

**Sam Houston State University**

**College of Education**

**Dissertation Handbook**

**2014-2015**

**Revised July 25, 2014**

This College of Education Dissertation Handbook is intended to assist you, the doctoral candidate, through the process of completing a dissertation. We hope that this Handbook can aid you in writing your dissertation.

The College of Education (COE) has incorporated Sam Houston State University's (SHSU) [\*\*\*Directions on Form, Preparation, and Submission of the Final Copies of Master's Theses and Doctoral Dissertations \(SHSU Guidelines\)\*\*\*](#) to address specific issues relating to doctoral candidates in the college. The university guidelines, along with the COE Dissertation Handbook are available online.

This COE Dissertation Handbook serves as a guide. This handbook does not serve as a contract between you and SHSU or the COE. You should take responsibility to determine specific requirements of your particular department or program.

By following the formatting guidelines specified in this handbook, you can be more confident and encounter fewer problems in the publication process with the University Library, the Dean's Office, or the contracted publishing company, UMI. You are responsible for following the guidelines and instructions in this handbook; therefore, it is important that you read it completely and carefully.

A dissertation template is available the library page for Dissertations. Please use this template to develop your proposal and final drafts. The Office of Graduate Studies and the Writing Center provide tutorials and individual assistance to dissertation students upon request.

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## Understand the Importance of Copyright

Please ensure that you follow the guidelines in the University's [\*Directions on Form, Preparation, and Submission of the Final Copies of Master's Theses and Doctoral Dissertations\*](#), (referred to as the *University Dissertation Handbook* in this document).

The University Dissertation Handbook includes information on plagiarism and special requirements and procedures such as quality of paper, typeface, headings, and spacing. The dissertation template maintained by the Office of Graduate Studies will help you with the formatting requirements.

### How Does Copyright Affect You?

Adherence to copyright is a requirement that you must follow. Items that might be copyrighted include figures, tables, and large parts of an author's work, including your own published work. Before using any of these materials in the dissertation, special care is needed to obtain permission to reproduce these items from the copyright holder.

As stated in the University Dissertation handbook's guidelines,

Since a thesis is legally classified as a publication, care must be taken not to violate copyright laws. If the thesis contains any material (e.g. figures, tables, test instruments, text, or photographs) taken from copyrighted sources, the student must determine if a letter of permission from the copyright holder is needed. This is true even if the student or thesis adviser is an author of the material; in such cases, a letter from the publisher may still be needed. Doctoral students should inform the copyright holder that the dissertation will be sent to UMI Dissertation Services and sold on demand (see Microform Copies). If a letter is needed, it must be included in a separate appendix; proper credit should be given in the text. A copy of the letter must be provided to the office of the Director of Library Services (the university's copyright officer). Kenneth D. Crews has prepared a booklet for dissertation authors, *Copyright Law & Graduate Research: New Media, New Rights, and Your New Dissertation*; it is available from UMI's website at <http://www.umi.com/hp/Support/DServices/copyrgh/>.

### Student Publications Used in the Dissertation

If a part of the dissertation has been published prior to the dissertation being finalized, you will need to get a permission letter from the copyright holder to use your publication as part of the dissertation; otherwise, it would violate copyright and become a plagiarism issue, as well. The University Dissertation outlines student's prior publications as follows:

Graduate students may publish material that subsequently will be used as part of the thesis [dissertation] provided that the dissertation chair of the student's thesis or

dissertation committee is notified in writing at the time the student submits the paper for publication. The notification should include the article title, the journal name, the names of all authors, and the date of submission. The student must be the first author of each article used. The names of all authors, in journal-submitted order, and the name of the journal (with volume, page numbers, and date, if known) must be given as a footnote to the title on the first page of each manuscript so as to indicate the current status of each manuscript. Evidence of permission to use articles that have been published or accepted for publication prior to completion of the thesis or dissertation must be included in the appendices. Students should be aware that the agreement signed when a journal accepts an article for publication usually assigns all rights to the journal and the student may no longer possess rights to the material.

The importance of following copyright rules is related to the Copyright Clearance Center (CCC) regarding copyright permissions, which limit the distribution of the dissertation. “CCC does not typically have the ability to provide permission for indefinite use in a repository....” CCC suggests that the student should contact the publisher directly to get permission to reproduce the copyrighted material in a dissertation submitted to Proquest/UMI.

### **Specific Permission Letter Required**

Specific language is required in the permission letter to use copyrighted materials. Students should use the model letter provided by the library: [sample letter on the Library’s website](#). As such, a copyright holder has to agree to the following:

The requested permission extends to any future revisions and editions of my dissertation, including non-exclusive world rights in all languages, and to the publication of my dissertation by ProQuest. ProQuest may supply copies of my dissertation on demand. These rights will in no way restrict republication of the material in any other form by you or by others authorized by you. Your signing of this letter will also confirm that you own [or your company owns] the copyright to the above-described material.

