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### THESIS TIMELINE FOR MAT CANDIDATES (full-time)

<table>
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<th>Semester</th>
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| **1st semester**<br> (fall) | - Start thinking about how the papers and projects you’re doing for other classes may inform your thesis idea.  
- Go to the library to see other Art Education theses.  
- Read academic journals to become familiar with current issues in the field. |
| **2nd semester**<br> (spring) | - Enroll in **MAT Thesis I (ARTED 5290 Graduate Art Education Thesis: Research as Social Inquiry)**  
- Develop and finalize Introduction, Literature Review, Methods and Parameters sections of your thesis.  
- You will present your proposal to a panel of outside readers twice in the semester for final approval.  
- Your thesis must be an action research project conducted in a public school (while you are student teaching).  
- After your final panel review, you will be advised of the revisions necessary. If they are extensive, you will receive an INC for the course.  
- Assigned a full-time faculty advisor and reader. You choose your own peer advisor. You may also choose an additional reader if you like (this person may be outside of the department but receives no compensation). |
| Summer | - Work on revising proposal based on panel’s suggestions. |
| **3rd semester**<br> (fall) | - Enroll in two (3 credit) electives that support your thesis development.  
- Email your advisor and reader(s).  
- Within the first few weeks of the semester, give a hard copy of your revised thesis proposal to your advisor and reader(s).  
- Based on your student teaching placement, revise your Methods and Parameters sections to reflect your school site, project, and participants. Also, add to your Introduction and Literature Review sections as specified in the Thesis Outline document.  
- Meet with your advisor at least once to discuss your lesson plans and project for your thesis.  
- Prepare a 1-page overview of your thesis proposal to present to and discuss with your cooperating teacher. You may need to alter your lessons based on their curriculum and/or availability of supplies. |
| 4th semester (spring) | -Enroll in MAT Thesis II (ARTED 6110 Thesis II)  
-Meet with your thesis advisor regularly.  
-Continue to add to your Introduction, Literature Review, and Methods sections as specified in the Thesis Outline document.  
-Conduct thesis project during 1st seven weeks of your Apprentice Teaching (student teaching). During this time you should be writing your Story section. Make sure you electronically document the student’s work. You will need this for your data analysis.  
-During the 2nd seven weeks of your placement (at your next school placement site) you will, in addition to student teaching, write your other thesis sections (Title Page, Acknowledgments, Table of Contents, Discussion, Conclusions/Recommendations, References, Appendixes.  
-Once the final proposal is nearly completed, give a copy to your reader(s) for their feedback.  
-Present your final thesis to a panel (made up of your thesis advisor, readers, and peer advisor) at the end of the semester for final feedback and approval. Your final thesis must be delivered to your advisor and reader(s) a minimum of two weeks before your thesis presentation.  
-Revise thesis based on panel’s recommendations.  
-Work closely with your advisor to finalize your thesis according to Library and APA specification.  
-Deliver three high quality copies of your thesis – two copies to the library (with Flaxman Library cover sheets – one for each copy) and one copy to the Department of Art Education. Also, provide a digital copy of your thesis, along with a separate digital copy of your Abstract and associated images for publication on the SAIC web site (please submit on a CD or DVD using the Microsoft Word .doc format for text, and .jpeg format for images).  

**NOTE:** If you do not complete your thesis by the end of the Add/Drop period of the following semester you will be charged a $500 IP (In-progress) fee by SAIC – NO EXCEPTIONS!!!
# THESIS TIMELINE FOR MAAE STUDENTS (full-time)

<table>
<thead>
<tr>
<th>Semester</th>
<th>Tasks</th>
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| 1st semester (fall) | - Start thinking about how the papers and projects you’re doing for other classes may inform your thesis idea.  
- Go to the library to see other Art Education theses.  
- Read academic journals to become familiar with current issues in the field. |
| 2nd semester (spring) | - Enroll in MAAE Thesis I (ARTED 6109 Thesis I: Research Methodology)  
- Develop and finalize Introduction, Literature Review, Methods and Parameters sections of your thesis.  
- You will present your proposal to a panel of outside readers twice in the semester for final approval.  
- After your final panel review, you will be advised of the revisions necessary. If they are extensive, you will receive an INC for the course.  
- Assigned a full-time faculty advisor and reader. You choose your own peer advisor. You may also choose an additional reader if you like (this person may be outside of the department but receives no compensation). |
| Summer       | - Work on revising proposal based on panel’s suggestions.  
- If desired, locate a fieldwork location and enroll in Graduate Fieldwork to collect your data (ARTED 6105).  
- Starting looking for a fieldwork location, if you have not already done so. |
| 3rd semester (fall) | - Enroll in Fieldwork (ARTED 6105 Graduate Fieldwork) to collect your data.  
- Email your advisor and reader(s).  
- Within the first few weeks of the semester, give a hard copy of your revised thesis proposal to your advisor and reader(s).  
- Prepare a 1 page overview of your thesis proposal to present to and discuss with your fieldwork supervisor. You may need to alter your project based on their organization and/or time and supply availability.  
- Based on your fieldwork location revise your Methods and... |
Parameters sections to reflect your site, project and participants. Also, add to your Introduction and Literature Review sections as specified in the Thesis Outline document.

-During this time you should be writing your Story section. Make sure you electronically document the student’s work. You will need this for your data analysis.

-Meet with your advisor at least once to discuss your fieldwork project and data collection and analysis strategies.

<table>
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<tr>
<th>4th semester (spring)</th>
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<tr>
<td><strong>-Enroll in Thesis II (ARTED 6110 Thesis II)</strong></td>
</tr>
<tr>
<td>-Meet with your thesis advisor regularly.</td>
</tr>
<tr>
<td>-Continue to add to your Introduction, Literature Review, and Methods sections as specified in the Thesis Outline document.</td>
</tr>
<tr>
<td>-Write your other thesis sections (Title Page, Acknowledgments, Table of Contents, Abstract, Discussion, Conclusions / Recommendations, References, Appendixes.</td>
</tr>
<tr>
<td>-Once the final proposal is nearly completed, give a copy to your reader(s) for their feedback.</td>
</tr>
<tr>
<td>-Present your final thesis to a panel (made up of your thesis advisor, readers, and peer advisor) at the end of the semester for final feedback and approval. Your final thesis must be delivered to your advisor and reader(s) a minimum of two weeks before your thesis presentation.</td>
</tr>
<tr>
<td>-Revise thesis based on panel’s recommendations.</td>
</tr>
<tr>
<td>-Work closely with your advisor to finalize your thesis according to Library and APA specification.</td>
</tr>
<tr>
<td>-Deliver three high quality copies of your thesis – two copies to the library (with Flaxman Library cover sheets – one for each copy) and one copy to the Department of Art Education. Also, provide a digital copy of your thesis, along with a separate digital copy of your Abstract and associated images for publication on the SAIC web site (please submit on a CD or DVD using the Microsoft Word .doc format for text, and .jpeg format for images).</td>
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</tbody>
</table>

**NOTE:** If you do not complete your thesis by the end of the Add/Drop period of the following semester you will be charged a $500 IP (In-progress) fee by SAIC – NO EXCEPTIONS!!!
Supporting Roles and Responsibilities

Thesis Advisor
The Thesis Advisor is an Art Education faculty member whose role is to provide thesis guidance and advisement on (1) quality and depth of content, (2) clarity of thesis design and organization, and (3) sound evaluation and reasoning. The MAT/MAAE student should meet with their Thesis Advisor following the successful completion of Thesis I, and before beginning Thesis II.

MAAE Students occasionally work with a primary Thesis Advisor outside the Department of Art Education. In this case, the duration of the advising relationship is limited to a 15-week semester or a similar schedule determined by the Thesis Advisor, MAAE Director and the student. Special arrangements for contracting with an advisor outside the department must be negotiated and approved by the MAAE Director.

Peer Advisor(s)
Peer Advisors evaluate progress and provide reciprocal support for other students during the processes of planning and writing their theses. The Peer Advisor is selected from the group of students currently enrolled in the MAT/MAAE programs. Peer Advisors meet regularly to discuss work in progress and exchange drafts for review and revision.

Reader(s)
The role of a Thesis Reader is to provide constructive critical review of the written project. Thesis Readers may be SAIC faculty or professionals in the field. A Reader’s role is to consider one or more of the following: congruency between the thesis statement and the rationale, the clarity of focus and depth of scholarship within the review of literature, and/or examine the structural organization and expression of ideas in the writing.

More than one Thesis Reader is recommended and may be consulted at one or several points during the project, depending on the needs of each student and the availability of the Reader. The student is responsible for contacting Thesis Readers and negotiating a clearly defined working process. Thesis Advisors will consult with students about this process. Thesis Readers are not responsible for editing text, this is the job of an editor.

Editor
A professional Editor may be employed by the student to provide editing for APA style, grammar, spelling, and punctuation. Depending on individual needs, an Editor may provide additional suggestions for improving clarity, smoothness, and economy of expression. Contact the Art Education office for additional information regarding professional editors.
Graduate Art Education THESIS OUTLINE

The following information is to guide you in composing the different sections of a thesis. The sections are described in the order they are to appear in your paper.

1. **TITLE PAGE**: Refer to the Title Page example for specific content and format. Capitalize the entire title, and include the middle initial in your name for cataloging reference. The title clearly states your TOPIC the subject of your thesis. While you may wax poetic, the reader must also receive clear and cogent information. A title that does not communicate its contents can be misleading. What does your title tell a potential reader perusing an index? Pay attention to Keywords. (Proposal and Full Thesis)

2. **ACKNOWLEDGEMENTS**: This is where you acknowledge individuals, organizations, or institutions that have contributed to the development of your work. (Full Thesis, 1 page)

3. **TABLE OF CONTENTS**: Use appropriate APA headings. List page numbers for each individual chapter or section of the entire thesis. (Proposal and Full Thesis)

4. **ABSTRACT**: This piece is written LAST. The abstract describes what the reader will find in the thesis in not more than 400 words. The abstract describes intent, poses research questions, identifies methodologies, and describes conclusions. For further specifications, refer to the APA Manual, 5th edition. (Full Thesis)

5. **INTRODUCTION**: This section includes any relevant personal or professional background to your topic. Here is where you introduce your goals and objectives, and research questions. Consider your personal voice and how your narrative (stories) fit within the current discourse, or need for discourse on your topic. You may include quotes, but remember to contextualize them. In this section, answer the following questions: How did you choose your topic? How is this topic/project meaningful, critical, and transformative? How do the parts of your thesis relate to one another? Your mission is to grab the reader's interest here. In short, your passion goes here. (Proposal and Full Thesis, 5-15 pages)

