Sam Houston State University
College of Education
Dissertation Handbook

Sam Houston State University is a member of The Texas State University System.
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 has used the University’s 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 College of Education. 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 College of Education reflects the importance the College places on it, the College of Education 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. The College of Education faculty and staff should familiarize themselves with the contents of the Handbook.
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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. It 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 will want to 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 how well your topic fits within one of the following structures, the view of your field regarding the dissertation structure, and 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 that a dissertation that uses qualitative methodology may include more than five chapters.

**Journal-Ready Dissertation**

The journal-ready dissertation typically will include five chapters just as the 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 of the journal-ready manuscripts and the potential locations for respected scholarly journal submissions. Each of the three journal-ready manuscripts will be described with purposes and research questions for each. For the actual research study, the proposal will include traditional components of research design, etc. In Chapter II, the first manuscript developed for publication, you will include a systematic review or 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. 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. A copy of the journals’ instructions to the author, copies of three articles published within the last three years must be submitted with a draft of the dissertation to the Library.

The dissertation should be presented as a single unit; continuity from chapter to chapter is important. Unavoidably, this will duplicate some of the introductory and concluding material in each article. The dissertation will have a common abstract and reference section. The reference section will be an integrated list, not a series of lists. Appendices may be added to present information not included in the body of the dissertation. When submitting the work from the dissertation for publication, you and your chair will need to determine how each manuscript will be pulled from the dissertation for submission and how each then will not be duplicated.

Whenever there are differences in format and layout between the specifications of the SHSU Guidelines and the journal model, the SHSU Guidelines overrule the journal. The journal will be followed for:
  • location of table titles (above or below)
  • location of figure titles (above or below)
  • reference section (entry format).

Continuous pagination is required 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” is not followed exactly when writing a dissertation. These instructions are for the convenience of editors and do not necessarily apply to the format of a dissertation. Individual manuscripts serving as chapters of the dissertation need not have the same internal structure. Instead, each is presented in the style appropriate to the selected journal.

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 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 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.
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.

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 a video conference set up or speaker phone).

The proposal is generally provided to the committee members three weeks prior to the date of the proposal meeting. The committee members then typically have a two-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. Debbie Allen (debbieallen@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, in 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.

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 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 review of 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, (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).

The third chapter is used to present your proposed methodology. The sections suggested for this chapter basically include:

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 additional items that must be added or corrected to the review 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 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 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.

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 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.

The outline of the journal-ready proposal is noted in the SHSU Guidelines book specifically for Arts and Sciences. However, for the purposes of the College of Education, the following guideline is recommended:

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)
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 copy of it for your information is below (Note the types of decisions that can be made):
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 to begin your research. The proposal is just the first step. This completes the steps in the process. The first step is to learn what you must do (you should have had experience with this during your doctoral program, so this step should be familiar). 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. 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 six years from the time of enrollment to graduation. You must continuously enroll 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 nine 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 will be provided by the SHSU Office of Graduate Studies after Spring, 2010 for Summer Session, 2010. All summer timelines must be met for graduation for Summer 2010, and no waivers will be made for Fall. If you do not meet the deadline, then the University Graduate Office has deemed it necessary for you to pay the full tuition for another doctoral dissertation three-hour credit.
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 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 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 to 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, they 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 bond paper at the defense in case they indicate that the committee members will sign immediately in blue ink.). After all revisions have been made, the dissertation will be forwarded for a final review by the Office of Graduate Studies Reviewer.

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 SHSU Guidelines.
Dissertation Timeline

The College of Education 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, the Dean’s Office, and the Library to review the dissertation. Following is an example of the timeline for Spring 2010 semester and Summer 2010 semester. The Route Sheet example also follows.

- **Deadlines for the Summer 2010 Semester**
  - By June 1 students must defend their dissertation
  - By June 4 students should submit dissertation to the Office of Graduate Studies Reviewer.
  - By June 25 students should submit dissertation to College of Education Graduate Advisor’s Office.
  - By July 9 students should submit final dissertation (with Dean’s and others’ signatures) and route sheet to the Library.
  - July 16 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 2010 Semester**
  - By October 1 students must defend their dissertation
  - By October 6 students should submit dissertation and route sheet to the Office of Graduate Studies Reviewer.
  - By November 10 students should submit dissertation to the College of Education Graduate Advisor’s office.
  - By November 19 students should submit final dissertation (with Dean’s and others’ signatures) and route sheet to the Library.
  - November 23 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 2011 Semester**
  - By March 1 students must defend their dissertation
  - By March 7 students should submit dissertation to the Office of Graduate Studies Reviewer.
  - By April 13 students should submit dissertation to the College of Education Graduate Advisor’s office.
  - By April 22 students should submit final dissertation (with Dean’s and others’ signatures) and route sheet to the Library.
  - April 29 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

This Route Sheet, when completed and properly signed, will be delivered to the Registrar by the Office of Graduate Studies as evidence that the dissertation has been completed as required for the respective doctoral degree for the anticipated graduation date of ______________.