**Failure to secure permission to use copyrighted material can delay your graduation date. Before using copyrighted materials, ensure that these items are essential to your dissertation.**

## Dissertations Defined

Your dissertation is the ultimate performance event in your doctoral education. This performance event is expected to make a contribution to the body of knowledge in your particular discipline. This event also demonstrates that you understand the existing published literature and that you are capable of conducting original, high-quality research.

There are differing types of dissertation structures that you may consider. Of course, all steps in the dissertation process, including selecting the structure, will need to be discussed and approved by your dissertation chair and your respective doctoral program director. The decision you will make is dependent upon (a) how well your topic fits within one of the following structures, (b) the view of your field regarding the dissertation structure, and (c) the view of potential employers regarding the dissertation.

The traditional dissertation typically includes five chapters.

- Chapter I is the introductory chapter including a presentation of the problem, definitions, theoretical framework, purpose, significance, research questions, and limitations/delimitations/assumptions (not necessarily in that order).
- Chapter II is a critique of the related literature.
- Chapter III contains a presentation of the method encompassing the research design, sample, instrumentation, validity issues of the study, data collection plan, and data analysis plan (not necessarily in that order).
- Chapter IV is a presentation of the results, and
- Chapter V includes a discussion of the findings, implications for practice, and a suggestion for future research.

Please note

(a) a dissertation in which the candidate uses any type of qualitative methods might include more than five chapters, or

(b) the candidate may combine Chapters IV and V in a traditional dissertation, thus reducing a traditional dissertation to four chapters, rather than five. Again, such decisions will be determined by you and your dissertation chair.

## Dissertation Proposal Process

Prior to or during the dissertation proposal class, you will meet with the program doctoral director and discuss the topic of interest and the potential dissertation chairs.

### Dissertation Committee

- Prior to the selection of other members of the committee, you must discuss all committee members with the dissertation chair of your committee.
- The dissertation chair of the committee must approve all members of the committee and complete the *Doctoral Dissertation Committee* form. The form documenting committee membership is found on page 10 of this handbook. This form is completed prior to the proposal defense meeting.
- As per SHSU Policy, each committee must be comprised of three members who hold graduate faculty rank; however, additional members may be added per approval of your dissertation chair.
- Each committee member must be approved SHSU [graduate faculty](#). It is the dissertation chair's responsibility to make sure committee members have the appropriate graduate faculty status for their respective roles.
- If a person is requested to be on a committee who is not a member of the SHSU faculty, then a form must be initiated by you and your dissertation chair of the dissertation committee and then approved by the respective doctoral program director and the dean of the SHSU Office of Graduate Studies. The form is found on the Office of Graduate Studies website at [Non SHSU Employee on Thesis/Dissertation Committee Request](#).

### Dissertation Format

For students writing a traditional five-chapter dissertation, the proposal includes the first three chapters of the dissertation:

- Chapter 1--Introduction;
- Chapter 2--Literature Review; and
- Chapter 3--Method.

Dissertations in the College of Education are written in accordance with APA style. It is essential that students obtain and follow closely the most current version of the [Publication Manual of the American Psychological Association](#).

### Dissertation Proposal Defense Preparation

Once you receive feedback from your dissertation chair, and all corrections are made, you should work with your dissertation chair to schedule the dissertation proposal meeting.

The proposal is to be provided to the committee members as soon as possible and no later than 2 to 3 weeks prior to the date of the proposal meeting. Each doctoral program has established timelines for review periods, so check with your director.

### Proposal Defense Meeting

You must be enrolled in dissertation hours (8033) in order to propose.

Typically, for the proposal meeting, your dissertation chair will require a presentation (such as PowerPoint) to accompany your proposal. The presentation is generally no more than 30 minutes in length with a 30-minute discussion that follows. Afterward, you will likely meet with your dissertation chair for another 30 minutes. The time allocated is typically between 1 to 1.5 hours. Please note that students will be asked to leave the proposal defense room while the committee discusses the disposition of your study.

The dissertation proposal meeting is basically an oral examination of the proposed study. The meeting is a time in which potential problems in the proposal are noted, discussed, and addressed. The committee must approve the proposal (written and oral) prior to your initiating the study. Your committee members are likely to have some ideas for revision of your proposed dissertation. The dissertation committee may request a second dissertation proposal meeting if there are substantial revisions to be made; however, most meetings end in approval of the dissertation proposal with revisions documented by you and your dissertation chair.

