism for protecting children in research is substituted; **AND**
 - The waiver is not inconsistent with Federal, State or local law; **OR**
 - The waiver meets the provisions set forth in 45 CFR 46.116 Subpart A (RRB must find that (1) research involves no greater than minimal risk, (2) waiver will not adversely affects rights/welfare of subjects, (3) research could not practicably be carried out without waiver, and (4) subjects will be given additional information after participation)

Justification for waiver of parental permission: _____

- Waiver of minor’s assent (45 CFR 46.408(a))**
 - The capability of some or all of the children is so limited that they cannot be reasonably consulted, **OR**
 - The research holds out a prospect of direct benefit that is important to the health or well-being of the children and is available only in the context of the research, **OR**
 - The waiver meets the provisions set forth in 45 CFR 46.116 Subpart A ((1) research involves no greater than minimal risk, (2) waiver will not adversely affects rights/welfare of subjects, (3) research could not practicably be carried out without waiver, and (4) subjects will be given additional information after participation)

Justification for waiver of assent: _____

5. Select the appropriate classification of the proposed research.

- Research not involving greater than **minimal risk** to children

Greater than minimal risk but presenting the prospect of **direct benefit** to the individual subject.

1) Are the risks justified by the anticipated benefits?

YES: Describe: _____

NO

2) Is the relationship of the anticipated benefit at least as favorable as alternative procedures?

YES NO

There is greater than minimal risk and no reasonable prospect of direct benefit to the individual subject, but likely to yield generalizable knowledge about the subject's disorder or condition.

1) Does the risk represent a minor increase over minimal risk?

YES: Describe: _____

NO

2) Does the intervention or procedure present experiences commensurate with those inherent in the subject's actual or expected medical, dental, psychological, social or educational needs?

YES NO

3) Does the intervention or procedure likely to yield generalizable knowledge about the subject's disorder or condition that is vital to understanding or ameliorating the subject's disorder or condition?

YES NO

(Note: Both parents or legally appointed guardian must give consent in this case unless one parent or guardian is deceased, incompetent or not reasonably available).

Research not otherwise approvable which presents the opportunity to understand, prevent or alleviate a serious problem affecting the health or welfare of children.

If the RRB finds that the research presents a reasonable opportunity to further the understanding, prevention or alleviation of a serious problem affecting the health or welfare of children, the research may be forwarded for consideration of approval by the Secretary of DHHS (in consultation with a panel of experts and the opportunity for public comment).

Children who are wards. For research involving no direct benefit or “otherwise not approvable”, children who are wards of the State or institution may be included only if one of the following applies:

1) Is the research related to their status as wards?

YES NO

- OR -

Is the research conducted in settings in which the majority of the children are not wards?

YES NO

2) The RRB shall require appointment of an advocate for these child participants, regardless of the presence of a guardian or foster parent. The advocate must be independent of the research team and the guardian institution but may be affiliated with the University.

Additional Requirements for Children:

The Family Educational Rights and Privacy Act (FERPA) gives the parent of the student, or the students themselves (if the student has reached the age of 18 or is attending any school beyond high school), rights regarding the student’s educational records. In general, the schools must have written permission from the parent or student (must be 18 or older) before releasing any identifiable information from a student’s record.

The Protection of Pupil Rights Amendment (PPRA), an amendment to No Child Left Behind (NCLB), is a law that provides protection of the rights of students and parents. PPRA expanded upon the rights originally provided to parents and students in NCLB. PPRA covers items like instructional materials, surveys, analysis, and evaluation of minor students. It indicates that schools must notify parents of their rights to inspect student surveys and make these materials available to the parents to review.

For surveys conducted at schools receiving any funding from the U.S. Department of Education, the NCLB Act of 2001 gave parents of students additional rights related to surveys administered in public schools, not just those surveys administered and funded directly through a Department of Education program. Therefore, every public school system that accepts money from the Department of Education (all public elementary and secondary schools) must develop

a policy that informs parents of their rights to inspect third party surveys and related instructional materials and the right to ask that their child not participate.

The RRB does not have the authority to overrule or waiver any of the provisions of PPRA or NCLB or to influence local school district policies for implementing these provisions. So, if your research meets the criteria for an exemption, although written parental permission and signature are not required, it may be necessary to provide information to parents in the way of a flyer or letter offering the opportunity to review the study materials and to ask that their children not participate in the research.

Educational Records shall mean records that pertain to a child attending an educational institution when that institution receives funds from, or is under the jurisdiction of, the Department of Education.

Does the research involve?

- Participants being enrolled primarily because they are attending classes at a cooperating publicly financed school or other educational institution, **OR**
- Educational records provided by a publicly financed school or other educational institution.

