Dissertation and Thesis Handbook

Gallaudet University
Washington, D.C.

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The Doctoral Dissertation and Master’s Thesis at Gallaudet: An Overview

This handbook is designed to provide helpful information to dissertation and master’s thesis writers at Gallaudet University. The handbook was originally written with dissertation writers in mind, so a few words are needed here to explain how the text has been modified to be helpful to the increasing number of students choosing a thesis option or requirement in master’s programs at Gallaudet. In general, a dissertation and a thesis are not radically different in nature. Both are descriptions of significant research endeavors undertaken by graduate students. Dissertations are usually, but not always, longer than master’s theses. The research involved is usually on a larger scale and a formal dissertation proposal must be written and approved before the research can begin. Dissertations are always divided into chapters, usually but not always following a traditional structure, such as Chapter I, Statement of the Problem, Chapter II, Review of the Literature, Chapter III, Methodology, etc. Master’s theses may or may not be broken into chapters, and the sections of a thesis may or may not follow a similar sequence, depending on the study. Doctoral programs always require that a research proposal be written and defended prior to conducting research or writing the final dissertation, while master’s programs may have less rigorous requirements for writing and defending a proposal. In this handbook, we will refer to “dissertations and theses” whenever a statement applies to both. When there are important differences, we will speak of the two separately.

The handbook describes in broad terms the roles and responsibilities of doctoral or master’s candidates and their dissertation or thesis committee members, the sequence of critical steps in the process of preparing for the defense and publication of a dissertation or thesis, and content and style requirements for proposal, dissertation, and thesis documents. The appendices in the back of the handbook should serve as models and guides to assist in the development of many aspects of dissertations and theses.

This handbook is intended to guide students through key steps in the process of writing and defending dissertations or theses in all doctoral and master’s programs at Gallaudet. Its focus is on dissertations and theses only—not on other landmark events affecting graduate students seeking a degree. Individual departments may have additional requirements for dissertations and theses that are more extensive than those detailed here. The doctoral or master’s candidate should therefore become familiar both with the requirements described in this handbook and with those of the specific department.

A doctoral dissertation or thesis is evidence of an individual's ability to conceptualize and carry out research and to communicate the results of that research in a coherent document. The research should address an important problem of manageable scope in the chosen field of study, and should make a significant contribution to the profession's theory or practice. Most commonly, the work builds on previous research findings and involves the collection, analysis, and interpretation of new data. Some dissertations or theses focus on the re-examination of previously collected data.
A dissertation or thesis is not ordinarily the effort of one scholar working in isolation. Doctoral and master’s candidates benefit greatly from the input and support of faculty members, advisors, and administrators. Dissertation or thesis committee members and others can offer important advice to the degree candidate in areas such as the project's research design, data collection procedures, and use or analysis of data. Ultimately, however, the student remains responsible for the integrity of the research.

Before beginning the dissertation or thesis process, a student should become familiar with similar documents previously printed and bound by students in his or her department. Doing so will give the student models of the format and style of dissertations or theses previously approved at Gallaudet. However, keep in mind that the format of those dissertations may differ in certain particulars from the standards set forth in this handbook. In these instances, we suggest that you ask your faculty advisor to indicate which format is preferred in your program.

Roles and Responsibilities

The doctoral candidate. A doctoral candidate is a student in good standing enrolled in a doctoral program who has completed required examinations successfully and has been deemed ready by the program to start a dissertation study. Although the dissertation is usually the last requirement for the doctoral degree, it is not always so. For example, the Psychology Department allows or encourages students to begin their dissertations prior to completing the required internship.

It is the responsibility of a doctoral candidate to seek the cooperation of appropriate, qualified individuals to serve on his or her dissertation committee and to initiate dialogue with committee members, follow recommended timetables, and plan committee meetings in accordance with the recommendations of the committee chair. In working relationships with committee members, the candidate should be mindful that members have many other professional responsibilities.

It is emphasized that the successful completion of a dissertation, while a necessary step for earning a Ph.D., is only one of the requirements. It is the student’s responsibility to understand and satisfy all of the requirements of the individual program and of the University. Doctoral candidates must maintain matriculation at the University until completion of the degree. Depending on the program requirements and the student’s individual circumstances, the enrollment status may be full- or part-time. Each doctoral program has specific guidelines regarding the number of dissertation credits required and the timing of such credit within the student’s program. Even when a student has completed all other requirements of the program with the exception of the dissertation, he or she must continue to register each semester for at least one graduate credit, usually with the department’s 900: Dissertation Research course.

The master’s candidate with thesis option. A master’s candidate is a student in good standing enrolled in a master’s program who has elected to write a thesis as part of his/her requirements for obtaining an M.A. or M.S. Degree. It is the responsibility of the candidate to seek the cooperation of at least three appropriate, qualified individuals—often within his or her
department—to serve on the thesis committee. The candidate must initiate dialogue with committee members, follow recommended timetables, and plan committee meetings in accordance with the recommendations of the committee chair. In working relationships with committee members, the candidate should be mindful that members have many other professional responsibilities. It is emphasized here also that the successful completion of a thesis is only one of the requirements. It is the student’s responsibility to understand and satisfy all of the requirements of the individual program and of the University.

**The dissertation committee chair.** The dissertation committee chair is the doctoral candidate’s primary advisor during all phases of the dissertation process. The chair is the leader of the committee and its liaison with the student, the program, the department, and the Graduate School. (Please note that the dissertation chair may or may not be the same individual as the candidate’s program chair.) The chair convenes and conducts the proposal and dissertation defense meetings. In conjunction with other committee members, the chair is responsible for providing technical and content advice and assistance. A Gallaudet faculty member who has served on at least three doctoral dissertation committees at any accredited college or university is eligible to chair a doctoral dissertation committee. Exceptions may be granted by the dean¹ of the Graduate School and Professional Programs if officially requested and justified by the chair of the department. Unless an exception is recommended by the chair of the department and approved by the graduate dean, the chair should be a member of the department in which the degree program is offered. However, otherwise qualified individuals outside the department may serve in a co-chair capacity if such an arrangement is approved by the department. Dissertation committee chairs who terminate employment with Gallaudet University may continue committee service for a 12-month period following the termination. After that time, the individual may no longer serve as chair, but may serve as co-chair (with the department’s approval) or simply as a member of the committee.

**The master’s thesis committee chair.** The master’s thesis committee chair is the master’s degree candidate’s primary advisor during all phases of the thesis research and writing process. The chair is the leader of the committee and its liaison with the student, the program, the department, and the Graduate School. (Please note that the thesis chair may or may not be the same individual as the candidate’s program chair.) The chair convenes and conducts the thesis defense meeting. In conjunction with other committee members, the chair is responsible for providing technical and content advice and assistance. Unless an exception is recommended by the chair of the department and approved by the graduate dean, the chair should be a member of the department in which the degree program is offered. However, otherwise qualified individuals outside the department may serve in a co-chair capacity if such an arrangement is approved by the department.

**The dissertation committee.** Individuals who hold earned doctoral degrees are eligible to serve as members of the dissertation committee. Exceptions may be granted by the graduate dean, based on department requests and justifications.

¹Throughout this handbook, the dean of the Graduate School and Professional Programs is referred to as the “graduate dean.”
The dissertation committee ordinarily should have five members, including the chair. Each department will develop its own rule in this matter. Larger committees, to a maximum of seven members, are permissible if approved by the department. In rare cases, smaller committees, if requested and justified in advance, can be approved by the graduate dean. In any case, at least two of the members should be from the department offering the doctoral program; at least one must be a qualified individual from another unit/department of the University; and it is strongly encouraged that one member be from off-campus, preferably a faculty member from another university. The person chosen from off campus must be granted adjunct or graduate faculty status by the graduate dean to serve on the dissertation committee. A “Recommendation for Graduate Faculty Status” form, available from the graduate dean’s office, must be sent with attached vita to the graduate dean to request approval. Résumés and approval for Graduate Faculty Constituency forms for off-campus committee members should be placed in the files of the graduate dean. The graduate dean, or a designee, may serve as an advisor to a dissertation committee but does not count as a member of the committee.

Though continuity of committee membership throughout the dissertation process is extremely important, a member of the dissertation committee can resign at any time. Replacement members are required if the committee size drops below five (or the membership number agreed to during the establishment of the committee, if fewer than five). In any case, students should find a replacement for a resigning member, in consultation with the dissertation committee chair. Similarly, members can be added at any time during the process.

Dissertation committees should be constituted so that a range of expertise is represented that is pertinent to the topic under study and the methodology likely to be used. Committee members will be called on to advise the student throughout the process in areas appropriate to their expertise and interests. Members will also comment on written materials developed by the doctoral candidate when these are presented in a timely manner. Members are responsible for evaluating and approving the proposal and the completed dissertation work. All members should be present during the final defense of the dissertation, with the exception of members who reside out of the area and for whom travel is not feasible. (In those cases, speakerphone- or video-conferencing technology should be used if possible.)