Any subsequent changes in topic or the proposed method of investigation may require a second proposal meeting and must be approved in writing by the committee. Any significant change in the topic, and any change in committee, must go through the respective doctoral program director who would determine whether a new proposal meeting would be needed.

While working on the dissertation, you must remember to complete all remaining departmental and area of specialization requirements, as well as to *register continuously* for the dissertation hours until you complete the final dissertation defense.

### Forms for the Proposal

During the proposal defense meeting, a form should be completed and placed in your file with the appropriate doctoral program. This form is the **Dissertation Proposal Defense**. A generic copy of it for your information follows (note the types of decisions that can be made.) Please check with your respective program doctoral director or secretary to determine if there is a specific form required by the program that is different from the generic COE form depicted on the next page.





## Dissertation Proposal Defense College of Education

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

Date of Proposal Defense: \_\_\_\_\_

Title: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Check One:**

- Accepted with no changes.
- Not accepted.
- Delayed pending \_\_\_\_\_
- Accepted with changes (attach copy of changes to this document, along with a copy of the original proposal):

We, the doctoral supervisory committee, agree to the above disposition regarding the Dissertation proposal.

\_\_\_\_\_  
Chair

\_\_\_\_\_  
Candidate

\_\_\_\_\_  
Member

\_\_\_\_\_  
Member

\_\_\_\_\_  
Member

\_\_\_\_\_  
Member

\_\_\_\_\_  
Dean

\_\_\_\_\_  
Date

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*I am aware that data collection cannot begin until I receive IRB approval. I am also aware that the IRB approval letter must be included in the final Dissertation Appendices.*

\_\_\_\_\_  
Candidate

\_\_\_\_\_  
Date



**DOCTORAL DISSERTATION COMMITTEE**  
College of Education  
Sam Houston State University

**Student's Name:** \_\_\_\_\_

**Department:** \_\_\_\_\_

**Proposed Topic:** \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

The student, in consultation with the Chair, is responsible for getting approval of each member of his/her Doctoral Dissertation Committee with the exception of the Graduate Council Representative. A faculty member's signature indicates he/she has agreed to serve on the Committee.

<b>Chair:</b>	_____	<b>Date:</b> _____
<b>Co-Chair:</b>	_____	<b>Date:</b> _____
<b>Faculty Representative:</b>	_____	<b>Date:</b> _____
<b>Faculty Representative:</b>	_____	<b>Date:</b> _____
<b>Faculty Representative:</b>	_____	<b>Date:</b> _____
<b>Outside Faculty Member:</b>	_____	<b>Date:</b> _____
<b>Outside Faculty Member:</b>	_____	<b>Date:</b> _____
<b>Director:</b>	_____	<b>Date:</b> _____
Committee and topic are subject to approval of the Director.		
<b>Graduate Council Representative:</b>	_____	<b>Date:</b> _____
<b>Ad-Hoc Member:</b>	_____	<b>Date:</b> _____
<b>Dean:</b>	_____	<b>Date:</b> _____

## Dissertation Completion Process

Carefully read this handbook and work with your dissertation chair consistently through the process. You will want to schedule regular meetings with your dissertation chair.

### After the Proposal- Seek approval from the SHSU IRB

After the proposal is successfully defended, work with your dissertation chair to submit the application to the Institutional Review Board (IRB). Approval is required before beginning your data collection. Information can be found at the website of the Office of Research and Sponsored Programs. You should already have an IRB training certificate on file for compliance purposes.

You might want to work with your dissertation chair to establish timelines for data collection and analysis. Unanticipated events or IRB requirements may require changes in the study methods of the original proposal. If such changes are required, the candidate must secure the approval of all committee members. Any committee member may request that the committee meet again with you to discuss the changes. You and the dissertation chair are responsible for resolving any conflicting points of view among committee members regarding the dissertation. Any change in methods must be approved by the SHSU IRB.

### Continuous Enrollment and Total Number of Years

You are expected to finish a degree within 3 to 4 years. You actually have 6 years from the time of enrollment to graduation. You must enroll continuously in dissertation hours until graduation. Should you request an additional year of extension, you must write a letter of request and submit the letter through the following approval chain; respective doctoral director, the dissertation chair of the department, and the Dean of the College.

As indicated, per SHSU Policy, continuous enrollment in dissertation hours is required. A total of 9 hours of dissertation credit is required. If you complete your dissertation with all signatures prior to the beginning of a semester, but you do not meet the graduation deadlines, you must pay for dissertation hours that semester; no waivers are provided by the SHSU Office of Graduate Studies. After you have met the required 9 hours, you will need to enroll in 1 credit hour of dissertation work until complete. Please contact your respective doctoral director for how to register for these hours.

