

GUIDE TO DISSERTATION PREPARATION

2020-2021

Graduate School
EMPORIA STATE UNIVERSITY
REVISED MAY 2020

The dissertation demonstrates a candidate's ability to conduct scholarly work and to generate new knowledge. It is with the dissertation that the candidate demonstrates the ability to conduct independent investigations. The dissertation is a major step in the journey of scholarly life, presenting credentials and establishing a research agenda. As such, it is the object of intense work and scrutiny. The effort and scrutiny are the arena of the candidate and dissertation committee. The *Guide to Dissertation Preparation* is intended to facilitate the mechanics of construction of the dissertation documents and to make the dissertation appropriate for presentation to the broader academic community.

DISSERTATION COMMITTEE

The student, in conjunction with the doctoral program director, will choose a dissertation committee chair or co-chairs (one co-chair may be selected from the concentration area) after passing the qualifying examinations. The student has the responsibility to identify a preferred committee chair or co-chairs who will agree to be appointed. The committee chair or co-chairs will be officially appointed by the dean of SLIM. The student and committee chair(s) will select one other SLIM faculty member and a competent member from outside SLIM whose education (PhD required), interests, and competencies strengthen the dissertation writing and defense process. If the student has a subject concentration, the third member of the committee will be from the concentration discipline. The dean of SLIM and the doctoral program director approve the membership of all dissertation committees and are responsible for officially recording the appointments. A student has the right to change the composition of the committee at any point of the process after consulting with the committee chair, the doctoral program coordinator, and the dean of SLIM. (from Doctor of Philosophy Handbook, ESU, SLIM, 2014)

Students are required to complete and submit the [Thesis and Dissertation Committee Declaration Form](#) the semester prior to completing the dissertation or in conjunction with their dissertation proposal.

As the Doctor of Philosophy degree is awarded by the University, the Dean of the Graduate School represents the University and takes an active role in the dissertation process. The dissertation committee gives primary guidance and approval to the concepts and presentation of the research in conjunction with the Coordinator of the doctoral program and the Dean of the School of Library and Information Management. Upon recommendation of the dissertation committee and approval of the Dean of the School of Library and Information Management, the Dean of the Graduate School affixes the University's approval to the written presentation of the dissertation.

ENROLLMENT IN DISSERTATION CREDITS

Doctoral students must complete 12 hours of dissertation credit, then enroll in at least 3 credits each semester until the dissertation proposal is completed or until 8 years after admission to the doctoral program have expired. . A grade of "IP" (incomplete) will be issued each semester until the dissertation is complete and approved. Dissertations are expected to contribute new knowledge to the field through original research (from *Doctor of Philosophy Handbook*, ESU, SLIM. 2014)

APPROVALS TO CONDUCT RESEARCH

In order to ensure the quality of the dissertation and to be in compliance with appropriate regulations, the candidate must receive prior approval for research components which use human or other vertebrate animals as research subjects. Application materials are available from the Research and Grants Office, located in Plumb Hall 313 or online at www.emporia.edu/research. Students should consult with their committee chair about obtaining the required clearances from the following boards or committees:

- a) Institutional Review Board for Treatment of Human Subjects. This board was established to enforce federal regulations enacted by the Secretary of Health, Education and Welfare in 1976. It is the responsibility of the Board to determine those individuals serving as subjects not be placed "at risk due to their involvement in research projects." An individual is considered to be "at risk" if exposed to the possibility of injury, including physical, psychological or social injury as a consequence of participation as a subject in any research, development, or related activity. A Human Subjects Training Module must be completed and a quiz taken and passed at 80% to receive approval from the Institutional Review Board. Please contact the Research and Grants Office at 341-5351 should you have questions concerning this module and quiz.
- b) Institutional Animal Care and Use Committee. To assure compliance with the Public Health Service Policy (PHS) on Humane Care and Use of Laboratory Animals, the University has formed an Institutional Animal Care and Use Committee. It is the responsibility of the Committee to insure that all individuals involved in testing, research, and training with animals act in accordance with principles outlined by the PHS. Please contact Dr. Cathy Grover at 620-341-5813.

