

Sam Houston State University

College of Education

Dissertation Handbook



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SHSU

College of Education

Dissertation Handbook

This College of Education Dissertation Handbook is intended to assist you, the doctoral candidate, through the process of completing a dissertation. It is our hope that this Handbook can aid you in your challenging, yet exciting opportunity—writing your dissertation.

The College of Education (COE) has used Sam Houston State University's (SHSU) [*Directions on Form, Preparation, and Submission of the Final Copies of Master's Theses and Doctoral Dissertations \(SHSU Guidelines\)*](#) and modified it to address specific issues relating to Education doctoral candidates. The SHSU's College of Education Dissertation Handbook is available online. This Handbook serves as a guide and in no way provides a contract between you and SHSU or the COE. You must take responsibility to determine specific requirements of your particular department or program.

In addition to this COE Handbook and the SHSU Guidelines, you might wish to review other more in-depth *how to* books on completing a successful dissertation. Several have been written over the past few years, one of which has been written by two of our graduate faculty members, Dr. Fred C. Lunenburg and Dr. Beverly J. Irby, [*Writing a Successful Thesis or Dissertation*](#).

To ensure that your dissertation from SHSU's COE reflects the importance the College places on it, the COE requires that you follow the rules of this Handbook and strict formatting and submission guidelines as outlined by the University and the departments. By following the guidelines, 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 ultimately the one responsible for following the guidelines and instructions in this Handbook; therefore, it is important that you read it completely and carefully.

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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 type of dissertation.

The following are brief descriptions of potential dissertation structures.

Traditional 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 methodology 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 methodology may 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.

Journal-Ready Dissertation

The journal-ready dissertation typically will include five chapters just as it does in the typical and traditional dissertation; however, the format is different. Chapter I includes the overall purpose of the dissertation, the problem identified, the structure of the dissertation and plans for each journal-ready manuscript and the potential locations for respected scholarly journal submissions. The three journal-ready manuscripts will be described with specific purposes, research questions, and basic methodology for each.. In Chapter II, the first manuscript developed for publication, you will include a systematic critique of the literature related to your topic. This critique is more than just a

term paper type of review; it is an actual in-depth analysis of literature related to (a) theory, (b) practice, and (c) published research on your topic. Chapter III will be the presentation of your actual research study with all components of a published research study. Chapter IV is typically a manuscript for application of your findings to the field. Some candidates have used the three journal-ready manuscripts to present three distinct, but related research manuscripts (Please check with your dissertation chair for such decisions.). Chapter V is the summary chapter. In this chapter, you will make concluding remarks overall from all the Chapters II, III, and IV. Additionally, you will include future research recommendations.

Unavoidably, this type of dissertation may duplicate some of the introductory and concluding material in each manuscript. Each manuscript will stand alone with its own figures, tables, appendices, and references as required by the journal selected for the respective manuscript. However, the dissertation will have a common abstract and a comprehensive reference section in APA 6th Edition style. General appendices may be added to present information not included in the body of each of the three manuscripts, but which may be relevant to the overall dissertation. In the Table of Contents where the Figures and Tables are found, please indicate the numbering of the Tables and Figures by Chapter. For example, Table 1 in Chapter II, should be listed as Table II.1, II.2, II.3; just as tables in Chapter III should be listed as Table III.1, III.2, etc. These tables on the Tables Page in the Table of Contents and the figures on the Figures Page in the Table of Contents will still be listed consecutively with their respective page numbers.

SHSU Guidelines and COE Handbook require continuous pagination throughout the dissertation. The usual requirements for margins, consistency in chapter or section titles, and other mechanics as specified elsewhere in the SHSU Guidelines will apply.

The dissertation is not expected to duplicate the typographic style of the published journal; the publication and layout practices (use of double columns, extra spacing, etc.) are not to be followed. A journal's *Author's Guidelines* should be followed when writing the dissertation. Those instructions will need to be specifically checked prior to your submitting your manuscript to the journal. A copy of each of the journal's Author Guidelines and a copy of an article from each journal will need to be submitted to the graduate reviewers and the Library along with the dissertation, since there may be inconsistencies between the SHSU guidelines and the journal guidelines.

The following sentence will be placed on the cover page of the dissertation with the committee signatures (Follow the SHSU Guidelines for placement on the page):

This dissertation follows the format and style of the *Publication Manual of the American Psychological Association, Sixth Edition*, except where superseded by the directions of the Office of Graduate Studies at Sam Houston State University.

A model journal sentence for each publishable manuscript follows. The sentence will be placed at the bottom of the first page of each manuscript chapter to be published. It will be placed beneath a solid line 10 to 15 spaces long.

This dissertation chapter follows the style and format of *<journal name>*.

The journal name will appear in italics and should be spelled out completely. Single space the sentence if it is more than one line.

Per SHSU Guidelines, you may publish material that subsequently will be used as part of the dissertation provided that the chair of your dissertation committee is notified in writing at the time you submit the paper for publication. The notification should include the article title, the journal name, the names of all authors, and the date of submission. It is recommended that you not publish the paper without the chair's approval and assistance. 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 chapter 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 dissertation must be included in the general appendices. You should be aware that the agreement signed when a journal accepts an article for publication usually assigns all rights to the journal, and you may no longer possess rights to the material.