IF EITHER BOX IS CHECKED, THE FOLLOWING PART MUST BE COMPLETED.

Without regard to the permissibility of research under 45 CFR 46, additional restrictions on data gathered or used under FERPA (34 CFR 99) and/or PPRA (34 CFR 98) or their state law equivalents may apply when the research generates or utilizes Educational Records pertaining to the participants.

Waiver of parental (or qualified student) permission under FERPA is requested because:

Educational Records containing personal identifiers are being used to conduct studies to:

- Develop, validate or administer predictive tests, **OR**
- Improve instruction, **AND**
- The studies are conducted in such a way as to prevent identification of students or parents by individuals other than authorized representatives of the record-holding institution, and
- The records are destroyed when no longer needed to fulfill the purposes of the study.

Waiver of parental permission under PPRA is requested because the following types of information will not be collected under the study: **(ALL OF THE 7 ELEMENTS MUST BE CHECKED TO QUALIFY FOR THE WAIVER UNDER THE PPRA)**

- Political affiliations of the student or their parents;
- Mental and psychological problems potentially embarrassing to the student and his/her family;
- Sex behavior and attitudes;
- Illegal, anti-social, self-incriminating and demeaning behavior;
- Critical appraisals of other individuals with whom respondents have close family relationships;
- Legally recognized privileged or analogous relationships, such as those of lawyers, physicians, and ministers; or
- Income (other than that required by law to determine eligibility for participation in a program or for receiving financial assistance under such program).

Signature of Principal Investigator

Date

Wingate University

Research Review Board Application

Date:			
Investigator Name:	Phone:	Email:	
Names of other investigators:			
Type of Review Requested	<input type="checkbox"/> exempt	<input type="checkbox"/> expedited	<input type="checkbox"/> renewal
Project Title:			
General Purpose of the Research:			
Data will be obtained by:			
<input type="checkbox"/> mail	<input type="checkbox"/> observation	<input type="checkbox"/> questionnaire/survey	<input type="checkbox"/> interview/telephone
<input type="checkbox"/> experiment	<input type="checkbox"/> secondary source	<input type="checkbox"/> other (explain)	
<p>Attach Project Description Containing At Least The Following:</p> <ol style="list-style-type: none"> An overview of the proposed research (including risks, benefits, methodologies, and analytics) Specific aims of the project A listing of personnel and their qualifications for participation in the research Pertinent recent research impacting the proposed investigation Consent forms Surveys or interview questions Test forms Subject screening forms Recruitment materials (posters, phone scripts, etc.) Letters of agreement, or other supporting documentation to assure the RRB that appropriate coordination has been done with outside organizations or institutions (clearances to perform research or distribute surveys, etc., at any facility or institution where the research will be conducted) 			
Will any subjects be less than 18 years old? <input type="checkbox"/> yes <input type="checkbox"/> no <i>If Yes, also complete the Investigator Checklist for Research Involving Children</i>			

How many subjects will participate? _____	Are subjects students at Wingate University? <input type="checkbox"/> yes <input type="checkbox"/> no	Are any subjects incarcerated, institutionalized, pregnant, or wards of the state? <input type="checkbox"/> yes <input type="checkbox"/> no	Will the proposed research involve deception of the subjects? <input type="checkbox"/> yes <input type="checkbox"/> no
How will subjects be selected?			
How will subjects be informed of procedures, intent of the study, and potential risks to them?			
What steps will be taken to allow subjects to withdraw at any time without prejudice?			
How will subjects' privacy be maintained and confidentiality guaranteed?			
<i>In making this application, I certify that I have read and understand the Wingate University Guidelines for Research Projects Involving Human and Animal Subjects and I intend to comply with the letter and spirit of the university policy. I agree that significant changes in the protocol will be submitted to the RRB for written approval prior to changes being put into practice, that adverse outcomes, unexpected events, or research subject complaints will be reported immediately to the RRB, and that informed consent records of subjects will be kept for at least 3 years after completion, closure, or cancellation of the research.</i>			
Signature (Principal Investigator):			
This application has been reviewed by the Wingate University Research Review Board:	<input type="checkbox"/> Full Review	<input type="checkbox"/> Exempt	<input type="checkbox"/> Expedited
	<input type="checkbox"/> Approved	<input type="checkbox"/> Deferred	<input type="checkbox"/> Disapproved
Reasons for disapproval:			
SIGNATURE OF RRB CHAIR:			

Capstone Format

Title

Approval page

Copyright

Abstract

Vitae

Acknowledgements (overall professional focus)