6. **LITERATURE REVIEW**: This is where you establish the theoretical framework and demonstrate knowledge of the subject matter. Here is where you reveal gaps in available research and identify needs. Here is where you describe in detail what you want to gain from your research. Here is where you describe how the study is intended to contribute to the field (theory, practice, policy, etc.) and to individuals. Answer the questions: What is the intellectual context of your work? What else has been written on your topic (in art education and in related fields)? Do you challenge, refute, enlarge, or support the existing research/debate? In short, your scholarship goes here. (Proposal 10-20 pages; and Full Thesis, 20-30 pages)
7. **METHOD**: Here is where you identify your methods(s) of research and provide a rationale for the selection. Here is where you describe the method(s): population and setting, data collection procedures, and data analysis procedures. Answer the questions: How did you go about your study? What, precisely, are the ways you got your information? What is the context of this work? Where did your study take place? If you conducted interviews, a survey, etc., describe the people. In short, this section should be an inclusive and concrete description. (Proposal 3 pages; and Full Thesis, 5+ pages)

8. **PARAMETERS** (Delimitations and limitations): Delimitations are the boundaries of your research. Limitations are the methodological constraints, including any margin of error. In this section you should articulate biases and orientation of research, which will influence the way in which data is gathered and interpreted. This is an inclusive and concrete description. (Proposal 1-2 pages; and Full Thesis, 2+ pages)

9. **STORY**: This is the body of your paper and will have an organization of its own, depending on your topic. Here is where you describe “what happened.” Here is where you describe the full process, in detail. It must have a beginning, middle and end. (Full Thesis, 10-20 pages)

10. **DISCUSSION**: Here is where you analyze your data. Answer the question: What does it all mean? What does it mean to you personally to have done this work? What does it mean to those with whom you worked? What does it mean to the field of art education? In short, answer your main research questions and remind the readers how this work was meaningful, critical, and transformative. (Full Thesis, 15-20 pages)

11. **CONCLUSIONS/RECOMMENDATIONS**: Answer the question: What does your work imply for the future: yours and future researchers? (Full Thesis, 5-10 pages)

12. **REFERENCES** References are all works cited.

13. **APPENDIXES**: Provides the reader with detailed information that would be distracting to read in the main body of the thesis. Common kinds of appendixes include sample questionnaires, surveys, lesson plans, release forms, and other documentation used in research. Please note: If your thesis has only one appendix, label it Appendix; if your thesis has more than one appendix, label each one with a capital letter (Appendix A, Appendix B, etc.) in the order in which it is mentioned in the thesis.
MAT/MAAE Art Education Thesis Specifications

The following specifications are required of your thesis:

1. **Language**
   The thesis is to be written in grammatically correct English. It should be free of sexist or biased language, unless use of this type of language is linked directly with data collected in the field or is necessarily used as an exemplar relevant to the thesis question. You may find it useful to consult “Guidelines to Reduce Bias in Language” found in the 5th edition of the *Publication Manual of the American Psychological Association*, which is the required style reference for the education field and your thesis.

2. **Margins**
   The finished paper, including the appendix, must be formatted using the margins indicated below:
   - Left margin = 1 1/4 inches
   - Right margin not less than 1 inch
   - Top margin of running text = 1 1/2 inches; top margin to a chapter or a heading = 2 inches
   - Bottom margin of running text = 1 1/2 inches

3. **Font**
   The font should be Times or Times New Roman, 12 point for legibility, and consistent throughout the text. Exception is made for headings and/or subheadings. Print must be black for reproduction. The use of dot matrix printers with output of less than 200 dpi is unacceptable.

4. **Spacing**
   All type should be double-spaced, with the following exceptions:
   - Quotations of 40 or more words should be block quotes: justified to the left margin by five spaces and single-spaced. Do not use quotation marks to enclose block quotations.
   - Footnotes and endnotes should be single-spaced
   - Each reference entry should be single-spaced, but double spaced between entries
   - Table and figure titles should be single-spaced
   - Run-over lines in the table of contents and in lists of figures and tables should be single-spaced

5. **Page Numbers**
   Use small roman numerals for all pages prior to the Introduction, with the exception of the Title Page, which is accounted for in the pagination but is not numbered. The subsequent page are numbered with Arabic numerals in the upper right-hand corner. All page numbers (Roman and Arabic) are placed at least 1 inch from the right hand edge of the page and ½ inch from the top of the page.

6. **Headings**
   Headings represent the outline of a text. Refer to “Headings and Series” in the APA Manual.

For further specifications, refer to the *APA Manual, 5th edition.*
TITLE HERE IN ALL CAPS
CENTERED

Thesis submitted in partial fulfillment of requirements for the degree of
Master of ________________

by

Your Full Name

Department of ______________________
The School of the Art Institute of Chicago

Semester, Year

Thesis Committee:
Adviser:    Full Name, Title, and Institution

Reader(s): Full Name, Title, and Institution for each Reader
Abstract Layout (following the APA specs)

For SAIC, each of these points should be about a paragraph. The total word count of the abstract should be 400-500 words.

1. State the problem you're researching. What is it that you're investigating? And Why? Include your research questions (here or in the Methods section)

2. Who's involved (participants, where and when)?

3. Method. HOW are you doing this project? What types of data did you collect and how did you go about this?

4. Results. What did you find?

5. Recommendations and Implications for the field. What does it all mean?

PLUS YOU WILL INCLUDE COPIES OF IMAGES THAT SUPPORT YOUR THESIS.

MORE INFORMATION WILL BE PROVIDED DURING THE SPRING SEMESTER REGARDING THE SAIC SPECIFICATIONS FOR CREATING AND SUBMITTING YOUR ABSTRACT AND SUPPORTING DOCUMENTATION.
1. STUDENTS: If, after reading these instructions, you have questions or suggestions, please direct them to your Thesis Advisor and/or Program staff. DESIGNATED STAFF will coordinate issues for each Program and will work with the Flaxman Library Acquisitions Assistant to resolve them.

2. TWO COPIES: Students are required to provide their Program with two complete copies of their thesis. Program staff (not students) will deliver both copies of the approved theses of their graduating students to the Flaxman Library. Each copy must be clean, complete, and collated. Copies containing obvious omissions will be returned to the submitting Program.

   a. Worksheets are required for theses submitted in any format (e.g., print, video, digital, etc.).
   b. Enter information on the Worksheets exactly as it appears on the thesis title page.

4. TITLE PAGE: A title page is required for theses submitted in any format. If your thesis is in print format, the title page will be the first page of your text and will be bound into the volume. If your thesis is in any other format, simply attach a title page to each Worksheet. In all cases, you must include the following data:
   a. DEGREE PROGRAM
   b. SEMESTER & YEAR of graduation
   c. STUDENT NAME *
   d. THESIS ADVISOR
   e. THESIS READER(S)

5. BINDING OF PRINTED THESES: If you are submitting a thesis in print form to be bound, please note…
   a. If your Program requires an abstract, please include the printed abstract within your text to be bound.
   b. Only white paper, 8.5" by 11", will be accepted.
   c. The finished size of the bound volume will be 13.5" high and 8.75" wide.
   d. Theses are hard-bound with black cloth and gold lettering only.
   e. The bindery will automatically divide any text that is over 4" thick into smaller volumes. If your thesis is over 4" thick, specify on the Worksheet where the volume separation(s) should occur.
   f. Paper inclusions (illustrations, graphs, maps, charts, etc.) 8.5" x 11" or smaller will be bound in place, at the spot where you add them in the collation. Odd-sized inclusions will be aligned evenly at the bottom of the text block unless you supply instructions to do otherwise. Inclusions larger than 8.5" by 11" will be placed at the back of the volume in a cloth pocket, unless otherwise requested.
   g. Photographs or other illustrations that require mounting should be archivally mounted with dry-mount tissue to the same type of paper as used for the text. Do not use: spray-mount; photo corners; plastic sleeves; rubber cement; etc.
   h. Two copies of any accompanying materials (CDs, DVDs, etc.) must be submitted -- one per thesis copy. These will be cataloged by the libraries as a supplement to the thesis, and will be stored according to the requirements of the medium.
   i. Flaxman Library is responsible for all bindery costs and shipment details for the library copies. Bindery shipments are sent/received on a once-monthly schedule.

6. NON-PRINT THESES: If you are submitting a thesis in any format other than a standard text, follow steps 1-4 above. Some formats and media may require unique treatment in a library environment. Program staff should discuss the treatment and placement of non-print theses within the library with the Flaxman Library Acquisitions Assistant (preferably before delivery).

7. LIBRARY COLLECTIONS: One copy of your thesis will be placed in the Flaxman Library. The other copy will be placed in either the Ryerson & Burnham Libraries or the AIC Institutional Archives. Cataloging records will appear in our local, state, and international online catalogs. Our goal is to ensure continued access to and preservation of your thesis as an intellectual and artistic product of The School. Thank you for your contribution.

* Please verify and/or update your name and other contact information in PeopleSoft Self-Service (on the Tools tab in the portal).
FLAXMAN LIBRARY THESIS SUBMISSION WORKSHEET

PRINT exactly as it appears on the title page of the thesis.

Student's name: _________________________________________________________________

Complete thesis title: ____________________________________________________________

If the title is extraordinarily long, supply a shortened version for the cover of bound thesis:

________________________________________________________________________________

Program submitting the thesis:

_____ Arts Admin MAAP

_____ Art History, Theory, & Criticism MAAH

_____ dual degree: Arts Admin / Art Hist MAHA

_____ Art Education MAAE

_____ Art Ed - Teaching MAT

_____ Art Therapy MAAT

_____ Historic Preservation

_____ New Arts Journalism MAAJ

_____ Visual & Critical Studies MAVCS

_____ Writing MFAW

Program contact person: __________________________________________________________

Phone: ___________________________ E-mail: ______________________________________

FORMAT(S): check ALL that apply and Indicate the NUMBER of pieces in each category.

PRINTED TEXT

☐ 8.5” X 11” paper

☐ other print (describe)

If text block is over 4” thick, split the volumes at page(s):

OTHER FORMATS

☐ audio CD

☐ video DVD

☐ other (describe)

ADDITIONAL INSTRUCTIONS

(if any)

This section for library use only.

Date received from department: ____________ Other preparation: ______________

Date sent to bindery: _____________________

Date returned from bindery: c.1 ____________ Notified department: ______________

______________

c.2 ____________ Sent copy to Ryerson: ______________

______________

Last updated May 12, 2008
I. VISION AND MISSION OF THE INSTITUTION AND UNIT

A. Development of Conceptual Framework

In beginning to write the conceptual framework, the Unit faculty was clear that we were embracing a newly articulated version of art education, one still being defined and debated, and that the ideas forming our foundation of critical citizenship and visual culture must be clearly defined and evident throughout our program’s curricula.

Critical
As a department, we understand that art education is not just about the manufacturing and interpreting of objects within the visual world but that it also includes teaching about power, through a critical examination of the arts. “Critical” implies an awareness of power and also “a commitment to justice,” according to social theorist Patricia Hill Collins (2000, p. 298). For example, education about the arts should include not only discussion of how objects are produced, but of who produces them, benefits from their production, and has access to them after production, and how to make the system of production and access fairer for all involved. A critical approach calls for analysis and action.