Companion Dissertations

According to McNamara, Lara-Alecio, Irby, Hoyle, and Tong (2007), companion dissertations are characterized by collaborative inquiry by one or more students in which (a) each dissertation may utilize a target population with a unique study sample centered on a problem, a phenomenon, or a general topic of interest or (b) each dissertation may utilize two or more different target populations yet they may focus on the same problem, phenomenon, or topic. We offer five formats in which a companion dissertation can be conceptualized as one of the following models: (a) meta-analytic model, (b) multiple case study model, (c) evaluation model, (d) single case model, and (e) subsequent replication model. (Chapter 10, ¶ 1)

For a detailed explanation of each model of the companion dissertation go to [Doctoral Program Issues: Commentary on Companion Dissertations](#). Basically, the companion dissertation will include at least six chapters. The first chapter, Introduction, will include the fact that this is a companion dissertation and the type it is. Additionally, you will note the organization of the dissertation. The second chapter will relate to your particular aspect of the topic. The third chapter is typically the methodology which may be similar in each dissertation. The fourth chapter is the results chapter for the specific

topic of the dissertation. The fifth chapter is the discussion related to the particular topic of the specific dissertation. The sixth chapter is the final compiled chapter in which both candidates write the results together. This will be noted as the final compiled chapter of both dissertations.

For Companion Dissertations, in the Abstract, please include the following statement: This is one of two companion studies. The companion study is entitled (TITLE OF OTHER DISSERTATION). Due to the nature of these dissertations portions of the text in both works have been co-authored by (AUTHOR A) and (AUTHOR B) and, therefore, will have identical wording.

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 chairs. Prior to the selection of other members of the committee, you must discuss all committee members with the chair of your committee. The chair of the committee must approve all members of the committee. 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 chair. Each member, however, must be approved SHSU [graduate faculty](#). 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 chair of the dissertation committee and then approved by the respective doctoral program director. The form is found on the University Graduate Studies website at [Non SHSU Employee on Thesis/Dissertation Committee Request](#).

Typically, the traditional five-chapter dissertation proposal includes the first three chapters of the dissertation: Chapter 1--Introduction; Chapter 2--Literature Review; and Chapter 3--Methodology. Dissertations in the College of Education are written in accordance with APA style (unless the journal ready manuscript requires another style for that chapter). It is essential that students obtain and follow closely the latest approved version of the [Publication Manual of the American Psychological Association](#). Slate, LeBouf, and Moore (2012) have a text that provides writing tips for dissertations with regard to making APA 6th Edition Publication Manual much easier to traverse.

It is recommended that you retain an editor to assist in the editing process of the proposal. The program will provide you with a list of potential editors and fees.

Once you receive feedback from your Chair, and all corrections are made, you should schedule the dissertation proposal meeting and ensure with the appropriate departmental secretary that there is a room available and share any special needs (such as video conferencing equipment or speaker phone).

The proposal is generally provided to the committee members 2 to 3 weeks prior to the date of the proposal meeting. The committee members typically have a 2-week time period to read the proposal and get feedback to the student within a week of the proposal so that the student can have the time to consider responses prior to the proposal. Some chairs will ask the student to make all corrections and bring a clean copy of the proposal to the proposal meeting for each committee member. (The Lunenburg Doctoral Research and Distance Learning Lab may be scheduled with Ms. Kimberly Johnson [kkjohnson@shsu.edu] for use by doctoral students conducting research or printing research. No drinks or food may be brought into the Lab, but there is a nice lounge outside the Lab. Also, you must bring your own paper for printing.)

Typically, for the proposal meeting, your chair will require a powerpoint presentation 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 chair for another 30 minutes. The time allocated is typically between 1 to 1.5 hours.

The dissertation proposal meeting is basically an oral examination of the proposed study by the entire committee. It 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. It is possible that 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 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.

After the comprehensive exams, 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. You must be enrolled in dissertation hours in order to propose.

The Five-Chapter Dissertation Proposal

The proposal for the five-chapter dissertation is typically the first three chapters. The first chapter, Introduction, though it may be altered for a quantitative, qualitative, or mixed methods study, generally follows this outline:

CHAPTER I INTRODUCTION

Background of the Study
Statement of the Problem
Purpose of the Study
Significance of the Study
Definitions of Terms
Theoretical Framework
Research Questions (or Hypotheses)
Limitations
Delimitations

Assumptions

Organization of the Study.

