



Dissertation Guidelines

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TROY UNIVERSITY

Graduate School Publication

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This manual is consistent with Troy University's Graduate Guidelines. All style manuals such as this lean heavily on existing style manuals. In the development of this style manual, those prepared by Michigan State University and Alabama Agricultural and Mechanical University were especially helpful.

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CHAPTER 1: INTRODUCTION

The completion of a doctoral dissertation is the culmination of graduate training at Troy University. It allows candidates for a doctoral degree the opportunity to pursue original research designed and prepared by the doctoral student under the supervision of a committee composed of qualified graduate faculty members. As a result, the dissertation can be a significant component of the graduate study experience for the student and the University community.

Doctoral students, with approval of their major advisor, enter the dissertation process after the completion of the doctoral the comprehensive examination. By entering this process, the doctoral student is committing to a year or more of dissertation work. It is important to note that dissertation development, research, writing, and completion are driven by student initiative. While substantial resources are available to the dissertation student, the responsibility for the successful completion of the dissertation rests with him or her. The faculty will play a substantial role in the direction of the project. Nonetheless, the student must take charge of seeing that a quality dissertation is presented for consideration in a timely manner, not to exceed 8 years, and is in compliance with the specific requirements in the *Troy University Dissertation Guidelines* (hereafter referred to as *Dissertation Guidelines*).

The dissertation is an important University document, both academically and for students personally, as it is **considered a genesis for future professional publications**. It will become a lasting legacy of their doctoral experience. For this reason, the dissertation student must exercise utmost care in the preparation of the final dissertation for submission. In turn, the University is committed to processing the document for publication, binding, and library archiving.

The *Dissertation Guidelines* has been prepared to support the work of the doctoral student who is required to present a formal written document as partial fulfillment of the requirements for the graduate doctoral degree at Troy University. It is the official manual of Troy University related to the dissertation format, approval processes, and time requirements. In order to make certain that dissertations from Troy University display the significance that is placed on them, the doctoral student writing the dissertation is required to follow the strict formatting and submission guidelines contained in these *Guidelines*.

These *Dissertation Guidelines* set forth the dissertation requirements established by The Graduate School of Troy University. The *Dissertation Guidelines* are designed to produce

documents that are uniform in style, but also allow some flexibility for the particular requirements of various disciplines. Individual departments, schools and colleges may impose additional requirements or may specify requirements in greater detail. It is incumbent on the student to learn what, if any, special departmental/school/college requirements may apply. The dissertation should be prepared in accordance with the instructions of these *Dissertation Guidelines* and the requirements of the specific graduate program.

Any proposed deviation from these *Dissertation Guidelines* must be referred to the Dean of the Graduate School for approval before the Dissertation is completed in final form. The rules in this *Dissertation Guidelines* take precedence over previous publications issued prior to April 1, 2016. Please consult the Troy University webpage <http://trojan.troy.edu/graduateschool/assets/documents/Dissertationguidelines.pdf> for changes that may have occurred since this publication.

The research that the doctoral student has done, short of final preparations of the dissertation, is outside the province of the *Dissertation Guidelines* (see Appendix A & E). The assumption is made that the research is complete, a comprehensive outline of the main text has been prepared, and the final draft has been examined and approved by the Dissertation Chair and Dissertation Committee, and the time for word processing the final form is at hand. The *Dissertation Guidelines* also assumes that the student has good command of the English language. Questions regarding the format of the dissertation that are not adequately answered in the *Dissertation Guidelines* may be directed to the Dean of the Graduate School.

The Dissertation and the Doctoral Student

Role of the Dissertation Student

The dissertation process is driven by the student. The dissertation student should work closely with the Dissertation Chair throughout the duration of the project. The Dissertation Chair is considered the primary major advisor. The student should consult with the Dissertation Chair concerning departmental dissertation requirements and procedures beyond the scope of these *Dissertation Guidelines*. **In summary, although the Dissertation Chair may provide significant assistance, the completion of the dissertation is entirely dependent upon the efforts of the doctoral student.**

Dissertation Proposal

The members of the Dissertation Committee should be appointed as soon as possible after the student has begun doctoral work, and in general, no later than the end of 18 credit hours into the program (see Appendix B). The proposal is a document that formally presents the student's written description of the projected doctoral dissertation. The Dissertation Committee is responsible for reviewing the proposal to determine the feasibility of the project. The proposal shall be submitted to, and approved by, the Dissertation Committee as soon as possible after the student has successfully passed the comprehensive examination but no more than three terms thereafter.

