Eastern Michigan University

Graduate School

Dissertation Manual

Fall 2012

Table of Contents

List of Tables

List of Figures

What Is a Dissertation?

A dissertation is the documentation of your original research or scholarship that serves as partial completion of graduation requirements for a doctoral degree. Typically, a dissertation completes the tasks identified below. However, each doctoral program may have its own criteria, and it is best to discuss requirements with your faculty advisor.

1) Introduce a problem and explain its background
2) Ask one or more research questions or state one or more hypotheses
3) State objectives of the research
4) Explain what other scholars have written on the topic
5) Design and describe a research method
6) Collect and analyze data and explain findings
7) Form conclusions and identify issues for further inquiry

Why Write a Dissertation?

The primary purpose for writing a dissertation is to explain new knowledge or develop new understanding about a specific topic. It is a piece of scholarship your dissertation committee will help you craft, refine, and polish. It is a wonderful opportunity to work with experienced researchers and faculty mentors. The work is then shared around the world by way of the Internet through inclusion in the EMU Halle Library online repository and submission to ProQuest, where dissertations abstracts and full text have been listed for years in paper and now electronic format.

Your dissertation may serve many functions, including to:

- Add to the body of knowledge in your discipline
- Provide a foundation for future research in your discipline
- Become the basis for presentation of your research at professional and academic conferences
- Be adapted for publication as an article or book
- Attract interest from current or potential employers

Dissertation Process

This section will discuss:

- The overall process for doctoral degree completion
- How to select a dissertation chair and committee
- How to select your dissertation topic

Overall Process for Degree Completion

- Complete course work.
- Complete comprehensive qualifying examination. If your exam is the dissertation proposal, then complete the next two steps first.
  - Select a dissertation chair and committee.
  - Prepare and submit a proposal to your committee for review and approval.
- Prepare for conducting research with human subjects by completing the CITI training at www.citiprogram.org/. Create a log-in/password and affiliate with EMU. Select training to complete; confer with your faculty mentor. The training is free of charge.
- Complete, submit, and receive approval for research using human subjects or animals **prior to gathering data** (University Human Subjects Review Committee). See Office of Research Development, Regulatory Compliance website, http://ord.emich.edu/.
- Begin research; gather, analyze, and integrate findings.
- Register for dissertation credits.
- Work with dissertation committee on the progress of the research itself.
- Receive chair's approval of dissertation prior to submission to the committee for defense.
- Defend dissertation. Committee members will provide suggestions for the manuscript. Typically committee members (not the chair) sign the approval form at the defense meeting. Approval must be unanimous.
- Make content or editorial corrections suggested by committee members. **You may choose to hire an editor to prepare the document for online posting and worldwide access.**
- Obtain document approval from the committee chair and department head/school director or program director/coordinator.
- Submit approved dissertation to the Graduate School for review of format, punctuation, spelling, and grammar. ONLY 40 PAGES WILL BE FULLY READ WITH NOTES INDICATING GENERAL ISSUES TO FIX THROUGHOUT THE DOCUMENT. Submit a clean version for final approval by the Graduate School. Include committee-signed *Document Approval* form (see Figure 12).
- REQUIRED: PhD (not EdD) students MUST complete the NSF Survey of Earned Doctorates. It can be found online @ https://sed.norc.org/doctorate/showRegister.do
- REQUIRED: once the Graduate School has notified you that your document is finished, you MUST post the dissertation (one PDF document) and abstract to ProQuest (formerly University Microfilm Incorporated or UMI) for copyright and Dissertation Abstract International. Post online at www.etdadmin.com/emich. See Graduate School website for tutorial regarding the submission process.
- REQUIRED: Upon ProQuest submission, the document will be shared with EMU-Digital Commons, Halle Library. You must also complete and send to the Graduate School the *Rights and Permission Form*. The permission form allows for online

posting and offers a one or two-year delay in Internet posting of your work if publication or patent is pending.
- **At the beginning of the semester** in which completion seems feasible, submit application for graduation online through my.emich. A fee will be charged to your student account. Send a current copy of your Program of Study to Records. Your graduate advisor submits thesis course grades to the Office of Records and Registration.
- Order **official EMU Doctoral** cap, gown, and hood from bookstore or appropriate vendor (BLACK WITH DARK GREEN trim/logo and DARK GREEN hood – NOT blue hood).
- Attend graduation for special hooding ceremony in April or December. See Doctoral Graduation section of the Graduate School website for detailed information. See also commencement website accessed from Records/Registration website.

Chair and Committee Selection

Dissertation Chair

Every student writing a dissertation needs a dissertation chair and a faculty member who serves as a mentor throughout the dissertation process. The responsibilities of a dissertation chair are to:

- Oversee your candidacy, the final phase of your doctoral program
- Facilitate your dissertation committee
- Help you develop a proposal
- Guide your research
- Assist with document editing
- Determine with the rest of your committee when your work is ready for defense
- Chair the dissertation defense meeting
- Be on stage with you during your hooding ceremony at commencement.

Upon achieving candidacy, you will need to identify a committee chair on the basis of the following suggested guidelines.

- Try to choose a chair whose research interests match your own.
- Select someone from your academic department with whom you feel comfortable working. This is typically a faculty member from whom you have taken one or more courses.
- Choose a chair who will have time to spend on your project. Be sure that he or she will not be away on sabbatical or leave of absence during the final stages of your dissertation.

Dissertation Committee

After you choose your dissertation committee chair, you will need to establish your committee, which must have at least three and no more than six members, including the chair. At least half of your committee members must be from your academic department or school. The committee must also include one faculty member from outside your department, typically from your cognate field of study, and approved by the Graduate School. Choose individuals who represent aspects of your research interest (e.g., the major theme, minor elements, the research design methodology). One member may be from off campus (e.g., faculty from another institution, alumni, community members, corporate partners, internship supervisors, emeritus faculty). Persons external to the University must have a master's degree but preferably a doctorate. Voting members must hold a doctorate.

The final committee members, as well as any subsequent changes in the committee roster, must be approved by the chair, the department head or school director, and the Graduate School. (See Figure 1, *Dissertation Committee Approval* form.)

Topic Selection

The selection of a dissertation topic is an important process. You will be spending many months conducting research and writing about the findings; therefore, you should be passionate and excited about your topic. Your mentor will be able to help you select an appropriate topic, but here are some things to keep in mind.

- Your dissertation should present either new information on a subject or a fresh analysis of existing data.
- The topic should be specific enough to be manageable but general enough to stimulate further research.
- Don't embark on a project for which you lack the necessary time or resources.

If your study requires equipment and supplies, make sure you have the monetary resources to be able to sustain the project. Check with your committee chair, the Graduate School, or the Office of Research Development about applying for grant funding to support your research. You may also request funding from the Graduate Student Research Support Fund. (See the Graduate School Web site at http://emich.edu/graduate for further information.) Resources for Grant Writing may be found on the Graduate School website.

Dissertation Proposal

After you have selected a topic, the next step will be to write a dissertation proposal. Your proposal is basically the research plan, clearly describing how you expect to accomplish the goals of your study. It should be thoughtful, well written, and scholarly.

Proposal Format

Although academic programs may have specific format requirements, the outline below can be used as a general format for writing a proposal. Be sure to check with your dissertation chair for information on any discipline-specific format requirements. Proposals are typically 10 to 20 pages long and are the foundation for the first three chapters of your dissertation (e.g., Introduction, Literature Review, and Methodology). You should use the chosen style guide of your discipline/program in preparing the proposal (See Table 1).

Title Page

Include the title of the dissertation, your name, the date of the proposal, and the names of your dissertation chair and committee members.

Introduction, Problem Statement, and Background

Give a general introduction to the issue or research topic. State the problem and provide background information supported by literature review. Note how past research has addressed the problem, and identify similarities or differences in their methodology or findings that have drawn you to study the problem.

Purpose of the Study

Briefly state what you hope to accomplish with your research.

Justification and Significance

Give specific reasons why this proposed research is important and how it will contribute to the discipline. Again, include citations from relevant literature.

Research Question(s) or Hypothesis(es)

From an understanding of the research problem, develop (a) concisely phrased research question(s) or hypothesis(es) that will be studied.

Methodology

Describe the proposed research design and include the reasons for selecting each element of the methodology, identifying the advantages and disadvantages. Detail the following:
   a) study design
   b) study type (e.g., qualitative or quantitative methods)
   c) study population, sample, sampling frame, and sampling techniques
   d) data-gathering procedure(s) and instrumentation(s)
   e) measures to insure safety, confidentiality, and anonymity for human subjects (or animals)
   f) data analysis
   g) timeline.