You may wish to review the Lunenburg and Irby (2008) text for a description of these sections. There are other authors, of course, that review these sections in their texts. The second chapter contains the critique of the literature. In this review of literature chapter, Lunenburg and Irby (2008) have suggested that you critique the literature and synthesize it by considering its (a) historical context, (b) gaps, (c) approaches, (d) trends and themes, (e) practical significance reported in studies [ensure that data are presented from the specific studies included in the literature critique; for example, the number in the sample, representative nature of the sample, the appropriateness of the sampling techniques, research design, statistical or qualitative research design, and instruments used, and the specific statistical or qualitative findings], (f) reconciliation of conflicting theories, and (g) inconsistent findings. Tables are suggested in compiling the review. There are basically five types of literature you will find: (a) theoretical, (b) personal or expert opinion, (c) government documents, (d) evaluation reports, and (e) studies (qualitative and quantitative). Another way in which you may consider reviewing and critiquing the literature is based on Comb's, Bustamante's, and Onwuegbuzie's (2010) Interactive Literature Review Process. It includes nine stages: (a) exploring belief systems, (b) initiating the literature review process, (c) selecting a topic, (d) exploring the literature: identifying themes, (e) formulating a focus: selecting/deselecting themes, (f) analyzing/interpreting/integrating literature, (g) closing the literature search: reaching saturation, (h) writing the review of literature, and (i) evaluating the process and product.

The third chapter is used to present your proposed methodology. The sections suggested for this chapter include the following basics.

CHAPTER III METHODOLOGY

Context of the Study

Participants of the Study

Instrumentation

Data Collection

Data Analysis

A benefit of the proposal being the first three chapters is that, if there are to be five chapters, three-fifths of the dissertation is virtually complete upon the proposal approval. There may be a few items that must be added or corrected to the critique of literature, but basically the first three chapters are complete. Remember that for the dissertation, the proposal is written in future tense, but the dissertation is written in past tense as your study will have been completed.

The qualitative dissertation at SHSU in the COE is typically proposed in the same manner as the traditional manner described previously. The qualitative dissertation, depending on the specific methodology, may be longer than a traditional dissertation and may diverge from the traditional titles. These decisions should be made with your chair and committee. Specific details of major diversion should be outlined and agreed upon in advance by the Chair and Committee, the Director of the Doctoral Program, the Associate Dean for Graduate Program (COE), and the Dean of Graduate Studies. There also may be scanned images of documents within a qualitative dissertation; those should be readable in black and white reproduction. Some qualitative dissertations may be considered in a different format with an alternative product; there would still be a written document, but the majority of the work, presenting the problems/issue and documenting the results, would be in an alternative format such as in a video documentary. Specific details of such a work would be outlined and agreed upon in advance by the Chair and Committee, the Director of the Doctoral Program, the Associate Dean for Graduate Program (COE), and the Dean of Graduate Studies.

The Journal-Ready Dissertation Proposal

This type of proposal is slightly different from the five-chapter dissertation proposal. This proposal will likely consist of about 20 pages. This does not mean that it is an easier proposal or dissertation, or that it has less rigor. Basically, the journal-ready proposal will become chapter one of the dissertation. There are typically five chapters within this dissertation as well:

Chapter I	INTRODUCTION
Chapter II	CRITIQUE OF THE LITERATURE (One of the Manuscripts)
Chapter III	MAIN STUDY (One of the Manuscripts)
Chapter IV	APPLICATION TO THE FIELD (One of the Manuscripts), and
Chapter V	SUMMARY, CONCLUSIONS, RECOMMENDATIONS FOR FUTURE RESEARCH, AND NEXT STEPS.

Another outline for the journal-ready dissertation may be considered as follows.

Chapter I	INTRODUCTION
Chapter II	STUDY 1
Chapter III	STUDY 2
Chapter IV	STUDY 3
Chapter V	SUMMARY, CONCLUSIONS, RECOMMENDATIONS FOR FUTURE RESEARCH, AND NEXT STEPS.

Basically, there are three journal-ready publications that emerge from this type of dissertation. In the end of this type dissertation, you will have three manuscripts deemed publishable by your committee. They do not have to be published, only deemed publishable in high-quality journals as determined by your department. All three manuscripts *must be on related topics* which fall under an overarching problem. There

may be sub-problems that you may address in the three-study model (second outline above), but there will be one overarching problem presented.

For the purposes of the COE, the following guideline is recommended for the first model outlined above.

CHAPTER I INTRODUCTION

- A. Introduction and Statement of the Problem (includes literature)
- B. Statement of the Purpose of Each of the Types of Studies to be Included:
 - 1. CHAPTER 2 Critique of the Literature (purpose of the critique of the literature)
 - 2. CHAPTER 3 Main Study (purpose of the main study)
 - 3. CHAPTER 4 Application to the Field (purpose of the application manuscript)
- C. Significance of the Work to be Completed (this may also be divided by types of manuscripts)
- D. Definitions of Terms
- E. Theoretical Framework
- F. Research Questions (per type of study within the dissertation along with research methodology for each manuscript proposed)
- G. Limitations, Delimitations, and Assumptions (per type of study within the dissertation)
- H. Organization of the Dissertation.

Companion Dissertation Proposal

The companion dissertation is typically written in a traditional format with the exception of a sixth chapter. The outline for the proposal will be the same as the traditional dissertation with the first three chapters constituting the proposal. The only difference in this proposal is that on most occasions, the proposal is presented with the companion partners (two to three candidates). The proposals may be presented together; however, the defense of each proposal should stand alone; you must be able to defend what you plan to do in terms of methodology and procedures in your independent research study.