Unless extraordinary circumstances exist, such as but not limited to hospitalization, significant family issues or illness, etc..., failure to submit the dissertation proposal after the three term deadline may result in the total rejection of the proposed dissertation topic. Should the dissertation topic be rejected by the committee, the student must receive approval from the Dissertation Chair and Dissertation Committee to propose an entirely different topic. Requests for extensions due to extraordinary circumstance must be made in advance and accompanied by appropriate written documentation to the Dissertation Chair. The Dissertation Chair will meet with the dissertation committee members to accept or reject the explanation for the proposed extension.

In unique cases, and with approval of the Dissertation Chair and Committee, the student may propose the dissertation topic prior to taking the written and oral comprehensive finals. The committee's approval endorses the research plan and indicates the committee supports initiating or continuing the dissertation project. As such, if the proposal is accepted by the dissertation committee, the student may apply for Institutional Review Board (IRB) approval for the study. However, the student will not be allowed to register for dissertation hours until after the written and oral comprehensive examinations have been passed.

Responsibilities of the Dissertation Student

While different programs have distinct procedures, the following are common elements of the process that all doctoral students who are part of the dissertation process should understand.

- Identify and select a Dissertation Chair.
- Work with Dissertation Chair to select members of the Dissertation Committee.

- Register for dissertation for variable credits for at least one credit hour but not to exceed six credit hours in a term. The Dissertation Chair will discuss with the student the variable hours needed per term for the student to complete the dissertation in a timely manner. The student must be enrolled in a minimum of one credit hour throughout the dissertation process, including the term of the defense, until the dissertation has been successfully defended.
- Dissertation students must have an approved proposal before registering for dissertation hours.
- Present a Schedule for Dissertation completion (see Appendix A), as part of the dissertation proposal to the Dissertation Chair. The schedule should consider personal and professional time limitations. The student should be prepared to complete the dissertation in a reasonable and appropriate time framework as determined by the Dissertation Chair.
- Apply and gain approval for the dissertation research study from the Institutional Review Board or Animal Research Board, if applicable (see Appendix I). (Reference IRB training requirements for certification, see <http://trojan.troy.edu/institutionalreview/index.html>).
- Remain in contact with the Dissertation Chair and other members of the Dissertation Committee while working on the dissertation. The student must frequently meet with the Dissertation Chair to provide progress or difficulty encountered in research or writing.
- Present, either in person or via email, a draft dissertation prepared to the best of the student's ability to the Dissertation Chair.
- Incorporate Dissertation Chair's feedback to improve dissertation draft. Expect and allow time for multiple revisions.
- Distribute or email copies to all Dissertation Committee members after the Dissertation Chair has approved the draft Dissertation.
- Incorporate Dissertation Committee members' feedback into the dissertation.
- Obtain approval from all Dissertation Committee members on improvements to the dissertation draft since last review.

- Discuss with all Dissertation Committee members the times and dates of their availability. Work with Dissertation Chair to schedule a room that has visual online or conference phone capabilities if needed for a distance student and/or Dissertation Committee member (See Chapter 4 of these *Dissertation Guidelines*).
- Successfully defend dissertation.
- Obtain signatures of Dissertation Chair, Dissertation Committee members, department chair (if required by program), and the Dean of the College of Health and Human Services on the Dissertation Acceptance Page. A minimum of two copies of the signature page, printed on 20 pound white bond paper with a 25% or higher rag content, shall be signed with a line for the Dean of the Graduate School to sign in the future.
- If the defense is conducted online, the Dissertation Chair will be responsible for obtaining the required signatures. The Dissertation Chair will also be responsible for making a copy of the forms and sending them to the student for inclusion in the dissertation.
- If the students are on or near the Troy campus, they must submit a copy of the final dissertation draft with original signed cover sheets to the Graduate School. The final dissertation draft may be printed on regular printing paper for Graduate School review.
- Online doctoral students must email a copy of the final dissertation draft with original signed cover sheets to the Dissertation Chair. Doctoral students who are located near or on the University may send an email online or deliver a hard copy of the final dissertation draft with original signed cover sheets to the Dissertation Chair. The Dissertation Chair will be responsible for getting a hard copy document, printed on regular printing paper, to the Graduate School. If the Dissertation Chair is not on the Troy campus, a committee member located on the Troy campus may be selected as a representative to submit the Dissertation draft to the Graduate School in place of the Dissertation Chair.
- The Graduate School will review the final Dissertation draft for adherence to the approved format. The dissertation will be returned to the Dissertation Chair or representative, if not on the Troy campus, should format corrections be needed. The