Citizenship
A central question in education is, “What kinds of citizens do we need to support an effective democratic society?” There are several forms of citizenship, and the particular vision that we advance in our program is of the “justice oriented” citizen (Westheimer & Kahne, 2004). While this is the least commonly promoted idea of citizenship, for us, it is the most important for teachers of visual culture, because it argues that root causes and issues must be sought, and action must be taken. This form of citizenship does not emphasize particular perspectives or priorities, but rather, works to encourage deep engagement with ideas, analysis and research, and social change based on what is discovered (Westheimer & Kahne, 2004).

Visual Culture
Living in a world where images are omnipresent, such as in the everyday designed objects used at home and in school, in advertising, and in recreational games and music videos, it seems that encounters with what is visual are multiplying. Technologies like the Internet make it easier than ever for images to be broadcast and viewed widely. For these reasons, it was and remains crucial to the Unit faculty that images are examined as important, information rich sources in our curricula. Our contemporary culture of images influences all learners, and a discerning eye is necessary to navigate the sources and meanings of this information.

The Unit and our stakeholders conceived of a teacher preparation program in which candidates and all our students would be encouraged to understand and engage in this complex culture with a philosopher’s skepticism. We met regularly as a Unit to
formulate our program’s goals and we solicited our stakeholder’s input, as we collaboratively conceived of a teacher preparation program grounded in critical citizenship in visual culture. Situated at The School, long at the vanguard of professional art education, the Unit found a supportive and apt context for this program.

2. Critical, meaningful and transformative.

Our teacher candidates frequently hear faculty say that a lesson should be, “critical, meaningful and transformative.” This list of adjectives is a key achievement goal for their student teaching and it is a tool of self-assessment directly tied to critical citizenship in visual culture. To be critical is to pay attention to power, seek root understandings, and to seek change where needed; teachers help their students think and act critically. A critical citizen interrogates the surrounding world and seeks what is meaningful; teachers seek what is meaningful for their students. Finally, an educational experience should be transformative; successful lessons help our candidates, and by extension, their students, see the world differently, or to be changed within it. These ideas guide the lesson planning process.

VI. KNOWLEDGE BASE BIBLIOGRAPHY

The following bibliography includes the sources cited in the Conceptual Framework as well as additional works essential to our knowledge base:


APPENDIX B
From an idea to a plan: Suggestions for writing an effective thesis proposal

An Overview: Research in the context of the graduate art education programs is a focused investigation into a question of personal interest with consideration of ways to apply the findings to the broader concerns of the Art Education field. Projects are based on problems that arise out of the student’s experiences and goals. It is an opportunity to critically reflect upon and synthesize previous experiences and knowledge, as well as generate new knowledge, to arrive at deeper understandings relevant to the Art Education field.

Questions to Consider:

1. What is your idea?
   • What is your concern, theory, or questions?
   • What are the beliefs, assumptions, and experiences that generate your idea? What is the context that shapes your thinking and perceptions?
   • What expertise do you have relative to the idea?
   • How does the topic relate to the needs of the field?
   • Have others explored the issue/idea? How will your study distinguish itself from other efforts?
   • What scholarly literature, both historical and current, exists on the topic? What is the range of perspectives that exist on this topic? Think of 3 to 5 keywords that describe your topic’s central elements for purposes of conducting literature searches.

2. What is the question(s) or research problem?
   • What is the significant problem that this proposal intends to address?
   • What population(s) is (are) affected by this study?
   • How is the need to investigate the problem linked to your topic?

3. What do you want to accomplish?
   • What is the intended use of this investigation (the goal, projected application or value)?
   • What is the project’s scope? Is this realistic given your personal resources and time constraints?

4. What are the methods for achieving the goals and objectives?
   • What tasks will you need to complete? Which professionals will you need to confer, for content advisement, data, etc.? What resources will you need to access? What surveys or studies will you need to design and conduct?
   • What is the proposed schedule for completion?

5. Evaluating the outcome of your study:
   • How will you assess and/or measure your project results?
   • What questions will your evaluation seek to answer?
   • What data will be analyzed?
   • How will the findings be used?
The following sections of the thesis proposal must be completed and in approved APA format before the student/teacher candidate receives credit for the course:

1. **TITLE PAGE**: Refer to the Title Page example for specific content and format. Capitalize the entire title, and include the middle initial in your name for cataloging reference. The title clearly states your TOPIC the subject of your thesis. While you may wax poetic, the reader must also receive clear and cogent information. A title that does not communicate its contents can be misleading. What does your title tell a potential reader perusing an index? Pay attention to Keywords.

2. **TABLE OF CONTENTS**: Use appropriate APA headings. List page numbers for each individual chapter or section of the entire thesis.

3. **INTRODUCTION**: This section includes any relevant personal or professional background to your topic. Here is where you introduce your goals and objectives, and research questions. Consider your personal voice and how your narrative (stories) fit within the current discourse, or need for discourse on your topic. You may include quotes, but remember to contextualize them. In this section, answer the following questions: How did you choose your topic? How is this topic/project meaningful, critical, and transformative? How do the parts of your thesis relate to one another? Your mission is to grab the reader's interest here. In short, your passion goes here. (5-15 pages)

4. **LITERATURE REVIEW**: This is where you establish the theoretical framework and demonstrate knowledge of the subject matter. Here is where you reveal gaps in available research and identify needs. Here is where you describe in detail what you want to gain from your research. Here is where you describe how the study is intended to contribute to the field (theory, practice, policy, etc.) and to individuals. Answer the questions: What is the intellectual context of your work? What else has been written on your topic (in art education and in related fields)? Do you challenge, refute, enlarge, or support the existing research/debate? In short, your scholarship goes here. (10-20 pages)

5. **METHOD**: Here is where you identify your methods(s) of research and provide a rationale for the selection. Here is where you describe the method(s): population and setting, data collection procedures, and data analysis procedures. Answer the questions: How did you go about your study? What, precisely, are the ways you got your information? What is the context of this work? Where did your study take place? If you conducted interviews, a survey, etc., describe the people. In short, this section should be an inclusive and concrete description. (3 pages)

6. **PARAMETERS** (Delimitations and limitations): Delimitations are the boundaries of your research. Limitations are the methodological constraints, including any margin of error. In this section you should articulate biases and orientation of...
research, which will influence the way in which data is gathered and interpreted. An inclusive and concrete description. (1-2 pages)

7. **REFERENCES** References are all works cited, in APA format.

8. **APPENDIXES**: Provides the reader with detailed information that would be distracting to read in the main body of the thesis. Common kinds of appendixes include sample questionnaires, surveys, lesson plans, release forms, and other documentation used in research. Please note: If your thesis has only one appendix, label it **Appendix**; if your thesis has more than one appendix, label each one with a capital letter (Appendix A, Appendix B, etc.) in the order in which it is mentioned in the thesis.

Additionally, the student must present at two sessions throughout the semester, a progress and a final panel review, in order to pass the course with a CR. Those who are unable to do so must have a credible excuse and must make prior arrangements with the instructor.

See syllabus for additional requirements necessary to pass the course.
Much of the APA's style guidance covers fairly clear-cut issues, such as punctuation and formula presentation.

There also exists a large segment of information that deals with the style and function of more complex expression. Knowing how to write without bias, for instance, or what constitutes ethical publication can elude newcomers and longtime authors alike.

Here we offer extended discussions of some of these complex issues. We've also included some of the nuts-and-bolts advice on how to reference electronic media. Standards are changing so rapidly that they also merit focused, in-depth discussion.

The electronic media and reference sections will be updated regularly as APA guidelines evolve.

We also have tips on specific questions.
In-Text Citations: The Basics

Reference citations in text are covered on pages 207-214 of the Publication Manual. What follows are some general guidelines for referring to the works of others in your essay.

Note: APA style requires authors to use the past tense or present perfect tense when using signal phrases to describe earlier research. E.g., Jones (1998) found or Jones (1998) has found...

APA Citation Basics

When using APA format, follow the author-date method of in-text citation. This means that the author's last name and the year of publication for the source should appear in the text, E.g., (Jones, 1998), and a complete reference should appear in the reference list at the end of the paper.

If you are referring to an idea from another work but NOT directly quoting the material, or making reference to an entire book, article or other work, you only have to make reference to the author and year of publication in your in-text reference.

In-Text Citation Capitalization, Quotes, and Italics/Underlining

- Always capitalize proper nouns, including author names and initials: D. Jones.
- If you refer to the title of a source within your paper, capitalize all words that are four letters long or greater within the title of a source: Permanence and Change. Exceptions apply to short words that are verbs, nouns, pronouns, adjectives, and adverbs: Writing...
New Media, There Is Nothing Left to Lose.

(Note: in your References list, only the first word of a title will be capitalized: Writing new media.)

- When capitalizing titles, capitalize both words in a hyphenated compound word: Natural-Born Cyborgs.
- Capitalize the first word after a dash or colon: "Defining Film Rhetoric: The Case of Hitchcock's Vertigo."
- Italicize or underline the titles of longer works such as books, edited collections, movies, television series, documentaries, or albums: The Closing of the American Mind; The Wizard of Oz; Friends.
- Put quotation marks around the titles of shorter works such as journal articles, articles from edited collections, television series episodes, and song titles: "Multimedia Narration: Constructing Possible Worlds"; "The One Where Chandler Can't Cry."

Short Quotations

If you are directly quoting from a work, you will need to include the author, year of publication, and the page number for the reference (preceded by "p."). Introduce the quotation with a signal phrase that includes the author's last name followed by the date of publication in parentheses.

According to Jones (1998), "Students often had difficulty using APA style, especially when it was their first time" (p. 199). Jones (1998) found "students often had difficulty using APA style" (p. 199); what implications does this have for teachers? If the author is not named in a signal phrase, place the author's last name, the year of publication, and the page number in parentheses after the quotation. She stated, "Students often had difficulty using APA style," (Jones, 1998, p. 199), but she did not offer an explanation as to why.

Long Quotations

Place direct quotations longer than 40 words in a free-standing block of typewritten lines, and omit quotation marks. Start the quotation on a new line, indented five spaces from the left margin. Type the entire quotation on the new margin, and indent the first line of any subsequent paragraph within the quotation five spaces from the new margin. Maintain double-spacing throughout. The parenthetical citation should come after the closing punctuation mark.
Jones's (1998) study found the following:
Students often had difficulty using APA style, especially when it was their first time citing sources. This difficulty could be attributed to the fact that many students failed to purchase a style manual or to ask their teacher for help. (p. 199)

Summary or Paraphrase

If you are paraphrasing an idea from another work, you only have to make reference to the author and year of publication in your in-text reference, but APA guidelines encourage you to also provide the page number (although it is not required.)

According to Jones (1998), APA style is a difficult citation format for first-time learners.
APA style is a difficult citation format for first-time learners (Jones, 1998, p. 199).

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In-Text Citations: Author/Authors

APA style has a series of important rules on using author names as part of the author-date system. There are additional rules for citing indirect sources, electronic sources, and sources without page numbers.