Name of Candidate: _________________________________________

Major Subject: _________________________________________

Minor Subject: _________________________________________

Title of Dissertation: _________________________________________

_________________________________________________________

Signatures:

Dissertation Chair/Co-Chair (Type name)                         Date

Dissertation Co-Chair (Type name)                               Date

Office of Graduate Studies Reviewer (Type name)                 Date

Dean of College, Dr. Genevieve Brown                           Date

Newton Gresham Library Director, Ann Holder                    Date

Dean of Graduate Studies, Dr. Kandi Tayebi                     Date

Registrar, Teresa Ringo                                         Date
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 will be completed by the doctoral student and will 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 director. After the committee makes all corrections, begin routing your dissertation—it will go first the Office of Graduate Studies Reviewer. After all corrections have been made from the Reviewer, then the dissertation is forwarded to the College of Education Graduate Advisors’ Office. Dissertations must be received by the Library for final signature four weeks prior to graduation.

☐ 1. Committee Chair and Committee Members check the dissertation for the following: content, grammar, permission to use copyrighted material, plagiarism, 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.

☐ 2. Print two signature sheets on bond paper (bond should be facing up and in the same direction as the print) signed in blue ink by committee and bring to 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.) Print two abstract pages (signature page only) on bond paper (bond should be facing up and in the same direction as the print) signed in blue ink by Dissertation Chair. Once these are signed, please bring all signature sheets to the Office of Graduate Programs in the Dean’s Office, College of Education. (If title page or abstract pages have edits, they will have to be recopied on bond paper and signed again.)

☐ 3. Make corrections from committee and/or dissertation chair. Keep the tabbed corrections with each step of this process and turn back in to the dissertation chair with corrected dissertation. Meet with the chair of the dissertation to review all corrections and ensure that they are made. Submit the dissertation and the route sheet completed with your name to the Graduate Reviewer at reviewer@shsu.edu.

☐ 4. Office of Graduate Studies Reviewer reads the final corrected dissertation from your committee and chair for the following: alignment with APA or journal guidelines, grammar, flow, 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).

☐ 5. After Reviewer completes all edits with you, your dissertation chair approves all corrections and electronically signs route sheet.

☐ 6. Dean receives completed dissertation with route sheet. Any changes or corrections are routed to the Office of Graduate Studies Reviewer and the candidate. Corrections are returned to the Dean’s Office to the Graduate Advisor. Route sheet is signed by the Dean and returned to the respective doctoral director for final steps.

☐ 7. Reviewer submits your dissertation with signed route sheet to the Library. 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 plain paper copy for the department, one plain paper copy to the committee chair, and a plain paper copy the Dean’s Office. All other specifics on numbers of copies will be provided by the...
respective doctoral director. The Library will forward the 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.

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

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

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 a PDF of the thesis/dissertation to the Library, jns001@shsu.edu.

2) The reviewer will provide the Library with the following information in the e-mail:
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   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 Approval Page and the Abstract.

4) The Library will scan the Approval Page and the Abstract and combine these pages with the PDF of the thesis/dissertation.

5) The Library will contact the student to determine the number of copies. At the same time the Library will send the Doctoral student the UMI Publishing Agreement

6) The Library will place the PDF of the thesis/dissertation in the folder on the T:Drive, see path below.

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7) Once the final thesis or dissertation is placed in the folder the Library will email the Press and provide the following information:
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   - Phone Number
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8) Method of payment to the Press
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9) 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.

10) Pricing for copying the thesis/dissertations:
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            1830 Bobby K. Marks Drive
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         *At present the Library does not have the ability to accept payment by credit card. We are investigating the cost associated with the accepting payment by credit card.*

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3) Route Sheet
   a. For student not on campus, the Library will take the Route Sheet to the Office of Graduate Studies; Graduate Studies will send the Route Sheet to the Registrar’s Office.
   b. Students paying in person will take the Route Sheet to the Office of Graduate Studies and after it is signed to the Registrar’s Office.
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/](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.

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