The master’s thesis committee. Individuals who hold earned doctoral degrees or master’s degrees in appropriate fields are eligible to serve as members of the master’s thesis committee. Exceptions may be granted by the graduate dean, based on department requests and justifications. The master’s thesis committee ordinarily should have at least three members, including the chair. Each department will develop its own rule in this matter. Larger committees, to a maximum of five members, are permissible if approved by the department. At least two of the members should be from the department offering the master’s program, and it is permissible for all members to be from the same program. It is not required that the graduate dean or a designee attend master’s thesis defenses.

Though continuity of committee membership throughout the thesis process is extremely important, a member of the thesis committee can resign at any time. Replacement members are required if the committee size drops below three. In any case, students should find a replacement
for a resigning member, in consultation with the thesis committee chair. Similarly, members can be added at any time during the process.

Thesis committees should be constituted so that a range of expertise is represented that is pertinent to the topic under study and the methodology likely to be used. Committee members will be called on to advise the student throughout the process in areas appropriate to their expertise and interests. Members will also comment on written materials developed by the master’s candidate when these are presented in a timely manner. Members are responsible for evaluating and approving the completed thesis. All members should be present during the final defense of the thesis, with the exception of members who reside out of the area and for whom travel is not feasible.

**The Department of Administration and Supervision research advisor.** The Department of Administration and Supervision requires that doctoral candidates in that department include a separate research advisor as one of the members of the dissertation committee. This advisor, who may be external to the University, provides advice concerning the proposed research methodology and the procedures for statistical analysis. The research advisor's responsibilities include advising the doctoral candidate on the suitability of a topic, reviewing and advising on the research design of a candidate's proposal, and providing regular feedback throughout the dissertation process. Dissertation committees for the departments of Education; Hearing, Speech, and Language Sciences; Linguistics; and Clinical Psychology do not identify any individual member as the research advisor.

**The dean of the Graduate School and Professional Programs.** The dean of the Graduate School and Professional Programs, henceforth called the “graduate dean,” serves as an *ex officio* advisor for all doctoral candidates and dissertation committees. The graduate dean serves as a consultant to each committee or may designate a member of the graduate faculty or a member of the Graduate School staff to serve as a consultant. A printed copy of the approved dissertation proposal should be provided to the dean along with Form 2 Dissertation Research Proposal Approval Form, with the IRB approval letter attached. After the dissertation has been completed and approved by the committee for defense, and at least three weeks before the defense, Form 3 Authorization to Schedule Dissertation Defense and one printed copy of the dissertation must be given to the dean for review. Committee member's signatures on Form 3 Authorization to Schedule Dissertation Defense signify that all Committee members have read and approve of the document as a defensible dissertation. The assistant graduate dean will work with the committee chair to schedule and publicly announce the defense. The graduate dean or a designee will be present for the dissertation defense, may consult with the committee in its review of the dissertation, and may participate in the deliberations of the committee. The graduate dean or designee is not a voting member of the committee. The graduate dean or a designee is *not* required to serve as an *ex officio* advisor to master’s degree candidates or to attend master’s thesis defenses.

**The graduate student support specialist.** At the time of scheduling a defense of a dissertation, the graduate student support specialist in the office of the graduate dean gives the candidate copies of the University Microfilms Doctoral Dissertation Agreement Form and the Survey of Earned Doctorates Form to be filled out and returned to the support specialist either at
the time of the defense or no later than one week after the defense. Upon the successful completion of the defense, all signature pages, once signed, also must be taken by the committee chair to the support specialist. After the defense and after all required changes are made, one final approved copy of the dissertation must be delivered to the support specialist. The support specialist will notify Student Accounts that a dissertation fee is due and, if appropriate (i.e., all academic requirements have been fulfilled), will notify the Registrar that all requirements for the Ph.D. have been met. Payment of the dissertation fee can be facilitated by the support specialist. (See pages 9, 10, and 18 for more detailed information about the number of copies needed, type of paper, and other requirements.) The graduate student support specialist will then arrange to have the requested number of copies printed and bound. All dissertation processing matters must be completed before graduation. Students who do not complete the dissertation process will not receive a diploma and will not be permitted to participate in commencement.

**The Institutional Review Board (IRB) for the Protection of Human Subjects.** The Report of the National Commission for the Protection of Human Subjects and the Code of Federal Regulations 45 CFR 46 dictate principles of conduct for research with human subjects. In compliance with these dictates, all research projects involving Gallaudet faculty, staff, or students—either as investigators or as participants—must be submitted to the Gallaudet Institutional Review Board (IRB) for review prior to data collection. For doctoral candidates, this means that the abstract and methodology sections of the proposal, along with an IRB submission form, must be submitted to the IRB office after the candidate’s committee has approved the proposal and before data collection begins. Master’s candidates writing a thesis involving human subjects must also submit an IRB submission form, including an abstract of their proposed project. IRB procedures protect the rights and welfare of research subjects and assure their informed consent to research procedures. Although some research may, upon examination, be found to be exempt from IRB review, all proposals must be evaluated by the Review Board. Information on submission procedures and how to contact the current chair of the IRB is available from the office of the graduate dean.

**Sequence of Events**

**Developing the research idea.** The manner of identifying and developing an appropriate dissertation or thesis topic is more the province of the student’s department than this handbook. It is assumed that by the time doctoral students are ready to begin a dissertation, they already have strong areas of interest that can be developed into a dissertation project. Still, converting an area of interest into a researchable project is often the most daunting step in the dissertation or thesis process. It is imperative that the student seek the advice of qualified individuals who share the student’s interest. Reading pertinent literature is equally important. Some of the many books which deal with this aspect of the research process are listed in Appendix G.

When selecting the dissertation or thesis topic, candidates should keep several key points in mind. First, dissertation or thesis projects should be manageable in scope and possible to complete with the resources available to the student. Competitive grants are sometimes available to assist students in conducting a research project, including those available through the Small Grants Program from the Graduate School and Professional Programs. In proposing a project, a student must be able to attain a command of both the topic area and the methodologies involved.
in conducting the project. Finally, each department reserves the right to determine whether a student’s proposed area of study is sufficiently relevant to the student’s program of studies to be approved.

**Writing a research concept paper.** Before selecting members for a dissertation committee or proceeding with a full proposal, students are advised to develop a research concept paper, which is used for discussion purposes. At their option, programs may require such a paper. This paper can also provide guidance for the selection of committee members as well as a basis for further development of the proposal itself. Its purpose is to describe the research idea, present a brief commentary on the literature, and propose an appropriate methodology to conduct the inquiry. Discussing the research concept paper with a potential committee chair or with other potential committee members will enable the student to obtain advice early in the dissertation process as to the suitability of the topic as a worthwhile study and as to whether or not the research questions and methodologies are appropriate. It is quite possible that the student’s research idea itself will emerge out of discussions with one or more faculty and may even be suggested by a faculty member. In those cases, it is important that the student perceive the project as reflecting his or her own interests as well as the interests of the advisor.

**Establishing a dissertation or thesis committee.** During the process of selecting a dissertation topic, a doctoral student should find an appropriate faculty member from the student’s department who is willing to assume the role of dissertation advisor and committee chair. A co-chair arrangement is also possible. Doctoral candidates will work with a dissertation advisor to identify more specifically the dissertation topic and to identify from four to six additional committee members. Master’s students taking a thesis option will work with a thesis advisor and committee chair to decide upon the thesis topic and to identify two additional committee members. The doctoral candidate and dissertation advisor will complete an “Establishment of Dissertation Committee” form (Form 1), including signatures from all who agree to become committee members (see “Forms” section in this document). The form is submitted to the program director who obtains a signature from the department chair then submits the form to the graduate dean to be filed. Form 1 affirms the willingness of a group of people to work with the student in a general topic area; it does not bind the committee or student to a specific study, nor does it imply approval for the student to collect data. That approval, for studies involving human subjects, must await a successful proposal defense and IRB clearance. (See pages 3 and 22 for additional information on establishing a committee.)

**Writing the formal dissertation research proposal.** See the next section for a description of the components of a formal dissertation research proposal. (This formal step is usually not a requirement for writers of master’s theses, though it is always recommended that thesis writers seek feedback as they develop an informal research plan.) The dissertation proposal is generally written in several drafts, each revised in response to feedback from committee members. When the chair and the student agree that all committee suggestions have been incorporated or at least carefully considered, the chair polls the committee members. If members agree the proposal is ready for defense, the committee chair may schedule the defense; otherwise, pre-defense meetings may be scheduled as necessary to advise the student further. If the proposal is found to be acceptable during a defense, a “Dissertation Research Proposal Approval Form” (Form 2) is signed by all committee members. This form should be retained by the committee chair while
the proposal is then submitted by the student to the Institutional Review Board (IRB) for review. Both committee approval and IRB approval are required before work can proceed. A copy of the approved proposal and the approved IRB form must be attached to the original copy (with original signatures) of Form 2, which the doctoral program director then submits to the graduate dean’s office for review and filing. A copy of the approved dissertation proposal and a photocopy of the IRB’s approval should be given to the program director for the student’s file in the office of the doctoral program.