Forms for the Proposal

There is a form that must be completed and placed on file with your file in the 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.

College of Education
Dissertation Proposal Defense

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

Copies: For the Student's file in _____ (Program name).

Dissertation Completion Process

The dissertation completion process should not be one that is unwieldy if you simply follow the steps and carefully read this Handbook and work with your chair consistently. You will want to schedule regular meetings with your chair of the dissertation.

After the Proposal- IRB

The proposal was successfully defended and you now say—what next? The first thing to do after you complete the proposal is to complete your request to the Institutional Review Board (IRB) to begin your research. The proposal was just the first step. The IRB submission completes the steps in the process. Here is the link to the [training manual](#) from the Office of Research and Sponsored Programs. You should already have a certificate on file for compliance purposes. The actual IRB application can be completed online (see the [Research and Sponsored Program](#)'s website for online application). Once you receive approval from the IRB, you may begin your data collection (with approval from your chair of the dissertation). It is advised that the candidate, with consultation of the dissertation chair, 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 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, you must write a letter of request through the respective doctoral director and the chair of the department to 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 following 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. Please contact your respective doctoral director for how to register and pay.

Authorship on Future Manuscripts from the Dissertation

Authorship of any future publications from your dissertation should be discussed with your chair early, even during the proposal process. It is expected that you will invite committee members, particularly your 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 chair in terms of the substance and editing of the manuscript. Authorship in terms of first, second, third, etc., must follow ethical guidelines of APA.

Dissertation Defense

Your dissertation defense will be an oral presentation and discussion of the written dissertation. In the 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 it is worthy of the bestowing of a doctoral degree. Typically, this defense is in an open forum with other doctoral students and other faculty members invited.

Your dissertation chair will not allow you to schedule your defense until your dissertation document is written with quality and edited well. Please do not be disappointed when this process may require numerous revisions and an editor. Your completed dissertation will need to be to your chair in time for the chair to review it and approve it to get the final document to your committee at least three weeks prior to the defense. As soon as your dissertation is in an almost complete stage, you will need to schedule the defense and the room, along with any special needs. You should offer your committee members two to three dates to see which is best for all.

Your committee members will be able to respond to you with their corrections within 2 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 chair might want all revisions corrected and those pages brought to the defense. Be certain to check with your chair.

The format of the presentation will be discussed with you by your chair. Usually, the chair welcomes the guests and thanks the committee members. The purpose of the defense is to ensure that you can speak academically about what you have written. You should stand when presenting and should use a professional powerpoint presentation template. Most of the time, the questions are reserved until you have completed your presentation. However, the 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 will receive are those that require you to (a) discuss further your methods, findings, theoretical framework, or interpretations, (b) share what you know more 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. The guests are allowed to ask questions as well.

Your presentation at the defense will likely last approximately 30 minutes. The remainder of the time which will likely be around 30 to 45 minutes will be taken in discussion and questioning. Reyes (2009) offered some very helpful tips on the dissertation defense. She indicated the following six tips which are helpful to all students:

1. *Start by reviewing the research questions and the instruments and analyses used.* Remind them why the research questions are relevant and/or lack of current research on the topic.
2. *Then, get straight to the point and present the findings.* Make it short and sweet: "Regular sleep was positively related to a good mood" and present the data to support your conclusions.
3. *Stick to what you know.* Do not feel the need to have an overhead for every point you want to make-you do not have to present *all* your findings. Just as your discussion highlights some results more than others, the defense will likely focus on the more interesting findings as well. [Know the material sufficiently well so as not to have to read the slides.]
4. *Focus their attention.* Remember that whatever you present, either in overheads or orally, you are opening yourself up to questioning. If you are not that comfortable with statistics, consider minimizing the number of tables you present on overheads (instead refer to the table/page orally). Again, just as your discussion may emphasize and explore some findings more than others, it is acceptable for you to focus your defense in a similar manner. Practically speaking, it is simply not possible to discuss all the nuances of a 200-page research project within 2 hours.
5. *Practice with an audience beforehand.* Because you have probably been looking at this dissertation for a minimum of 243 light years, fresh eyes will ensure that you are making smooth transitions and a clear presentation. Practicing in the actual room in which you will be defending is highly advisable, especially if you will be able to test-run using Power Point, a laptop, or other audio-visual aids.
6. *Project professionalism.* Dressing in formal attire will contribute to your credibility and perception as a future colleague. Though completely optional, you may also consider providing beverages, even just bottled water, to further create a professional atmosphere. (§ 11)

Additionally, she noted

There will be revisions. Every defense should result in some revisions, accept them as a matter of course so do not take the critiques personally. Though revisions require more work, they are intended to improve your paper. This document will be sitting on a library shelf with your name on it. It wouldn't be bad if it were the best draft it could be. Whether or not the revisions seem petty or like busy work, the fact is you need their signatures. Another skill in the graduate student's repertoire is learning to accommodate the wishes of the committee members: whatever makes them happy.