### Authorship on Future Manuscripts from the Dissertation

Authorship of any future publications from your dissertation should be discussed with your dissertation chair early, even during the proposal process. It is expected that you will invite committee members, particularly your dissertation chair, to participate in authoring and/or acknowledge their expertise in the writing of any publishable articles. It is expected that the authors in co-authored articles take full responsibility to work with

you and the dissertation chair in terms of the substance and editing of the manuscript. Authorship in terms of first, second, third, etc., must follow the guidelines of APA.

### **Dissertation Final Defense**

Your dissertation final defense will be an oral presentation and discussion of the written dissertation. In the final defense, you will share the results of the study and demonstrate to the committee members that you have completed a quality product of research and that your work is worthy of the bestowing of a doctoral degree. This defense is in an open forum with other doctoral students and other faculty members welcomed.

Your dissertation chair will not allow you to schedule your final defense until your dissertation document is written with quality and edited well. This process might require numerous revisions. Your completed dissertation will need to be given to your dissertation chair in time for the dissertation chair to edit and approve it and to get the final document to your committee at least three weeks prior to the defense. As soon as your dissertation is almost complete, you will work with your committee to schedule the final defense.

Your committee members will be able to respond to you with their corrections within one to two weeks of your submission of the final document so that you will be prepared to defend any questions the members might have at the defense. Additionally, your dissertation chair might want all revisions corrected and those pages brought to the defense. Be certain to check with your dissertation chair.

The format of the presentation will be discussed with you by your dissertation chair. Usually, the dissertation chair welcomes the guests and thanks the committee members. The purpose of the final defense is to ensure that you can speak academically about what you have written. You should stand when presenting and should use a professional presentation software. Most of the time, the questions are reserved until you have completed your presentation. However, the dissertation chair will be in control of the meeting and will share at the beginning how the questions will be handled. The types of questions you might receive are those that require you to (a) discuss your methods, findings, theoretical framework, or interpretations; (b) share what in-depth on your topic; (c) interpret the *so what* (the significance) of your study; and/or (d) specify clarifications at certain points in the written dissertation document. Guests are allowed to ask questions as well.

## Dissertation Completion Timeline

The COE has a *different timeline for graduation than the University*. It is an earlier timeline which takes precedence over the university timelines and which allows time for the Office of Graduate Studies Reviewer (OGS) and the Library to review the dissertation and for the Dean of Education and Dean of Graduate Studies to sign. Begin the process early with defenses in order to meet the deadlines for graduation.

For graduation, dissertations must be defended by:

Summer graduation:	by June 1
Fall graduation:	by October 1
Spring graduation:	by March 1

Work with your dissertation chair to meet all deadlines for defense, submission to reviewers, submission to library, and submission of routing form to Graduate Studies Office/Registrar's Office.

COED Deadlines for the **Fall 2014** Semester: **Non-Template** Users

**-By October 1**, the dissertation, candidates must defend their dissertation

**-By October 6**, the dissertation chair should submit the dissertation, along with the signed electronic route sheet, to the Office of Graduate Studies

Reviewer ([reviewer@shsu.edu](mailto:reviewer@shsu.edu)) (Between **October 6 and November 17**, the Dissertation will be reviewed by the Graduate Studies Reviewer and a Newton Gresham Librarian and the Director). There is a preliminary review by the Reviewer and by a Librarian that occurs when the dissertation is submitted. It is expected that the review will be light changes and will only go back once for a correction prior to the dissertation being placed in the queue for final full review; therefore insure that all items for the Preliminary Review have been checked off by yourself and your Chair. Preliminary review items may be found in the Timeline Checklist that follows.

**-By November 17**, the Graduate Reviewer should submit the final reviewed dissertation to the Newton Gresham Library Director.

**-By November 24** the Newton Gresham Library Director should submit the dissertation to the College of Education Dean's Office for signature

**-By November 26**, the Dean's Office should submit electronic route sheet to the Library.

**December 1** is the last day to make final copies of the dissertation and submit to NGL for binding. Also, this is the last day to submit route sheet to the Dean of Graduate Studies.