Conducting the research. Discussion of the research process itself is beyond the scope of this handbook, although the outlines of a typical dissertation research endeavor can be inferred, in part, from the description of “Components of the Research Proposal and Dissertation,” beginning on page 11. Thesis writers should read that section also and discuss with their advisor the similarities and differences between the dissertation and thesis research process. As was stated earlier, the dissertation committee chair is the doctoral candidate’s primary advisor during all phases of the research and writing process. It should be pointed out that data collection should not begin until the dissertation proposal is approved. The committee is under no obligation to sanction the use of data collected prior to approval of the proposal. Pilot data may be collected before the proposal is approved, but note that pilot studies involving human subjects must be reviewed by the IRB before data collection begins. Also, it cannot be overemphasized that the student is responsible for maintaining high standards of ethical behavior and integrity in conducting the research project.

Writing the dissertation. The next section provides a description of the components of the dissertation.

Scheduling a defense. (Note: Summaries of required activities leading up to and after the defense are presented in a chart format in Appendix J and in outline form in Appendix K in this document.) Once the doctoral candidate has completed the research process, has written a dissertation, and has had its final version reviewed and deemed ready for defense by the chair of the dissertation committee and the other committee members, the chair will request a dissertation defense. A doctoral candidate should not ask the chair to schedule a defense until the dissertation represents the candidate’s best effort to create a final document, incorporating all the content and stylistic requirements set forth in this handbook and those recommended by the candidate’s committee. The candidate should be defending a final document, not a draft. (This does not mean that revisions will not be requested at or after the defense. It simply means that every effort to create a final document should be made by the candidate prior to the defense.) No later than three weeks before the established defense date, the candidate should deliver one printed copy of the document to the graduate dean with an Authorization to Schedule Dissertation Defense form including signatures of all committee members (Form 3) and a filled-out Candidate Questionnaire Form (Form 4) attached. (While in the office of the graduate dean, candidates must pick up from the graduate student support specialist a University Microfilms Doctoral Dissertation Agreement Form and a Survey of Earned Doctorates form to be completed and submitted to the graduate dean or representative either at the time of the dissertation defense or no later than one week after the defense.) The graduate dean or a designee will also review the document. If technical requirements have been met, the graduate dean will permit the department to post announcements of the defense (Form 5), inviting the campus community to observe the
event. The graduate dean, using the information provided on the Candidate Questionnaire Form, will also post an announcement to the campus community on the Daily Digest. This must be done at least two weeks before the scheduled defense. The defense must occur no later than three weeks before Study Day during the intended semester of graduation.


Defense procedures. The chair of the dissertation committee leads the defense meeting, in which the candidate presents and defends the dissertation in the presence of the members of the dissertation committee, the graduate dean (or designee), and other individuals (observers) who choose to attend. The chair first introduces the principal members present, including the doctoral candidate. The candidate is then expected to provide an overview of the research, lasting no more than 45 minutes, which highlights significant aspects of the work. Committee members may ask questions at any time during the defense. At the discretion of the chair, observers may be invited to ask questions. After the overview, observers are excused, and further questions may be posed by the committee.

Only members of the dissertation committee and the graduate dean or the dean's designee may participate during the final deliberations on the candidate's performance. The doctoral candidate is excused for the final deliberations, then is brought back before the committee which shares its decision and comments.

If the committee decides that the defense was successful, multiple copies of a signature page (which will later be bound into copies of the dissertation) are signed by the members of the dissertation committee. By this time, the candidate should have determined how many copies of the dissertation will be bound and should have that number of signature pages, printed on acid-free paper (available from the graduate student support specialist), ready for signatures at the end of the defense. If there are fewer than five committee members, all must sign each signature page (see sample in Appendix A) before the defense can be considered successful. If there are five members or more, all members who are physically present must sign, but a maximum of one member who cannot be physically present at the defense does not need to sign. On the day of the defense, the committee chair will deliver the signed signature pages to the graduate student support specialist to file in the office of the graduate dean. At this time, the candidate must also give the dean or representative a completed University Microfilms Doctoral Dissertation Agreement Form and Survey of Earned Doctorates form.

Final submission of the dissertation. It is probable that further suggestions for revision will be made during the defense, so candidates must expect to continue the process of revising the final document even after the dissertation has been successfully defended. During its deliberations at the conclusion of the defense, the committee will establish a deadline for submission of the final document. It is strongly advised that, unless there is a compelling reason not to do so, candidates complete all revisions by one week after the defense. When the committee and chair have approved the final document, including any changes resulting from the defense, the candidate should deliver the final approved copy to the graduate student support specialist. The support specialist will notify the Accounting Department that a dissertation fee
must be added to the candidate’s account. This fee covers expenses for photocopying the dissertation on acid-free paper, binding the dissertation, and microfilming/copyright fees. Since the amount of the fee varies according to how many bound copies are made, candidates will be asked how many copies they wish to bind. The Graduate School requires that a minimum of five copies be bound and distributed as follows:

1) one copy for the student
2) one copy for the department,
3 & 4) two copies for the Gallaudet Library,
5) one copy for the Graduate School collection

At the candidate’s discretion, the number to be bound can exceed the minimum required number of five. Consult your department chair to see if more bound copies are desired within the department or for committee members. If cost is not a concern, candidates may bind as many copies as desired. If expense is a difficulty in binding more than the five required copies, cheaper binding approaches may be found at off-campus facilities for providing copies for committee members or others. Be sure to ascertain from your department chair whether or not such alternative binding approaches are acceptable within your department. The candidates will bear the expense of all binding.

If completing the dissertation is the final requirement for a candidate to be eligible to receive a Ph.D., the graduate student support specialist will notify the Registrar that the candidate has successfully completed all requirements for the degree. This notification will entitle the candidate to participate in graduation ceremonies. To actually receive the degree, the candidate must pay all pending fees, including the dissertation fee.

The graduate student support specialist in the office of the graduate dean will send the final copy to a printer to copy on acid-free paper and deliver to a bindery. Once all copies are bound, a courier will be dispatched to deliver the bound copies to the office of the graduate dean. The support specialist will notify the candidate that the dissertation is bound and will oversee the distribution of the copies.

*University Microfilms and Survey of Earned Doctorates.* The graduate student support specialist will send an unbound copy of the author’s dissertation with his or her University Microfilms Dissertation Agreement Form and a Gallaudet University check for microfilm and copyright services to ProQuest (owner of University Microfilms Incorporated) in Ann Arbor, Michigan. The document will be assigned an order number in case the author or anyone else wishes to order a hardbound, paperbound, or microfilm copy. The order number and other information will be sent to the dissertation author and to the graduate student support specialist for filing. The support specialist will mail the dissertation author’s Survey of Earned Doctorates Form to the National Opinion Research Council (NORC) in Chicago, Illinois.
Components of the Research Proposal and Dissertation

The dissertation document should follow in sequence the steps of the research process. In general, dissertations at Gallaudet should comply with the stylistic guidelines traditionally used for creating documents by members of the academic field of the department. For most departments at Gallaudet, that means abiding by the writing style described in the most recent edition of the *Publication Manual of the American Psychological Association*, henceforth referred to in this handbook as the APA Manual. Students in the doctoral program in Gallaudet’s Department of Linguistics should abide by the stylistic requirements set forth by the Linguistic Society of America in the *LSA Style Sheet*, published annually in the December issue of the *LSA Bulletin* and available online. In both of those documents, many of the style guides are “copy” style requirements, including features appropriate for journal article submissions but not for “final” style documents such as dissertations. For example, copy style typically suggests that figures and tables appear on separate pages at the end of the document with instructions to place the figure or table “about here” in the text. In a dissertation these elements should be incorporated by the student into the appropriate location in the document. Similarly, running heads, appropriate for journal copy, are inappropriate in dissertations. Please find examples of dissertations in your departmental collection or in the Gallaudet Library to see how page layout is typically handled in bound dissertations at Gallaudet. There may be individual situations in which, based on the content of the dissertation, the committee will recommend that a style guide other than APA or LSA be used. In these instances, the committee chair should consult with the graduate dean prior to recommending the alternative style guide.

It should be noted that the model described below and in the APA Manual is most appropriate for studies involving data collection and quantitative analysis designed to answer questions formulated prior to the data collection. In some cases, students may have reason to pursue models of research which lend themselves to a different organization of the dissertation document. For example, ethnographic or other qualitative designs which allow the emergence of new questions in response to incoming data may not be entirely accommodated by the format outlined below. Appendix M describes in outline an alternative structure for such studies. The specific format selected should fit the overall nature of the study. Students should discuss with their dissertation chair which model is most appropriate for the study they intend to pursue.

Parts of a Formal Research Proposal

After the dissertation committee chair approves the research concept, work on the formal research proposal can begin. This proposal, in which the author’s project is typically described in the future tense, includes information that will form the basis of the first three chapters of the dissertation. The proposal should be similar to the dissertation in style and format, except that the proposal is written in copy style as opposed to final style. (You should be able to find an explanation of this distinction in the APA Manual.) The dissertation and the proposal differ in that, for example, the proposal should be double-spaced throughout (final manuscripts can include occasional single-spacing, when appropriate) and underlines should be used instead of
italics. In the proposal, manuscript page headers will appear on the title page and all text pages, in accordance with APA copy style, but these will not appear in the final manuscript.

A description of methods to be used will of necessity employ future tense, because the work at this stage has not yet been done. Similarly, the purpose of the study should be explained in the present tense in the proposal and in the past tense at the study’s completion. In the final dissertation, much of this prose can be revised through appropriate tense changes to reflect that the work is now completed.