Dissertation Chair or representative will relay the format corrections to the student (by email if necessary). Corrections must be made and resubmitted to the Graduate School for signature by the Dean of the Graduate School. The student must submit to the Graduate School no later than four weeks before graduation and gain format approval from the Graduate School at least two weeks prior to the intended date of graduation (see Appendix C).

- Consult with Dissertation Chair on the appropriate number of final dissertations needed for printing and binding. A minimum of two copies must be submitted to the Troy University Library for use by the University (see Appendix D). The number of copies needed for the department and personal use will vary.
- Submit to the Library the appropriate number of copies of the final dissertation printed on 20 pound white bond paper with a 25% or higher rag content (watermark should be visible). Complete dissertation binding form (Appendix O) and submit Dissertation binding fees.
- Obtain a binding receipt from the library after Library checks and accepts Dissertation and payment.
- Turn in the binding receipt and dissertation acceptance page to the Registrar not later than one week prior to the intended date of graduation.

The Dissertation Chair

Selecting a Dissertation Chair

It is important to understand that the doctoral student's major advisor will generally serve as the Chair of the student's Dissertation Committee. Selecting the right Dissertation Chair is important to student success because the Dissertation Chair will influence both the quality of the dissertation process as well as the final dissertation product. In the best circumstances, a partnership between the Dissertation Chair, as a faculty mentor, and the student as a protégé will be created. A creation of such a partnership requires a commitment from the faculty mentor to the student protégé as a person and future scholar. Finally, only doctoral directive faculty members in the home department or school at Troy University may serve as Dissertation Chair.

Role of the Dissertation Chair

Service as a Dissertation Chair is a serious time and academic commitment. While the dissertation process is driven by student initiative, the role of the Dissertation Chair is significant as he/she serves as the primary advisor to the doctoral student. The role of a Dissertation Chair is to act as an experienced guide to assist the student through the dissertation hurdles. The Dissertation Chair may also assist the student in providing academic advice as well as access to academic resources. Ideally, the student will remain engaged and work closely with the Dissertation Chair throughout the dissertation project.

Responsibilities of the Dissertation Chair

While different programs have distinct procedures, there are some important responsibilities common to all Dissertation Chairs.

- Advise student on approved departmental dissertation requirements and procedures beyond the scope of these *Dissertation Guidelines*.
- Assist student in registering for Dissertation as a specific course.
- Assist and advise the student on difficulties encountered during research or writing.
- Assist student in selection of Dissertation Committee members, completion of Dissertation Committee Assignment Form (Appendix B) and appoint replacement committee members when a position is vacated for any reason.
- Assist doctoral student determination of dissertation research proposal date.
- Approve schedule for dissertation completion submitted by the student.
- Advise the student regarding procedures for applying and gaining approval from the Institutional Review Board.
- Provide timely feedback on the dissertation drafts prepared and submitted by the student.
- Review and approve improved dissertation drafts for distribution to Dissertation Committee members.
- Review and approve dissertation draft after the incorporation of Dissertation Committee members' feedback.
- Notify Dean of the Graduate School of scheduled oral dissertation defense.