DISSERTATION PROPOSAL

Students are expected to conduct significant research that contributes to the theory base of library and information science and to present proposals as well as their research results to the SLIM community in public sessions in Emporia. The student must present the dissertation proposal in a public presentation to the ESU community in Emporia. The presentation may be electronically mediated so all interested parties have an opportunity to hear, read, and see the presentation.

After a student has successfully completed the qualifying examinations and LI 946, the next step is to enroll in LI 947 Dissertation Proposal. The dissertation committee chair will guide the development of the dissertation proposal, which will serve as a basis for the student's research. The dissertation committee chair, acting on written reactions to the proposal by other committee members, will determine when the proposal is sufficiently developed to submit it for approval by the dean of SLIM. The proposal must be accepted for presentation by the dissertation committee, the dean of SLIM, and the doctoral program director before the public presentation date is set. In consultation with the student, the committee chair and the dean of SLIM will select a date for the presentation of the dissertation proposal.

The public presentation will be scheduled to occur at least two weeks before the end of the fall or spring semester and announced at least a month in advance to the ESU community. There will be no presentations made during the summer semester or inter-sessions. Online access to the finished proposal will be provided at the time of the announcement of the presentation. The proposal will be made available electronically with a paper copy provided at SLIM.

The proposal will contain the following chapters:

- Introduction—describes the problem being addressed and the purpose of the study in order to frame research questions
- Literature Review—provides the background and the context for the research problem by describing the relevant literature on the topic
- Methods—research design including the reason the specific methodology was selected
- Findings—research results including interpretation of results
- Conclusions – discussion of findings (answer research questions), conclusions, future research
- References—lists all works cited in the dissertation proposal

At the public presentation of a research proposal, the dissertation chair will introduce the student and the members of the dissertation committee. The student will then present the proposal, describing the research question, theoretical framework, literature review, research design and timeline. At the conclusion of the presentation, the dissertation chair will first invite the committee to make comments and pose questions and then extend the invitation to the rest of those attending the session. After the community's questions have been addressed, the public portion of the presentation is over. The committee will then meet in private to appraise the proposal and vote on acceptance.

When the proposal has been approved by the dissertation committee, the proposal acceptance form must be signed and dated by all members of the dissertation committee and forwarded to the SLIM dean. The original proposal acceptance form must be on a white 20-pound bond paper and signed with black ink. The student must submit the original signed proposal acceptance form along with the approved proposal to the Graduate School. The student is also required to send a copy of the signed proposal acceptance form to the PhD program director. At this point, the student will advance to degree candidacy.

PROPOSAL ACCEPTANCE FORM

Name of Student _____

Title of Dissertation _____

Signatures:

Dean of the School of Library and Information Management

Committee Member (Chair)

Committee Member

Committee Member

Doctoral Candidate

DISSERTATION DEFENSE

Upon completion of the dissertation, all students defend their research during an oral examination conducted and evaluated by dissertation committee. The oral examination is open to the public. The dissertation defense is a traditional forum in which the candidate presents the research for public scrutiny. The actual format and timing of the defense will be decided by each individual dissertation committee in conjunction with the doctoral program coordinator. The general format of the defense is as follows:

The dissertation must be prepared in compliance with the ESU Guide to Dissertation Presentation, which is available at <http://www.emporia.edu/grad/docs/dissert.pdf>, and the *Publication Manual of the American Psychological Association* (latest edition). After the dissertation committee, the SLIM dean, and the doctoral program director have accepted the student's dissertation as ready for presentation, the student is required to present the results publicly. The presentation may take place up to four weeks before the end of the fall or spring semester; there will be no presentations scheduled for summer semester or inter-sessions.

After the committee chair notifies the doctoral program director that the dissertation committee, and the SLIM dean has found the student's dissertation ready for presentation, the doctoral program director will set a date for the presentation in conjunction with the committee chair/co-chairs and the dean.

At least one month prior to the event, the committee chair must announce the date and time of the presentation on the ESU and SLIM websites and in other venues such as slimphd and slimfac electronic lists. The announcement must include a link to the completed dissertation for review by the ESU community.