Citing an Author or Authors

A Work by Two Authors: Name both authors in the signal phrase or in the parentheses each time you cite the work. Use the word "and" between the authors' names within the text and use the ampersand in the parentheses.

Research by Wegener and Petty (1994) supports...

(Wegener & Petty, 1994)

A Work by Three to Five Authors: List all the authors in the signal phrase or in parentheses the first time you cite the source.

(Kernis, Cornell, Sun, Berry, & Harlow, 1993)

In subsequent citations, only use the first author's last name followed by "et al." in the signal phrase or in parentheses.

(Kernis et al., 1993)

In et al., et should not be followed by a period.
Six or More Authors: Use the first author's name followed by et al. in the signal phrase or in parentheses.

Harris et al. (2001) argued...

(Harris et al., 2001)

Unknown Author: If the work does not have an author, cite the source by its title in the signal phrase or use the first word or two in the parentheses. Titles of books and reports are italicized or underlined; titles of articles and chapters are in quotation marks.

A similar study was done of students learning to format research papers ("Using APA," 2001).

Note: In the rare case the "Anonymous" is used for the author, treat it as the author's name (Anonymous, 2001). In the reference list, use the name Anonymous as the author.

Organization as an Author: If the author is an organization or a government agency, mention the organization in the signal phrase or in the parenthetical citation the first time you cite the source.

According to the American Psychological Association (2000),...

If the organization has a well-known abbreviation, include the abbreviation in brackets the first time the source is cited and then use only the abbreviation in later citations.

First citation: (Mothers Against Drunk Driving [MADD], 2000)

Second citation: (MADD, 2000)

Two or More Works in the Same Parentheses: When your parenthetical citation includes two or more works, order them the same way they appear in the reference list, separated by a semi-colon.

(Berndt, 2002; Harlow, 1983)

Authors With the Same Last Name: To prevent confusion, use first initials with the last names.

(E. Johnson, 2001; L. Johnson, 1998)

Two or More Works by the Same Author in the Same Year: If you have two sources by
the same author in the same year, use lower-case letters (a, b, c) with the year to order the entries in the reference list. Use the lower-case letters with the year in the in-text citation.

Research by Berndt (1981a) illustrated that...

**Introductions, Prefaces, Forewords, and Afterwards:** When citing an Introduction, Preface, Foreword, or Afterward in-text, cite the appropriate author and year as usual.

(Funk & Kolln, 1992)

**Personal Communication:** For interviews, letters, e-mails, and other person-to-person communication, cite the communicators name, the fact that it was personal communication, and the date of the communication. Do not include personal communication in the reference list.


A. P. Smith also claimed that many of her students had difficulties with APA style (personal communication, November 3, 2002).

**Citing Indirect Sources**

If you use a source that was cited in another source, name the original source in your signal phrase. List the secondary source in your reference list and include the secondary source in the parentheses.

Johnson argued that...(as cited in Smith, 2003, p. 102).

**Note:** When citing material in parentheses, set off the citation with a comma, as above.

**Electronic Sources**

If possible, cite an electronic document the same as any other document by using the author-date style.

Kenneth (2000) explained...

**Unknown Author and Unknown Date:** If no author or date is given, use the title in your signal phrase or the first word or two of the title in the parentheses and use the abbreviation "n.d." (for "no date").

Another study of students and research decisions discovered that students succeeded with tutoring ("Tutoring and APA," n.d.).
Sources Without Page Numbers

When an electronic source lacks page numbers, you should try to include information that will help readers find the passage being cited. When an electronic document has numbered paragraphs, use the ¶ symbol, or the abbreviation "para." followed by the paragraph number (Hall, 2001, ¶ 5) or (Hall, 2001, para. 5). If the paragraphs are not numbered and the document includes headings, provide the appropriate heading and specify the paragraph under that heading. Note that in some electronic sources, like Web pages, people can use the Find function in their browser to locate any passages you cite.

According to Smith (1997), ... (Mind over Matter section, para. 6).

Note: Never use the page numbers of Web pages you print out; different computers print Web pages with different pagination.

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Reference List: Basic Rules

Your reference list should appear at the end of your paper. It provides the information necessary for a reader to locate and retrieve any source you cite in the body of the paper. Each source you cite in the paper must appear in your reference list; likewise, each entry in the reference list must be cited in your text.

Your references should begin on a new page separate from the text of the essay; label this page References (with no quotation marks, underlining, etc.), centered at the top of the page. It should be double-spaced just like the rest of your essay.

Basic Rules

- All lines after the first line of each entry in your reference list should be indented one-half inch from the left margin. This is called hanging indentation.
- Authors' names are inverted (last name first); give the last name and initials for all authors of a particular work unless the work has more than six authors. If the work has more than six authors, list the first six authors and then use et al. after the sixth author's name to indicate the rest of the authors.
- Reference list entries should be alphabetized by the last name of the first author of each work.
- If you have more than one article by the same author, single-author references or multiple-author references with the exact same authors in the exact same order are listed in order by the year of publication, starting with the earliest.
- When referring to any work that is NOT a journal, such as a book, article, or Web page, capitalize only the first letter of the first word of a title and subtitle, the first
word after a colon or a dash in the title, and proper nouns. Do not capitalize the first letter of the second word in a hyphenated compound word.

- Capitalize all major words in journal titles.
- Italicize titles of longer works such as books and journals.
- Do not italicize, underline, or put quotes around the titles of shorter works such as journal articles or essays in edited collections.

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Reference List: Author/Authors

The following rules for handling works by a single author or multiple authors apply to all APA-style references in your reference list, regardless of the type of work (book, article, electronic resource, etc.)

Single Author

Last name first, followed by author initials.


Two Authors

List by their last names and initials. Use the ampersand instead of "and."


Three to Six Authors

List by last names and initials; commas separate author names, while the last author name is preceded again by ampersand.

**More Than Six Authors**

If there are more than six authors, list the first six as above and then "et al.," which stands for "and others." Remember not to place a period after "et" in "et al."


**Organization as Author**


**Unknown Author**


**NOTE**: When your essay includes parenthetical citations of sources with no author named, use a shortened version of the source's title instead of an author's name. Use quotation marks and italics as appropriate. For example, parenthetical citations of the two sources above would appear as follows: (*Merriam-Webster's*, 1993) and (*"New Drug,"* 1993).

**Two or More Works by the Same Author**

Use the author's name for all entries and list the entries by the year (earliest comes first).


When an author appears both as a sole author and, in another citation, as the first author of a group, list the one-author entries first.


References that have the same first author and different second and/or third authors are arranged alphabetically by the last name of the second author, or the last name of the third if the first and second authors are the same.


**Two or More Works by the Same Author in the Same Year**

If you are using more than one reference by the same author (or the same group of authors listed in the same order) published in the same year, organize them in the reference list alphabetically by the title of the article or chapter. Then assign letter suffixes to the year. Refer to these sources in your essay as they appear in your reference list, e.g.: "Berndt (1981a) makes similar claims..."


**Introductions, Prefaces, Forewords, and Afterwards**

Cite the publishing information about a book as usual, but cite Introduction, Preface, Foreword, or Afterward (whatever title is applicable) as the chapter of the book.

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Reference List: Articles in Periodicals

Basic Form

APA style dictates that authors are named last name followed by initials; publication year goes between parentheses, followed by a period. The title of the article is in sentence-case, meaning only the first word and proper nouns in the title are capitalized. The periodical title is run in title case, and is followed by the volume number which, with the title, is also italicized or underlined.


Article in Journal Paginated by Volume

Journals that are paginated by volume begin with page one in issue one, and continue numbering issue two where issue one ended, etc.


Article in Journal Paginated by Issue

Journals paginated by issue begin with page one every issue; therefore, the issue number gets
indicated in parentheses after the volume. The parentheses and issue number are not italicized or underlined.


**Article in a Magazine**


**Article in a Newspaper**


**Letter to the Editor**


**Review**


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Reference List: Books

Basic Format for Books

Author, A. A. (Year of publication). Title of work: Capital letter also for subtitle. Location: Publisher.

Note: For "Location," you should always list the city, but you should also include the state if the city is unfamiliar or if the city could be confused with one in another state.


Edited Book, No Author


Edited Book with an Author or Authors

A Translation


Note: When you cite a republished work, like the one above, work in your text, it should appear with both dates: Laplace (1814/1951).

Edition Other Than the First


Article or Chapter in an Edited Book


Note: When you list the pages of the chapter or essay in parentheses after the book title, use "pp." before the numbers: (pp. 1-21). This abbreviation, however, does not appear before the page numbers in periodical references, except for newspapers.


Multivolume Work


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Reference List: Other Print Sources

An Entry in An Encyclopedia


Work Discussed in a Secondary Source

List the source the work was discussed in:


NOTE: Give the secondary source in the references list; in the text, name the original work, and give a citation for the secondary source. For example, if Seidenberg and McClelland's work is cited in Coltheart et al. and you did not read the original work, list the Coltheart et al. reference in the References. In the text, use the following citation:

In Seidenberg and McClelland's study (as cited in Coltheart, Curtis, Atkins, & Haller, 1993), ...

Dissertation Abstract

Government Document


Report From a Private Organization


Conference Proceedings

Reference List: Electronic Sources

Article From an Online Periodical

Note: In 2007, the APA released several additions/modifications for documentation of electronic sources in the APA Style Guide to Electronic References. These changes are reflected in the entries below. Please note that there are no spaces used with brackets in APA.

Online articles follow the same guidelines for printed articles. Include all information the online host makes available, including an issue number in parentheses. Provide a retrieval date only if the information is likely to be updated or changed at a later date (as in the case of blogs and wikis). Since many online periodicals appear in their "final" form, a retrieval date is not necessary.


Online Scholarly Journal Article
Since online materials can potentially change URL's, APA recommends providing a Digital Object Identifier (DOI), when it is available, as opposed to the URL. DOIs are an attempt to provide stable, long-lasting links for online articles. They are unique to their documents and consist of a long alphanumeric code. Many—but not all—publishers will provide an article's DOI on the first page of the document.

Note that some online bibliographies provide an article's DOI but may "hide" the code under a button which may read "Article" or may be an abbreviation of a vendor's name like "CrossRef" or "PubMed." This button will usually lead the user to the full article which will include the DOI. Find DOIs from print publications or ones that go to dead links with CrossRef.org's "DOI Resolver," which is displayed in a central location on their home page.

**Article From an Online Periodical with DOI Assigned**


**Article From an Online Periodical with no DOI Assigned**

Online scholarly journal articles without a DOI require a URL but do not require a retrieval date. Provide a retrieval date only if the information is likely to be updated or changed at a later date (as in the case of blogs and wikis). Since most journal articles appear in their "final" form, a retrieval date is not needed.


If the article appears as a printed version as well, the URL is not required. Use "Electronic version" in brackets after the article's title.