- After format approval from the Office of the Graduate School, advise the student on the appropriate number of final number of dissertations copies needed for printing and binding.
- Advise and assist students as needed in completing paperwork on an appropriate schedule for dissertation approval and graduation.
- Assign grade for dissertation coursework. During the span of working on the dissertation, grades for each dissertation research course may be recorded as In-Progress (IP) until the dissertation has been approved. Once the dissertation is approved and all original signatures are acquired, the Dissertation Chair shall submit a dissertation research grade of Pass/Fail (P or F) to the Office of the Registrar for all IP course work.

Change of Dissertation Chair

In the course of writing a dissertation, a change of Dissertation Chair may occur. Reasons for such an occurrence may be the result of, but not limited to, a disagreement between the parties, a faculty leaving Troy University for a position at another university, retirement, temporary leave (i.e., sabbatical) or a change of dissertation topic. It is important to note that in the event a dissertation committee chair is changed, the topic of the dissertation may also change.

Dissertation Chair Change Due to Disagreement between Parties

Should a disagreement due to, but not limited to, personality issues, change of research topic, etc... arise between the doctoral student and the Dissertation Chair , the following steps must take place:

- Step 1. The doctoral student and Dissertation Chair should attempt to resolve the disagreement informally.
- Step 2. Student Initiation—If the issue is not resolved at Step 1 and the doctoral student wishes to request a change in Dissertation Chair, the student must request in writing a brief explanation of the disagreement and schedule a conference with the Coordinator of the Doctoral program. The explanation must address the student's concerns and document the completion of Step 1 procedures. The Coordinator of the Doctoral program must contact the Dissertation Chair to

verify the disagreement. A copy of the request will be sent to the Director or Chair of the home school or department and the Dean of the College.

Step 3. Chair Initiation—If the issue is not resolved at Step 1 and the Dissertation Chair requests relief from service on a Dissertation committee, the Chair must frame the request in writing with a brief explanation and schedule a conference with the Coordinator of the Doctoral program. The explanation must address the Dissertation Chair's concerns and document Step 1 procedures. A copy of the request will be sent to the Director or Chair of the home school or department and the Dean of the College.

Step 4. If the request from either the student or committee chair is granted, within ten working days of receipt of the request, the Coordinator of the Doctoral program will confer with the student and existing dissertation committee members to select a new Dissertation Chair. A copy of the change will be sent to the Director or Chair of the home school or department and the Dean of the College and the Dean of the Graduate School.

Step 5. In the event the Coordinator of the Doctoral program or Director/Chair of the home school or department is involved in the dissertation process as a chair or member of the committee, the request for relief shall be made to either the Associate Dean or Dean of the College to determine a replacement. Within ten working days of receipt of the request, the Associate Dean or Dean will confer with the student and existing dissertation committee members to select a new Dissertation Chair or committee member. A copy of the change will be sent to the Dean of the Graduate School.

Dissertation Committee Chair Willing to Continue in Role after Leaving the University

In the event the Dissertation Chair leaves the University (i.e., for an appointment at another university, due to retirement, etc.) and is willing and able to continue serving on the student's committee, another qualified Troy University faculty member (i.e. tenured, member of the Graduate School, and doctoral directive status in the home school or department), must be appointed as the other Co-Chair of the Dissertation Committee. The faculty member who left or retired from the University, then becomes a co-chair on the Dissertation Committee and another

faculty is appointed as the other Co-Chair. To ensure that the student can make satisfactory progress, one of the Dissertation Co-Chairs must be accessible to the student to ensure that satisfactory progress is being made on the dissertation until the student completes the program or the committee is dissolved. If a faculty member is being added as a co-major advisor, or if there is an appointment change to the major advisor position, a CV must be included for the faculty member who is being added to that position.

Dissertation Committee Chair Unwilling to Continue in Role after Leaving the University

In the event the dissertation committee chair leaves the University (i.e., for an appointment at another university, due to retirement, etc.) and is unwilling or unable to continue serving on the student's committee, another qualified Troy University faculty member (i.e., tenured, member of the Graduate School, and doctoral directive status in the home school or department), must be appointed as the other chair of the dissertation committee. The student will consult with the Coordinator of the Doctoral program and existing dissertation committee members to identify the new chair. Within ten working days, once another faculty member accepts the Dissertation Chair assignment, the Coordinator of the Doctoral program will inform the Director/Chair of the home school or department, Associate Dean or Dean of the College and Dean of the Graduate School about the change, in writing.