The extent of revisions tends to vary by chair and program. Some chairs may only permit you to defend if it is more or less a finished product. Others may accept the revisions as part of the defense process. They will allow you to defend, fully expecting input from the committee members that will lead to a fair amount of revisions. If the latter is the case, it may be helpful to have a friend recording their input during the defense so you can maintain focus on the discussion. (¶ 16-17)

Once your defense has been completed, all guests will be asked to leave. After any further discussion with you, you, too, will be asked to leave the room. After the committee discusses any changes among themselves and agrees to those, the committee will determine whether you have passed the defense. Sometimes, committees will say you have passed the oral exam, but the written component of the dissertation needs additional edits. Some committee members will want to see their revisions you made returned (with their notes on the document), while others will defer to you and your chair to be responsible for making the edits requested. Once all is in order, the committee members will sign the front page of the dissertation (You should have that ready on the required cotton bond paper, which can be found at the SHSU Press, at the defense in case they indicate that the committee members will sign immediately in blue ink.). You should submit the signed document to the doctoral secretary who will forward the papers to the COE Office of Graduate Programs. After all revisions have been made, the dissertation will be forwarded for a final review by the Office of Graduate Studies Reviewer. This step begins the internal SHSU review and signature process.

You will be able to defend your dissertation with ease by the time you have completed it—you will be the expert on your topic. Your committee members will have read it and given you feedback as well. By the time you defend, you may have edited your work and rewritten no less than 20 to 30 times. The first draft will only be the beginning to fine tune the ultimate performance event (your dissertation) in your doctoral studies. Make certain that the dissertation follows all of the COE guidelines outlined in this Handbook and as prescribed by your specific department and program.

Dissertation Timeline

The COE has a *different timeline 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 and the Library to review the dissertation and for the Dean of Education and Dean of Graduate Studies to sign. Following is the timeline for Summer, 2012, Fall 2012, Spring 2013, and Summer 2013 semesters. The University Fall, 2013, Academic Calendar is not yet posted at the publication of this document. Once it is posted, the timeline will be published in full. Please note that these deadlines indicate *by*; therefore, it is recommended to begin the process early with defenses in order to meet the deadlines. The Route Sheet example also follows.

- Deadlines for the **Summer 2012** Semester
 - By June 1, the dissertation, candidates must defend their dissertation
 - By June 4, the dissertation chair should submit the dissertation, along with the signed electronic route sheet, to the Office of Graduate Studies Reviewer (reviewer@shsu.edu). (Between June 4 and July 2, 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 5, the Newton Gresham Library Director should submit the dissertation to the College of Education Dean's office for the Dean's signature.
 - By July 9, the Dean's Office should submit final dissertation (with the Dean's and others' signatures) and electronic route sheet to the Library.
 - July 13 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.
- Deadlines for the **Fall 2012** Semester
 - By September 21, candidates must defend their dissertation
 - By September 26, the dissertation chair should submit dissertation, along with the electronic route sheet, to the Office of Graduate Studies Reviewer (reviewer@shsu.edu). (Between September 26 and November 14 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 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 14, the Graduate Reviewer should submit the dissertation to the Newton Gresham Library Director
- By November 16, the Newton Gresham Library Director should submit dissertation to the College of Education Dean's office for signature
- By November 20, the Dean's Office should submit the final dissertation (with Dean's and others' signatures) and electronic route sheet to the Library.
- November 26 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.

- Deadlines for the **Spring 2013** Semester

- By February 22, students must defend their dissertation
- By February 27, the dissertation chair should submit dissertation, along with the electronic route sheet, to the Office of Graduate Studies Reviewer (reviewer@shsu.edu). (Between February 27 and April 17, the Dissertation will be reviewed by the Graduate Studies Reviewer and the Newton Gresham Library Dissertation Clerk and Director) There is a preliminary review by the Reviewer and 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 19, the Newton Gresham Library Director should submit the dissertation to the College of Education Dean's office for the Dean's signature
- By April 23, the Dean's Office should submit the final dissertation (with the Dean's and others' signatures) and electronic route sheet to the Library.
- April 25 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 the route sheet to the Dean of Graduate Studies.

- Deadlines for the **Summer 2013** Semester
- Approved by Dean Bruce and Dean Tayebi (5/16/2013)

(This timeline may change due to Academic Calendar changes that are not yet posted effective June, 2012) *Please note deadlines are earlier for Summer 2013 due to the short turnaround time for Summer reviews to take place.*

- By June 3, the dissertation, candidates must defend their dissertation
- By June 10, the dissertation chair should submit the dissertation, along with the signed electronic route sheet, to the Office of Graduate Studies Reviewer (reviewer@shsu.edu) (Between June 10 and July 11, 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 12, the Dean's Office should submit electronic route sheet to the Library.
- July 13 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.

ROUTE SHEET FOR DISSERTATION

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

The electronic Route Sheet is can be found on the University Graduate Studies site at http://www.shsu.edu/~grs_documents/COEDissertationRouteSheet_000.pdf

Questions about the electronic Route Sheet can be directed to the chair of your dissertation or to your respective doctoral secretary.