At the presentation, the dissertator and the committee members will be introduced by the dissertation chair, who also acts as facilitator for the question-and-answer period following the formal presentation and for the committee meeting that follows. During this portion of the session, the dissertator presents his or her research, including a statement of the research question, the theory and literature that frame the work, the research design, the study, the research results and interpretation, implications, and suggestions for future research.

At the conclusion of the formal presentation, the chair asks the committee to pose whatever questions the members may still have, after which time the community is invited to make comments and pose questions. Following the public portion of the session, the chair will call a closed meeting of the dissertation committee for the purpose of providing any additional remarks and suggestions and signing the title page. The dissertation is then given to the SLIM Dean to sign.

The dissertation is to be in final draft form, though not bound, at the time of the defense or final oral examination. After the defense or final oral examination, changes required by the dissertation committee are to be made and a copy submitted to the Graduate School for final reading by the Dean of the Graduate School. After all corrections have been made, the electronic copy (pdf format) should be sent as an attachment to jspotswo@emporia.edu and

need not contain departmental signatures. It should be the same as the hard-copy manuscript that is submitted, without the signature page.

SUBMISSION OF DISSERTATION

An electronic copy of the dissertation in Word format is due in the Graduate School no later than 3 weeks prior to the close of the semester for review by the Graduate School. A pdf of the dissertation in final form is due in the Graduate School one week before graduation. All dissertations must have approval of the student's dissertation committee, the chair of the dissertation committee, and the Dean of the School of Library and Information Management or the dissertation will not be accepted by the Graduate School.

DISSERTATION REQUIREMENTS

1. The original copy of the dissertation must be on 20 pound bond paper (must be white with no background pattern).
2. The font used for text must be Times Roman, 12 pt.
3. Photographs in all copies of the dissertation must be photographic prints of the original. However, charts, graphs and maps should be photocopied providing that the copies are clear.
4. The "Permission to Copy" page (see sample below) must be completed and submitted with each copy of the dissertation.
5. All margins are 1 inch; however, candidates who are binding dissertations should check with the bindery for print specifications.
6. Style manual to be used is: American Psychological Association (most recent). Publication manual. Washington, D.C.: The Association.
7. Correct assembly (order and pagination) is shown below.
 - a. Blank Sheet
 - b. Abstract (do not number)* with keywords
 - c. Title Page*
 - d. Approval Sheet *(Roman numerals for page #)
 - e. Acknowledgment* (Roman numerals for page #)
 - f. Table of Contents *(Roman numerals for page #)
 - g. List of Tables (Roman numerals for page #)
 - h. List of Figures (Roman numerals for page #)
 - i. Chapters
 - j. References
 - k. Appendices (not required)
 - l. Permission to Copy Statement*
 - m. Blank Sheet

* Examples attached.

NOTE: Unless otherwise noted, all pages must be submitted with the dissertation for approval by the Dean of the Graduate School

**AN ABSTRACT OF THE DISSERTATION
FOR THE DEGREE DOCTOR OF PHILOSOPHY IN THE
SCHOOL OF LIBRARY AND INFORMATION MANAGEMENT**

(Name of student)

presented on

Title:

Abstract approved:

(Chair)

(A succinct summary of the dissertation not to exceed 350 words.)

Keywords

MULTIMEDIA: ITS EFFECT ON INFORMATION TRANSFER

by

Leslie B. Dixson (1)

Emporia, Kansas

May 1997

A Dissertation

Presented to

EMPORIA STATE UNIVERSITY

In Partial Fulfillment

of the Requirements for the Degree

Doctor of Philosophy

The School of Library and Information Management

(1) Please use full name as you normally use it on official documents.

Example of Doctoral approval sheet

Dean of the School of Library
and Information Management

Committee Member Name (Chair)

Committee Member Name

Committee Member Name

Dean of the Graduate School and Distance
Education

ACKNOWLEDGMENTS

My deepest thanks to my dissertation chair, Dr. Bud Gardner, for all the help he gave me in completing this dissertation. I also thank the other members of my committee, Dr. Thelma Smith, Dr. Sam Jones, and Dr. Pat White, for their continued support.

I will be ever grateful for the love of my parents, my children, and especially my spouse. Without you all being there, this dissertation would never have been completed.