**December 12 & 13 (Tentative):** Fall Graduation

COED Deadlines for the **Fall 2014** Semester: **Template** Users

- **By October 1**, the dissertation, candidates must defend their dissertation
- **By October 13**, the dissertation chair should submit the dissertation, along with the signed electronic route sheet, to the Office of Graduate Studies Reviewer ([reviewer@shsu.edu](mailto:reviewer@shsu.edu)) (Between **October 13 and November 17**, the Dissertation will be reviewed by the Graduate Studies Reviewer and a Newton Gresham Librarian and the Director).
- **By November 17**, the Graduate Reviewer should submit the final reviewed dissertation to the Newton Gresham Library Director.
- **By November 24**, the Newton Gresham Library Director should submit dissertation to the College of Education Dean's office for signature
- **By November 26**, the Dean's Office should submit electronic route sheet to the Library.
- **December 1** is the last day to make final copies of the dissertation and submit to NGL for binding. Also, this is the last day to submit route sheet to the Dean of Graduate Studies.
- **December 12 & 13 (Tentative)**: Fall Graduation

COED Deadlines for the **Spring 2015** Semester: **Non-Template** Users

- **By March 2**, the dissertation, candidates must defend their dissertation
- **By March 9**, the dissertation chair should submit the dissertation, along with the signed electronic route sheet, to the Office of Graduate Studies Reviewer ([reviewer@shsu.edu](mailto:reviewer@shsu.edu)) (Between **March 9 and April 13**, the Dissertation will be reviewed by the Graduate Studies Reviewer and a Newton Gresham Librarian and the Director). There is a preliminary review by the Reviewer and by a Librarian that occurs when the dissertation is submitted. It is expected that the review will be light changes and will only go back once for a correction prior to the dissertation being placed in the queue for final full review; therefore insure that all items for the Preliminary Review have been checked off by yourself and your Chair. Preliminary review items may be found in the Timeline Checklist that follows.
- **By April 13**, the Graduate Reviewer should submit the final reviewed dissertation to the Newton Gresham Library Director.
- **By April 20**, the Newton Gresham Library Director should submit the dissertation to the College of Education Dean's Office for signature
- **By April 22**, the Dean's Office should submit electronic route sheet to the Library.
- **April 27** is the last day to make final copies of the dissertation and submit to NGL for binding. Also, this is the last day to submit route sheet to the Dean of Graduate Studies.
- **May 8 & 9 (Tentative)**: Fall Graduation

COED Deadlines for the **Spring 2015** Semester: **Template** Users

- By **March 2**, the dissertation, candidates must defend their dissertation
- By **March 16**, the dissertation chair should submit the dissertation, along with the signed electronic route sheet, to the Office of Graduate Studies Reviewer ([reviewer@shsu.edu](mailto:reviewer@shsu.edu)) (Between **March 16 and April 13**, the Dissertation will be reviewed by the Graduate Studies Reviewer and a Newton Gresham Librarian and the Director).
- **By April 13**, the Graduate Reviewer should submit the final reviewed dissertation to the Newton Gresham Library Director.
- By **April 20**, the Newton Gresham Library Director should submit dissertation to the College of Education Dean's office for signature
- By **April 22**, the Dean's Office should submit electronic route sheet to the Library.
- April 27** is the last day to make final copies of the dissertation and submit to NGL for binding. Also, this is the last day to submit route sheet to the Dean of Graduate Studies.
- May 8 & 9 (Tentative):** Fall Graduation

COED Deadlines for the **Summer 2015** Semester: **Non-Template** Users

- By **June 1**, the dissertation, candidates must defend their dissertation
- By **June 8**, the dissertation chair should submit the dissertation, along with the signed electronic route sheet, to the Office of Graduate Studies Reviewer ([reviewer@shsu.edu](mailto:reviewer@shsu.edu)) (Between **June 8 and July 6**, the Dissertation will be reviewed by the Graduate Studies Reviewer and a Newton Gresham Librarian and the Director). There is a preliminary review by the Reviewer and by a Librarian that occurs when the dissertation is submitted. It is expected that the review will be light changes and will only go back once for a correction prior to the dissertation being placed in the queue for final full review; therefore insure that all items for the Preliminary Review have been checked off by yourself and your Chair. Preliminary review items may be found in the Timeline Checklist that follows.
- By **July 6**, the Graduate Reviewer should submit the final reviewed dissertation to the Newton Gresham Library Director.
- By **July 13** the Newton Gresham Library Director should submit the dissertation to the College of Education Dean's Office for signature
- By **July 15**, the Dean's Office should submit electronic route sheet to the Library.
- July 20** is the last day to make final copies of the dissertation and submit to NGL for binding. Also, this is the last day to submit route sheet to the Dean of Graduate Studies.
- August 8 (Tentative):** Summer Graduation