Definition of Terms

Create a glossary to define the terms used in your study.

Limitations/Delimitations of the Study (optional)

Specify aspects of the study and methodology or conditions imposed by the design itself that may limit findings and outcomes. Also identify delimitations or conditions imposed by the researcher that may limit findings or outcomes.

In many qualitative studies, the boundaries of the study may be integrated into the discussion of context and framing of the issues and need not constitute a special chapter or section of the dissertation.

Proposal Guidelines

Once you have completed your proposal, it must be approved by your committee. It is subsequently kept in your doctoral studies file in your department/college. See Figure 2 for a sample of the *Approval of the Dissertation Proposal* form. The approval form is sent to the Graduate School.

The following are a few reminders regarding the proposal.
   1. Important points must be supported by citations of important research and theory.
   2. References should include classic texts as well as current sources that have been published within the past five years. Literature should represent all aspects of the topic.
   3. Secondary citations/sources are not appropriate. If the writer cannot find and verify the primary source of an original quote or passage, the citation may not be used.

4. Popular magazines, such as *US News and World Report, Newsweek,* and *Time*, are inappropriate sources to cite.
5. Popular Web sites, such as Wikipedia and CliffsNotes, are also **inappropriate** sources to cite.

Your next step would be to submit the appropriate forms to the Human Subjects Review Committee (UHSRC) if you intend to use humans as subjects in your study. You MUST complete CITI training and submit score printout along with UHSRC paperwork (see link and instructions on the Graduate School website). Submission to the Animal Care committee is required if you use animals as subjects.

EASTERN MICHIGAN UNIVERSITY
Graduate School
Doctoral Dissertation COMMITTEE[1] Approval Form

Student Name _____ Date_____

Program of Study _____ ID# E _____

Email address _____

Phone   (work) _____(home/cell)_____

Dissertation Topic/Tentative Title _____

_____

PROPOSED COMMITTEE MEMBERSHIP

PLEASE PRINT/TYPE NAMES

Committee Chair_____

Proposed Member Representing the Graduate School _____

        (Attach vitae/resume of any off-campus appointee.)

Committee Members:

Name   _____

Name   _____

Name   _____

Name   _____

APPROVALS

Date _____   Program Director/Coordinator/Dept. Head _____

Date _____   Graduate School _____

Signed original to Record's student file. Copies/PDF to: Graduate School, chair, and department/college file

_____

[1]Graduate School policy requires that committee chairs be tenured or tenure-track full-time faculty with a completed doctorate in the student's specialty. In addition to the chair, committees must consist of from three to six members (normally faculty from within the degree-granting school). At least half of the committee members must be from the student's home school. At least one member must be from outside the student's home school and serves the committee as the Graduate School representative. One committee member may be from outside the pool of graduate faculty (e.g., faculty from other institutions, alumni, community members, corporate partners, internship supervisor, and emeritus faculty). All committee members should be experts in at least some aspect of the student's dissertation topic area. The final committee roster and any subsequent changes in committee membership must be formally approved by the committee chair, department head or school director, and the Graduate School.

Figure 1. **Dissertation committee approval form.**

EASTERN MICHIGAN UNIVERSITY
Graduate School
Doctoral Dissertation PROPOSAL[1] Approval Form

Student Name _____   Date of Meeting _____

Program of Study _____   ID# E _____

Dissertation Committee Chair _____

TENTATIVE TITLE OF PROPOSED DISSERTATION

_____

_____

COMMITTEE REPORT ON DISSERTATION PROPOSAL

After review of the dissertation proposal, the Doctoral Committee certifies that:

[ ] The proposal is satisfactory and the candidate may proceed.

      [ ] The proposed research does NOT involve the use of human or animal subjects

      [ ] The proposed research involves human subjects and will be sent to University Human Subjects Review Committee prior to data collection.

[ ] The proposal is not satisfactory and the following deficiencies must be corrected.[2]

      Description of deficiencies _____

      _____

      _____

COMMITTEE SIGNATURES

Chair _____

External Member Representing the Graduate School _____

Member _____

Member _____

Member _____

Member _____

ACKNOWLEDGEMENT OF PROPOSAL APPROVAL

Date _____   Director of Clinical Training/Dept. Head _____

Date _____   Graduate School _____

Signed original to Record's student file. Copies to: Graduate School, chair, and department/college file

---

[1]To be completed only after student has been officially notified of having passed the qualifying examination.
[2]After the deficiencies have been corrected a new form must be submitted indicating that the proposal is satisfactory and the candidate may proceed.

Figure 2. **Approval of the dissertation proposal form.**

Permission to Conduct Research Involving Human or Animal Subjects

If you plan to use human subjects in any part of your research, you must first submit a *Request for Approval of Research Involving Human Subjects* along with your dissertation proposal to the University Human Subjects Review Committee (UHSRC).

The UHSRC is responsible for the protection of human subjects used in research studies. The committee will review your methodology to evaluate the research-related risk to human subjects, as well as to protect the confidentiality or anonymity of all participants. **You may not begin any research involving human subjects until you have received exemption or approval from the UHSRC.** Consult the Office of Research Development (ORD) web site at www.ord.emich.edu. See the Regulatory Compliance section for information, forms, and submission procedure for Human Subjects approval. You will be uploading your materials/forms to the main UHSRC Digital Commons site (not the college sites). The link is available from the ORD website.

If you will be using animal subjects in any part of your research, you must first submit an *Application to Use Vertebrate Animals* (the application can be downloaded from the Office of Research Development site, www.ord.emich.edu, along with the Instructions for Completing the Application) and your full research proposal to the Institutional Animal Care and Use Committee (IACUC) at the Office of Research Development, Starkweather Hall, 2nd Floor.

NOTE: A copy of the approval letter from the UHSRC or IACUC, if applicable to your research, must be submitted to the Graduate School along with your dissertation. The dissertation will not be accepted for editorial review until this letter is presented with the document. It is the doctoral student's responsibility to make sure this is done.

Registration for Dissertation Credits

Once your dissertation committee approves your proposal, the academic department/school will issue permission to register for dissertation credits, and then you may register online.

If more than one semester is required to complete your dissertation, it is not necessary to request an extension from the Graduate School. An "I" or in-progress grade for incomplete is carried forward until final sign-off is achieved. The dissertation chair will submit change of grade forms when all work and editing are finished.

When to Conduct the Research

By the time your proposal is approved, much of the groundwork for your research will have been completed. Data gathering may begin only **AFTER** you have received human or animal subjects approval (if necessary).

You must follow your proposed and approved research methods unless they prove to be unsatisfactory, at which point you must develop an alternate methodology with your committee's approval. If substantial changes in methods have been made, another human subjects (or animal care) approval may be necessary – submit modification form. Consult your committee chair.

Organization of the Dissertation Manuscript

This section will explain the different parts of the dissertation manuscript and how it is organized. Note: In the end your document will be submitted/uploaded to ProQuest, and they will send it to the EMU digital library that is Internet searchable. Consult ProQuest resource material and copyright information. Log into www.etdadmin.com/emich, create an account, and explore the Resources and Guidelines section. You will later return to submit the final, approved document once the Graduate School signs off.

Preliminary Pages include the title page, dedication, acknowledgements, abstract, table of contents, and lists of tables and figures.

Text Pages include the actual dissertation, including the dissertation problem, literature review, methodology, results, discussion, and conclusion.

Supplementary Pages include the list of references and appendices.

Preliminary Pages

The preliminary pages, which appear before the main body of the text, must be in the following order:

- Title Page
- Dedication (optional)
- Acknowledgments (optional)
- Abstract
- Table of Contents
- List of Tables (required if there are 2 or more tables)
- List of Figures (required if there are 2 or more figures)

With the exception of the Title Page, all preliminary pages must be numbered with lower-case Roman numerals. Each preliminary page is described below.

Title Page

Required although counted as page i, the number is not printed on the actual page. Include the following information, centered on the page:

- Title of Paper (usually limited to fifteen words)
- Name of the author
- Full name of the department to which it is submitted
- Full name of the University
- The phrase "in partial fulfillment of the requirements for the degree of DOCTOR OF PHILOSOPHY" (or "OF EDUCATION" as appropriate)
- Field of study for which the degree is granted (e.g., Educational Leadership, Educational Studies, Psychology, Technology)
- Area of concentration (e.g., an Educational Studies candidate will have a concentration in Urban Education or Nursing Education)
- Names of committee chair and members
- Date of submission
- City and state in which the campus is located

See a sample title page (Figure 3).

Dedication

Optional.