Table of Contents

List of Tables

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References

Appendices (centered on page)

Appendix A (centered on page)
Appendix Material

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Appendix Material

(appendix will have the following documents (1) but will not be limited to this document)

1. Research Review Board Permission
2. consent letter(s)
3. summary(s)
4. additional tables

(note the equidistant spacing between sections)

**TITLE OF APPLIED RESEARCH INVERTED
PYRAMID STYLE ALL CAPS**

A CAPSTONE RESEARCH PROJECT

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

TITLE OF DEGREE

Wingate University School of Graduate and Continuing Education

By
Student's Full Name

Wingate University
Matthews Campus
Matthews, N.C.
Official Graduation Month/Year

(note the equidistant spacing between entries)

APPROVAL SHEET

Title of Applied Research
Inverted Pyramid Style

Student's Full Name

Read and Approved by:

Chair

2nd Reader

3rd Reader

(note the equidistant spacing above and below the entries)

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ABSTRACT

TITLE OF APPLIED RESEARCH INVERTED
PYRAMID STYLE ALL CAPS

Student's Full Name

Wingate University School of Graduate and Continuing Education

Chair: Dr. Name Here

Keywords: (list keywords separated by commas that might be used in a search engine to find your research)

Abstract begins here double spaced

VITA

STUDENT'S FULL NAME

PERSONAL

Birthplace: City, State, Country, Year

EDUCATION

B.A. Name of Institution, Year

M.A. Name of Institution, Year

CERTIFICATES AND LICENSES

License & Year

License & Year

License & Year

EMPLOYMENT

Name of Most Current Position, Year

Name of Previous Position, Year

Name of Position, Year

MEMBERSHIPS

Name of Organization

PUBLICATIONS (delete section if none)

Name of Published Item or Bibliographic Citation

Name of Published Item or Bibliographic Citation

CAPSTONE LANGUAGE AND VERB TENSE

USE OF INCLUSIVE LANGUAGE

Language in the capstone should be written in non-sexist inclusive language. The use of male gender terms to describe individuals, groups, or titles, roles that can include the female gender should be rewritten to more accurately reflect that both genders are being addressed. In cases where only one gender is clearly intended, language should be used that reflects that gender.

To avoid awkwardness in wording, please avoid the use of "he/she", "him/her" to reflect both genders. Instead, reframe a sentence in the plural when both genders are implied (e.g. "students.....their" as opposed to "student.....he"). Also use more specific titles or roles when both genders are implied (e.g. "chairman" becomes "chair", "businessman" becomes "business manager" or "business executive", "participants and their wives" becomes "participants and their spouses", "to all men" becomes "to all people", and so on). In all cases, think, talk, and write in terms of being respectful to both genders.

VERB TENSE

Consistent use of verb tenses is used. Past tense (e.g. Smith showed) or present perfect tense (e.g. researchers have shown) is appropriate for the literature review and the description of the procedure if the discussion is of past events. In empirical works, use past tense (e.g. the participants performed) to describe the results. Use the present tense (e.g. the data indicate) to discuss the results and to present the conclusions. In other words, present tense (e.g. blind innocence sees no evil) may be used for universal or timeless truths.

Use present tense to express general truths or facts or conclusions supported by research results that are unlikely to change -in other words, something that is believed to be always true.



Capstone Project Defense Scheduling Form

All dissertation proposal defenses are open to the public.

After getting input from the committee and when the dissertation chair and the student believe the project is ready to defend, the student provides a complete copy of the written report to each committee member and to the Capstone advisor. The Committee Chair in cooperation with members of the committee and Capstone Coordinator determine if the project is ready to defend. The Chair and student, in consultation with the committee members, schedule the defense site, day, and time. Copies of the project must be received by all members of the student's Capstone Committee **ten or more calendar days**, two weeks is recommended, prior to the date of the desired defense. This form with all signatures and a copy of the approved capstone project are then submitted to the Graduate School Office, attention Linda Morris, Administrative Assistant Wingate School of Graduate and Continuing Education, Matthews Campus, at **least five working days prior** to the defense. Please note that modifications or even rejection of the project are possible by the examining committee at the defense.

Student Information

Last Name		First Name	Student ID#
Address		City/State	Zip
Degree Sought	Home Phone	Work/Cell Phone	Email address

Project Defense Information

Capstone Title: _____

Defense is to be held:

Day of Week	Date	Time	Building	Room
-------------	------	------	----------	------

Doctoral student:

- To reserve a room in the graduate school, please call the Dean's Office at (704) 849-3401 (Robin Jensen)

Review Committee Signatures

My signature is verification that I received the project manuscript at **least 10 calendar days prior** to the project defense date. It also signifies that after reviewing the manuscript, I believe it is sufficiently ready to be presented at the defense.