Dissertation Committee Chair on Temporary Leave

In the event a dissertation committee member is on temporary leave (e.g., sabbatical, illness, etc.); the dissertation committee chair shall consult with the student and Coordinator of the Doctoral Program to facilitate the needs of the student while the faculty member is on leave.

Dissertation Committee

Selecting the Dissertation Committee

The Dissertation Chair will assist the doctoral student in selecting the members of the Dissertation committee. The dissertation committee shall consist of no fewer than three, but no more than four, members selected from faculty with full-time Graduate Faculty status at Troy University. At least two persons (including the chairperson) must be from the home school or department and one member may be selected from a different academic, yet related, discipline. Only Troy University doctoral directive faculty members in the home

school or department are eligible to chair or co-chair the dissertation committee. However, tenure-track faculty members in the home school or department, as well as those holding similar assignments at other accredited institutions in the United States or internationally, may serve as dissertation committee members.

If a third faculty member cannot be located at the Troy University campus, the Dissertation Chair in consultation with the Dissertation Committee and student may invite an external faculty member to fill the open position. Should such a situation arise the invited member must be an outstanding faculty member presently employed at a regionally accredited university in the United States or an international university with equivalent accreditation. If it is deemed that the dissertation committee must be comprised of four members, the same procedure as selecting an external committee member should be followed. In either case, the external faculty member must hold a full-time Graduate Faculty status at their home institution and must submit their curriculum vita (CV) for consideration to the Dissertation Chair. The Dissertation Chair must inform and provide the CV to the Coordinator of the Doctoral Program and the Director/Chair from the home school or department for approval. If the external faculty member is approved, the Dean of the College, Director/Chair of the home school or department, Dean of the Graduate School must be informed in writing by Coordinator of the Doctoral program.

Role and Responsibilities of Members of the Dissertation Committee

Members of the Dissertation Committee assist the Dissertation Chair in determining the appropriateness and quality of the dissertation study. While different programs have distinct procedures, there are some important responsibilities common to all Dissertation Committee members. Dissertation Committee members will:

- Assist the student to improve the quality of the dissertation.
- Assist with the editing of the dissertation.
- Assist with methodology, statistical analysis, or another area within his/her expertise.
- Provide the doctoral student with feedback in a timely fashion.
- Attend and assess the doctoral student's dissertation proposal.
- Attend and assess the doctoral student's oral dissertation defense.

Change in Dissertation Committee Membership

Dissertation Committee Changes Due to Dissertation Topic Shift

When a graduate faculty member agrees to serve on a Dissertation Committee, the obligation is for the duration of the project, and it represents a serious professional commitment. However, if a Dissertation Committee member is unable or unwilling to continue serving on the student's committee due to a shift of research by the student, the student is responsible for finding another qualified faculty member as a replacement. In the event that extenuating circumstances require a Dissertation Committee member to request relief from service on a Dissertation Committee, they should frame the request in writing with a brief explanation to the Dissertation Chair. The committee member will be responsible for sending copies of the explanation to the Dissertation Chair and Coordinator of the Doctoral Program. The Dissertation Chair will work in consultation with the student and other committee members to identify a qualified replacement. When a replacement is located, the Dissertation Chair will inform the Coordinator of the Doctoral Program, the Director/Chair of the home school or department, and Dean of the Graduate School in writing.

Dissertation Committee Member Willing to Continue in Role after Leaving the University

In the event the dissertation committee member leaves the University (i.e., for an appointment at another university, due to retirement, etc.) and is willing and able to continue serving on the student's committee, the committee member may do so until the student completes the program or the committee is dissolved.

Dissertation Committee Member Unwilling to Continue in Role after Leaving the University

In the event the dissertation committee member leaves or retires from the University and is unwilling or unable to continue serving on the student's committee, the Dissertation committee chair shall consult with the student and Coordinator of the Doctoral Program to facilitate the needs of the student while the faculty member is on leave.

Dissertation Committee Member on Temporary Leave

In the event the dissertation committee member is on temporary leave (e.g. sabbatical, illness, etc.); the dissertation committee chair shall consult with the student and Coordinator of the Doctoral Program to facilitate the needs of the student while the faculty member is on leave.