Acknowledgements

Optional.

Abstract

Required. Double-spaced and limited to 350 words, the abstract of the dissertation should briefly state the following:

1. Research problem, research questions or hypotheses, and study's objective
2. Methods and procedures
3. Results
4. Conclusions

See sample dissertation abstract (Figure 4).

A Comparative Study of Environmentally Responsible Design Adoption

by Architects, Facility Managers, and Interior Designers

by

Amanda Gale

Dissertation

Submitted to the College of Technology

Eastern Michigan University

in partial fulfillment of the requirements for the degree of

DOCTOR OF PHILOSOPHY
Technology
Concentration in Interior Design

Dissertation Committee:

Shinming Shyu, PhD, Co-Chair

Louise Jones, ArchD, Co-Chair

Deb de Laski-Smith, PhD

Benedict Ilozor, PhD

June 15, 2011

Ypsilanti, Michigan

Figure 3. **Sample title page.**
(Note: This page is in 12-point font and nothing is to be in boldface type.)

Abstract

The design and building industry has a tremendous impact on the environment that is often negative when environmentally responsible design (ERD) strategies are not adopted. The purpose of this exploratory, descriptive study was to determine the firm and practitioner characteristics that impact the adoption of ERD strategies, to ascertain practitioners' knowledge of ERD strategies and certified products, and to document the adoption of ERD strategies using Rogers' model of the innovation adoption process.

The web-based, national survey utilized a purposive sample of 146 architects, facility managers, and interior designers who belonged to professional organizations (AIA, IFMA, ASID, and IIDA) that disseminated the self-administered questionnaire to members in eight states. Data were analyzed using a combination of descriptive and inferential statistics.

As determined by the mode, the typical practitioner was an interior designer, between 31-50 years old, with a bachelor's degree, who had been in practice for 15+ years specializing in in corporate office design, and was NCIDQ certified but was not a LEED AP. The typical firm had 1-19 employees, including 1-5 interior designers but no architects, and had a sustainability policy in place.

Major findings included: 1) practitioners have a moderate to good understanding of many ERD strategies; 2) they are familiar with product certification programs, although the programs are not well understood; and 3) the overwhelming majority are in the final stage of the adoption process. If the general population of practitioners is understood t be similar to the participants in ways that are relevant to this research investigation, it is clear that environmental responsibility is an important criterion in the design of the built environment. However, facility managers consistently scored lower than architects or interior designers regarding knowledge of ERD strategies and products. This is of concern because they are typically responsible for the built environment after the initial construction project has been completed.

The results provided insight into the design and building industry's understanding and use of environmentally responsible design strategies. This information can be used to create

educational opportunities for practitioners and to facilitate a dialog to move the industry towards

a more environmentally responsible future.

Figure 4. **Sample abstract.**

Original APA-style abstract:

A large-scale experiment is described in which kindergarten students and teachers were randomly assigned to small and large classes within each participating school. Students remained in these classes for 2 years. At the end of each grade they were measured in reading and mathematics by standardized and curriculum-based tests. The results are definitive; (a) a significant benefit accrues to students in reduced-size classes in both subject areas and (b) there is evidence that minority students in particular benefit from the smaller class environment, especially when curriculum-based tests are used as the learning criteria. A longitudinal analysis of a portion of the sample indicated that students in small classes outperform their peers in kindergarten classes of regular size and also gain more in reading outcomes during the second year. The question of why these effects are realized remains largely unanswered, but in light of these findings, is particularly important to pursue (Finn & Achilles, 1990).

Structured abstract:
Background: Class size reduction continues to attract attention as a school reform measure. Prior research on the effects of class size has been inconclusive, leading to ongoing controversy and debate about the magnitude, if any, of a "class-size effect" on learning outcomes for children.

Purpose: To assess the effects of a statewide experiment where class size was substantially reduced in kindergarten and first-grade classes.

Setting: 76 public elementary schools drawn from inner-city, urban, suburban, and rural locations in Tennessee. A total of 328 kindergarten classes and 347 first-grade classes participated in the study.

Subjects: 6,570 students enrolled in kindergarten in the 1985-1986 school year.

Intervention: Students were randomly assigned by project staff to one of the three class types: small (13-17 pupils), regular (22-25 pupils), or regular with a teacher aide (22-25 pupils). Students assigned to small classes stayed in small classes for kindergarten and first grade.

Research Design: Randomized-controlled field trial.

Data Collection and Analysis: The Stanford Achievement Tests in reading and mathematics were administered in the spring of each school year, and a set of Tennessee curriculum-referenced tests were administered at the beginning of first grade. Means on each outcome measure were calculated for each class, then separately for White and minority students in each classroom. Two analyses were conducted using multivariate analysis of variance: a cross-sectional analysis of the entire first-grade sample and a longitudinal analysis of a subset of pupils (n=2291) who were in the study for both kindergarten and first grade and had complete SAT achievement test data.

Findings: Significant benefits of class size reduction were seen across all academic measures. The cross-sectional analysis of first graders yielded an overall difference of about one fourth of a standard deviation among students in small classes vs. regular classes. Minority students benefited in particular, averaging a difference of a third of a standard deviation over their regular class counterparts on five of the six academic measures. In the longitudinal analysis, students in small classes had a highly statistically significant advantage in reading and mathematics over regular classes in both kindergarten and first grade.

Conclusions: This study demonstrates that small classes have an advantage over larger classes in reading and mathematics in the early primary grades. The analysis also strongly suggests that small classes especially benefit the academic performance of minority students.

Figure 5. **Comparison of a paragraph-style narrative summary and a structured abstract.**

Structured abstract:

Background/Context: Description of prior research on the subject and/or its intellectual context and/or its policy context.

Purpose/Objective/Research Question/Focus of Study: Description of what the research focused on and/or why.

Setting: Specific description of where the research took place.

Population/Participants/Subjects: Description of the participants in the study: who (or what), how many, key features.

Intervention/Program/Practice: Specific description of the intervention, including what it was, how it was administered, and its duration.

Research Design: Description of the research design (e.g., qualitative case study, quasi-experiment, secondary analysis, analytic essay, randomized-controlled field trial).

Data Collection and Analysis: Description of plan for collecting and analyzing data, including description of data.

Findings/Results: Description of main findings with specific details.

Conclusions/Recommendations: Description of conclusions and recommendations of author(s) based on findings and overall study.

Figure 6. **Proposed template for a structured abstract.**

Table of Contents

Required. Tables of Contents may be quite brief, including only chapter headings, or more detailed, including major subheadings. However, the following rules apply:

- The wording of headings in the Table of Contents must correspond exactly to the wording of those headings in the text.
- Include a listing of the preliminary pages with page number references (except for the title page and the Table of Contents pages themselves).
- Ellipsis marks (also called "dot leaders") to page number references are required.

See sample Levels of Headings and Tables of Contents (Figures 7 and 8).

List of Tables and List of Figures

If your dissertation contains two or more tables, you must create a List of Tables. Likewise, if you have two or more figures, create a List of Figures. Format these lists as you would a Table of Contents. All lists should be referenced in the Table of Contents in the preliminary pages section. Double check all titles to make sure they are identical from text to table.

See sample List of Figures and List of Tables (Figures 9 and 10).

Creating the Table of Contents, List of Tables, and List of Figures

Your Table of Contents, List of Figures, and List of Tables should be created systematically. If not done properly, they can be troublesome. Consult the owner's manual for your word-processing software to follow their suggested procedure. There are short-cut techniques unique to each system that insures that page numbers will align along the right side of the page. Use tabs for indenting rather than hitting the space bar many times. This will facilitate future changes that may have to be made.

Levels of Headings

Level   Format
----

1   **Centered, Boldface, Uppercase and Lowercase Heading**
        Then your paragraph begins below, indented like a regular paragraph.

2   **Flush Left, Boldface, Uppercase and Lowercase Heading**
        Then your paragraph begins below, indented like a regular paragraph.

3   **Indented, boldface, lowercase paragraph heading ending with a period.** Your
paragraph begins right here, in line with the heading.

4   ***Indented, boldface, italicized, lowercase paragraph heading ending with a period.***
        Your paragraph begins right here, in line with the heading.

5   *Indented, italicized, lowercase paragraph heading ending with a period*. Your
        paragraph begins right here, in line with the heading.

----

*For headings at Levels 3-5, the first letter of the first word in the heading is uppercase, and the remaining words are lowercase, except for proper nouns and the first word to follow a colon.