Timeline Checklist

The following checklist will assist you in completing your dissertation as part of meeting the timeline. Your department will provide you with a checklist like this one. You and your chair will sign it.

Note: Routing of the dissertation is typically completed electronically by the chair and doctoral student; however, it may require the doctoral student's presence on campus several times during the process; any other arrangement must be approved by the Library and the respective doctoral chair. After the committee makes all corrections, begin routing your dissertation—it will go first to the Office of Graduate Studies Reviewer (reviewer@SHSU.edu) to be submitted by the Chair of the Dissertation with the electronic route sheet. After all corrections have been made from the Reviewer, then the dissertation is forwarded by the Reviewer to the Library Dissertation Clerk.

☐ 1. Committee chair and committee members check the dissertation for the following: content, grammar, permission to use copyrighted material, readability, transitions, APA rules (or journal's format), all front pages complete and correct, methodology correctly implemented and correctly interpreted, effect sizes, as appropriate, included, thorough critique of the literature, and references correct and included. The dissertation will be checked for plagiarism by submitting to Turnitin.com. The chair of the committee or the candidate will submit the document (Who --the candidate or the chair-- will submit will be directed by the chair of the committee.). The turnitin website is <http://www.turnitin.com/static/index.php> and has demos and how to use videos. Additionally, the Library Reference Desk provide an outline of directions at the following link [TURNITIN DIRECTIONS.docx](#)

☐ 2. Print one signature sheet on **bond paper (bond should be facing up and in the same direction as the print)** to be signed in **blue ink** by committee at the dissertation defense. Defend dissertation. Have the signature sheets signed (if the committee agrees that you have passed the defense- there may be times when the committee will request another defense, though this is unusual.). **Abstract pages do not have to be signed for the College of Education. Remember that the Abstract is limited to 350 words.** Please submit the signed dissertation signature bond sheet to the respective doctoral program secretary so that the page in a folder can be submitted immediately to the Office of Graduate Programs in the Dean's Office, COE Graduate Advisor. (If title page has any edits by the Reviewers or the Library, you will need to recopy it on the bond paper and get it signed again and bring it to the COE Graduate Advisor's Office to replace the previously signed copy.) Note: Chairs of dissertations or the candidates may request more signed copies of the front page of the dissertation to have a personal signed original copy of the dissertation itself once it is bound.

☐ 3. Make corrections from committee and/or dissertation chair. Meet with the chair of the dissertation to review all corrections and ensure that they are made. The chair of the dissertation should submit the dissertation and the electronic route sheet completed with the candidate's name to the graduate reviewer at reviewer@shsu.edu. The submission should include the following: student's contact information (phone and e-mail address), dissertation chair's contact information, and if a necessary, co-chair's contact information; Electronic Route Sheet with the appropriate signatures; final copy of dissertation in one file (do not send front pages in a separate file).

☐ 4. Office of Graduate Studies (OGS) reviewer and Library Director conducts a preliminary review of the dissertation and returns the dissertation for minor corrections. The preliminary review will take place with no more than one return for corrections; those dissertations that cannot make it past the preliminary review with more than one return may risk not getting into the formal queue for the full review until the following semester. Be certain you have your dissertation in final form prior to submitting it to the OGS. Following is an example of a *non-compliant* Preliminary Review that could be corrected with one return. Also, following that example is a Common Errors Checklist you will be required to submit with your dissertation. This should help in being compliant with all OGS requirements.

After the one-time preliminary review, the OGS Reviewer then receives the corrected version from the preliminary review, and if all corrections are done accurately, moves the dissertation into the formal queue, and reads the final corrected dissertation for the following: *alignment with APA or journal guidelines, grammar, page numbers in table of content, alignment in tables and figures, page numbers in chapters aligned with table of contents, page numbers are placed in the references for chapters in books, and references in the text and reference list.*

The Reviewer will not take the place of an editor that may be needed and who would be engaged well in advance of this step (during the actual writing of the dissertation).

Student Name: _____

Reviewer Name: _____

Preliminary Review Form - Graduate Studies Section

Reviewed Elements	Comments	Reviewer Compliant?	Student Compliant?
Abstract (Length)	Abstract exceeds required maximum length of 350.	N	
Table of Contents (Format and Structure)	Remove List of Figures when there are fewer than five. Flush TOC to the left margin. Add Appendix B.	N	
List of Tables (Format and Structure)			Y
List of Figures (Format and Structure)	Remove List of Figures when there are fewer than five.	N	
Headers (Format)	Add appendix title to Appendix B.	N	
Charts / Tables (Format)	Remove bottom line from continuation tables. Tables and figures must appear in the text as near as possible to the discussion relating to them. Under no circumstances will a table or figure precede the first discussion of its content. Of the first 7 tables only table 1 follows the discussion. Please check all tables.	N	
Document Layout (Font, Margins, Page Numbers)	Margins are non-standard. Bottom margin must be set at 1". Perhaps as a result of that, page numbers are not printing on front matter pages.	N	
References (Format and Structure)	Minor corrections needed to reference section hanging indents.	N	Y
Missing Elements		Y	