These samples are offered as a guideline. **Dissertations may have different components.**

Sample #1 - without detail

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Example of "Permission to Copy Statement"

With my typed signature below, I, (name of student), hereby submit this thesis/dissertation to Emporia State University as partial fulfillment of the requirements for an advanced degree. I agree that the Library of the University may make it available to use in accordance with its regulation governing materials of this type. I further agree that quoting, photocopying, digitizing or other reproduction of this document is allowed with proper attribution for private study, scholarship (including teaching) and research purposes of a nonprofit nature. No copying which involves potential financial gain will be allowed without written permission of the author. I also agree to permit the Graduate School at Emporia State University to digitize and place this thesis in the ESU institutional repository, and ProQuest Dissertations and Thesis database and in ProQuest's Dissertation Abstracts International.

Typed Signature of Author

Date

Title of Dissertation

FINAL CHECK

The following errors have often been found in dissertations. As an aid in quality control, the following checks are available for the candidate's use. Please also consult APA (4) checklist. Proofread your manuscript carefully.

1. An abstract cannot exceed 350 words.
2. Check page numbering
 - a. All pages must have a number, except blank or copyright pages (counted but not numbered). Lower-case Roman numerals are used in preliminary pages, while Arabic numerals are used in the remainder of the manuscript.
 - b. The student is responsible for ensuring that the pages of the manuscript are in correct numerical order.
 - c. Make sure all pages are included.
3. Check for errors in table of contents and check lists of tables, figures, etc. for incorrect page numbers; titles that do not exactly match the headings used in the manuscript (capitalization, punctuation, and wording); or incorrectly indicated subdivision. Make sure you are consistent.
4. Errors in text references.
 - a. All text references must be listed in the references section at the end of the manuscript.
 - b. Names and dates appearing in the text must exactly match those in the references.
 - c. When there are multiple authors of a publication, all of them must be cited on first reference, after which *et al.* may be used.
5. Matters of style
 - a. The manuscript may not have any visible corrections.
 - b. The last word on a page may not be hyphenated and carried over to a new page.
 - c. The final line of a paragraph may not be placed at the top of a page, nor may the first line of a paragraph be the last line on a page.
6. Margin errors.
 - a. The left margin must be one and one-half inches wide to permit binding of the pages.
 - b. All other margins are one inch wide.
7. Errors in grammar and punctuation.
 - a. Lack of subject-verb agreement, especially in sentences in which the subject is singular, but the object of a prepositional phrase is plural (e.g., A group of students was surveyed is correct).
 - b. Misuse of comma and semicolon, e.g., omitting the comma in a series of three or more items connected with and or, using however as a conjunction and omitting the semicolon before however.
 - c. Ellipsis indicated incorrectly; an ellipsis is indicated by three spaced periods (plus sentence-ending punctuation, if applicable).
 - d. Incorrect typing of the hyphen (one character strike) and the dash (two unspaced hyphens); no spaces should be used before or after these punctuation marks.
 - e. Faulty parallelism in sentence construction.
 - f. Dangling or misplaced modifiers; other errors in noun modification.

- g. Misuse of commonly confused words, e.g., affect and effect, principal and principle, etc.
- h. Misplacement of periods and commas in quoted material; periods and commas are always placed inside quotation marks; colons and semi-colons are placed outside.
- l. Incorrect verb tense changes within sentences and paragraphs.
- j. Appositive and other nonrestrictive phrases are always set off by commas.
- k. Restrictive clauses, those that cannot be left off without changing the sentence, may never be set off with commas.
- l. Restrictive and nonrestrictive clauses are distinguished by the use of "that" and "which," respectively.
- m. Misuse of the colon; colons follow only completed phrases, i.e., Jones (1991) explains it clearly:...Not Jones (1991) states:
- n. Confusion of the interrogative form with the indicative, i.e., My research sought to find out whether ..., not if.
- o. One-sentence paragraphs. A paragraph should contain a minimum of two sentences.
- p. Extra spacing or not enough spacing between words and sentences.
- q. Inconsistent typing of headings for each chapter. Chapter headings and numbers must all be upper case or the first letters capitalized, followed by lower case.
- r. Failure to arrange dissertation pages in the prescribed order.
- s. The "Permission to Copy" page must be completed and submitted with each copy of the dissertation.
- t. Poor quality of duplicated materials-lines, shading, shadowing, etc. All photocopies must be of legible quality.
- u. Submitting the dissertation without the required signatures.
- v. Each table or figure must have a heading and must be on its own separate page.
- w. Partial/incomplete sentences.
- x. Use of "who" and "that." "Who" refers to a person and "that" does not.
- y. When deciding to use "which" or "that," "which" is used when it is with a phrase that can be set off by commas.
- z. Overuse of the word "that." This makes for awkward reading. The correct format is "The man said he was going home," not "The man said that he was going home."