Figure 7. **Sample levels of headings, APA Style Headings, 6th Edition.**

Table of Contents

Figure 8. **Sample partial table of contents for use with three or four levels of headings.**

Figure 8 **continued.**

List of Tables

Figure 9. **Sample list of tables.**

List of Figures

Figure 10. **Sample list of figures.**

The dissertation is usually divided into chapters, sections, or other basic units of organization. The standard method of developing a dissertation is to follow each of the steps below, devoting an entire chapter or section to each. The research paradigm may dictate a different format. For example, a historical or qualitative study could have more than six chapters. A manuscript format may also be used. See page 27. Consult your dissertation chair.

1. Introduction

Problem Statement, Background, Justification, and Significance

Provide a general introduction to the issue or research topic. State the problem and provide background information. Explain why the problem is significant. Include a literature review that highlights how past research has addressed the problem and note similarities or differences in methodology or findings that have drawn you to study or research the problem. Give specific reasons why this proposed research is important and how it will contribute to the discipline.

Purpose and Objective(s) of the Study

Clearly state the purpose and objective(s) of your research.

Research Question(s) or Hypothesis(es)

From an understanding of the research problem and related literature, develop (a) concisely phrased research question(s) or hypothesis(es) that will be tested or studied.

Theoretical Framework

Some departments require a dissertation to be grounded in discipline-specific theory or theories. Explain why the theoretical framework selected or created for your study is appropriate and how it will be used.

2. Review of Literature

Drawing on literature in the discipline and related disciplines, discuss the work of previous scholars that supports, offers a counter position, and provides a context for your study. Literature should be cited regarding all research variables to be explored in the study.

An effective literature review is not a mindless set of citations strung together ("Smith said," "Jones noted"). Instead, it frames and contextualizes the topic. In qualitative studies, the researcher may return to relevant literature in later chapters in order to expand the interpretive analysis of key themes.

3. Methods

Describe your research methods, providing enough detail so that other researchers can replicate or evaluate your work. Provide the same information that was previously suggested in this manual for the proposal.

4. **Results**

    Present data and findings from your research. Explain tables and figures; don't assume your readers will interpret them the way you do.

5. **Discussion (chapters 4 and 5 can be combined)**

    Provide a systematic analysis of the results of your study. State how the results relate to your research question(s) or hypothesis(es).

6. **Conclusion(s)**

    Summarize how your findings compare to the literature and prior research. Where appropriate, identify additional limitations of the study that were unexpected and encountered during the research process. Discuss the implications of your study and possibilities for further research.

    Note: Your committee may have you combine chapters 4 and 5. However, many qualitative and historical dissertations are longer than the traditional five chapters.

Manuscript/Alternative Format

The Graduate Council at Eastern Michigan University has endorsed an alternate approach to dissertations. In addition to the current approach of five or six chapters, two options are offered. Consult your dissertation chair regarding practices within your discipline.

1. A dissertation might include the first four chapters noted above and the fifth chapter in the form of an article disseminating your research that is fully prepared for publication in the required format/style guide required of the journal.
2. Three articles eligible for publication are submitted as the dissertation – one would not include the normal chapters 1-5 – only three articles. Articles for submission to three journals that are prepared in the style guide required by each publication or three articles addressing three aspects of the research.

The purpose of including the article(s) prepared for publication is to disseminate findings, add to the knowledge base in the discipline, and prepare the graduate student for advancement in academe. By preparing an article for publication, the student joins his/her colleagues in staying abreast of developments in the field, promotes the exchange of ideas, and describes emerging techniques for future research. Publication of the article upon graduation assures dissemination of the information before the graduate becomes immersed in the responsibilities of a developing career. The published article becomes a key element in professional portfolio, resume, or vitae and may be presented at a professional conference.

The dissertation article must carefully adhere to the guidelines of the professional publication(s) in the academic discipline. The author will be required to submit the formal guidelines of the publication with the completed dissertation. The elements of the article will include an abstract, title, text, tables, charts and graphs, conclusions, appendices, and references/bibliography – again as required by the journal.

Approval process for an article in a dissertation:
a. Choose a professional publication appropriate for your research. Copy guidelines for yourself and your dissertation chair.
b. Generate a title and abstract.
c. Submit the title, abstract, rough draft of content, and publication guidelines to committee chair for approval.
d. Like any other dissertation, the committee will approve the overall document including article(s) before submission to the Graduate School.

Your faculty chair will guide you through the writing process as you develop your text, determine tables, charts or graphs, and select references. You may wish to refer to readings related to publication of articles including "Tips for Greater Success in Writing Journal Articles" by Robert Hiemstra.

Numerous steps are involved in writing publishable articles, including brainstorming and the initial writing, text development and editing, revisions after evaluative feedback from faculty, and final editing. Follow the publication guidelines completely for a successful article submission. Once the dissertation is approved, we encourage immediate publication submission. One's discipline cannot flourish unless research is shared or disseminated.

Footnotes or Other Sources of Documentation

The format and style of documentation of sources vary from discipline to discipline. Consult your discipline's style manual (see Table 1) and your dissertation chair for the appropriate format. Use the chosen format consistently throughout the dissertation.

Tables and Figures

Tables and figures may be included within the text or on separate pages. Detailed guidelines are given in the discipline-specific style guides. Refer to them for exact requirements for the presentation of tables and figures in the text.

- Give each table or figure a specific and informative title.
- All tables and figures should be self-explanatory; any abbreviations should be explained in a legend, caption, or footnote beneath the table or figure according to the method and format prescribed in the style guide you are using.
- Refer to each table or figure in the main text. Insert the table or figure shortly after the reference. If tables or figures appear on separate pages, place them as near as possible to the text that refers to them, rather than at the end of the section.
- The order of both the tables and figures must follow the sequence of your textual references. (Label tables and figures as described in your style guide.)

If you plan to have several tables or figures, you may want to link the files to your document, rather than inserting them in the text. This can make your text easier to store and manage. (See your word-processing software manual.)

Supplementary Pages

The supplementary pages are the sections that follow the body text, which include

- References (or Works Cited)
- Bibliography (or Works Consulted)
- Appendix or Appendices
- Index
- Curriculum Vitae

Of these sections, the References (or Works Cited) and Appendix are required.

References (or Works Cited)

Required. Your References section should include *all* the sources cited for which you have footnotes within the text, and *only* those sources. Follow your style manual for the correct format.

Bibliography (or Works Consulted)

Optional. A bibliography is a list of all the books, articles, Web sites, and so on that you read as part of your research, even if they are not cited in your dissertation. Follow your style manual for the correct format.

Appendix or Appendices

Required. Appendices are documents that support information in the text but don't need to be included in the body of the text, either because the documents are too large or they serve merely as references. Here are some examples of what might be included in an appendix:

- data-gathering instruments or questionnaires
- supplemental data or information from a secondary source
- letter approving use of human or animal subjects
- any pertinent correspondence, such as permission letters.

IMPORTANT: Make sure these supplementary pages are properly written and formatted before they are used in your research (e.g., check spelling).

Format for Appendix/Appendices

The Appendix section follows the list of references.

- If there is more than one appendix, the first page of the Appendix section should be a cover sheet on which the word "APPENDIX" or "APPENDICES" is centered.
- Appendices are labeled with all-cap letters, rather than with numbers (e.g., Appendix A, Appendix B, etc.)
- Each appendix must have a specific title (e.g., Appendix B: Survey Form).

Index

Optional. Use an index if your dissertation contains specific concepts or key words that a researcher may wish to go to directly. Check your word-processing software manual for instructions on how to create an index.

Curriculum Vitae

Optional. Some departments want the student to include a detailed résumé or curriculum vitae.

Blank Page

Required. The last page of the dissertation is a blank page or end leaf (unnumbered).

Plagiarism and Fair Use

ProQuest checks all dissertations to ensure that graduate students have not used previously published material without authorization. However, one "fair use" clause in copyright law allows students to use others' work under certain conditions. ProQuest has developed a set of guidelines for determining whether dissertations fall within the category of "fair use." Some of these guidelines are listed below.

1. Avoid quoting throughout your manuscript more than a total of one and one-half pages, single-spaced, from any one published source.
2. Avoid photocopying significant amounts of text pages from published materials. Even if you created the original material, you may not own the right to distribute the work.
3. You may photocopy only one page of graphics from any single published source.

Copyright Law for Librarians and Educators by Kenneth D. Crews is a helpful guide. If any portion of your research might exceed any of the "fair use" guidelines, seek permission from the publisher of the original material. A sample permission letter is available through the ProQuest Web site: http://www.il.proquest.com/en-US/products/dissertations/copyright/.