Preliminary Review Form - Library Section

Instruments		Y	
Copyright Issues / Permissions	You do not have a copy of the letter granting permission to use the figure in your dissertation from National Clearinghouse from Leadership Programs in the Appendix.	N	Y
Appendices	Make edits per above indication	N	

**COLLEGE OF EDUCATION
DISSERTATION: COMMON ERRORS CHECKLIST**

General Format:

- ☐ Roman numerals improperly displayed (location in margin/correct numeral) and/or not displayed on the appropriate pages
- ☐ Use of a non-approved font
- ☐ Margins set inappropriately (Ex. ½ inch bottom margin or 1 inch left margin)
- ☐ Elements not in proper order (Ex. Acknowledgment located before Abstract)
- ☐ Missing required elements (IRB letter/Vita/Permissions)

Title Page:

- ☐ Dividing lines inappropriate length, not positioned properly on page
- ☐ Candidates full formal name not used or different from Signature Page and Abstract
- ☐ Wrong graduation date
- ☐ Wrong degree named

Signature Page:

- ☐ Dividing lines inappropriate length
- ☐ Approval signature blocks inappropriately positioned
- ☐ Not using full name (including middle initial) for Dissertation Chair and Committee Members and/or inconsistent use of or incorrect use of titles
- ☐ Wrong graduation date

Abstract:

- ☐ Citation inappropriately formatted
- ☐ Wrong graduate date
- ☐ Abstract length longer than the allowed maximum (350 words)
- ☐ Abstract keywords improperly capitalized or void of capitalization

Table of Contents:

- ☐ Improper page format
- ☐ Incorrect use of lead lines (lead feature must be used, not insertion of periods/dots, or margins will not justify)
- ☐ Spacing between chapter title and numeral incorrect
- ☐ Contains 2nd and 3rd level headings (only 1st level headings allowed)
- ☐ Headings included in the TOC do not match the headings used in the dissertation
- ☐ Automated table feature utilized (Library prefers that this feature not be utilized due to problems at printing. If students choose to use the automated feature, they will be responsible for any needed adjustments regardless of point in process.)

List of Tables/List of Figures:

- ☐ Improper page format
- ☐ Incorrect use of lead lines (lead feature must be used, not insertion of periods/dots or margins will not justify)

- ☐ Spacing between chapter title and numeral incorrect
- ☐ Titles included in the LOT and/or LOF do not match the titles used in the dissertation
- ☐ Page location numbers in dissertation do not match LOT/LOF
- ☐ Automated table feature utilized (Library prefers that this feature not be utilized due to problems at printing. If students choose to use the automated feature, they will be responsible for any need adjustments regardless of point in process.)

Table/Figures:

- ☐ Improperly formatted (constructed manually not utilizing Word table construction feature/alignment of data/table line breaks/void of “continuation” heading/etc.)
- ☐ Improperly titled/captioned
- ☐ Use of color (table/figures must be in black and white and use patterned legends)
- ☐ Use of tables/figures from sources but void of needed copyright permission(s)

Headings:

- ☐ Improperly formatted or aligned (Ex. Level I headings formatted as Level 2 headings)
- ☐ Inappropriate length of heading(s) (too long)

References:

- ☐ Improperly formatted (alignment and/or spacing)
- ☐ Missing references
- ☐ References included which are not cited in the dissertation
- ☐ Improperly formatted parenthetical documentation
- ☐ Source material used in dissertation but void of proper parenthetical documentation and reference citation

Appendix

- ☐ Missing header
- ☐ Missing elements
- ☐ Elements not tracked with citations in the dissertation

Vita:

- ☐ Not formatted using Graduate Studies or COE guidelines
- ☐ Dissertation void of Vita

I verify that my dissertation is void of any of the above listed common errors.

Click here to enter text.
(Name)

Click here to enter text.
(Date)

□ 5. The OGS reviewer will respond to the candidates and the dissertation chairs with edits. Once all issues are cleaned with the candidate and the chair, the OGS reviewer will submit the final OGS copy to the Library Director with the Electronic Route sheet. (If there are unresolved issues between the dissertation chair, the candidate, and the OGS Reviewer or Library Director, the Associate Dean for Graduate Programs of COE will be contacted to attempt to resolve the issue. If there is a new reviewer for OGS [new to the process], the Associate Dean for Graduate Programs will work with that new reviewer in the process.) Following is the step-by-step process.

GRADUATE STUDIES DISSERTATION REVIEW PROCESS

INITIAL SUBMISSION

Step 1:

The Dissertation Chair submits the following to the Office of Graduate Studies 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)
- Common Errors Check List
- 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)

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-Chair and to the Candidate.

PRELIMINARY REVIEW

Step 3:

Within three working days of receipt of the dissertation, a Reviewer completes a preliminary review of the following elements:

- **Abstract** (length)
- **Document Format** (page numbers, margins, font)
- **Table of Contents** (structure, format)
- **List of Tables** (structure, format)
- **Tables and Charts** (structure, format)
- **References** (structure, format)
- **Missing Elements** (permissions, IRB approval letter, Vita, etc.)