Appendix F of this document lists elements to be included in the dissertation and highlights those that should also appear in the proposal.

**Title.** The title of the proposal and, later, of the dissertation should be a succinct summary of the topic and generally should not exceed 15 words. Unnecessary words, such as “A Study of ...,” should always be avoided. The title should include key terms that readily identify the scope and nature of the study and should be typed using all capital letters. See Appendix B for a sample title page layout. A manuscript page header and a short title may appear in the proposal title page (following APA “copy” manuscript style) but not in the final dissertation.

**Abstract.** The abstract is a brief summary of the dissertation project’s area of investigation and expected course. It should reflect familiarity with current issues in the field and raise research questions or hypotheses suggested by findings in the current literature. In the abstract, the investigator should briefly describe proposed methods and expected conclusions.

**Table of contents.** Essentially, the table of contents for the proposal lists all of the elements of the proposal, with accompanying page numbers. These elements generally include the following items: title page, abstract, table of contents, statement of the problem, review of literature, methodology, appendices, and reference list. The table of contents should be double-spaced between entries; entries longer than one line should be single-spaced.

**Chapter I. Introduction, or Statement of the Problem**

The introduction presents (at greater length than in the abstract) the problem to be addressed by the dissertation research. The introduction should describe an unresolved issue in a field of investigation and explain the importance of conducting a study to help resolve that issue. Terms likely to be used throughout the proposal should be defined in this chapter.

**Chapter II. Review of the Literature and Research Questions.** A review of literature concerning the topic places the dissertation in the context of previous research. As stated in the APA Manual, a “scholarly review of earlier work provides an appropriate history and recognizes the priority of the work of others. Citation of and specific credit to relevant earlier works is part of the author’s scientific and scholarly responsibility.” The review should focus only on literature and conclusions directly pertinent to the subject and the problem addressed in the dissertation. Any pilot work done should be described in this chapter. This chapter should also

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2 Names of chapters and the exact contents are matters under the discretion of the candidate and the committee. The chapter names used in this outline are illustrative of a typical format.
present the specific hypotheses or research questions to be addressed by the dissertation study, clearly relating these to lines of investigation and conjecture detailed in current literature.

**Chapter III. Methodology.** The methodology section describes in detail how the study will be conducted. This chapter is typically divided into labeled subsections. Often a subsection describing participants or subjects is followed by subsections describing testing or other measurement procedures to be undertaken with the participants and a subsection describing how the resulting measurements will be analyzed to help resolve the problems stated in the introduction.

**References.** The reference list at the end of the proposal should include all works cited in the proposal; conversely, all items listed as references must have been cited in the text of the proposal. The APA Manual can provide guidance for accurately compiling a reference list.

**Appendices**³. Appendices of the proposal should include data-collection tools, such as IRB materials, consent forms, letters of introduction to subjects, questionnaires, survey forms, and the like. The appendices section should begin with its own cover page, followed by its own table of contents page. Each appendix may have its own cover page. The word “appendix” should appear in all capital letters.

**Parts of the Dissertation**

The following paragraphs present a broad outline of the dissertation content expectations set forth in the APA Manual. In many dissertations, some of the following headings may be used as the title of a separate section or chapter. For more detailed explanations of how to develop a doctoral dissertation document, see the APA Manual or any of the books listed in Appendix G.

In general, the dissertation proposal is used as the basis for the first chapters of the dissertation, with modifications and additions as appropriate. For example, the proposal’s literature review is likely to need updating. On the other hand, research questions and hypotheses should not be modified or “retrofitted” to match later findings. Care should be taken to ensure that the proper grammatical tenses are used in the final document. In the literature review, for example, discussions of reported research activities are generally described in the past tense (e.g., “When the same test was administered three months later, 7 of the 10 subjects received significantly higher scores...”), but authors’ general conclusions, as stated in research reports, are typically described in the present tense (e.g., “Smith and Jones conclude that the test is a reliable indicator of visual acuity and spatial perception...”). As was stated earlier, prose from the proposal that described in the future tense methods to be used in the research will need to be changed in the dissertation to past tense, as appropriate, when describing work that has been completed.

³Although the APA Manual uses the spelling “Appendixes” for the plural of Appendix, the preferred spelling for Gallaudet University dissertations is “Appendices.”
Title. The title of the dissertation, like the title of the proposal, should summarize the project, should not generally exceed 15 words, and should not include unnecessary words such as “A Study of....” It may be appropriate for the title to change from the proposal to the dissertation draft to account for major changes that occurred prior to the completion of the research or for other reasons suggested by the committee. A title change requires the consent of the committee. The title should include key terms that readily identify the scope and nature of the study; it should be typed in all capital letters. See Appendix A for a sample title page layout.

Signature page. On the signature page the following should appear, in order: the title of the dissertation, the author’s name, the words “Approved by,” and blank underlines, below which should appear the names of the dissertation committee members, followed by their degrees. Committee members (beginning with the chair) sign their names on these lines and indicate the dates of approval. For a sample signature page, see Appendix B.

At least six copies of the dissertation should have original signatures; these include one copy for the Graduate School, one copy for UMI, one copy for the department, and two copies for the Gallaudet University Library, and one copy for the author. Photocopied signatures are permissible for other copies.

Copyright. See Appendix C for a sample copyright page layout. The copyright page should follow the signature page in your document. The fee for copyrighting the dissertation is covered by the standard dissertation fee. To secure copyright, you must include this page in your dissertation, fill out a UMI Doctoral Dissertation Agreement Form authorizing UMI to file your claim for copyright, and pay your dissertation fee.

Acknowledgments. Acknowledgments give credit for external support received throughout the dissertation process and recognize generally the contributions of committee members and others who made important contributions. Acknowledgments also express gratitude for the use of copyrighted or otherwise restricted materials, as appropriate. A doctoral candidate may choose to dedicate the dissertation to a person or persons who have had significant impact on the author’s work. This dedication, when included, should be brief and is best placed at the end of the acknowledgments section or on a separate page preceding the acknowledgments.

Abstract. The abstract, which must not exceed 350 words (or 2450 characters) for the final dissertation, is a brief, comprehensive summary of the contents of the dissertation. Generally written after the dissertation is complete but building on the framework set forth in the proposal abstract, the dissertation abstract provides a summary of the dissertation’s research question, methods, results, and conclusions. The abstract should be readable, coherent, well-organized, concise, and self-contained because the abstract is often printed separately.

Table of contents. The table of contents should list in order of appearance all components of the dissertation, including all headings and subheadings, with the correct corresponding page numbers at the right margin, following a row of dots (a “dot leader”). Subheads should be indented below the inclusive heading above them to clarify how they fit into the organization of
the document. The table of contents should be double-spaced between entries; entries longer than one line should be single-spaced.

The page numbers for materials preceding Chapter I (Introduction) should be in lowercase roman numerals, while all subsequent materials should be listed with standard arabic numerals. See Appendix D for a sample table of contents.

**List of tables and list of illustrations.** Separate lists should be created for tables and illustrations that appear in the text of the document. Illustrations appropriate for use in dissertations include figures, maps, diagrams, photos, and plates. These lists should include the number and full name of each table or illustration, listed in order of appearance in the text, followed by the number of the page on which the table or illustration appears. Tables and illustrations are usually numbered sequentially in arabic numerals, the first digit representing the chapter, followed by a decimal and the table or illustration’s number within that chapter, e.g. 4.12 (the twelfth table or illustration in chapter 4). The list of tables and the list of illustrations should be double-spaced.

**Chapter I. Introduction, or Statement of the Problem.** As in the proposal, the dissertation introduction presents the problem addressed by the research. The subject of the dissertation is described in such a way that readers will know in a general way the current status of research conclusions on the topic, as well as some theoretical implications associated with the results of previous research on the subject. As in the proposal, the introduction should describe the nature and purpose of the study and explain the significance of and justification for conducting the study. Terms likely to be used throughout the dissertation should be defined in this chapter. As an option, a brief summary of the introduction may appear at the end of the chapter. Summaries may also optionally be used to conclude the subsequent chapters.

**Chapter II. Review of the Literature and Research Questions.** The review of the literature in the dissertation places the present study in the context of previous research. The review should be similar to the review of literature in the proposal but should reflect any change of focus or direction that resulted from the research process. Again, this chapter should present the hypothesis or research questions and the relationship of these to previous findings.

**Chapter III. Methodology.** The methodology section of the dissertation should build on the description of methods outlined in the proposal. Labeled subsections similar to those in the proposal should be included. These may include a section describing participants or subjects, a section describing testing or other measurement procedures undertaken with the participants, and a section discussing limitations of the methodology. (The descriptions of the analyses which appeared in the proposal are usually incorporated in the results section of the final dissertation.)

**Chapter IV. Results.** The results section summarizes the data collected and details the statistical treatment of that data. After a brief statement of the main results or findings of the study, the data are reported in sufficient detail to justify the conclusions. Tables and illustrations (e.g., figures et al.) may be used to report data when these methods are seen to present the data more clearly and economically. All tables and illustrations used should be mentioned in the text, with appropriate titles or captions and enough explanation to make them readily identifiable.
Chapter V. Discussion. In the discussion section, the results are summarized, evaluated, and interpreted with respect to the original research questions and hypotheses. In this section, the investigator is free to examine, interpret, and qualify the results, as well as to draw inferences from them. Theoretical and practical consequences of the results and the validity of conclusions may appropriately be discussed in this section. The limitations of the study and suggestions for future work may also be included.