USE OF COPYRIGHTED MATERIALS

Candidates writing dissertations should note the following guidelines for the use of copyrighted materials. Generally, authors may make limited use of short passages from copyrighted materials, if they give proper credit to the owner of the copyright. Extensive use of copyright materials, however, requires the permission of the copyright owner.

The use of tables, graphs, figures, or illustrations from a copyrighted work is not generally considered a limited use, and permission of the owner should be obtained before any of these are used in a thesis or dissertation. Usually, the publisher can grant permission to quote excerpts from a copyrighted work; if not, the publisher can refer you to the owner of the copyright.

Permission is often granted to use copyrighted material in scholarly works without any payment or compensation to the copyright owner. However, a copyright owner may charge for any permission granted. If permission is obtained, a letter or release from the copyright owner must be included in an appendix in the manuscript, and an acknowledgment of the copyright owner should be included in the acknowledgments preceding the dissertation.

Plagiarism. Plagiarism is copying entire passages, either verbatim or nearly verbatim, without directly acknowledging the source of these passages. Outright plagiarism needs no exemplification: researchers who copy know that they are liable to the severest academic penalties, and perhaps to civil penalties as well.

All scholars should keep in mind the following requirements:

1. When material is quoted, it is quoted exactly as it appears in the original, mistakes and all. Any additions, deletions, or alterations are clearly signaled by brackets or ellipses, as indicated in style manuals.
2. The acknowledgment of material quoted from or paraphrased from a single passage includes the page number(s) on which the passage appears in the original document.
3. Data not commonly available are never cited without a clear indication of their source.
4. Terminology or phraseology that is not common in literature is not used without proper acknowledgment.
5. Changing a few words in a source to avoid the necessity of quotation marks is at best amateurish scholarship, and at worst outright plagiarism.

Falsification of data. The national press, as well as academic publications, have reported cases in which researchers deliberately falsified their data or used data they knew were unreliable. Obviously, this practice is unethical; it erodes public confidence in scientific and scholarly investigation.

Researchers themselves must be the primary custodians of their own integrity in these matters, but faculty supervisors must be reasonably cautious about endorsing student work if they have any doubt of its authenticity. It is important, of course, for faculty members and students to

establish mutual trust so that research can be conducted and reported frankly and freely. However, when violations of this trust are discovered by supervising faculty or by other knowledgeable persons, the violation will be regarded as serious academic misconduct. Discovery of falsified data or plagiarism by any candidate will result in the degree not being granted and other appropriate measures.

Dissertation Due Dates

Summer 2020

July 17, 2020 Single copy of the dissertation approved by the department with departmental signatures due in the Graduate School, ready for review by the Graduate Dean of the Graduate School.

Fall 2020

November 13, 2020 Single copy of the dissertation approved by the department with departmental signatures due in the Graduate School, ready for review by the Graduate Dean of the Graduate School.

Spring 2021

April 16, 2021 Single copy of the dissertation approved by the department with departmental signatures due in the Graduate School, ready for review by the Graduate Dean of the Graduate School.

Summer 2021

July 23, 2021 Single copy of the dissertation approved by the department with departmental signatures due in the Graduate School, ready for review by the Graduate Dean of the Graduate School.

Fall 2021

November 19, 2021 Single copy of the dissertation approved by the department with departmental signatures due in the Graduate School, ready for review by the Graduate Dean of the Graduate School.