COED Deadlines for the **Summer 2015** Semester: **Template** Users

- **By June 1**, the dissertation, candidates must defend their dissertation
  - **By June 15**, the dissertation chair should submit the dissertation, along with the signed electronic route sheet, to the Office of Graduate Studies Reviewer ([reviewer@shsu.edu](mailto:reviewer@shsu.edu)) (Between **June 15 and July 6**, the dissertation will be reviewed by the Graduate Studies Reviewer and a Newton Gresham Librarian and the Director).
  - **By July 6**, the Graduate Reviewer should submit the final reviewed dissertation to the Newton Gresham Library Director.
  - **By July 13**, the Newton Gresham Library Director should submit dissertation to the College of Education Dean's office for signature
  - **By July 15**, the Dean's Office should submit electronic route sheet to the Library.
  - July 20** is the last day to make final copies of the dissertation and submit to NGL for binding. Also, this is the last day to submit route sheet to the Dean of Graduate Studies.
- August 8 (Tentative):** Summer Graduation



## Dissertation Completion Timeline Checklist

### Prior to the Final Dissertation Defense:

#### The following are the responsibility of the Dissertation chair and Student:

- The student, dissertation chair, and committee members check the dissertation for the following: content, grammar, permission to use copyrighted material, readability, adherence to APA (or journal's format), all front pages complete and correct, method correctly implemented and interpreted, thorough critique of the literature, and references correct and complete.
- Preferably throughout the process, the dissertation chair, along with committee members, are responsible to ensure the dissertation is free of plagiarism, using [www.Turnitin.com](http://www.Turnitin.com). The faculty member can establish a faculty account by contacting their doctoral director or librarian. The faculty member must first set up a Turnitin Assignment in Blackboard or register a "class" at Turnitin.com; contact the library Reference Desk for more information. Subsequent revisions need to be submitted to ensure the document is free of plagiarism.
- The student should apply for graduation on or before the 12th class day of the semester of the proposed graduation. See the Registrar's website for the application information and other graduation information.
- The proposal and final defense meetings are open meetings. The student will schedule these meetings with the approval of the committee. Procedures vary by program so check with the doctoral director or program secretary for procedures.
- Prior to the defense, prepare and print one signature sheet on bond paper (bond should be facing up and in the same direction as the print). If the dissertation is acceptable and you successfully meet all expectations of the committee at the defense date, the committee will sign the sheet in blue ink. This signature sheet is returned to the doctoral secretary for safe-keeping, and she/he will deliver the signature page to the dean's secretary.
- Reserve your academic regalia; contact Barnes and Noble on campus at 936 294-1862 for more information.

## GRADUATE STUDIES DISSERTATION REVIEW PROCESS

### INITIAL SUBMISSION for FORMAL REVIEW:

#### **Step 1:**

The dissertation chair submits the following to the Office of Graduate Studies (OGS) Reviewer mailbox (reviewer@shsu.edu):

- The Candidate's defended and Turnitin approved dissertation in a Word file
- The electronic route sheet with dissertation chair's signature and co-chair's signature (if applicable)
- The Student's Contact Information (email address, phone number(s), best time of day to be reached)
- The dissertation chair's email address and the co-chair's email address (if applicable)

### **Route Sheet for Final Draft of the Dissertation**

The Route Sheet for the College of Education is electronic. Please complete the Route Sheet information and forward it to the dissertation chair.

The electronic Route Sheet is can be found on the University Graduate Studies site at [http://www.shsu.edu/~grs\\_www/documents/COEDissertationRouteSheet\\_000.pdf](http://www.shsu.edu/~grs_www/documents/COEDissertationRouteSheet_000.pdf)

#### **Step 2:**

Upon receipt of the dissertation by the Office of Graduate Studies, a "submission received" communication is sent to both the dissertation chair/co-dissertation chair and to the Candidate. The dissertation is then forwarded to the Library Director for verification of Copyright, which begins Phase 1 of the Formal Review process.

### PHASE 1 of the FORMAL REVIEW PROCESS:

#### **Step 3:**

The Library Director completes a thorough verification and review of the dissertation in regards to Copyright (including Instruments, Permissions and Appendices). Once Copyright verification is completed, the Library Director forwards the dissertation back to the OGS Reviewer. At this time, the OGS Reviewer conducts a review of the Template format.

#### **Step 4:**

Upon completion of Phase 1 of the Formal Review, the dissertation is forwarded back to the Candidate and dissertation chair/co-dissertation chair with communication outlining minor corrections in regards to the Template format or issues dealing with Copyright, if applicable. The changes specified will need to be made by the Candidate by the given deadline. At which time, the candidate has (3) working days, from the receipt of the

dissertation, to make the changes suggested and return to the OGS to avoid risk of any delay in the Formal Review Process. The dissertation **must** be received by the OGS with **verification** by the dissertation chair/co-chair in order for the dissertation to move forward in the process.