CHAPTER 2: FORMATTING THE DISSERTATION

Dissertation Formatting Requirements

The Dissertation student has the responsibility to present to the Dissertation Chair a well-written manuscript that is free from error for final approval. The student is responsible for editing the dissertation. If the student needs editorial assistance, assistance should be obtained before the final draft is presented to the Dissertation Chair. Students are warned that preparation of a dissertation can be an extremely expensive undertaking. Each student should have a clear understanding in advance with typists, printers, and any agency involved in photographic work or drawings as to the costs involved. The Graduate School will not act as referee in disputes between students and others in such matters.

Required Publication Style Manual

The student must follow the most recent edition of the research writing style used in the College. Such research writing styles include, but are not limited to, American Psychological Association (APA), Modern Language Association (MLA), or Chicago Manual Style. The student should consult the Dissertation Chair to identify the appropriate writing style.

Paper, Photocopying, and Quality

The final copy of the dissertation to be presented to the library for archival must be 8.5 x 11 inches in size, 20-pound white bond paper with a 25% or higher rag content (watermark should be visible) (see Appendix P). Erasable bond or any other paper with a chemically treated surface is not acceptable. The weight and content of the paper must be consistent throughout the dissertation. Photocopying is the most satisfactory and economical method of producing additional copies of the dissertation. All copies must be free of smudges and blemishes.

Font Formatting

A 12-point Times New Roman font must be used throughout the document. A smaller font size may be used in the tables and figures if its use enables the positioning of a table onto one page. The font size of tables and figures should be no smaller than 8-point and no larger than 14-point. Within a specific table or figure, font size should not vary by more than four points.

Word Processing

To be acceptable, the dissertation must be a flawless copy that does not contain the following:

- Overstrikes, cross-outs, lines from paste-ups, smudges and smears, erasures, and white-out.
- Photo-mounting, staples, or transparent tape.
- Dots and shading in the background.

Printer Requirements

Letter quality printing must be produced.

Margins

The margins for each page of the dissertation including preliminary pages, text, and references must meet the following specifications, measured from the edge of the paper to the text:

Left (binding edge)	1.5 inch*
Right	1 inch
Top	1 inch
Bottom of text	1 inch

**Note: Extra space is needed for binding.*

Margins are inviolable. Footnotes or the last lines of a paragraph or a table must be accommodated without violating the minimum margin of one inch of white space at the bottom.

Holes or perforations are not permitted in any of the margins. Some reproduction or photocopying processes magnify or spread the material and may necessitate more careful attention to the margin spacing. Tabs should be used for a consistent offset at the beginning of each paragraph and should be of uniform spacing (usually five spaces).

Pagination

The pages preceding Chapter 1 must be numbered consecutively in lowercase Roman (i, ii, iii, iv, etc.) numerals. Fly (blank) pages that begin each dissertation are neither numbered nor counted. Starting with the Title Page (see Appendix F) and continuing throughout the

dissertation, each page must be accounted for and/or numbered. Although the Title Page is counted, a number is not placed on the title page itself (see Appendix E). Numbers on all pages, including the first page of every chapter of the dissertation, are placed 0.5 inches above the bottom edge of the sheet and centered. The table in the following section “Parts of a Dissertation” contains a detailed listing of the parts of the dissertation and indicates whether each is counted or numbered and if numbered, what type of page number it receives.

Spacing

Different academic disciplines use different research writing styles. The dissertation must follow the spacing requirements of the research writing style followed by the College.

Widows and Orphans

Care should be taken to observe the following rules about widows and orphans. A “widow” is part of a line from the end of a paragraph that is carried to the next page. Adjust the text to eliminate these. An orphan is a line of text or a heading that is left at the bottom of a page without text to follow. Do not leave a heading at the end of a page unless there is room for the heading and at least two lines of text. If there is insufficient room, place the heading on the next page.

Tables, Figures, and Appendices

All tables and figures must fall within the stated margins. Each element of a table or figure must be large enough and sharp enough to be legible. Style of type affects legibility. Initial capitals and lowercase letters generally are easier to read than all capitals, and regular type is easier to read than bold face. The size of lettering should be no smaller than 8-point and no larger than 14-point. Within a specific table or figure font size should not vary by more than four points.