References. The reference list at the end of the dissertation should list all works cited in the dissertation, and all items listed as references must have been cited in the dissertation text. Special attention should be given to ensure appropriate citations of less common sources, such as unpublished manuscripts. Again, the APA Manual can provide guidance for ensuring accuracy in these details.

Appendices. Materials that document important components of the dissertation research process that would be too lengthy, awkward, or distracting to include within the text should be included as appendices in the final document. These materials may include pertinent raw data, and—as in the proposal—IRB materials, consent forms, letters of introduction to subjects, questionnaires, survey forms, and the like. The appendix section should begin with its own cover page. Each appendix may have its own cover page. The word “APPENDIX” should appear in all capital letters.

Résumé. Résumés have traditionally appeared at the end of Gallaudet dissertations, but they are not required. Candidates choosing to present a résumé should include the author’s name, permanent address, date and place of birth (optional), post-secondary training and degrees, professional publications, and professional positions. The résumé should be selective rather than exhaustive and should be limited to one page. For résumé format requirements, see Appendix L.
Overall Style Requirements for Proposal and Final Document

Guidelines for overall style comply with University Microfilms Incorporated (UMI) dissertation publication requirements.

Margins. Each page of the dissertation document must be double-spaced, with a one-and-one-half inch margin on the left side and a one-inch margin on the top, bottom, and right sides. This applies to all pages of the document, including the abstract, title, illustrations, tables, appendices, and résumé pages. It is the doctoral candidate's responsibility to ensure that these standards are met in the original document and all photocopies. For a diagram of margin and page numbering requirements, see Appendix E.

Section levels and headings. The appropriate use of headings is vitally important for organizing the information presented in a dissertation. The APA Manual recommends a style guide for five levels of headings. It may be helpful to think of these levels as analogous to items in an outline. As with outlines, there should be more than one item beneath a heading to merit use of a distinct subordinate heading. Please note that the underlined headings shown may alternatively be italicized, depending on the author’s stylistic preference. Whether you use underlines or italics, be sure to be consistent throughout your dissertation. APA exhibits the following five-heading model:

- CENTERED UPPERCASE HEADING ← Level Five
- Centered Uppercase and Lowercase Heading ← Level One
- Centered, Underlined, Uppercase and Lowercase Heading ← Level Two
- Flush Left, Underlined, Uppercase and Lowercase Side Heading ← Level Three
- Indented, underlined, lowercase paragraph heading ending with a period ← Level Four

Because most dissertations require fewer than five levels, writers should refer to the section on selecting the levels of headings in the APA Manual. Level five headings should be used for chapter headings, which should always begin on a new page. The chapter number should be presented first, two double-spaces below the page number. The heading indicating the content of the chapter should be typed one double-space below the chapter number, e.g.:  

CHAPTER III

METHODOLOGY

Appendix headings should also use level five.
Page numbering. Running heads and shortened titles indicating the title, chapter, or author’s name, are acceptable for the proposal but not for the final dissertation document. For all pages with Roman numeral page numbering, the page number should be centered at the bottom of the page with a one-inch margin under the page number. For all pages with Arabic numeral page numbering, the page number should be in the upper right-hand corner of the page with a one-inch margin above and a one-inch margin to the right of the page number. In all cases, there should be a double space between the page number and the text of the page.

Numerals on pages in the body of the work should be Arabic and should appear within the corner defined by the upper and right margins of each page; numerals on the abstract, dedication, acknowledgment, table of contents, list of tables, list of illustrations (or figures), and appendix pages should be Roman and should appear in the center of the lower margin of each page. The title, copyright, and résumé pages should not be numbered. This applies to both the proposal and the dissertation.

Document appearance. The finished dissertation document must be standard 8.5” X 11” size and the lettering should be clear, dark, and legible. The overall effect of the layout should be aesthetically pleasing. Writers are strongly encouraged to use a computer with word processing capabilities to produce the dissertation document. To ensure that the document's appearance is acceptable, letter-quality printers such as laser or ink jet printers should be used. The document should be typed in a font with serifs (e.g. Times Roman, Courier, etc.) in a twelve-point size. Dot matrix print, erasures, dirty copies, strikeovers, or blurry type will not be accepted.

The same typeface should be used throughout the manuscript; however, the use of another typeface in figures or illustrations is acceptable. The APA Manual recommends that a sans serif font (e.g. Helvetica, Univers, etc.) be used in figures. If an alternative typeface is used in figures, it is important that usage remain consistent throughout the figures of the document. Photocopied materials in the appendices, such as informed consent forms or questionnaires, would ideally maintain the original typeface, but if another typeface was actually used, it may appear that way in the appendices.

The dissertation document should use left justification. Words should not be hyphenated at the end of lines. Lines should run naturally short or long but must not run into the margin area. The final document should be double-spaced, except for block quotes, tables, and references. Block quotes in the final document can be a smaller font than the rest of the document but no smaller than ten point. Italics should be used only as indicated by APA style standards.

Once the dissertation Committee chair indicates that the document is a final copy, the student must take that copy with all original acid free signature pages to the graduate student support specialist in the graduate dean’s office for processing. The dissertation processing fee is due at this time. Current fees are posted on the Student Financials web page under the Tuition and Fees section.

Graphics. Illustrations appropriate for use in dissertations include figures, maps, diagrams, photos, and plates, provided these can be effective in black-and-white copies.
Illustrations and tables should be included where mentioned within the text, not at the end of the text. They should be of comparable print quality to the manuscript. Graphics pages must be titled in the same font size and style as the rest of the manuscript, and numbered in Arabic numerals. Illustrations and tables should be listed after the table of contents. Graphics must not exceed the margin requirements outlined in this handbook for text pages. Note that this differs from APA style.

**Writing style.** The dissertation should be written in a simple and direct style that clearly delineates each stage of the study. It should accurately report the details of the research. Ambiguous or informal language should not be used. Language that may convey an impression of bias should also be avoided. Word choice should reflect the terminology currently used in the field of study. It is particularly important, for example, that dissertations written at Gallaudet reflect awareness of currently accepted deafness-related terminology. The term “hearing-impaired” as a descriptor for all individuals with hearing loss, for instance, has generally been replaced by the words “deaf and hard of hearing.” Of course, the term “hearing-impaired” when cited from earlier literature is completely acceptable and is generally understood to have been the favored term as recently as a few years ago. It is important to recognize that in some instances the term “deaf and hard of hearing” may not be appropriate if the study, in fact, focuses only on deaf individuals (by some generally accepted definition) or only on hard of hearing individuals. When writing about deaf people as a cultural group, many writers have deliberately adopted the convention of capitalizing the “d” in deaf as follows: “A visual orientation toward experience is a central component of Deaf culture.” Writers who adopt this convention in dissertations should identify their source and intended meaning in a footnote after the first usage. They should also take care not to capitalize “deaf” with thoughtless consistency thereafter, because there may be reasons elsewhere in a dissertation to comment on groups of deaf individuals selected for audiological, rather than cultural characteristics. The important thing to remember about such problems is to make sufficient inquiries to be certain that you are using the appropriate term.

A research proposal generally describes work that the scholar will complete in the future; a dissertation describes the finished project. The writing in the final document should reflect this shift from future tense to present or past, as dictated by the research.

**Editorial assistance.** A doctoral degree is conferred in recognition of a high level of scholarship, which includes an ability to write cogently about issues in the chosen field. Students with concerns about their writing abilities are advised to devote as much time as possible to studying many of the style manuals listed in Appendix G. Editorial assistance for a dissertation is permissible and encouraged, but only in matters of style, not content. If you or your advisor suspect that ongoing editorial assistance may be needed to complete the dissertation successfully, you may work with your Committee chair, or hire an editor whose work you trust.
Forms

The following forms, which must be filed or used at the appropriate time as a doctoral candidate progresses toward the degree, are intended for doctoral candidates only. (Master’s students are advised to consult their program chair regarding any paperwork required within their department.) It is recommended that doctoral candidates photocopy or otherwise duplicate these forms, obtain or provide the required signatures and information, then submit or use the forms as directed. Be sure to take note of deadlines specified for forms 3 and 4 on the pages preceding those forms.
FORM 1

ESTABLISHMENT OF DISSERTATION COMMITTEE

After the candidate has selected a topic area and found an appropriate faculty member to be the dissertation advisor and chair of a committee, the student and advisor together refine the topic and select from 4 to 6 additional committee members deemed suitable for providing advice to the candidate. As faculty (on-campus or off-campus) agree to become committee members, the student and/or advisor should use Form 1 to obtain signatures from these individuals. Off-campus signatures may be faxed on separate copies of the form if necessary. Signatures for chair and members are assumed to reflect confirmation of willingness to serve on the doctoral committee. Since all off-campus committee members must be approved for Graduate Faculty Status, a Recommendation for Graduate Faculty Status Form (available through the graduate dean’s office) must be attached along with a vita for each off-campus committee member. Once committee signatures have been gathered by the student and advisor, the advisor should give all the above-described materials to the department chair. The department chair must then send the form and accompanying materials to the graduate dean to review, approve, and keep on file. In cases in which committee members choose to withdraw from a committee, the graduate dean must be notified. Form 1 should also be used to notify and verify that a replacement has been found. The department chair should send original copies of Form 1 to the graduate dean but should keep copies on file. Signatures on Forms 1, 2, and 3 should be originals, but in certain cases, if a committee member is out of the area, a form may be faxed to the committee member for signature and faxed back to the student who will submit to the Dean for approval. The signature page must be printed on acid free paper and committee member signatures must be original.
FORM 1*