Article From a Database

When referencing material obtained from an online database (such as a database in the library), provide appropriate print citation information (formatted just like a "normal" print citation would be for that type of work). Then add information that gives the date of retrieval and the proper name of the database. This will allow people to retrieve the print version if they do not have access to the database from which you retrieved the article. You can also include the item number or accession number in parentheses at the end, but the APA manual says that this is not required. (For more about citing articles retrieved from electronic databases, see page 278 of the Publication Manual.)


Abstract

If you only cite an abstract but the full text of the article is also available, cite the online abstract as other online citations, adding "[Abstract]" after the article or source name. If only the abstract is available, write "Abstract retrieved from" and provide the database name or URL.


Newspaper Article


Electronic Books

Electronic books may include books found on personal websites, databases, or even in audio
form. Use the following format if the book you are using is only provided in a digital format or is difficult to find in print. If the work is not directly available online or must be purchased, use "Available from," rather than "Retrieved from," and point readers to where they can find it.


**Chapter/Section of a Web document or Online Book Chapter**


**NOTE:** Use a chapter or section identifier and provide a URL that links directly to the chapter section, not the home page of the Web site.

**Online Book Reviews**

Cite the information as you normally would for the work you are quoting. (The first example below is from a newspaper article; the second is from a scholarly journal.) In brackets, write "Review of the book" and give the title of the reviewed work. Provide the web address after the words "Retrieved from," if the review is freely available to anyone. If the review comes from a subscription service or database, write "Available from" and provide the information where the review can be purchased.


**Dissertation/Thesis from a Database**


**Online Encyclopedias and Dictionaries**

Often encyclopedias and dictionaries do not provide bylines (authors' names). When no byline is present, move the entry name to the front of the citation. Provide publication dates if present or specify (n.d.) if no date is present in the entry. Because updates and modifications are not normally specified, provide the retrieval date in the citation. When listing the URL, give only the home or index root as opposed to the URL for the entry.


**Online Bibliographies and Annotated Bibliographies**


**Data Sets**

Point readers to raw data by providing a Web address (use "Retrieved from") or a general place that houses data sets on the site (use "Available from").

**Graphic Data (e.g. Interactive Maps and Other Graphic Representations of Data)**

Give the name of the researching organization followed by the date. In brackets, provide a brief explanation of what type of data is there and in what form it appears. Finally, provide the project name and retrieval information.


**Qualitative Data and Online Interviews**

If an interview is not retrievable in audio or print form, cite the interview only in the text (not in the reference list) and provide the month, day, and year in the text. If an audio file or transcript is available online, use the following model, specifying the medium in brackets (e.g. [Interview transcript, Interview audio file]):


**Online Lecture Notes and Presentation Slides**

When citing online lecture notes, be sure to provide the file format in brackets after the lecture title (e.g. PowerPoint slides, Word document).


Nonperiodical Web Document, Web Page, or Report

List as much of the following information as possible (you sometimes have to hunt around to find the information; don't be lazy. If there is a page like http://www.somesite.com/somepage.htm, and somepage.htm doesn't have the information you're looking for, move up the URL to http://www.somesite.com/):

Author, A. A., & Author, B. B. (Date of publication). Title of document. Retrieved month day, year (only if the text may potentially change over time), from http://Web address

NOTE: When an Internet document is more than one Web page, provide a URL that links to the home page or entry page for the document. Also, if there isn't a date available for the document use (n.d.) for no date.

Computer Software/Downloaded Software

Do not cite standard office software (e.g. Word, Excel) or programming languages. Provide references only for specialized software.


Software that is downloaded from a Web site should provide the software’s version and year when available.


E-mail

E-mails are not included in the list of references, though you parenthetically cite them in your main text: (E. Robbins, personal communication, January 4, 2001).

Online Forum or Discussion Board Posting

Include the title of the message, and the URL of the newsgroup or discussion board. Please
note that titles for items in online communities (e.g. blogs, newsgroups, forums) are not italicized. If the author's name is not available, provide the screen name. Place identifiers like post or message numbers, if available, in brackets. If available, provide the URL where the message is archived (e.g. "Message posted to..., archived at...").


**Blog (Weblog) and Video Blog Post**

Include the title of the message and the URL. Please note that titles for items in online communities (e.g. blogs, newsgroups, forums) are not italicized. If the author’s name is not available, provide the screen name.


**Wikis**

Please note that the *APA Style Guide to Electronic References* warns writers that wikis (like Wikipedia, for example) are collaborative projects which cannot guarantee the verifiability or expertise of their entries.


**Audio Podcast**

For all podcasts, provide as much information as possible; not all of the following information will be available. Possible addition identifiers may include Producer, Director, etc.

Video Podcasts

For all podcasts, provide as much information as possible; not all of the following information will be available. Possible addition identifiers may include Producer, Director, etc.


For more help with citing electronic sources, please use these links:

- [Documenting Electronic Sources](http://owl.english.purdue.edu/owl/resource/560/10/)
- [APA style web site's coverage of electronic references](http://owl.english.purdue.edu/owl/resource/560/10/)
- [APA Frequently Asked Questions](http://owl.english.purdue.edu/owl/resource/560/10/)
Reference List: Other Non-Print Sources

Interviews, Email, and Other Personal Communication

No personal communication is included in your reference list; instead, parenthetically cite the communicators name, the fact that it was personal communication, and the date of the communication in your main text only.


A. P. Smith also claimed that many of her students had difficulties with APA style (personal communication, November 3, 2002).

Motion Picture

Basic reference list format:

Producer, P. P. (Producer), & Director, D.D. (Director). (Date of publication). Title of motion picture [Motion picture]. Country of origin: Studio or distributor.

Note: If a movie or video tape is not available in wide distribution, add the following to your citation after the country of origin: (Available from Distributor name, full address and zip code).
A Motion Picture or Video Tape with International or National Availability


A Motion Picture or Video Tape with Limited Availability

Harris, M. (Producer), & Turley, M. J. (Director). (2002). Writing labs: A history [Motion picture]. (Available from Purdue University Pictures, 500 Oval Drive, West Lafayette, IN 47907)

Television Broadcast or Series Episode

Producer, P. P. (Producer). (Date of broadcast or copyright). Title of broadcast [Television broadcast or Television series]. City of origin: Studio or distributor.

Single Episode of a Television Series


Television Broadcast


A Television Series

Music Recording

Songwriter, W. W. (Date of copyright). Title of song [Recorded by artist if different from song writer]. On Title of album [Medium of recording]. Location: Label. (Recording date if different from copyright date).


For more about citing audiovisual media, see pages 266-269 of the Publication Manual.

For information about citing legal sources in your reference list, see the Westfield State College page on Citing Legal Materials in APA Style.
INSTRUCTIONAL MATERIALS

"Do No Harm" is an instructional PowerPoint presentation developed by National-Louis University's Institutional Research Review Board. Download this presentation in PowerPoint Format (PPT - 8.01 MB)

This presentation will introduce you to the Institutional Research Review Board at National-Louis University. It will provide historical context for the ethical principles that guide IRRB review and introduce you to the federal regulations governing research institutions. In addition, it will familiarize you with IRRB procedures here at NLU, as well as your responsibility for acquiring informed consent.

Also available in PDF format: Polices and Procedures for Conducting Research

CITI - Collaborative IRB Training Initiative

National-Louis University’s educational program in the Protection of Human Subjects in Research is being provided by the Collaborative IRB Training Initiative (CITI), hosted by NLU and now available to over 325 institutions and organizations around the world.

The Institutional Research Review Board of National-Louis University is pleased to offer this training site as a resource for its faculty and enrolled students.

The CITI program consists of a:
- Basic Course for masters and doctoral students, as well as faculty and staff researchers who have not previously completed a version of the CITI Basic Course; and a
- Refresher Course for those who have previously completed a version of the CITI Basic Course.

Registration:
To register, please visit www.citiprogram.org (which is the CITI login and registration page). Begin registration by clicking on the link Register for the CITI Course. You will be asked to register by providing your username (usually first name initial and last name) and
a password. There will also be a drop down menu asking for your institution. Find NLU in the drop down menu labeled All Other. You will also be asked to identify your Learner Group by answering the question: “What course do you plan to take?” In the drop down menu choose: Social and Behavioral Investigator Course (referred to as SBR) Only. The computer will automatically choose the modules you appropriate to SBR.
Do No Harm

In research, as in all other forms of practice, there are ethical dimensions—subtle impositions of power disguised as “voluntary” participation; deceptions as to purpose or outcome; breaches of confidentiality and anonymity; distortions of convenience. Your research might represent an intrusion into people’s lives. Will you intervene, disrupt the lifeworld and appropriate thoughts and feelings of others as building blocks for your own project? Because of hegemony, your research can reproduce unquestioned power relationships, reinforce stereotypes, and foster economic and cultural inequities. While you may intend none of this, it is only through diligent reflection and preventative action that these unintended and possibly anti-democratic consequences of your research can be foreseen and minimized.

To assist you in examining the ethical implications of your work—and to protect both you and the university in matters of liability—the University has appointed an Institutional Research Review Board (IRRB) which can review your plans for the involvement of others in generating data for your research. Specific information on the procedures for the human participants review is contained within this document.

Ethical Principles and Guidelines*

Scientific research has produced substantial social benefits. It also has posed some troubling ethical questions. As less ethnocentric models of awareness evolve, demands have increased for rigorous codes of ethics for interaction (especially with oppressed, formerly marginalized groups of people), and for conducting and reporting research. Public attention has been drawn to abuses of human participants in biomedical experiments and in affronts to human dignity in ethnic and social characterizations of various groups of people. Most recently, media attention and academic scrutiny has been drawn by the published accusations of Patrick Tierney in his book *Darkness in Eldorado* concerning anthropological research with the Yanomami of Brazil and Venezuela. Currently, an American Anthropological Association task force is addressing the allegations concerning fieldwork practices, representations and portrayals that may have had a negative and harmful impact on Yanomami welfare, and biomedical research and other activities by anthropologists, scientists, and journalists that may have contributed to malnutrition, disease and disorganization. The task force has evidence to refute many of the allegations, and note as well the evolution of codes of ethics that may have provided different sets of guidelines for research historically. Many writers of ethnographies—especially of pre-literate (in

* The following material has been freely adapted with some additions from *The Belmont Report: Ethical Principles and Guidelines for the Protection of Human Participants of Research*. This public document, issued on April 18, 1979, was prepared for the U.S. Department of Health, Education, and Welfare.
terms of the written word) peoples—did not consider that those about whom they were writing would ever read what was written about them. Inadvertently, ethnocentricity may have provided a lens producing a less than accurate and distorted picture. Since the 1970’s, more rigorous guidelines have been emerging about the protection of groups under study and about voice, multiple perspective, and personal reflections before developing depictions of individuals or groups or advancing theories from these depictions.