Remember: It is VERY easy for a faculty member or the Graduate School dissertation reader to enter a phrase into an online search engine (e.g., Google) and find a quote that you have not properly cited. Always give credit for data or an idea even if it's not a direct quote. Plagiarism is grounds for **failing degree completion or having the doctorate withdrawn!**

Use of First Person

In many qualitative dissertations, where the researcher is the primary "instrument" and makes ethnographic observations, conducts interviews, or locates his/her position as action researcher or participant observer, it is appropriate to use the first-person voice. Discussing and analyzing the researcher's role in the study is often a necessary part of a "subjectivity audit." Students using the APA style guide have its full sanction for this practice. Others should consult their own style guide and, when in doubt, their dissertation committee chair.

Style Guides

Professional or scholarly style guides provide rules and guidelines for writing and formatting academic manuscripts. They deal with such questions as:

- How should the dissertation be organized?
- What is the proper way to cite and list sources?
- When must numbers be spelled out?
- How are table and figure captions formatted?

Every student who writes a dissertation must adhere to a style guide. See Table 1 for frequently used style guides. Upon submitting the dissertation to the Graduate School, you MUST identify on the Dissertation Information Sheet the style guide the Graduate School reader will use to check for compliance. Ask your dissertation chair which style guide is appropriate for your discipline and has been approved by your academic department or program.

Even if you write well, there are specific formatting rules required by the style guide, which may be unfamiliar to you. Obtain a copy of the style guide and refer to it frequently during the writing process. Not conforming to these guidelines will require you to rework the dissertation, which may delay graduation.

Reasonable exceptions to the style guide requirements may be made to a document's format to accommodate submission to a journal, insertion of interview quotations, photographs, and so on. Consult your committee chairperson or the Graduate School reader.

In general, style guides are good sources when you have questions about grammar. They help you write in a concise manner. More important, the consistent use of a style guide will make your dissertation more professional and credible to the academic community and put your document in proper format for publication.

In addition to your style guide, another good reference for grammar questions can be found at the following Web site: http://grammar.ccc.commnet.edu/grammar/index2.htm.

Note: The style guide you indicate that you have used is the guide the dissertation reader will use to check your work.

Table 1

Style Guides

Title (and Abbreviation)	Author	ISBN #
*Publication Manual of the American Psychological Association, 6th Edition (**APA**), 2009*	American Psychological Association	1433805616
*The Chicago Manual of Style, 16th Edition (**Chicago**), 2010*	University of Chicago Press	0226104206
*A Manual for Writers of Term Papers, Theses and Dissertations, 7th Edition (**Turabian**), 2007*	Turabian, Kate L.	0226823377
*The ACS Style Guide, 3nd Edition (**ACS**), 2006*	Dodd, Janet S., ed.	0841239991

Physical Specifications of the Manuscript

The physical specifications of a dissertation include every aspect of the document, from its appearance including required margins, spacing, and font size to all formatting details. The requirements in this section are specific to all dissertations submitted to the Eastern Michigan University Graduate School.

Note: If a conflict arises, the rules in this section override approved style guides (e.g., APA, Chicago).

Table 2

Format and Requirement for EMU Dissertations

Page Size	8.5 x 11 inches
Left Margin	At least 1.25 inches or 1.0 if document will not be bound
Right, Top, and Bottom Margins	At least 1.0 inches
Font Style	Times New Roman or style guide requirement
Font Size	12-point
Spacing	Double space. Follow your style manual for spacing within block quotations, footnotes, reference entries, titles, captions, and notes.

With electronic submission, a dissertation may include graphics, photography, movie clips, and so on. The document may run in a landscaped format with two columns of text. It may be created for easy conversion to a publishable manuscript.

Pagination

Because the dissertation document resembles a published book, the pagination can be tricky.

- The title page is page one, but it is not numbered.
- Preliminary pages (after the title page and up to and including the List of Tables and/or List of Figures pages) are numbered in lower-case Roman numerals.
- The body of the text and supplementary pages are numbered with Arabic numerals. The first page of text is p.1, but it is not numbered.
- All chapters or major sections should begin on a new page.
- A subsection heading should not be the last line at the bottom of a page. Review "orphan control" from your computer help menu.

Tables, Graphs, Photographs, and Other Graphics

Tables, graphs, photographs, and charts are important tools for presenting data. All graphics should be easy to read. They must adhere to the same margin requirements as the text. Keep in mind that if your images are too small or don't provide enough contrast, they may become hard to read when the document is duplicated. Consult your style guide for format.

Tables

Tables should be simple and clear. Use cell borders to separate information and thicker lines to delineate the headings for rows and columns. Headings should clearly describe the data in the row or column. If you must abbreviate, explain the abbreviation below the caption.

Graphs

Color graphics are fine for digital/electronic submission, but you will need to make color paper copies for bound documents. Rather than using different colors to distinguish data, use different line styles for line graphs and fill patterns for bar graphs or pie charts.

Photographs

When possible, photos should be printed directly on 8.5" X 11" photographic paper. Otherwise, you may mount photos using pressure-sensitive, double-adhesive mounting paper, or scan the photos and insert them into the text. Photos must carry a caption and be included in the List of Figures.

Color Graphics

You can use color plates and images because the document will be submitted electronically. Note, however, that you will need to reproduce enough copies in color for the number you want to have bound.

Graphics consume a lot of computer memory. If your dissertation requires numerous graphics, create links for them rather than inserting them in the text. You can also link other text documents, tables, Excel files, and databases in the same manner. Check your word-processing software manual for instructions to create links.

Note: Each style guide has its own requirements regarding the placement, labeling, and design of tables, figures, and other graphics in the text. Adhere to those specifications. When you submit your dissertation to the Graduate School, you indicate which style guide you used and therefore which one our reader should follow during editing.

Useful Links

APA
The APA-Style Helper: This downloadable software automatically formats your paper in APA style: http://www.apa.org/pubs/software/support.aspx

Information about the Digital Object Identifier (DOI®) System for identifying content objects in the digital environment. DOI® names are assigned to any entity for use on digital networks. They are used to provide current information, including where they (or information about them) can be found on the Internet. Information about a digital object may change over time, including where to find it, but its DOI name will not change. http://www.doi.org/

FAQs about the Publication Manual of the APA: http://www.apastyle.org/learn/faqs/index.aspx

Turabian/Chicago Manual of Style
The Chicago Manual of Style FAQ (and not so FAQ):
    http://www.chicagomanualofstyle.org/home.html

Turabian style guide: http://library.concordia.ca/help/howto/turabian.php

Writing Support

The Able Writer: A Rhetoric and Handbook: This is an actual book written by a professor from Old Dominion University in Norfolk, VA. Some of the chapters are available as PDFs, others are formatted in html: http://www.odu.edu/al/jpbroder/ablewriter.html

Purdue's Writing Lab: http://owl.english.purdue.edu/

Metropolitan State University/Writing Center:
http://www.metrostate.edu/writingcenter/index.html

University of Wisconsin Madison/Writing Handbook:
http://www.wisc.edu/writing/Handbook/index.html

Dissertation Approval Process, Defense, and Revision

The following section describes the steps in the dissertation approval process from your department/college, the oral defense, and editorial revisions.

1. Your committee chair will determine when your work is complete and ready to defend.

2. Schedule a date and location for the defense meeting. Complete *Oral Defense of the Dissertation Approval* form (see Figure 11). Inform committee members of meeting logistics and submit copies of the dissertation to committee members for their review at least **two weeks prior to the defense date**. Either you or your committee chair (depending on department or program practice) will announce the defense date to the public and invite administrators and guests. Post announcement on EMU Today.

3. Fill out the first part of the *Dissertation Document Approval* form (see Figure 12). Bring form to the defense for the committee members to sign.

4. Defend your dissertation. The full dissertation committee must be present (in person or electronically by phone or computer) for the defense. Check with your committee chair for format and procedures for the dissertation defense meeting. The meeting typically involves the committee chair introducing you and you giving a 20-30 minute formal presentation on your dissertation, followed by a question-and-answer period with committee members and then audience members (total time approximately two hours). You are then asked to leave the room (or the committee leaves the room) while they discuss your defense. **Approval of the defense requires a unanimous vote of the committee.** You or they return to give their decision and for any additional questions and comments. There is more information about the oral defense explained later in this manual.

5. After the defense, rework the dissertation in response to editorial comments from committee members. Your committee has been charged with helping to bring your dissertation to a level of excellence appropriate for viewing online by scholars around the world, so you want it to be as polished as possible. YOU MAY CHOOSE TO HIRE SOMEONE TO EDIT THE DOCUMENT.