### **Step 5:**

Once the OGS Reviewer receives the dissertation back with the changes made, one of the two actions below is accomplished based on compliance issues:

- a. **Compliance:** The dissertation is **void of** any compliance issues when corrections have been made and there are no unresolved Copyright issues. Once this status is achieved, the dissertation is placed in the queue for Phase 2 of the Formal Review Process and a confirmation communication is sent to both the dissertation chair/co-chair and Candidate providing them with the dissertation's place in the queue.
- b. **Out of compliance:** if **any** reviewed elements are not in compliance, such as Template formatting issues and/or unresolved Copyright issues (permissions, problems with instruments), the dissertation is returned to the dissertation chair for revision.

If the compliance issues have **NOT** been successfully addressed within a reasonable time frame, the dissertation will be returned to the Candidate, and the Candidate will be instructed to resubmit the dissertation for the following reading period.

### **PHASE 2 of the FORMAL REVIEW:**

Phase 2 consists of the actual reading of the dissertation by the OGS Reviewer. At this time, the OGS Reviewer will be reviewing the dissertation in its totality and for the following specific items:

1. Grammar
2. Punctuation
3. Spelling (includes hyphenation)
4. References correlate with those cited in text (no citation errors)
5. Abbreviations are used consistently and appropriately
6. Quotations: follows APA guidelines
7. Numbers: follows APA guidelines
8. In text citations: APA style (et al, &, )
9. Sentences make sense and are clear
10. Paragraphing

**Step 6:**

A confirmation communication is sent by the Reviewer responsible for the reading to both the dissertation chair/co-chair and the candidate informing them that the dissertation is under Phase 2 of the Formal Review Process.

**Step 7:**

Upon completion of the review, the Reviewer sends a communication to the Candidate (copying dissertation chair/co-chair), informing him/her that the review is complete and scheduling a date and time for a consultation.

**Step 8:**

Upon the completion of the consultation and the subsequent corrections, the reviewed dissertation with the changes tracked is sent in a Word file as an attachment to the dissertation chair/co-chair (copying the student). Upon review of the document, the dissertation chair will communicate **verification** and **acceptance** of the corrections by electronic communication. If the dissertation chair chooses to reject any of the corrections, he/she will provide the Reviewer with the specific correction(s) and page number(s). The dissertation will not move forward in the process until verification has been received. Again, the turnaround time given for this second and last phase of the review process is (3) working days. If additional time is needed, the dissertation chair will work with the OGS Reviewer for an acceptable date.

**Step 9:**

Upon receipt of verification from the dissertation chair, the Reviewer will accept the agreed upon corrections, sign the electronic route sheet, and forward both the dissertation and electronic route sheet to the Library as well as send a communication to the dissertation chair/co-chair and the Candidate informing them that the dissertation was moved forward.

- Once the Library Director reviews the dissertation and makes all final corrections with the candidate, then the Dissertation Librarian will send the dissertation and the electronic route sheet to the Dean of the College of Education who will then sign and resubmit the final copy of the dissertation and the electronic route sheet to the Library. The COE Dean will submit the signed signature/approval page of the dissertation at that time to the Library.
- Following are the instructions provided by the library for copies, binding, and UMI. Required numbers of copies of the dissertation paid by the student (Library assists with calculation of cost for all binding and submission to UMI) are: **One bond and bound copy for the Library (one set with original signatures) and one (or more) plain paper and bound copy to the dissertation chair (please check with the dissertation chair and committee members for the amount).** *All other specifics on numbers of copies will be provided by the respective doctoral director.*

- The Library will forward the electronic route sheet for signature to the Registrar's office. Once the route sheet is received by Registrar's Office, the candidate will be cleared for graduation.

### Dissertation Submission Requirements by Library College of Education

-Copies must be high quality and made on a photocopier. It is recommended that you take your dissertation/thesis to a business that provides professional copy services or use the campus copy center.

-A blank sheet of paper is required at the front and back of all copies.

**-Only 1 library copy needs original signatures; all other copies can be photocopies of that page.**

**The library Director's Office will accept completed thesis/dissertations with payments between 8 a.m. and 4 p.m. Monday – Friday, in person or over the phone.**

The following table identifies the number of copies and the **cost for binding/microfilming**. *Printing is an additional cost (about 10 cents a page).*