Historically, abuses of participants in biomedical experiments abound. The infamous Tuskegee Syphilis Experiment was allowed, in the name of science, to persist from 1932 until 1972. The United States Public Health Service conducted this forty-year study in Macon County, Alabama for the purpose of determining the “natural” course of syphilis. Participants selected for the study were 600 African American males, 399 of whom were in the final stage of syphilis and 201 of whom were not infected. These men lived in the rural south and typically were receiving inadequate health care because of racism. Some ethical issues in this study are as follows:

- Participants were not informed as to the purpose of the study
- Participants were not informed that they had syphilis or that the condition was in the final stage;
- Researchers purposefully told lies to the participants (so they would continue to be in contact with medical personnel) about receiving treatment for various disorders such as rheumatism; and
- Treatment was deliberately withheld, even when penicillin was discovered, resulting in the death of over 100 men and the infection of women (wives and girlfriends) and children.

As PHS researchers published and presented numerous papers at conferences and in medical journals between 1932 and 1972, obviously the medical community as a whole knew of this study, but were silent, presumably because of the still held view of the larger society that African Americans are members of a racially inferior group. The United States Department of Health, Education and Welfare finally ended the experiment only because an employee informed the Associated Press. Other abuses of human participants include the injection of live cancer cells into elderly and senile patients at Jewish Chronic Hospital in Brooklyn, New York in 1963. Also, in 1966, students at the Willowbrook State School were exposed to hepatitis without their knowledge.

The atrocities of World War Two biomedical experimentation include the well-known and not so well known. Nazi ideology and social Darwinism led to theories of racial hygiene which saw some groups as inferior and provided an ideological excuse for physicians and scientists to harm people for the state. While it is unlikely that ethically violations of this scale and magnitude will occur again, it is instructive that ethical violations in research utilizing human participants continue to occur. These include: 1. U.S. military radiation experiments on soldiers in the 1950s; 2. Use of investigative drugs on U.S. soldiers during the Gulf War in 1991; and 3. Use of physicians in executions by lethal injection. In the United States, Quakers, because of their conscientious objectors status, were drafted as participants in medical research. In Europe, the physicians and scientists who conducted experiments on concentration camp prisoners drew international attention. During the

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1 One German physician at the Nuremberg trial argued that they were no more guilty of ethical violations than U.S. scientists who had conducted malaria experiments on prisoners during World War II at Stateville prison in Illinois. The justification for this argument was based on “biological thinking,” i.e., human subjects are merely objects and should receive no consideration at all.
Nuremberg War Crime Trials, the Nuremberg code was drafted as a set of standards for judging those physicians and scientists who knowingly conducted experiments on involuntary participants who were considered inferior. This code became the prototype of many later codes\(^2\) intended to assure that research involving human participants would be carried out in an ethical manner.

The codes consist of rules, some general, others specific, that will guide you in your work. Such rules often are inadequate to cover complex situations and at times they come into conflict, are frequently difficult to interpret or apply. Broader ethical principles, however, will provide you with a basis on which specific rules may be formulated, criticized and interpreted.

Three principles, or general prescriptive judgments, that are relevant to research involving human participants are identified in this document. Other principles may also be relevant. These three are comprehensive, however, and are stated at a level of generalization that should assist you in understanding the ethical issues inherent in research involving human participants. These principles cannot always be applied so as to resolve beyond dispute particular ethical problems. The objective is to provide an analytical framework that will guide you in the resolution of ethical problems arising from your research.

The following sections will discuss the distinction between research and practice, three basic ethical principles, the application of these principles to your work as a researcher, and documentation required to demonstrate that these principles have been appropriately applied in your research.

**Boundaries Between Practice and Research**

It is important to distinguish between research and experimental practices in order to know what activities ought to undergo review for the protection of humans in research. The distinction between research and practice is blurred partly because both often occur together (as in research designed to evaluate an innovation), partly because notable departures from standard practice often are called "experimental," and partly because practitioner research/teacher research/action research consists of research undertaken specifically with an eye toward change—often of practice and/or structure.

For the most part, the term “practice” refers to interventions that are designed solely to enhance the well being of others and that have a reasonable expectation of accomplishing the goals you set. While research may be necessary before such interventions are undertaken, the two (research and practice) are not synonymous. By contrast, the term “research” designates an activity which might be designed to test an hypothesis, permit conclusions to be drawn, shed light on an articulated problem, develop or contribute to knowledge that might be generalized or context specific, or to create or enlarge upon theory. Research usually is described in a formal protocol that articulates a problem or sets forth an

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\(^2\) Since 1945, various codes for the proper and responsible conduct of human experimentation in medical research have been adopted by different organizations. The best known of these codes are the Nuremberg Code of 1947, the Helsinki Declaration of 1964 (revised in 1975), and the 1971 Guidelines (codified into Federal Regulations in 1974) issued by the U.S. Department of Health, Education, and Welfare. Codes for the conduct of social and behavioral research have also been adopted, the best known being that of the American Psychological Association, published in 1973.
objective and a method or set of procedures designed to investigate the problem or to reach an articulated objective.

When you depart in a significant way from standard or accepted practice, your innovation does not, in and of itself, constitute research. The fact that your pedagogy is “experimental,” in the sense of new, untested or different, does not automatically place it in the category of research. Although it should be noted, radically new pedagogies should probably be made the object of formal research at an early stage.

Research and practice may be carried on together when research is designed to evaluate the safety and efficacy of an intervention. This need not cause any confusion regarding whether or not the activity requires review; the general rule is that if there is any element of research in your innovative practice, that practice should undergo review for the protection of human participants.

**Basic Ethical Principles**

The expression “basic ethical principles” refers to those general judgments that serve as a basic justification for the many particular ethical prescriptions and evaluations of human actions. Three basic principles, among those generally accepted in our cultural tradition, are particularly relevant to the ethics of research involving human participants: the principles of respect of persons, beneficence and justice.

▲ **Respect for Persons**

Respect for persons incorporates at least two ethical convictions: first, that individuals should be treated as autonomous agents, and second, that persons with diminished autonomy are entitled to protection. The principle of respect for persons thus divides into two separate moral requirements: the requirement to acknowledge autonomy and the requirement to protect those with diminished autonomy.

An autonomous person is an individual capable of deliberation about personal goals and of acting under the direction of such deliberation. To respect autonomy is to give weight to autonomous persons’ considered opinions and choices while refraining from obstructing their actions unless they are clearly detrimental to others. To show lack of respect for an autonomous agent is to repudiate that person’s considered judgments, to deny an individual the freedom to act on those considered judgments, or to withhold information necessary to make a considered judgment, when there are no compelling reasons to do so.

However, not every human being is capable of self-determination. The capacity for self-determination matures during an individual's life, and some individuals lose this capacity wholly or in part because of illness, mental disability, or circumstances that severely restrict liberty. Respect for the immature and the incapacitated may require protecting them as they mature or while they are incapacitated.

Some persons are in need of extensive protection, even to the point of excluding them from activities that may harm them; other persons require little protection beyond making sure they undertake activities freely and with awareness of possible adverse consequence. The extent of protection afforded should depend upon the risk of harm and the likelihood of benefit. The judgment that any individual lacks autonomy should be periodically reevaluated and will vary in different situations.
In most cases of research involving human participants, respect for persons demands that participants enter into the research voluntarily and with adequate information. In some situations, however, application of the principle is not obvious. The involvement of prisoners as participants in research provides an instructive example. On the one hand, it would seem that the principle of respect for persons requires that prisoners not be deprived of the opportunity to volunteer for research. On the other hand, under prison conditions they may be subtly coerced or unduly influenced to engage in research activities for which they would not otherwise volunteer. Respect for persons would then dictate that prisoners be protected. Whether to allow prisoners to “volunteer” or to “protect” them presents a dilemma. Respecting persons, in most hard cases, is often a matter of balancing competing claims urged by the principle of respect itself.

▲ Beneficence

Persons are treated in an ethical manner not only by respecting their decisions and protecting them from harm, but also by making efforts to secure their well-being. Such treatment falls under the principle of beneficence. The term “beneficence” is often understood to cover acts of kindness or charity that go beyond strict obligation. In your research, beneficence should be understood in a stronger sense—as an obligation. Two general rules have been formulated as complementary expressions of beneficent actions in this sense: do not harm and maximize possible benefits and minimize possible harms.

The Hippocratic maxim “do no harm” has long been a fundamental principle of medical ethics. Claude Bernard extended it to the realm of research, saying that one should not injure one person regardless of the benefits that might come to others. However, even avoiding harm requires learning what is harmful; and, in the process of obtaining this information, persons may be exposed to risk of harm. Further, the Hippocratic Oath requires physicians to benefit their patients “according to their best judgment.” Learning what will in fact benefit may require exposing persons to risk. The problem posed by these imperatives is to decide when it is justifiable to seek certain benefits despite the risks involved, and when the benefits should be foregone because of the risks.

The obligations of beneficence affect you as researcher and society at large, because they extend both to particular research projects and to the entire enterprise of research. In the case of particular projects, you and supporting members of your institution are obliged to give forethought to the maximization of benefits and the reduction of risk that might occur from the research investigation. In the case of research in general, members of the larger society are obliged to recognize the longer term benefits and risks that may result from the improvement of knowledge and from the development of innovative educational and other social interventions.

▲ Justice

Who ought to receive the benefits of research and bear its burdens? This is a question of justice, in the sense of “fairness in distribution” or “what is deserved.” An injustice occurs when some benefit to which a person is entitled is denied without good reason or when some burden is imposed unduly. Another way of conceiving the principle of justice is that equals ought to be treated equally. This requires explication. Who is equal and who is unequal? What considerations justify departure from equal distribution? Almost all commentators allow that distinctions based on experience, age, deprivation, competence, merit and position do sometimes constitute criteria justifying differential treatment for certain purposes. It is necessary, then, to explain in what respects people should be treated
equally. There are several widely accepted formulations of just ways to distribute burdens and benefits. Each formulation mentions some relevant property on the basis of which burdens and benefits should be distributed. These formulations are
- to each person an equal share,
- to each person according to individual need,
- to each person according to individual effort,
- to each person according to societal contribution, and
- to each person according to merit.

Questions of justice have long been associated with social practices such as punishment, taxation and political representation. Until recently these questions have not generally been associated with scientific research. However, they are foreshadowed even in the earliest reflections on the ethics of research involving human participants. For example, during the 19th and early 20th centuries the burdens of serving as research participants fell largely upon poor ward patients, while the benefits of improved medical care flowed primarily to private patients. We have previously discussed the horrendous examples of research undertaken by the Nazis during World War II and the Tuskegee syphilis study.

Against this historical background, it can be seen how conceptions of justice are relevant to research involving human participants. For example, the selection of your research participants needs to be scrutinized in order to determine whether some classes (e.g., welfare recipients, particular racial and ethnic groups, or persons confined to institutions) are being systematically selected simply because of their easy availability, their compromised position, or their manipulability, rather than for reasons directly related to the problem being studied. Finally, whenever research supported by public funds leads to the development of new beneficial services and practices, justice demands both that these not provide advantages only to those who can afford them and that such research should not unduly involve persons from groups unlikely to be among the beneficiaries of subsequent applications of the research.