ESTABLISHMENT OF DISSERTATION COMMITTEE

MEMORANDUM

Date: ________

To: ____________________________________________________________ (GSPP Dean)

From:______________________________________________________ (Department Chair)

Re: Establishment of dissertation committee

FOR:

    Printed name of doctoral candidate    Signature    Date

CHAIR: _____________________________________________________________________

    Printed name    Signature              Date

CO-CHAIR: ________________________________________________________________  

    (if applicable) Printed name    Signature    Date

MEMBER: ________________________________________________________________

    Printed name     Signature    Date

MEMBER: ________________________________________________________________

    Printed name    Signature    Date

MEMBER: ________________________________________________________________

    Printed name     Signature    Date

MEMBER: ________________________________________________________________

    Printed name     Signature    Date

MEMBER: ________________________________________________________________

    Printed name     Signature    Date

Dissertation Topic:_____________________________________________________________

Approved:_________________________________________________________         ______

    Printed name and Signature of Doctoral Program Coordinator  Date

Approved:_________________________________________________________         ______

    Printed name and Signature of Department Chair   Date

Reviewed and approved: _________________________________________________ ____________

    (GSPP Dean)        (Date)

*Off-campus faculty must be approved for adjunct or Graduate Faculty Status. Be sure to attach vita for each off-campus committee member. Signatures for chair and members confirm willingness to serve on the doctoral committee
This form must be completed at the conclusion of a successful defense of a dissertation research proposal. Prior to the defense, the names of all committee members should be printed on the form. If the defense is successful, the form should be signed by all committee members. The form should then be photocopied. The original form (with original signatures) plus a copy of the entire proposal should be submitted to the graduate dean for review and filing, along with a copy of the proposal and an IRB approval letter. (Please note that IRB approval is required before the form is submitted to the office of the graduate dean and before the dissertation research project can begin.) The photocopied form should be submitted to the doctoral program chair along with a copy of the proposal for review and filing.
FORM 2
DISSERTATION RESEARCH PROPOSAL APPROVAL FORM

MEMORANDUM
Date: ____________

To: _______________________________________________(Department Doctoral Program Chair)
AND ______________________________________________(GSPP Dean)

From: __________________________________________________ (Dissertation Committee Chair)

Re: Dissertation research proposal approval form

Student Name ______________________________________________________________________
Research Topic_____________________________________________________________________
(Attach a copy of the entire proposal)

Chair:_____________________________  Member:___________________________  Member:____________________________
Member:___________________________  Member:____________________________
Member:___________________________  Member:____________________________
Member:___________________________  Member:____________________________
Member:___________________________  Member:____________________________
Member:___________________________  Member:____________________________

The attached research proposal is approved as a dissertation research project for the ________________
[Program] at Gallaudet University. The approved completion deadline for this project is _________________.

(All requirements for the Ph.D. must be completed within a specific time-frame specified by the student’s program after advancing to candidacy. Any extension beyond this deadline must be approved by the dissertation committee and the program faculty.)

Approved:
(Committee Chair’s Signature) (Date)
(Member’s Signature) (Date)
(Member’s Signature) (Date)
(Member’s Signature) (Date)
(Member’s Signature) (Date)
(Member’s Signature) (Date)
(Member’s Signature) (Date)
(Member’s Signature) (Date)

Date of IRB approval (please attach copy):
(Do not send Form 2 to the graduate dean until IRB approval can be verified.)
Form 3
AUTHORIZATION TO SCHEDULE DISSERTATION DEFENSE

Form 3 must be signed by all committee members and delivered to the graduate dean at least 21 days prior to the defense date. Form 4 should also be filled out and attached to Form 3 when it is submitted. One copy of the latest draft of the dissertation should be delivered to the graduate dean. Also, the graduate dean should be given Form 5 “Announcement of Formal Defense of Dissertation” form at the same time or shortly thereafter. The signatures on Form 3 indicate that all committee members have reviewed the current draft and agree that it is ready for defense. If there are any conditions which must be met by the candidate for the defense to proceed, they can be specified below the signatures.
FORM 3*
AUTHORIZATION TO SCHEDULE DISSERTATION DEFENSE

MEMORANDUM
Date: __________________
To: ____________________________________________________________ (GSPP Dean)
From: ____________________________________________________ (Doctoral Candidate)
Re: Authorization to schedule dissertation defense

The following dissertation is approved for scheduling of the defense:
Student:___________________________________________________________________

Dissertation Title:___________________________________________________________
_________________________________________________________________________
_________________________________________________________________________

Doctoral Dissertation Committee Approval:
(Note: The signatures below indicate that each committee member has reviewed the
current draft and concurs that it is ready for defense.)

Chair (Printed name) (Signature) (Date)
Member (Printed name) (Signature) (Date)
Member (Printed name) (Signature) (Date)
Member (Printed name) (Signature) (Date)
Member (Printed name) (Signature) (Date)
Member (Printed name) (Signature) (Date)

Conditions/changes required for proceeding to defense (specify with deadlines):
_________________________________________________________________________
_________________________________________________________________________
_________________________________________________________________________

*Attach Form 4 (Candidate Questionnaire Form) and one copy of the final defensible dissertation for the
graduate dean’s review.

Reviewed and approved:
Department Chair (Date)

Reviewed and approved:
GSPP Dean (Date)
FORM 4

CANDIDATE QUESTIONNAIRE FORM

Form 4 should be attached to Form 3 and submitted to the graduate dean when scheduling a defense. The purpose of this form is to provide information that can be used in a formal announcement of the candidate’s defense. If you need more space than appears on the form, you may use a photocopy of this form and write additional information on the back.
FORM 4
CANDIDATE QUESTIONNAIRE FORM

MEMORANDUM
Date: __________

To: ________________________________ (GSPP Dean)

From: ________________________________ (Doctoral Candidate)

Re: Candidate Questionnaire Form

(for the Graduate Dean’s announcement of your defense)

____________________________________________________________________________________

1. Your full name: ________________________________

2. Name of department awarding Ph.D.: ________________________________

3. Full title of dissertation: ________________________________
   __________________________________________________________________________________
   __________________________________________________________________________________

4. Date, hour, and exact location of defense: ________________________________

5. Summarize in this space the purpose of your study and give some idea of the nature and significance of your findings.

____________________________________________________________________________________

6. List names and departmental or university affiliations of your committee, indicating who chaired the committee.

____________________________________________________________________________________

7. Write a paragraph-length academic/professional autobiography, concentrating on your graduate work. Include such details as when you entered your Ph.D. program, relevant work experience, grant awards, etc.
FORM 5

ANNOUNCEMENT OF FORMAL DEFENSE OF DISSERTATION

Form 5, the “Announcement of Formal Defense of Dissertation,” must be presented to the graduate dean either at the same time or very shortly after Forms 3 and 4 and a copy of the defensible dissertation are provided. The Dean’s signature on Form 5 Announcement of Formal Defense of Dissertation, allows the department to post announcements of the defense. In addition, after the graduate dean signs Form 3, Authorization to Schedule Dissertation Defense, a formal announcement of the student’s defense will be posted to Daily Digest on at least three dates. Information from Form 4, Candidate Questionnaire will be used to prepare the announcement.
FORM 5

ANNOUNCEMENT OF FORMAL DEFENSE OF DISSERTATION

[Name of department and program here]

Announces the Formal Defense of a Dissertation

By: [Name of Candidate]

Title of Dissertation:

_______________________________________________________________________
_______________________________________________________________________

Date and Time:___________________________________________________________

Location:_______________________________________________________________

The above-named doctoral candidate is qualified to defend the dissertation, having completed the requirements of the [name of program] up to and including completion of the dissertation. The degree of Doctor of Philosophy is awarded when all program requirements are completed. The written dissertation has been approved by the student’s committee for defense.

Signatures:

Candidate for degree:

Printed name     Signature     (Date)

Committee Chair:

Printed name     Signature     (Date)

Program Director:

Printed name     Signature     (Date)

Department Chair:

Printed name     Signature     (Date)

Dean, GSPP:

Printed name     Signature     (Date)
APPENDICES
APPENDIX A

Sample Title Pages for Dissertations and Master’s Theses

[All text on title pages should be centered, taking into consideration the margin specifications of all pages.]
THE TITLE OF THE DISSERTATION:
A SENTENCE-LONG SUMMARY OF THE TOPIC

CANDIDATE’S FULL NAME

A DISSERTATION

Submitted to the Department of [ ]
and the Graduate School of Gallaudet University
in partial fulfillment
of the requirements for the degree of
Doctor of Philosophy

[Date of Defense by Month, Year]
THE TITLE OF THE THESIS:
A SENTENCE-LONG SUMMARY OF THE TOPIC

CANDIDATE’S FULL NAME

A THESIS
Submitted to the Department of [ ]
and the Graduate School of Gallaudet University
in partial fulfillment
of the requirements for the degree of
[Master of Science or Master of Arts]

[Date of Defense by Month, Year]

Copyright © 2007 [Full Name Here]
All rights reserved
APPENDIX B

Sample Signature Pages
This is to certify that the dissertation entitled:

THE TITLE OF THE DISSERTATION:
A SENTENCE-LONG SUMMARY OF THE TOPIC

prepared by

Candidate’s Full Name

is approved in partial fulfillment of the requirements for the degree of
Doctor of Philosophy in [name of field].