Chair:

Printed Name	Signature
--------------	-----------

Second Reader:

Printed Name	Signature
--------------	-----------

LEA/Organization Reader:

--	--

**Additional Committee Member
(if applicable):**

Printed Name

Signature

Printed Name

Signature

Capstone Coordinator Notification

Capstone Coordinator:

Printed Name

Date Notified

FINAL DEFENSE COPY CONTENT-Final Procedures for Submission and Approval Submitted to Dr. Wimberley after Oral Defense

- All preliminary matters, chapters, and referential matters are completed in full.
- Report covers or notebooks should not be used.
- Defense copies of the completed research document are printed on standard paper.
- Final review for grammatical and compositional integrity performed (Theresa Hopkins).
- Running head removed (final copy)
- Three final copies of the completed and approved research document are to be printed on 100% cotton based bond paper (archival paper) which is available at Kinko's, resume paper E1 pure white.
- Jump drive of capstone submitted with three final copies.
- Final copies to be bound and housed at Wingate University will be reviewed and authorized (by signature) for binding. The review and authorization will be performed by the Director of Graduate Education, Matthews Campus. Electronic copy of the final edition of the completed and approved research document is to be submitted to the Director's office in Acrobat PDF format.
- Before a candidate can have his/her degree conferred, candidate must provide the Capstone Advisor and the Director of Graduate Education proof of submission to the ProQuest system, in order to insure the work is available to the public. You have two options:

1)Traditional ProQuest/DAI (via the UMI ETD Administrator). This is the best option if your Capstone Project contains sensitive information, plans, or action materials over which you wish to limit access.

2)The Open Access Publishing Plus Option ensures the widest availability of your work. There is a small fee to support the open access publishing. This is the most appropriate venue for the majority of your Capstone Projects, as you generally all have a “sponsoring agency” with which you worked. This ensures your work can be accessed widely by those doing research.

Specific instructions and forms are available in your final seminar course ER7433.

- The Wingate School of Graduate and Continuing Education will bind two copies of the Capstone. One copy will be housed at the Ethel K. Smith Library at Wingate, 2nd floor. The second copy will be housed at the Matthews campus.

- The copy kept at the main campus will be listed on the Ethel K. Smith Library online catalog. Copies will not be circulated. Reference/research use of the document will be in person only at the library.

Student Name: _____ Cohort: _____

APPLICATION CHECKLIST FOR LICENSURE/GRADUATION
WINGATE UNIVERSITY
Ed.D EDUCATIONAL LEADERSHIP PROGRAM

Verification by Institution

Capstone completed

Final copies (3) signed and submitted

Theresa Hopkins

Jump drive of completed capstone submitted

Theresa Hopkins

DAI preparation requirements

Dr. Amy White

Copy of signed Capstone cover sheets
and rubric filed

Linda Morris

Application for Licensure submitted
(form A)

Theresa Hopkins

Check \$55.00 made out to NC DPI for
licensure (Doctorate) submitted

Theresa Hopkins

Application for graduation submitted
(\$135.00 fee to be billed upon receipt of application)

Theresa Hopkins

Check for \$80.00 for regalia made out to
Wingate University bookstore (optional)

Theresa Hopkins

Verification

Lloyd G. Wimberley, Jr., Ed.D
Director/Associate Professor
Wingate University School of Graduate and Continuing Education

Date: _____

AUTHORSHIP POLICY WINGATE UNIVERSITY

Faculty members' names may not be included as authors on any scholarly work in return for supervision.

Faculty members' will adhere to the authorship policy as stated by the Research Review Board in "Scholarly Work Proposal-Authorship and Management of Data", under Authorship Policy: An author must have documentation, approved by his/her department head, of making a significant contribution in at least 2 of the following 5 categories to be considered an author at any level on any manuscript that comes from Wingate University.

1. Substantially contribute to the conceptualization, design, planning, and initiation of the study that is the basis for the manuscript.
2. Provide or arrange for the resources and/or materials required for the completion of the study.
3. Create or design a method, device, system, or process essential for the completion of the study.
4. Perform the data collection, substantial data processing, substantial analysis, or complete data interpretation.
5. Materially contribute as a writer to the literature review or interpretation, or to discussion segments of the publication.

If individuals feel that they have contributed to work in accordance to the guidelines listed above and are not recognized as an author, they should contact the RRB immediately. In cases where no agreement can be reached between the involved parties, an impartial third party will be used. This person will be selected by agreement of all parties involved and the third party determination shall be final.