Tables. A table is defined as tabulated numerical data used in the body of the dissertation and in the appendices. Tables consist of an arrangement of facts, figures, and values in an orderly sequence usually in rows or columns (see Appendix M).

Each table used within the dissertation must be well explained within the text. Additionally, the table title should fully explain the table without reference to the text. Explain all abbreviations (except such standard statistical abbreviations as *M*, *SD*, and *df*). Always identify units of measurement.

Each table is given a unique number and a title. The table number and title should be presented above the table. If the title of the table exceeds one line, single space the additional lines. There should be one return line between the table title and the table. Number all tables with Arabic numbers in the order in which the tables are first mentioned in text, regardless of whether a more detailed discussion of the tables occurs later in the paper. An alternative numbering system reflecting the location or chapter within the dissertation may be used for figures or tables, for example, Table 2.1, Table 2.2, Table 2.3, etc., for tables occurring in Chapter 2. When an Appendix contains multiple tables, appendix tables should follow the same pattern, Appendix A.1, A.2, A.3, etc.. Titles of tables should be clear and explanatory and formatted in upper and lower case letters. A List of Tables is placed separately in the preliminary pages of the dissertation after the Table of Contents (See Appendix L).

Figures. A figure is distinctive from a table in that it is defined as all other nonverbal material used in the body of the dissertation (see Appendix N). Several types of figures may be presented and may include graphs, charts, maps, drawings, photographs, plates, drawings, recording discs, diagrams, etc. When illustrations (photographs, maps, graphs, etc.) are used, they must be digital images or scanned and printed on high resolution printers. The student is required to obtain permission from the artist or publisher to reproduce copyrighted material. Such permission is usually granted on condition that acknowledgement is made. The student is responsible for any fees incurred. Printer glossy prints or darkroom glossy prints may be used, but identical copies must be included in all University required copies.

As a general guideline, plot symbols should be about the size of a lowercase letter of an average label within the figure. Curves on line graphs and outlines of bars on bar graphs should be bolder than axis labels, which should be bolder than the axes and tick marks.

The legend is an integral part of the figure, and should have the same kind and proportion of lettering that appears in the rest of the figure. The legend should appear within the axis area if possible.

Drawings and graphs should be shaded in such a way that they can be reproduced as line art rather than more expensive halftones. Limit the number of different shadings used in one bar graph to two or three. Rather than using fine dot screens to create shades of gray in a bar graph,

use pattern of diagonal lines (hatching) or heavier dots (stippling). Diagonal lines produce the best effect.

Photocopies of original photographs must be electronically inserted into the text. A scanner can be used to reproduce photographs. The original image is scanned at a sufficiently high resolution to retain detail and can be incorporated into the dissertation document and then photocopied. No more than 3-5% reduction is suggested to prevent indistinct print quality.

Number all figures consecutively with Arabic numerals throughout the body of the dissertation and its appendices. Number figures in the order in which they are first mentioned in the text. Figure captions serve both as an explanation of the figure and as a figure title. The caption should be a brief but descriptive phrase. After the descriptive phrase, add any information needed to clarify the figure. Always explain units of measurement, symbols, and abbreviations that are not included in the legend.

Summary for Tables and Figures.

Titles and Captions.

- Titles are the descriptive of tables, while captions are the description of figures.
- Titles and captions are generally one line of type. If the title of the table or caption of the figure exceeds one line, single space the additional lines.
- Every table must bear a number and a title presented above the table. Every figure must bear a number and caption placed below the figure.
- The titles and captions listings in the preliminary pages must be identical in every way to the way they appear with the tables and figures in the body of the text.
- Titles and captions are presented in upper and lower case format.

Preparation.

- Tables and figures must be of professional quality.
- Diagrams, drawings, figures, etc., must be sufficiently clear, sharp, and sized to be easily readable.

- Photographic reduction may be necessary. Not more than 3-5% reduction is suggested to prevent indistinct print quality.
- All tables and figures, including the caption, must meet margin, font and format requirements.
- Photographs should be electronically inserted into the document at a resolution sufficient to retain detail.
- Cross-hatching may be necessary to symbolize color distinctions.