Applications

Applications of the general principles to the conduct of your research leads to consideration of the following requirements: informed consent, risk/benefit assessment, and the selection of participants for research.

▲ Informed Consent

Respect for persons requires that the participants in your research, to the degree that they are capable, be given the opportunity to choose what shall or shall not happen to them. This opportunity is provided when adequate standards for informed consent are satisfied. Informed consent means the knowing consent of an individual (or of a legally authorized representative when a vulnerable or dependent person is to be involved) to his or her participation in a research activity without coercion or undue influence.

While the importance of informed consent is unquestioned, controversy prevails over the nature and possibility of an informed consent. Nonetheless, there is widespread agreement that the consent process can be analyzed as containing three elements: information, comprehension and voluntariness.

Information. Most codes of research establish specific items for disclosure intended to assure that participants are given sufficient information. These items generally include: the
research procedure, their purposes, risks and anticipated benefits, alternative procedures (where interventions are involved), and a statement offering the participant opportunity to ask questions and to withdraw at any time from the research. Additional items have been proposed, including how participants are selected, the person responsible for the research, etc.

However, a simple listing of items does not answer the question of what the standard should be for judging how much and what sort of information you should provide. You might want to consider a standard of “the reasonable volunteer:” the extent and nature of information should be such that persons, knowing that their involvement in your project is neither necessary for them nor perhaps fully understood, can decide whether they wish to participate in the furthering of knowledge. Even when some direct benefit to them is anticipated, the participants should understand clearly the range of risk and the voluntary nature of participation.

A special problem of consent arises where informing participants of some pertinent aspect of the research is likely to impair the validity of the research. In many cases, it is sufficient to indicate to participants that they are being invited to participate in research of which some features will not be revealed until the research is concluded. In all cases of research involving incomplete disclosure, such research is justified only if it is clear that

- Incomplete disclosure is truly necessary to accomplish the goals of the research;
- There are no undisclosed risks to participants that are more than minimal; and
- There is an adequate plan for debriefing participants, when appropriate, and for dissemination of research results to them.

Information about risks should never be withheld for the purpose of eliciting the cooperation of participants, and truthful answers should always be given to direct questions about the research. Take care to distinguish cases in which disclosure would destroy or invalidate your research from cases in which disclosure would simply inconvenience you, the investigator.

A specific consent form should usually be developed for each research project. This form would contain the following:

- A statement that the study involves research, an explanation of the purposes of the research and what is being asked of the participants;

- A description of any benefits or reasonably foreseeable risks or discomforts to the participants (see below);

- A statement describing whether and how confidentiality of records identifying the participants will be maintained;

- An explanation of whom to contact for answers to pertinent questions about the research and research participants' rights; and

- A statement that participation is voluntary, refusal to participate will involve no penalty or loss of benefits to which the participant is otherwise entitled, and the participant may discontinue participation at any time without penalty or loss of benefits to which the participant is otherwise entitled.
Comprehension. The manner and context in which you convey information is as important as the information itself. For example, presenting information in a disorganized and rapid fashion, allowing too little time for consideration or curtailing opportunities for questioning, all may adversely affect a participant’s ability to make an informed choice.

Because the participant’s ability to understand is a function of intelligence, rationality, maturity and language, it is necessary to adapt the presentation of the information to the participant’s capacities. You are responsible for ascertaining that the participant has comprehended the information.

You should express that information—orally or in written form—verbally and in a language which is understandable to the participant or the participant’s representative. The text of a consent form should not involve any exculpatory language through which the participant is asked to waive any legal rights, including release of you or your institutional sponsor from liability for negligence. All participants or their authorized representatives should be given a copy of any consent document that they have completed.

Voluntariness. An agreement to participate in research constitutes a valid consent only if voluntarily given. This element of informed consent requires conditions free of coercion and undue influence. Coercion occurs when an overt threat of harm is intentionally presented by one person to another in order to obtain compliance. Undue influence, by contrast, occurs through an offer of an excessive, unwarranted, inappropriate or improper reward or other overture in order to obtain compliance. Also, inducements that would ordinarily be acceptable may become undue influences if the participant is especially vulnerable.

Unjustifiable pressures usually occur when persons in positions of authority or commanding influence—especially where possible sanctions are involved—urge a course of action for a participant. A continuum of such influencing factors exists, however, and it is impossible to state precisely where justifiable persuasion ends and undue influence begins. But undue influence would include actions such as manipulating a person’s choice through the controlling influence of a close relative or threatening to terminate employment.

Assessment of Risk and Benefits

The assessment of risks and benefits requires a careful arrayal of relevant data, including, in some cases, alternative ways of obtaining the benefits sought in the research. Thus, the assessment presents both an opportunity and a responsibility to gather systematic and comprehensive information about your proposed project. For you, it is a means to examine whether your research is properly designed. For prospective participants in your research, the assessment will assist them in determining whether or not to participate.

The requirement that research be justified on the basis of a favorable risk/benefit assessment bears a close relation to the principle of beneficence, just as the moral requirement that informed consent be obtained is derived primarily from the principle of respect for persons. The term “risk” refers to a possibility that harm may occur. However, when expressions such as “small risk” or “high risk” are used, they usually refer (often ambiguously) both to the chance (probability) of experiencing a harm and the severity (magnitude) of the envisioned harm.

The term “benefit” is used in the research context to refer to something of positive value related to health or welfare. Risk is properly contrasted to probability of benefits, and
benefits are properly contrasted with harms rather than risks of harm. Accordingly, so-called risk/benefit assessments are concerned with the probabilities and magnitudes of possible harm and anticipated benefits. Many kinds of possible harms and benefits need to be taken into account. There are, for example, risks of psychological harm, physical harm, legal harm, social harm and economic harm and the corresponding benefits. While the most likely types of harms to participants of research in the social sciences are those of psychological pain or injury, other possible kinds should not be overlooked.

Risks and benefits of research may affect the individual participants, the families of the individual participants, and society at large (or special groups of participants in society). Previous codes and Federal regulations have required that risks to participants be outweighed by the sum of both the anticipated benefit to the participant, if any, and the anticipated benefit to society in the form of knowledge to be gained from the research. In balancing these different elements, the risks and benefits affecting the immediate research subject will normally carry special weight. On the other hand, interests other than those of the participant may on some occasions be sufficient by themselves to justify the risks involved in the research, so long as the participants’ rights have been protected. Beneficence thus requires that we protect against risk of harm to participants and also that we be concerned about the loss of the substantial benefits that might be gained from research.

It is commonly said that benefits and risks must be “balanced” and shown to be “in a favorable ratio.” The metaphorical character of these terms draws attention to the difficulty of making precise judgments. However, the idea of systematic, non-arbitrary analysis of risks and benefits should be emulated insofar as possible. This ideal requires you to be thorough in the accumulation and assessment of information about all aspects of your research, and to consider alternatives systematically. This procedure renders the assessment of your research more rigorous and precise, while making communication with IRRB members less subject to misinterpretation, misinformation and conflicting judgments. Thus, there should first be a determination of the validity of the presuppositions of the research; then the nature, probability and magnitude of risk should be distinguished with as much clarity as possible. The method of ascertaining risks should be explicit, especially where there is no alternative to the use of such vague categories as small or slight risk. It should also be determined whether your estimates of the probability of harm or benefits are reasonable, as judged by known facts or other available studies.

▲ Selection of Participants

Just as the principle of respect for persons finds expression in the requirements for consent, and the principle of beneficence in risk/benefit assessment, the principle of justice gives rise to moral requirements that you use fair procedures and attain fair outcomes in the selection of your research participants.

Justice is relevant to the selection of participants in research at two levels: the social and the individual. Individual justice in the selection of participants would require that you exhibit fairness: thus, you should not offer potentially beneficial research only to persons who are in your favor or select only “undesirable” persons for risky research. Social justice requires that distinction be drawn between classes of participants that ought, and ought not, to participate in any particular kind of research, based on the ability of members of that class to bear burdens and on the appropriateness of placing further burdens on already burdened persons. Thus, it can be considered a matter of social justice that there is an order of preference in the selection of classes of participants and that some classes of potential
participants (e.g., the institutionalized mentally infirm or prisoners) may be involved as research participants, if at all, only on certain conditions.

Injustice may appear in the selection of participants, even if individual participants are selected fairly and treated fairly in the course of research. This injustice arises from social, racial, sexual and cultural biases institutionalized in society. Thus, even if you treat your research participants fairly, and even if the IRRB takes care to assure that participants are selected fairly within a particular institution, unjust social patterns may nevertheless appear in the overall distribution of the burdens and benefits of your research. Although you may not be able to resolve a problem that is pervasive in your social setting, you can consider distributive justice in selecting research participants.

One special instance of injustice results from the involvement of vulnerable participants. Certain groups, such as racial groups, the economically disadvantaged, the very sick, and the institutionalized may continually be sought as research participants, owing to their ready availability in settings where research is conducted. Such groups may, in the past, have cooperated with researchers in the mistaken belief that academic research would lead to an improvement of the social or economic conditions under which they live. Given their dependent status and their frequently compromised capacity for free consent, they should be protected against the danger of being involved in research solely for academic ends, or because they are easy to manipulate as a result of their political or socioeconomic condition.

**Status of Research Projects**

There are three categories used in evaluating research projects: projects requiring full review, projects requiring an expedited review, and projects exempt from IRRB review. It is assumed that all research will require the full review of the IRRB unless that research meets criteria specified below.

▲ **Exempt from Review**

When the involvement of human participants in research falls only in one of the following categories, such research is exempt from the Federal Human Subject Review Policy. Determination of exemption for student research is made by the committee chair or advisor and the program director or department chair on the basis of documentation submitted by the researcher(s). The declaration of exemption, together with accompanying documentation, is filed with the IRRB.

**Categories (one of the following):**

- ☐ Research in common educational settings, involving normal or special educational practices. (46.101b 1)\(^3\)

- ☐ Research involving educational tests, surveys, interviews, or observation unless confidentiality cannot be maintained or disclosure places the participants at risk. (46.101b 2)

- ☐ Research involving elected or appointed public officials or candidates for office, even when confidentiality cannot be maintained or disclosure places the participants at risk. (46.101b 3)

\(^3\) Numbers refer to the *Code of Federal Regulations, Title 45, Public Welfare, part 46, Protection of Human Participants* (revised October 1, 1997).
Research involving the study of existing data either publicly available or recorded by the researcher(s) in a manner that maintains confidentiality. (46.101b 4)

Institutional or organizational research designed to improve service or benefits when approved by the agency's head. (46.101b 5)

**Expedited Review**

Expedited review by the IRRB Chair or a designated member of the IRRB will suffice for research proposals meeting either of two criteria AND falling into one of the categories below:

**Criteria (either of the following):**
- Research involves no more than minimal risk. (46.110b 1)
- Minor changes are proposed in previously approved research. (16.110b 2)

**Categories:**
- The collection of biological specimens or data for research purposes by noninvasive means. (63 FR 60364-60367F 1-4)
- Research involving materials (data, documents, records, or specimens) collected solely for non-research purposes (such as medical treatment or diagnosis). (63 FR 60364-60367F 5-6)
- Research employing survey, interview, program evaluation, or quality assurance methodologies. (NOTE: Some research in this category may be exempt from review.) (63 FR 60364-60367F 7)

**Documentation**

To document the way you have attended to these criteria you will need to write a brief summary of your project, describing in non-technical terms what will happen in relation to the participants of your inquiry. Describe any benefits and any potential risks to them. To the best of your ability, give anticipated numbers of participants you will involve as sources, with attention to race, gender, class and age. Also specify how participants will be recruited and what procedures you propose to obtain informed consent.