Approved by:

Chair:

______________________________________________________________________________
[Name, doctoral degree]         date

______________________________________________________________________________
[Name, doctoral degree]         date

______________________________________________________________________________
[Name, doctoral degree]          date

______________________________________________________________________________
[Name, doctoral degree]         date

______________________________________________________________________________
[Name, doctoral degree]         date

______________________________________________________________________________
[Name, doctoral degree]         date

Department of [ ]
Gallaudet University
[Date of Defense by Month, Year]
This is to certify that the thesis entitled:

THE TITLE OF THE THESIS:
A SENTENCE-LONG SUMMARY OF THE TOPIC

prepared by

Candidate’s Full Name

is approved in partial fulfillment of the requirements for the degree of
[Master of Science or Master of Arts] in [name of field].

Approved by:

Chair:

______________________________________________________________________________
[Name, degree]           date

______________________________________________________________________________
[Name, degree]           date

______________________________________________________________________________
[Name, degree]            date

______________________________________________________________________________
[Name, degree]           date

______________________________________________________________________________
[Name, degree]           date

Department of [ ]
Gallaudet University
[Date of Defense by Month, Year]
APPENDIX C

Sample Copyright Page
for Dissertations
APPENDIX D

Sample Table of Contents

This sample is intended to demonstrate layout of the table of contents, not to be a guide to the actual headings that you will use. The actual headings will be determined by the sequence of information that best matches the development of the specific research project you are describing. Note particularly the way different levels of heading are indicated by different indentations and how the right margin is “flush right” with dot leaders between headings and page numbers.
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### Sample Page Layout

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<th>Top Margin 1&quot;</th>
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Page Number (If bottom center) ↑
APPENDIX F

Dissertation Organization

Pages of the dissertation should be organized as follows:

* Title page
* Signature page
* Copyright page
* Acknowledgments
* Abstract
* Table of Contents
* List of Tables (if any)
* List of Figures (if any)
* Chapter I: Statement of the Problem
* Chapter II: Review of the Literature
* Chapter III: Methodology

Chapter IV: Findings (or Results)

Chapter V: Conclusions (or Discussion)

* Reference List (for proposal, Selected Bibliography)

Appendices

Endnotes (if used)

Résumé (if used)

*Items marked with an asterisk (*) should be included in the proposal as well as in the final dissertation.
APPENDIX G

Reference Books to Assist Dissertation Authors


APPENDIX H

An Alternative Dissertation Research Model

The following outline, by Donna M. Mertens, a faculty member in Gallaudet’s Department of Educational Foundations and Research, suggests a model appropriate for a dissertation proposal in a qualitative study. Students who believe that their research interests might best be realized within such a framework should read *Research Methods in Special Education* (Mertens & McLaughlin, 2004), particularly Chapter Four, “Qualitative Methods.” These students should also consult the *Handbook of Qualitative Research* (Denzin & Lincoln, 2000), *Writing the Qualitative Dissertation: Understanding by Doing* (Meloy, J.M., 2001), and *Research Methods in Education and Psychology: Integrating Diversity* (Mertens, 1998).

Proposal Considerations for a Qualitative Study

Chapter I: Problem Statement

A. *Area of Study*: This section provides a general introduction to the area of study. It briefly outlines the problem to be investigated, the purpose of the study, and the significance of the problem and the justification for investigating it. The doctoral candidate should recognize the evolving nature of the problem statement and acknowledge that this is just a beginning point for the study.

B. *Definition of Terms*: Initial definitions for important terms and concepts should be included, while recognizing that these will change as the study proceeds.

C. *Paradigm and Assumptions*: The doctoral student should discuss the choice of the paradigm for the proposed study and explain the philosophical assumptions that make that paradigm choice appropriate.

Chapter II. Literature Review

A. *Historical and Current Studies*: The student should demonstrate a comprehensive knowledge of previous studies in the area of study. It is the inability of current theory and knowledge to explain the occurrence of certain phenomena that provides a premise for this type of hypothesis-generating research.

B. *Research Problem*: The student must provide a comprehensive review of the theoretical and empirical research in the area of study as it is outlined in the proposal, while still acknowledging that the study may uncover other areas of literature that will need to be explored as the study progresses.

Chapter III. Methodology

A. *Research Questions*: The student should present the initial questions and objectives that will focus the study. A constructivist study must focus on a specific phenomenon (e.g., rules for classroom interaction) that emanates from the inadequacies of current theory and research. The precise nature of the questions to be researched evolves in the process of collecting and analyzing data. The initial questions may be vague, but the statement of the questions are important, because they frame the procedures for collecting and analyzing data. The questions should follow from the theoretical and research background, and should guide the design of the study.

B. *Research Design*: Many different design options are available to a student who works in the emergent, qualitative tradition. The student should describe the design that will be used, such as ethnography or phenomenology. This will communicate with the reader whether the
emphasis will be on cultural issues or individual, subjective experiences. The student should present a rationale for the design of choice in terms of the research problems identified.

C. Sample: The student should discuss the criteria for the selection of participants and the setting of the study. Constructivist studies typically occur in natural settings and all individuals in the settings are considered to be participants. The student should describe the method that will be used to identify those participants who will serve as a sub-sample to provide in-depth information. Research involving human subjects, no matter where those subjects are located (on or off campus), must be reviewed by the Institutional Review Board (IRB) for Human Subjects at Gallaudet. This is necessary prior to conducting any research. (Even research which will ultimately be ruled “exempt” from IRB approval, must be reviewed by the IRB.)

D. Measures/Instruments: The researcher is the data collection instrument in collecting much of the data gathered in constructivist research. Therefore, the researchers must describe themselves in terms of closeness to the topic, values, etc.

E. Data Collection Procedures: The student should describe clearly the design for data collection and the procedures that will be used. The student should describe the nature and degree of personal participation he or she anticipates. Supplemental methods of data collection such as videotapes, audiotapes, diary notes, or journal entries should be described. The time period for data collection should be identified. The student should acknowledge that data collection and analysis overlap in a constructivist study and should reflect on possible changes in the type of data or the focus, time, or strategies used. The student should address the constructivist parallels to reliability and validity in measurement described in the literature, including credibility, transferability, dependability, and confirmability, and the methodological strategies that will be used to ensure that high quality data are collected.

F. Pilot Study: Pilot studies are often necessary in constructivist studies to help provide a framework and research questions. The student should describe the pilot study procedures and results, as well as insights from the pilot study that will impact on the dissertation research itself.

G. Data Analysis: Data analysis strategies should be described. If triangulation is planned [triangulation, in essence, refers to bringing multiple perspectives or approaches to bear on a problem], the student should explain the multiple sources of data and the conditions under which corroboration of evidence will be sought.

H. Limitations of the Method: Anticipated limitations of the study should be explained. For example, limitations may arise because of the nature of the available sample or instruments. The student should explore the limitations and any strategies that will be used to minimize their impact. Implications for conducting and generalizing the study should be discussed.

I. Timelines: The student should include a proposed timeline which clearly depicts the approximate time each research activity will be completed (e.g. original respondents identified, pilot study conducted, etc.).
APPENDIX I

Doctoral Candidate Checklist

*The following checklist specifies dissertation requirements, in chronological order:*