6. Resubmit your dissertation to your committee or only the chair for approval and sign-off. (Check department/school procedures—sometimes the committee members sign off following the defense and the chair signs off after the document has been reworked.) The department head or school director (COT dean for technology doctoral students) will also have to approve and sign off on the document before it is submitted to the Graduate School.

7. Submit an original print of the edited version of your dissertation to the Graduate School for review and editing by the Graduate School reader. This copy is not to be in a notebook, bound in any way or duplicated on special paper. Complete the *Dissertation Information Sheet* (see Figure 13) and submit it with the dissertation. Be sure all the required information is provided on the form so that a dissertation reader can contact you. Retain one copy of the form for your records. Also submit the original signed document approval form and proof of human subjects approval (if it was required).

    Note: The dissertation reader will be checking format but will ONLY READ 40 PAGES TO HIGHLIGHT COMMON ERRORS you will then be asked to correct throughout the document. It is VERY important that your dissertation chair or editor has helped to catch and fix grammar and spelling errors before the document reaches the Graduate School.

8. Complete the *Survey of Earned Doctorates*. All PhD (not EdD) students are required to complete this online survey at https://sed.norc.org/doctorate/showRegister.do

    REQUIRED: When edits have been approved, you will be contacted by the Graduate School Reader by email and given permission to upload the final document. Log into www.etdadmin.com/emich and create a ProQuest account if you have not done so already. You will upload the document as a PDF; the resource material has information explaining that process. Follow submission steps; see ProQuest submission handout for details. Note that once you submit to ProQuest, they send the document to the EMU library for posting to the Halle Library's website, Digital Commons. Your document is then searchable on the internet.

    REQUIRED: During the ProQuest submission process, you will be asked about immediate or delayed posting online – the embargo process. This means you can delay posting while you wait for patent to be approved, journal article published, and so on. The EMU *Rights and Permission* form (Figure 14) will also pop up; please print, fill out, sign, and send to the Graduate School (or complete and submit during the editing process). You may mail it to 200 Boone Hall, Ypsilanti, MI 48197, or scan and send as an email attachment (graduate_school@emich.edu), or fax to 734-487-0050.

REMEMBER: Review and editing by the Graduate School reader will not begin until the Approval Form, Information Sheet, and evidence of human or animal subject approval (if required) have been submitted.

Dissertation Checklist

Complete these steps before submitting the dissertation to the Graduate School for approval:
*   Check the spelling on the title page.
*   Have you listed your degree properly?
*   Is the approval form signed by your dissertation chair, all committee members, and your department head or school director/COT dean?
*   Does the abstract have no more than 350 words?

- Is there a 1.25" left-hand margin and at least 1" margins on the right, top, and bottom of each page? It can be 1" if you will not have the document bound as a book.
- Have you run a spell and grammar-check?
- Are the levels of headings correct?
- Do all headings and page numbers in the table of contents match those in the text exactly?
- Are all sources listed in the references list (or works cited) mentioned in the text?
- Are all citations in the text listed in the reference list (or works cited)? Double check alphabetization.
- If the dissertation involved research using human or animal subjects, did you include a copy of your approval letter?
- Did you receive authorization for use of published material that is not covered under fair use?

NOTE: Dissertations submitted for editing are not to be bound in any way: no holes punched, no staples, no notebooks. Writing must be on one side of the page only.

Check and fix the following COMMON ERRORS BEFORE submission:
- Font is 12-point Times New Roman.
- The right margin is NOT justified – align only the left side.
- Preliminary pages are numbered with lower case Roman numerals.
- The abstract comes before the Table of Contents.
- The headings in the Table of Contents match those in the text exactly.
- People are referred to as "who" and not "that."
- Commas and periods are inside quotation marks (e.g., ". . . documentation provided.").
- "et al." ends with a period.
- Single quotation marks are used ONLY within double quotation marks.
- "Led" is used as the past tense of "lead."
- "Predominantly" is used, not "predominately."
- Something is "greater **than**" something else, not "greater in comparison with" or "greater relative to."
- Each table and figure is on one page (not spread over two) whenever possible.
- Permission has been sought for items taken directly from a source. If not, this is a copyright infraction. Use Internet sources to seek permission for long quotes, images, other illustrations/models, data tables, and so on. Or refer to them/cite them in your document without copying them directly.

Procedures for Oral Defense

A public oral defense of the dissertation is required of all doctoral candidates. This final step in the doctoral program focuses on the candidate's research and how it is reported in the dissertation.

Preliminary Review

When the dissertation is completed to the satisfaction of the committee chair, the candidate will submit copies to committee members for their review. Review by committee members will note any errors, with particular focus on the content of the dissertation. The committee chair will arbitrate any disputes over what changes are necessary and will determine its defensibility.

Announcement of the Defense

At least two weeks in advance of the defense, the chair will inform the Graduate School by memorandum, and the University academic community by an announcement in the appropriate media, of the date, time, and place of the oral defense, including an invitation to members of the public. If arrangements for the defense must be changed, the chair will in like manner notify the Graduate School, the candidate, members of the dissertation committee, and the academic community.

The Defense

The chair and all members of the dissertation committee must be present at the defense (in person or by conference call). The defense will be open to the public. The chair presides over the defense and is responsible for the conduct of the oral presentation. The format of the defense must include an opportunity for each committee member, including the chair, to question the candidate. Each committee member must be satisfied that the research problem is of appropriate significance, that the research is appropriately exhaustive, that the research methodology constitutes good practice, and that the conclusions drawn from it are accurate, reliable, and defensible. After completion of questioning by the committee, the chair will invite questions from the audience. If, during the defense, any inappropriate incident occurs, or if any serious controversy develops among members of the committee, or if inappropriate informality is evident, the chair shall intervene, excuse the candidate, resolve the issue, and secure assent as to procedure before recalling the candidate and resuming the presentation. If the issue cannot be resolved satisfactorily, the presentation will be recessed or postponed, and the problem will be resolved in consultation with the department head/school director, college dean, and Graduate School. The student must be informed that the decision has been made to defer, and that resolution of the problem will be communicated within thirty days.

Approval of the Defense and Dissertation

Committee deliberations regarding the quality of the oral defense are in "executive session." After the committee is satisfied that all its questions, and those of the audience, have been answered, the candidate and audience are asked to leave the room. The chair will poll each committee member individually whether the dissertation has been successfully defended. The candidate will not be passed if there are any negative votes. Abstentions will be considered negative votes. The Committee will report its decision by signing the Oral Defense and Dissertation Approval Form, which is then forwarded to the Graduate School. After the committee has made its determination, the candidate will then be recalled and the chair will present the committee's report. If the candidate has failed, the chair will indicate to the candidate and to the Graduate School (under the "Recommendations" section) what additional work the candidate must do before a second presentation is held. The second presentation may not be held until at least one full semester has elapsed, but must be held within one calendar year following the first presentation. The second presentation is final. After a successful defense, the candidate may be required by the chair to make final revisions to the dissertation before submission to the Graduate School for final edit. The Graduate School editor's responsibility is to insure that the manuscript conforms to the guidelines of the Dissertation Manual, the applicable style guide as determined by the chair, and the formal requirements of publication, and will provide suggestions for correcting any stylistic, or mechanical errors. The doctoral degree is formally awarded when the Graduate School has signed the Dissertation Approval Form. Committee chair will send Change of Grade Forms for dissertation credits to the Office of Records and Registration.

EASTERN MICHIGAN UNIVERSITY
Graduate School
ORAL DEFENSE of the Doctoral Dissertation
Approval Form

Student Name _____

Program of Study _____ ID# E _____

TITLE OF DISSERTATION

_____

_____

ORAL DEFENSE

Date_____Time_____Place_____

After review of the dissertation and on the basis of the oral defense of the work presented in the dissertation, the doctoral committee certifies that the candidate:

[ ] Satisfactorily passed the oral defense of the dissertation
[ ] Did not satisfactorily pass the oral defense of the dissertation

Recommendations_____

_____

COMMITTEE SIGNATURES

I have read and approve the content of this dissertation. FINAL document approval of the written requirement will occur upon review of suggested edits with signatures on the *DOCTORAL DISSERTATION DOCUMENT APPROVAL FORM*.