Step 4:

Upon completion of the preliminary review by the Reviewer, the dissertation is forwarded to the Library, and a confirmation communication is sent to both the Dissertation Chair/Co-Chair and to the Candidate informing them that the dissertation was moved forward.

Step 5:

Within five working days of receipt of the dissertation, the Library completes a preliminary review of the following elements—**Instruments, Copyright Issues/Permissions, and Appendices**—and upon completion of the review forwards the dissertation to the Office of Graduate Studies.

Step 6:

Within one working day of receipt, one of the two actions below is accomplished based on whether or not any elements are Out of Compliance.

- a. **Compliance:** if the dissertation is **void of** any compliance issues, then the dissertation is placed in the queue for formal review, 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** preliminary reviewed elements are not in compliance, the dissertation is returned to the Dissertation Chair for revision.
 1. The Dissertation Chair receives an electronic "Preliminary Review Form" which outlines the areas that need to be addressed and provides comments or additional instruction.
 2. Upon completion of the revisions by the Dissertation Chair or Candidate, the dissertation with changes tracked and the Preliminary Review Form are resubmitted to the Office of Graduate Studies
 3. If the compliance issues have been successfully addressed, the dissertation is placed in the queue for formal review and a confirmation communication is sent to both the Dissertation Chair/Co-Chair and the Candidate providing them the dissertation's place in the queue.
 4. If the compliance issues have **NOT** been successfully addressed, the dissertation will be returned to the Candidate, and the Candidate will be instructed to resubmit the dissertation for the following reading period.

FORMAL REVIEW**Step 7:**

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 formal review.

Step 8:

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 9:

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.

Step 10:

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.

☐ 6. 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 bond copy of the front page of the dissertation at that time to the Library.

☐ 7. Please note in the explanation that follows this listing how the library receives completed dissertation with route sheet and signed pages. Also see the outline as to how the submission is routed for binding. Required numbers of copies of the dissertation paid by the student (Library assists with calculation of cost for all binding and submission to UMI; those costs are noted in the SHSU Guidelines as well.) are: **Two bond copies for the Library (one set with original blue ink signatures), one plain paper copy for the department, one plain paper copy to the committee chair, and a plain paper copy to the Dean's Office.** *All other specifics on numbers of copies will be provided by the respective doctoral director.* The Library will forward the electronic route sheet to the Dean of Graduate Studies for signature. Once the route sheet is received by Registrar's Office, the candidate is cleared for graduation.

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

Procedures for Printing a Thesis or Dissertation and Submitting to the Library (Guidelines provided by Library Director, Ann Holder)

Printing Procedures

- 1) The OGS reviewer will provide the Library Director with the following information:
 1. A word document of the dissertation and a PDF
 2. Student's Full Name
 3. Phone number
 4. E-mail address
 5. Department in the College of Education
- 2) A designee of the College of Education will provide the Library with the original signed pages of the Approval.
- 3) The Library will scan the Approval Page with the PDF of the thesis/dissertation.
- 4) The Library will contact the candidate to determine the number of copies. At the same time the Library will send the candidate the UMI Publishing Agreement
- 5) The Library will place the PDF of the thesis/dissertation in the folder on the T:Drive, see path below.

T:\Press\DropBox\J - R Depts\Library\Thesis & Dissertations ONLY

- 6) 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)
- 7) 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.
- 8) The notification emails will need to be sent to Lori Proctor (lkp001@shsu.edu) and Janis Lawrence (gra_jal@shsu.edu). It is important to email to **both**.
- 9) Pricing for copying the thesis/dissertations (prices are subject to change):
 - o Copies on the Cotton Bond (Strathmore) paper - \$.09 /sheet
 - o Copies on the Regular Bond paper - \$.05/sheet
 - o 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 candidates will also receive information about the cost of copyrighting their dissertation.
 - b. Doctoral candidates will mail the completed UMI Publishing Agreement form to the Director of Library Services along with payment.
 - c. Payment
 - i. 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*Credit cards are also accepted by phone.*
- 2) Copies delivered by the candidate.
 - a. Cost for binding, microfilming, postage (if bound copies are to be mailed) will be determined; doctoral candidates 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
All route sheets are submitted electronically unless otherwise noted by the Library Director.

Dissertation Elements

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*](#).

The SHSU Guide includes information on plagiarism and special requirements and procedures such as quality of paper, typeface, headings, and spacing. The preparation of the dissertation is noted that it must be error free and cannot be printed on an inkjet printer. It must be printed on a laser printer.

Copyright is an important element that is shared in the SHSU Guidelines. It states:

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/copyright/>.

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 SHSU Guidelines Manual indicates:

Graduate students may publish material that subsequently will be used as part of the thesis provided that the 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 following 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.

The language below should be used when requesting permission to reproduce copyrighted material, see the complete [sample letter on the Library’s website](#).

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.

References

- Combs, J. P., Bustamante, R. M., & Onwuegbuzie, A. J. (2010). An interactive model for facilitating development of literature reviews. *International Journal of Multiple Research Approaches*, 4(2), 159-182.
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