<table>
<thead>
<tr>
<th>Item</th>
<th>Date Completed</th>
</tr>
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<tbody>
<tr>
<td>Selection of advisor</td>
<td></td>
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<tr>
<td>Submission of research concept paper</td>
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</tr>
<tr>
<td>Tentative approval of topic</td>
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<tr>
<td>Formation of committee</td>
<td></td>
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<tr>
<td>Submit Form 1 to graduate dean</td>
<td></td>
</tr>
<tr>
<td>Approval of members</td>
<td></td>
</tr>
<tr>
<td>Committee approval of concept</td>
<td></td>
</tr>
<tr>
<td>Proposal draft to committee</td>
<td></td>
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<tr>
<td>Individual meetings with committee</td>
<td></td>
</tr>
<tr>
<td>Revisions of proposal draft</td>
<td></td>
</tr>
<tr>
<td>Proposal committee meeting</td>
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<tr>
<td>Defense of proposal</td>
<td></td>
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<tr>
<td>Committee approval (signatures on Form 2) of proposal defense</td>
<td></td>
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<tr>
<td>Institutional Review Board approval (3-4 weeks)</td>
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<tr>
<td>Submit Form 2, IRB approval letter, and approved proposal to the Assistant Dean</td>
<td></td>
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<tr>
<td>File photocopies of Form 2, IRB approval, and proposal with program chair</td>
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<tr>
<td>Begin dissertation study</td>
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<tr>
<td>Design adjustments (written committee approval only)</td>
<td></td>
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<tr>
<td>Completion of study</td>
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<tr>
<td>Initial draft of dissertation</td>
<td></td>
</tr>
<tr>
<td>File application for degree with Registrar's Office (if graduation is deferred for any reason, a new graduation application must be filed with the Registrar's Office). A copy of the graduation application should be given to the advisor</td>
<td></td>
</tr>
<tr>
<td>Confirm style and format with dissertation committee chair</td>
<td></td>
</tr>
<tr>
<td>Corrected first draft to advisor</td>
<td></td>
</tr>
<tr>
<td>Corrected first draft to committee</td>
<td></td>
</tr>
</tbody>
</table>
Individual meetings with readers/committee
Initial draft revisions (based on committee's guidance)
Advisor approval of changes
Scheduling of dissertation defense (no later than 3 weeks before Study Day)
Deliver 1 printed copy of the dissertation to the graduate dean—with
Forms 3 & 4 attached—no later than 3 weeks prior to the defense
Candidate’s department posts announcements of defense (Form 5)
Graduate dean posts announcement of defense to campus community at least
two weeks prior to defense
Print adequate number of signature pages on acid free paper (obtained from
graduate student support specialist
Defend dissertation
If defense is successful, obtain signatures of committee
Committee chair delivers signed signature pages to graduate student support
specialist
Make changes required by committee at defense
Committee chair or student delivers final dissertation document and all
original signed signature pages on acid free paper to graduate student
support specialist
Obtain Survey of Earned Doctorate and University Microfilm International
application form (fill out survey and form)
Pay dissertation fee
Turn in Survey of Earned Doctorate and
University Microfilm International form
Final submission of one camera-ready printed copy (or CD with PDF file)
of dissertation to graduate student support specialist
APPENDIX J - Procedures for Dissertation Processing in Chart Format

Graduate Student (Three weeks before the intended defense date)

- Student submits to Dean's Office:
  - Signed copy of Authorization to Schedule Dissertation Defense Form
  - One copy of final, ready-to-defend dissertation
  - Paper indicating three suggested dates for dissertation defense

- Student picks up from Dean's Office:
  - At least ten sheets of acid-free paper for signature pages

- One copy of dissertation delivered to Graduate School Dean for review

Graduate School

Graduate Student (At the time of the dissertation defense)

- Student brings ten copies of prepared signature pages to be signed by members of the committee

- Student defends dissertation

- Yes
  - On day of defense, committee signs ten copies of signature pages and chair delivers signed papers to Graduate School Office

- No
  - Student confers with Dissertation Committee Chair to determine next steps

- Dissertation successfully defended?

- Original copy returned by printer to graduate student support specialist

- Graduate student support specialist prepares a check request to go to ProQuest for total shipment of dissertations and picks up the check from the Cashier's Office asap

- Graduate student support specialist sends to University Microfilms a bundle of all assembled dissertations and includes:
  1. original copy of each dissertation
  2. signature page for each dissertation
  3. completed University Microfilms Doctoral Dissertation Agreement Form
  4. Abstract of each dissertation for use in Dissertation Abstracts
  5. Letter listing all degree recipients
  6. Check to cover processing of all dissertations encased

- Graduate student support specialist will:
  1. Notify Student Accounts that dissertation fee should be applied to student’s account
  2. Notify Registrar that the candidate has fulfilled all requirements for the Ph.D.

- Graduate student support specialist will distribute copies at least 1 to depts, 1 to candidate, and 1 to Dean’s Office bookshelf

- When requested, graduate student support specialist responds to requests from NORC for filled-out Surveys of
  - Earned Doctorates

---

Student completes requirements

Has student fulfilled all degree requirements?

- No
  - Student takes to graduate student support specialist:
    1. final dissertation
    2. personal check for Dissertation Fee
    3. fill out University Microfilms Doctoral Dissertation Agreement Form
    4. fill out Survey of Earned Doctorates Form

- Yes
APPENDIX K

An Outline of Procedures for Completing Your Dissertation

- Calculate when you must have a completed, defensible dissertation to graduate in either May, August, or December. The defense must occur no later than three weeks before Study Day during the intended semester of graduation. (Refer to a current Gallaudet University academic calendar.) As early as possible in the semester in which you hope to graduate, determine at least three possible dates when you and your committee could meet for the defense. Your dissertation must be written in a final pre-defense form and deemed ready to defend by all committee members at latest three weeks before the intended defense date.

1. No later than three weeks before the intended defense date, you should submit the following to the Assistant Dean in the graduate dean’s office:
   - One copy of the Authorization to Schedule Dissertation Defense Form (Form 3) with ALL committee signatures on it, indicating that committee members have read the dissertation and consider it ready to defend.
   - Copy of the final, ready-to-defend dissertation for the Graduate Dean’s Review
   - A note indicating the date or possible dates for the dissertation defense. Ideally, more than one date will be suggested to increase the likelihood that the dean or a designee can attend.
   - One copy of the Candidate Questionnaire Form (Form 4), providing information that can be used by the dean or a designee to create an announcement of your defense to faculty, students, and staff on the Public Relation Office’s Daily Digest.

2. By the time of the defense, you should have prepared ten signature pages on acid free white paper to be signed by members of the committee. If the committee agrees that you have successfully defended the dissertation, they will sign the pages. On the same day as the defense, the committee chair will deliver the signature pages to the graduate student support specialist. Blank copies of acid free paper can be picked up at the office of the graduate student support specialist in 201a Fowler Hall.

3. After the defense, you will first make all corrections requested by the committee during the defense. Once these changes are made, the committee chair will review the document to make sure all requested changes have been made.

4. Within one week after your defense, you must take the final dissertation to the graduate student support specialist with the following items:
   - A check for the Dissertation Fee, which consists of payment for 5 bound copies and any additional copies requested, plus microfilming and copyright charges. Warning: The Registrar will not issue a Ph.D. degree until this fee is paid! (Leave the amount blank until you discuss the exact fee, depending on how many copies you wish to bind.)
   - At this time, you will be asked to complete the University Microfilms Doctoral Dissertation Agreement Form and the Survey of Earned Doctorates Form.
The graduate student support specialist will notify Student Accounts that a dissertation fee, of the determined amount, should be applied to your account. If you have no more degree requirements pending, the support specialist will also notify the Registrar that you have fulfilled all requirements for the Ph.D.

5. The graduate student support specialist will deliver the dissertation and signature pages to Reprographic Services in Dennison House, requesting that a printer make X number of copies on acid-free paper, insert the signature pages behind the title pages, shrink-wrap, and deliver to the bindery. When the bindery notifies the graduate student support specialist that bound copies are ready, a courier will be dispatched to deliver the bound volumes to the graduate dean’s office. Copies will be distributed by the dean’s office to the department (1), library (2), you, the author of the dissertation (1, unless more were requested for personal use or distribution), and the graduate dean’s collection (1). The graduate student support specialist can discuss with you what to do with copies intended for committee members.

6. The original copy used for making copies will be returned by the printer directly to the graduate student support specialist. One original signature page can be put into this original copy to send with your filled-out agreement form to University Microfilms, along with other dissertations in bundles sometime after each graduation date: May, August, or December. Once copies have been assembled for delivery to University Microfilms, the graduate student support specialist will mail them to ProQuest (which owns University Microfilms) for the total shipment of dissertations. **ProQuest accepts only university checks, not student checks. Each dissertation should include the abstract (provided by the author) on separate sheets for use in Dissertation Abstracts International (DAI). This version of the abstract must not exceed 350 words. (If the abstract as it appears in the dissertation is longer than 350 words, you must provide a shorter version for DAI or UMI will edit it.** All of these materials will be boxed and mailed with a letter listing all the degree recipients and the check to UMI Dissertation Publishing, ProQuest Information and Learning in Ann Arbor, Michigan. Dissertation fees are partly intended to cover this expense.

7. The graduate student support specialist will respond to requests from the National Opinion Research Council (NORC) in Chicago for filled-out Surveys of Earned Doctorates. Forms and envelopes for mailing them will be directed by NORC to the graduate student support specialist.
APPENDIX L

Sample Résumé Format

NAME OF AUTHOR:  Candidate’s Name

PERMANENT ADDRESS: Street Address, City, State, Zip Code

PLACE OF BIRTH (optional):  City, State

DATE OF BIRTH (optional):  Date

UNDERGRADUATE AND GRADUATE SCHOOLS ATTENDED:
   Name of College
   Name of College

DEGREES AWARDED:
   Name of Degree, Name of College
   Name of Degree, Name of College

PROFESSIONAL PUBLICATIONS:
   List in appropriate professional style

PROFESSIONAL EXPERIENCE:
   Position, Organization, Inclusive Dates
   Position, Organization, Inclusive Dates
Gallaudet University is an equal opportunity employer/educational institution and does not discriminate on the basis of race, color, sex, national origin, religion, age, hearing status, disability, covered veteran status, marital status, personal appearance, sexual orientation, family responsibilities, matriculation, political affiliation, source of income, place of business or residence, pregnancy, childbirth, or any other unlawful bias.