Chair: _____

Members: _____

_____

_____

_____

Member representing the Graduate School:_____

ACKNOWLEDGEMENT OF PASSING THE ORAL DEFENSE

Date _____ Program Director/Coordinator/Dept. Head _____

Date _____ Graduate School _____

Signed original to Record's student file. Copies/PDF to: Graduate School, chair, and department/college file

Figure 11. **Oral Defense of the Dissertation Approval Form.**

EASTERN MICHIGAN UNIVERSITY
Graduate School
DOCTORAL DISSERTATION
Document Approval Form

Student Name _____

Program of Study _____ ID# E _____

Academic Department/School _____

College _____

TITLE OF DISSERTATION

_____

_____

DOCUMENT APPROVAL
COMMITTEE SIGNATURES

Chair _____ Date _____

Members _____ Date _____

_____ Date _____

_____ Date _____

_____ Date _____

Member representing the Graduate School _____ Date _____

ACKNOWLEDGEMENT OF COMPLETED DISSERTATION

Date _____ Program Director/Coordinator_____

Date _____ Administrator _____
(Dept. Head/School Director/Academic Dean)

GRADUATE SCHOOL

DOCUMENT HAS BEEN SUBMITTED AND EDITED – DEGREE MAY BE CONFERRED

Date _____ Graduate School _____

Signed original goes to Record's student file. Copies/PDF to: Graduate School, chair, and department/college file

Figure 12. **Dissertation Document Approval form.**

DISSERTATION INFORMATION SHEET

NAME _____ STUDENT # _____

ADDRESS _____

CITY _____ STATE _____ ZIP _____

PHONE (H) _____ (W) _____

EMAIL _____

Dept/School _____ Committee Chair _____

Title of Dissertation _____

_____

_____

Signature _____

Style Guide Used (check one):

_____ APA _____ Chicago _____ Turabian

Figure 13. **Dissertation information sheet.**

Graduate School Approval of Dissertations

The final approval of dissertations is the responsibility of the Graduate School. The Graduate School holds students to high standards because the dissertation process is a crucial component of graduate studies. Because your dissertation is made available to the international academic community, it serves as an example of the quality of scholarship produced at Eastern Michigan University.

Dissertation Reader

Although the dissertation committee members are responsible for evaluating the validity of the content and its editing, the Graduate School reader will check for correct use of grammar, spelling, and punctuation, as well as adherence to style and formatting requirements.

Dissertations are read in the order they are received at the Graduate School. The first review typically takes two weeks but may take longer if submitted on or near the semester deadline date along with many other theses and dissertations (see deadlines on the next page).

Once the reader has finished reviewing your dissertation, you will receive an e-mail to let you know that your manuscript is ready for pick-up to make the necessary changes. The review-and-revision process involves a minimum of two cycles, depending on the quality of the original work and the revisions.

The reader will ONLY READ/EDIT 40 PAGES and will make you aware of common problems for you to find and change throughout the document.

Proofreading Symbols

Please familiarize yourself with standard proofreading symbols so that you will understand your reader's instructions. You can find common symbols at:
http://www.ccc.commnet.edu/writing/symbols.htm

If you choose, you may telephone or meet with the reader to review/clarify the proposed edits. It will be necessary to correct any errors in formatting, spelling, punctuation, and grammar.

You may review the requested changes with your dissertation chair and committee members. If your chair or committee contests any of the changes, notify the dissertation reader. Otherwise, revise the document and reprint the document. You may drop them off or mail them.

You are required to return the marked-up copy of the manuscript along with your revised document, so don't remove any post-it notes the reader may have placed on the pages. If you make any changes the reader did not suggest, make a note of that in the margin of the first draft.

Note: If you need to make changes that involve pagination, don't forget to revise your Table of Contents.

Once you have made all revisions and have printed and submitted a clean final copy, the reader will give your dissertation to the Graduate School for final approval and signature. You will receive an e-mail notifying you of the final approval.

IMPORTANT NOTE: If you are not able to submit your dissertation in acceptable form to the Graduate School by the deadlines below, you may not be able to graduate until the following term. Submission **before** these deadlines is preferred as the pile gets high on these dates.

> **December Graduation** .... **November 1**
> **April Graduation** .... **March 1**
> **August Graduation** .... **July 1**

Proofread Carefully

You should have your dissertation proofread by at least one person who is not on your committee. The fewer errors your dissertation has, the faster it will be approved. Editing a dissertation again and again due to careless mistakes is time-consuming and may delay your graduation. **Use of professional editing services prior to submission to the Graduate School is recommended.**

Final Submission Guidelines

EMU has adopted a policy requiring students to submit their dissertation in a digital/electronic format. The electronic version will allow for unique publication formats, the inclusion of video clips, color graphics, sound, and motion. They also may provide links to related Web sites and may enable electronic searching and navigation of the overall document.

These documents will be uploaded to ProQuest and the EMU Library's **Digital Commons** web site. Students have found their work receives higher acclaim and exposure when available electronically (e.g., one document has been downloaded 8,500 times). What better way to do that than to provide ready access to scholars worldwide rather than the limited access of a bound version sitting on a library shelf.

The following steps will complete the final phase of your dissertation submission:

Final Submission of Dissertation

Once your document has received final approval from the Graduate School, you may pick up a copy of the approval form and your dissertation from the Graduate School, 200 Boone Hall, or provide a self-addressed-stamped envelope for return mail. Lisa Walters will contact you by email with the submission process.

The University no longer requires bound copies for the Library. Note: your committee or department may request bound copies. You **MUST** submit an electronic copy for storage or posting to the University electronic "journal"/ Digital Commons through ProQuest.

Convert your document to PDF. Most Word software packages will allow you to change the format by choosing to "save all" and then select a different "format". Use the toggle switch to change from .doc or .docx to pdf. The ProQuest website has information about document conversion in the Resource material section.

If you have your work saved in more than one pdf document, you will need to merge them into one document for uploading. See tutorial on the Graduate School website.

During the ProQuest submission process, you will be asked about immediate or delayed posting online – the embargo process. This means you can delay posting while you wait for patent to be approved or journal article published, etc. The EMU *Rights and Permission* form will also pop-up; please print, fill out, sign and send to the Graduate School. You may mail it to 200 Boone Hall, Ypsilanti, MI 48197, or scan and send as an email attachment, or fax to 734-487-0050.

ProQuest

For dissertations, **ProQuest** assists with copyright and posting to Dissertation Abstract International. Dissertations are submitted as an abstract and full-text. This makes the document electronically searchable and others may purchase a full-text copy of your work through ProQuest. This must be completed online; see tutorial on the Graduate School website.

Log into www.etdadmin.com/emich and create an account if you have not done so already. Here you will pay for copyright with credit card, and you may order bound copies. See below information if you want to have copies bound somewhere else.

Survey of Earned Doctorates

PhD students are required to complete the *Survey of Earned Doctorates*. There is a paper version but the Graduate School prefers you register and complete the survey online at https://sed.norc.org/doctorate/showRegister.do. The National Science Foundation gathers and disseminates annual data about doctoral students.

Binding Copies (optional)

Departments/schools may request a bound copy of your work. In addition, you may wish to have copies bound for yourself, committee members, or family. The University is no longer involved in the binding process.

Depending on the type of binding desired, there are a number of options from which students might choose.

FedEx: options for all types of binding
http://www.fedex.com/us/office/copying-services.html

Staples: four binding options
http://www.staples.com/sbd/cre/programs/copyandprint/copies_printing.html

Thesis on Demand: a site dedicated to thesis and dissertation binding
http://www.hfgbinding.com/

LuLu: Online manuscript processing options for paperback or hard cover binding
http://www.lulu.com/publish/

Book1One
http://www.book1one.com

Smith Printing Company
http://www.smithprinting.net/binding.htm

Students will have complete control over the type of binding, the number of copies, and where the copies are sent upon completion of the binding process. During your ProQuest online submission, you can also purchase bound copies with online payment and direct shipping.

Completion of Dissertation from Out of State

If you leave Michigan before finishing the dissertation revision process, the Graduate School will communicate with you by phone and email. You are strongly advised to designate a contact person on campus, either a faculty member or friend, who can pick up your dissertation and send it to you for revision, return the revised copy to the Graduate School, pick up the approved copy, and so on. The Graduate School staff cannot accomplish these tasks for you, nor do they have the funds to mail your documents back to you. Self-addressed stamped envelopes for returned manuscripts are helpful; usually a flat-rate priority envelope from the USPS will suffice. Do not electronically attach revised versions to email. Many times these are hard to open, and printing them for editing becomes time-consuming and costly for the Graduate School. Also, different software versions can distort formatting.