Qty.		Type of Paper	Cost
<b>Whole Copies</b>			
1	Library copy to be bound <b>Binding fee</b>	Bond*	\$15
1	Unbound copy to be microfilmed <b>Microfilming fee</b>	Any	\$15
1	UMI (\$55 if paying for copyright registration, you may use the copy from which your copies are made)	Any	
?	Personal Copies (including copies for dissertation chair, committee members) if desired, bound. <i>Please check with your dissertation chair to determine if additional copies are needed.</i>	Any	\$15 each
<b>Additional Requirements</b>			
1	Copy of Abstract	Bond	
1	Copy of Title page and Abstract to be paper clipped to UMI form	Any	
	Tax		8.25%
	Postage (if you would like your personal copies mailed to you)		\$ 6 each

\*bond paper should be at least 20lb weight, acid free, with watermark

**Payment:** You, or your representative should bring the following to the Library Director's Office, Room 207, at the time of submission (the Director's Office will not accept any completed thesis/dissertations or payment after 4 p.m.) or handle these details by phone/email.

**All copies (with all required signatures), if they have not been delivered by the press,  
UMI form filled out and signed (can be emailed to the Library in advance)  
Dissertation Payment – check or credit card. (can be given over the phone)  
Route sheet (with Dissertation chair and Dean's signatures) will be sent to the Library by the Graduate Studies office.**

If any of these are missing, the Library Director will not sign off on your route sheet.

The route sheet will be signed electronically and returned to Graduate Studies and then to the Registrar.

-Your copies will not be sent to the bindery until after graduation. Shipments go out every month and there is a one-month turnaround time once it is sent. You will either be called to pick up your personal copies once they are returned, or they will be sent in the mail to you. The library will deliver the copies to your department.

## Procedures for Printing a Thesis or Dissertation and Submitting to the Library

### Printing Procedures

- 1) After the reviewer, the thesis/dissertation chair and the student are satisfied that all corrections have been made, the reviewer will e-mail the word doc of the thesis/dissertation to the Library,
- 2) The **reviewer** will provide the Library with the following information in the e-mail:
  1. Student's Full Name
  2. Phone number
  3. E-mail address
  4. Department in the College of Education
- 3) The student or a designee of the College of Education will provide the Library with the original signed pages of the Signature Page.
- 4) The Library will insert the signature page into the thesis/dissertation.
- 5) The Library will contact the student to determine the number of copies desired. At the same time, the Library will send the Doctoral student the UMI Publishing Agreement
- 6) The Library will place the word document or a PDF of the thesis/dissertation in the folder on the network for the SH Press
- 7) Once the final thesis or dissertation is placed in the folder, the Library will email the Press and provide the following information:
  - Student Full Name
  - Phone Number
  - E-mail address
  - # of copies (qty on Cotton Bond & qty on regular bond)
- 8) Method of payment to the Press
  - a.) over the phone credit card—thesis/dissertation will not be delivered to the Library until payment is received
  - b.) mailing in a check – thesis/dissertation will not be delivered to the Library until payment is received
  - c.) office pick-up – student will pay when the thesis/dissertation is picked-up; the student is responsible for delivering the dissertation/thesis to the Library.
- 9) Pricing for copying the thesis/dissertations:
  - Copies on the Cotton Bond (Strathmore) paper - \$.09 /sheet
  - Copies on the Regular Bond paper - \$.05/sheet
  - Collating fee that is based per page, but it's usually minimal (\$.005/sheet)
- 10) Please **do not** provide your own paper. SH Press & Copy Center has the appropriate paper needed for thesis and dissertation printing.



**Submission for binding:**

- 1) Copies delivered by the Press to the Library
  - a. Student will be contacted and provided cost for binding, microfilming, postage (if bound copies are to be mailed); doctoral students will also receive information about the cost of copyrighting their dissertation.
  - b. Doctoral students will mail the completed UMI Publishing Agreement form to the Director of Library Services along with payment.
  - c. Payment—thesis/dissertation the route sheet will not be returned to Graduate Studies until payment is received
    - i. .) Credit Card – over the phone or in person
    - ii. Checks, made out to SHSU, for the total amount should be mailed to:
      1. Director of Library Services  
1830 Bobby K. Marks Drive  
Box 2281  
Huntsville, Texas 77341/2281
- 2) Copies delivered by the student.
  - a. Cost for binding, microfilming, postage (if bound copies are to be mailed) will be determined; doctoral students will also receive information about the cost of copyrighting their dissertation.
  - b. Doctoral students will submit the completed UMI Publishing Agreement form
  - c. Payment in person. At this time the Library can accept cash or checks.
- 3) Route Sheet
  - a. For students not on campus, the Library will email the Route Sheet to the Office of Graduate Studies; Graduate Studies will send the Route Sheet to the Registrar's Office.

Reserve your academic regalia; contact Barnes and Noble on campus at 936 294-1862 for more information. *THIS IS GREAT NEWS!!!! CONGRATULATIONS!!!*

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