Complete a copy of the form included at the end of this document—the Review of Research Involving Human Participants—and attach to that form any relevant documentation, for example any forms you will use related to “informed consent.” Sign the Review form along with your co-researchers, if any.

Documentation should be be given to your department head or program director for an initial determination of status. If it is necessary for your project to receive full review by the IRRB, the department head or program director will inform you of this. You will receive written notification in either case indicating the decision of the reviewing body. The collection of data can only begin after your project has been reviewed and approved by a department head or program director (if the project is Exempt) or by the IRRB.
SAMPLE CONSENT FORM FOR ADULTS (based on School of Visual Arts-NYC form). Minor participants must also have their parent/guardian’s signature.

Your name
Contact Phone number
Your email address
The School of the Art Institute of Chicago
Department of Art Education
Master of Arts in Art Education Program (or Master of Arts in Teaching Program)

Consent Form

I __________________ agree to participate in an action based (or whatever type of research you're doing) research project being conducted by __________________ (your name), in partial fulfillment of the degree requirements for the Master of Arts in Teaching (or Master of Arts in Art Education) at The School of the Art Institute of Chicago. The research is focusing on ____________________________ (fill in based on your thesis topic).

I understand the nature of this study, as it has been explained to me by __________________ (your name). Confidentiality and individual privacy will be maintained in any published or written data resulting from this project. I agree to allow audiotaping (or videotaping or photographing) of my participation in this research.

If you have any questions about your rights as a participant please contact __________________ (Department Chair, email, phone number), or __________________ (your advisor, email, phone number).

If you are satisfied by the above explanation, please sign below. I give my consent to participate in this thesis research project.

_________________________________________  ______________
Signature                                      Date
CONSENT FORM AND RELEASE

School ____________________________

Date ____________________________

Board of Education
City of Chicago
125 South Clark Street
Chicago, Illinois 60605

I hereby consent to have my ____________________________ (relation and full name) photographed, video taped, audio taped and/or interviewed by the Board of Education of the City of Chicago (the "Board") or the news media on the school premises when school is in session or when my child is under the supervision of the Board. Additionally, I hereby give the Board consent to use creative work(s) generated and/or authored by my child on the Internet, or on an educational CD, or any other electronic/digital media. I understand that my child will be identified by first name only, for confidentiality purposes, as the author of said work.

I also consent to the Board's use of my child's photograph or likeness or voice on the Internet or on an educational CD, or any other electronic/digital media. As the child's parent or legal guardian, I agree to release and hold harmless the Board of Education of the City of Chicago, its members, trustees, agents, officers, contractors, volunteers and employees from and against any and all claims, demands, actions, complaints, suits or other forms of liability that shall arise out of or by reason of, or be caused by the use of my child's creative work(s), photograph, likeness or voice on television, radio or motion pictures, or in the print medium, or on the Internet or any other electronic/digital medium.

It is further understood and I do agree that no monies or other consideration in any form, including reimbursement for any expenses incurred by me or my child, will become due to me, my child, our heirs, agents, or assigns at any time because of my child's participation in any of the above activities or the above-described use of my child's creative work(s), photograph, likeness or voice.

Child's Name ____________________________

Address ____________________________

Signature of Parent or Guardian ____________________________

Principal's Signature ____________________________

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FORMULARIO DE CONSENTIMIENTO EN ESPAÑOL

Escuela ______________________
Fecha ______________________

Junta de Educación de la(s)
Escuelas Públicas de Chicago
125 South Clark Street
Chicago, Illinois 60603

Yo, ____________________________, por medio de la presente, doy mi consentimiento para que ____________________________ (parentesco y nombre completo) sea fotografiado, filmado, grabada su voz y/o entrevistado por la Junta de Educación de la Ciudad de Chicago (la "Junta"), o por los medios de comunicación, en la escuela, cuando ésta esté en sesión, o cuando mi hijo/a esté bajo la supervisión de la Junta. Además, también doy mi consentimiento para que la Junta utilice en la Red Internacional de Comunicaciones Electrónicas, en un "CD" educativo, o en cualquier otro medio electrónico/digital, cualquier trabajo creativo hecho y/o creado por mi hijo/a. Entiendo que mi hijo/a será identificado/a por su primer nombre únicamente, por razones de confidencialidad, como autor/a de dicha obra.

También, doy mi consentimiento para que la Junta utilice la fotografía de mi hijo/a, sus similitudes, o su voz, en la Red, en un "CD" educativo, o en cualquier otro medio electrónico/digital. Como padre o tutor legal del/la niño/a, estoy de acuerdo en no reclamar, ni demandar a la Junta de Educación de la Ciudad de Chicago, a sus miembros, funcionarios, agentes, oficiales, contratistas, voluntarios y empleados, por, o contra cualquiera y todo reclamo, exigencia, acción, queja, demanda, u otras formas de responsabilidad que pudieran surgir de, por motivo de, o ser causadas por el uso de alguna(s) obra(s) creativa(s), fotografía, similitudes, o su voz, en la televisión, la radio, películas, impresos, en la Red, o cualquier otro medio electrónico/digital.

Además, entiendo que estoy de acuerdo en que ningún dinero u otra consideración en forma alguna, incluyendo reembolsos por cualesquiera gastos ocasionados por el niño o por mí, me serán pagados a mí o mi hijo/a, nuestros herederos, agentes, o a personas asignadas en cualquier tiempo, por la participación de mi hijo/a en cualquiera de las actividades antes mencionadas, o por el uso descrito antes, de alguna(s) obra(s) creativa(s), fotografía, similitudes, o su voz.

Nombre del Niño ___________________________________________

Dirección ________________________________________________

__________________________
Firma del padre o tutor legal

__________________________
Firma del Director

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Release of Client Artwork and Supporting Materials

I, the undersigned consent party, authorize ________________________________ (individual requesting access to artwork)

of the School of the Art Institute of Chicago to access and utilize artwork created by me during an art therapy session (or photographic reproductions of this work) and relevant information from my case.

I understand that the artwork is to be used for research, publication, consultation with mental health professionals, presentations at professional conferences, and educational purposes, subject to the following restrictions:

__________

(Restrictions. If no restrictions are imposed, write "None.")

I understand that an audio tape of such a session may be created for use in a supervision class.

I understand that no references will be made to my identity and confidentiality will be maintained at all times.

I hereby release ________________________________ (individual requesting access to artwork)

and the School of the Art Institute of Chicago, its officers, employees and agents from all claims or liabilities relating to the access and use of my artwork.
TALENT RELEASE FORM

In consideration of my appearing in one of the programs you are producing for

I hereby authorize you to use and to record on film, tape or otherwise, my name, likeness and performance on such programs and to authorize others to use such recordings or films for audio-visual purposes and for general education broadcast purposes without monetary compensation.

You may also use my name, likeness or biography for publicizing and promoting such broadcasts and other uses.

BY: ____________________________ (signature)

DATE: ____________________________
VIDEO TAPE RELEASE FORM

I, hereby grant my consent to Little City Foundation to record my likeness and my voice.

I further grant to Little City Foundation, its assignees, licensees and transferees the right to use my likeness, voice and name in any non-commercially or commercially produced or distributed products or materials, and for any broadcast of the products or materials, and any publicity for the products or materials.

__________________________
signature

__________________________
witness

__/__/

__/__/

date
date
Consent Form

Your child ____________________________, has been selected to participate in a study being conducted as part of a research project for the Greater Houston Area Writing Project at the University of Houston-Clear Lake. The purpose of this study is to gather data about how writing and art work act as reciprocal catalysts for each other in the revision process. Participation in the study will require your child to participate in the twelve hours of class time as part of the regular curriculum for the course entitled “Painting Your Way through Stories.” This study will cover the period of the 4 days – 3 hours each day.

The benefits to your child include learning more about the revision process, learning how to be a better writer, and learning how to understand how art and writing can benefit each other in the development of a product. There are no foreseeable risks in participation. Participation is voluntary and your child may withdraw from the study at any time without penalty. Information collected as part of this study will be kept entirely confidential, and will be reported only in summary form so that the individuals cannot be identified. All data will be coded to protect confidentiality: video tape transcriptions, writing samples and scoring, and art pieces and scoring.

If you have any questions about this research, please call the project director, Dr. Margaret Hill 281-283-3533.

THIS PROJECT HAS BEEN REVIEWED BY THE UNIVERSITY OF HOUSTON-CLEAR LAKE SCHOOL OF EDUCATION COMMITTEE FOR THE PROTECTION OF HUMAN SUBJECTS. Telephone: (821-283-3618.)

Please keep the upper part of this page for your information. Thank you for your assistance

____ Yes, I agree to allow my child ____________________________ to participate in the writing project study on revision in art and writing.

____ No, I do not agree to allow my child ____________________________ to participate in the writing project study on revision in art and writing.

Signature ____________________________ Date ____________________________
1. The undersigned party, authorize YOUR NAME HERE, a student in the Master of Arts in Art Education Program at the School of the Art Institute of Chicago to access and utilize reproductions of artwork I have made and things I have said during our interviews. I understand that she will use my artwork and my verbal input in order to create a professional presentation about art curriculum for middle school and high school art classes.

1. Circle one:
   a. I request that I am given credit with my full name if and when reproductions of my artwork are used in a visual presentation or written form of YOUR NAME HERE Masters thesis or related material.
   b. I request that YOUR NAME HERE use a false name if and when reproductions of my artwork are used in a visual presentation or written form of YOUR NAME HERE Masters thesis or related material.

2. Circle one:
   a. I request that I am given credit with my full name if and when quotations or paraphrases of my spoken ideas are used in a visual presentation or written form of YOUR NAME HERE Masters thesis or related material.
   b. I request that YOUR NAME HERE use a false name if and when quotations or paraphrases of my spoken ideas are used in a visual presentation or written form of YOUR NAME HERE Masters thesis or related material.

I understand that my artwork and my words are to be used for research, publication, consultation with art educators, presentations at professional conferences and educational purposes, subject to the following restrictions: (If no restrictions are imposed, write "None.")

I understand that if I request (in questions 1 and 2) to remain anonymous, no references will be made to my identity and confidentiality will be maintained.

Signature: __________________________ Date: __________________________