EASTERN MICHIGAN
UNIVERSITY
Rights and Permission Form for Electronic Thesis, Dissertation, or Capstone Project (ETD) Placement in Digital Commons @ EMU
(http://commons.emich.edu/)

Student Name: Student ID:

E-mail Address: Phone: (Wk)   (H)

Dept.:

Document Type: Master's Thesis   Doctoral Dissertation   Capstone Project

Document Title:

Student Agreement:

I hereby certify that I have obtained all necessary permission in writing for copyrighted material to be published in my thesis, dissertation, or capstone project. Further, I certify that I have obtained a written permission statement from the owner(s) of any copyrighted matter, property owner(s), organization(s), or institutions to be included in my thesis, dissertation, or capstone project allowing distribution as specified below. Copies of all such permissions are maintained by the author and will be provided if requested.

I hereby grant to Eastern Michigan University and its employees the nonexclusive license to archive and make accessible, under the conditions specified below, my thesis, dissertation, or capstone project in whole or in part in all forms of media, now or hereafter known. This is a license rather than an assignment. I, therefore, retain all other ownership rights to the copyright of the thesis, dissertation, or capstone project. I also retain the right to use in future works (such as articles or books) all or part of this document.

In addition to the unrestricted display of the bibliographic information and the abstract, I agree that the above mentioned document be placed in Digital Commons @ EMU with the following status (**CHOOSE ONE OPTION**):

> **Open Access Publishing**: I authorize immediate worldwide open access to the electronic full text of my work through the Eastern Michigan University Library.

> **Open Access Publishing – 1 Year Embargo**. I request that the EMU Library embargo (closed - no one can access) the electronic full text of my work for 1 year. If I want to extend the embargo for a second year, I will notify the Eastern Michigan University Library in writing. If I do not request an extension at the end of the embargo, I understand that the electronic full text of my work will default to open access. I understand that my work cannot be embargoed for more than two years.

> **Restricted Access**. I request that the EMU Library restrict access to the electronic full text of my work to the Eastern Michigan University campus community. I understand that this restriction will expire after 1 year and that I may request the restriction be extended for one additional year at that time. If I do not request an extension, I understand that the electronic full text of my work will default to open access. I understand that my work may be secured from view for a total of two years only.

I understand that any embargo or restricted access is at my discretion as the copyright holder and that I may request that the Eastern Michigan University Library lift this embargo or restricted access at any time.

I agree to abide by the statements above and agree that this approval form updates any and all previous approval forms submitted.

For a Capstone Project, I understand that the chain of emails to which this form is attached, from Graduate School to myself to faculty member back to Graduate School, indicates approval and permission on the part of all parties involved to post the document on Digital Commons @ EMU or any subsequent technology. Theses and dissertations are approved through ProQuest.

Figure 14. **Rights and Permission Form for Electronic Thesis or Dissertation Project (ETD).**

Dissertation Deadlines

IMPORTANT NOTE: If your dissertation is not submitted in acceptable form to the Graduate School by the deadline listed below, you may not be able to graduate until the following enrollment period. The oral defense should have been completed, all editorial suggestions from your committee members should have been incorporated, and the *Dissertation Document Approval* form should be signed by all your committee members and the appropriate academic administrator BEFORE you submit the dissertation to the Graduate School. Graduate School sign-off will occur when all editing corrections have been made.

December Graduation ....November 1

April Graduation ....March 1

August Graduation ....July 1

Publishing Your Dissertation Research
Typically, submission of your dissertation research for one or more journal articles will have you as the lead author with one or more of your committee members as co-authors. On occasion, it would be appropriate for you to be the sole author, but this depends upon on the extent of each committee member's scholarly contribution to the work. Consult with your dissertation chair/faculty mentor regarding ethical principles in the discipline for authorship. Certain professional associations have ethical standards you should consult on this matter. See, for example, the American Psychological Association's ethical principles on research and publication.

Steps to Merge PDF Documents

To submit your dissertation to the library for archiving and/or publication, it needs to be consolidated into a single PDF. Multiple PDFs can be merged into a single file using the full version of Adobe Acrobat. Currently, Adobe Acrobat Pro 9 is installed and available for use on both Macs and PCs in EMU Computer Labs in the library and across campus.

Please note that the free client for viewing PDFs- called Adobe Reader (or Acrobat Reader for older versions) IS NOT sufficient to consolidate files and that the full version, Acrobat Pro, is required.

Step 1: Launch Acrobat Pro

Step 2: Click the File menu, go to Combine, and select "Merge Files into a Single PDF…"
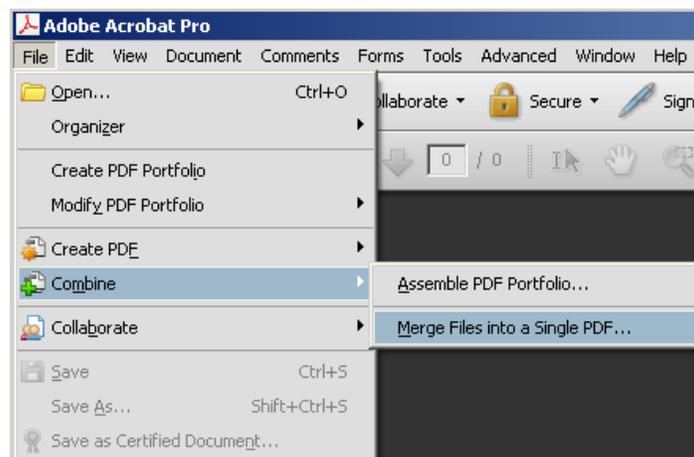

Step 3: Add the files you wish to combine by either clicking the Add Files button on the top left corner of the window, or by drag and drop.
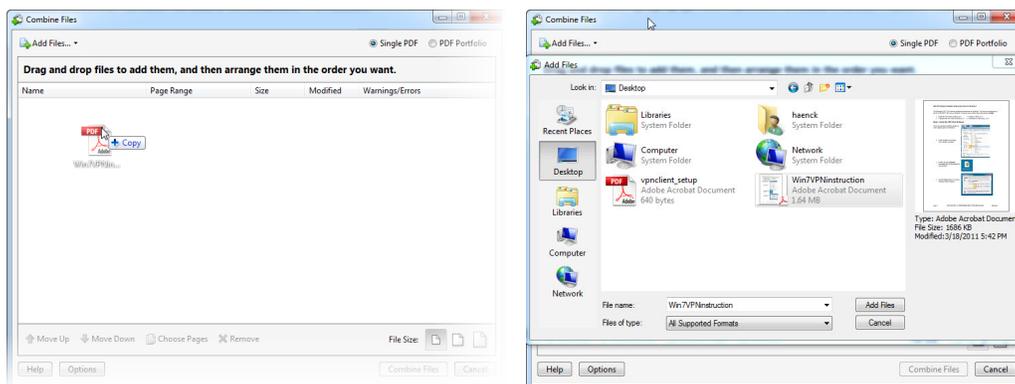
Step 4: Adjust the contents of the files you are combining.

The Combine Files window is displayed. You can either click the Add Files button on top left corner of the window, or simply drag and drop the PDF files you wish to merge, into the Combine File window. The files can be reordered, by selecting on one of the PDFs listed, and clicking the Move Up or Move Down buttons below. If you want to only include only certain pages from a particular PDF, click the Choose Pages button.
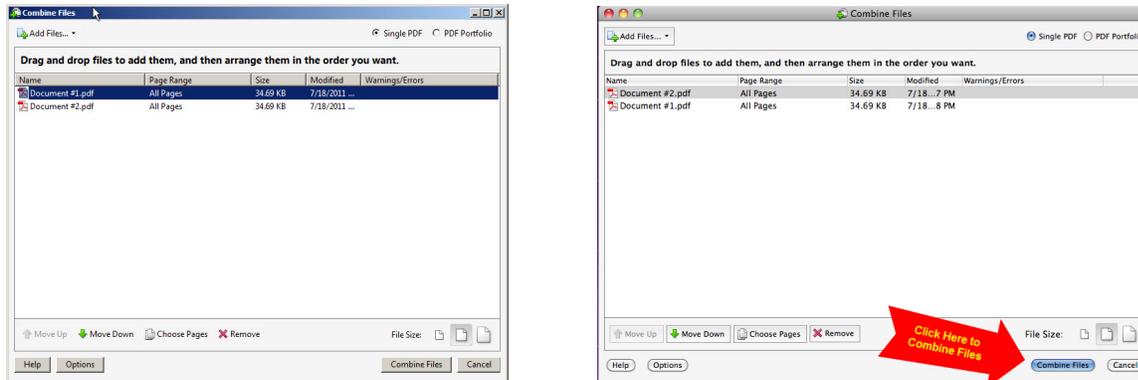
Step 5: Click the Combine Files button, and a single document will be created; a save dialog box will display listing the default name of "binder" for the combined PDF. You can then give the file a name of your own choosing and save it for submission.