Placement.

- Tables and figures are inserted after, but as near as possible to the text they illustrate or in the appendices.
- Tables and figures of one-half page or less in length may appear on the same page with text. If larger than half-page, they must be placed on their own page.
- Two or more small tables or figures may be placed together on a single page.
- Wide tables or figures may be placed horizontally. The table should be placed so that the top of the table is nearest the 1.5” binding side. The placement of the table or figure, vertical or horizontal, does not alter the position of the page numbering requirements set forth in this guidebook.
- The number of the table and its title are placed above the top line of the table.
- The number of the figure and its caption are placed below the last line or bottom edge of the figure.

Numbering.

- If any table continues on subsequent pages, the top line should read for example, Table 16 (cont’d).
- The page on which the table/figure appears is numbered consecutively with the main text.
- This page number where the item begins is used in the List of Tables or List of Figures.

Citations of Tables and Figures.

- When making reference to a table/figure in the body of the text, the full word and number should be used. For example, Figure 1.1 or Table 3.1.

Facing Pages.

- Count and number.
- A facing page contains the caption for a table/figure that is too long to be placed on the same page as the table/figure.
- The caption is centered, top to bottom, on the page.
- The number of the table/figure must appear both with the caption and the table/figure.
- Margins for this page are:

Left: 1”

Right: 1.5”*

**Note: Extra space is needed for binding.*

Appendices

Appendices serve the purpose of allowing the author to provide the reader with detailed information that would be distracting to read in the main body of the dissertation. Common kinds of appendices include a mathematical proof, a large table, lists of words, a sample questionnaire or other survey instruments used in research, a computer program, etc.

Dissertations may have more than one appendix. If the dissertation has only one appendix, label the cover page “APPENDIX”, centered horizontally and vertically, in all capital letters, and without punctuation. If the dissertation has more than one appendix, label the cover page “APPENDICES”, centered horizontally and vertically, in all capital letters, and without punctuation (see Appendix A). Do not provide individual cover pages for each appendix when there are multiple appendices. Identify individual appendices with capital letters (Appendix A, Appendix B, etc.) in the right side of the header in the order in which it is mentioned in the main text. Each appendix must have a title. The title is positioned at the upper margin, centered, and in all capital letters. In the case when a single table serves as an appendix, the table title is considered the appendix title, and may be formatted as a table title. In the text, refer to

appendices by their labels (i.e., Appendix A). A list of the Appendix or Appendices and corresponding page should be included in the Table of Contents.

Foreign Languages

Dissertations that involve the extensive use of words (e.g., common phrases, place names, personal names) derived from a foreign language not based on the Latin alphabet (e.g., Chinese, Japanese, Sanskrit, Farsi) should contain a note on transliteration. It is incumbent upon the author to maintain the consistency of spelling styles throughout the body of the dissertation.

CHAPTER 3: CONTENT AND ORGANIZATION OF THE DISSERTATION

Order of Dissertation

Appendix E provides the order in which the various parts of the Dissertation should appear and indicates whether they are numbered and/or counted.

Parts of a Dissertation

Every dissertation is comprised of three parts:

- Preliminary Pages
- Text Page
- Reference Material

Preliminary Pages

Fly page (required). The fly page is a blank page at the beginning of the dissertation used to protect the work. It is neither counted nor numbered.

Title page (required). The format of the title page must be formatted exactly as shown in Appendix F. The student's name should be spelled exactly as it will be on the diploma. The date on the title page must indicate the month (October, December, March, May or July) and year that the student will actually receive the degree.

The title serves as a guide for others who wish to gain more information about what has been done in the research. Modern search and retrieval systems use the words in the title to locate the work. Consider using key words in the title so that general searches will locate your work. Therefore, it is doubly important to select a title that gives a meaningful and concise description of the contents of the dissertation.

Summary:

- The title page is counted but not numbered.
- Type the title of the dissertation study in capital letters; double space if longer than one line; centered at the top of the page.
- Return 8 lines and type "by".
- Double space and type the student's name, centered, in capital letters, in full as it will appear on the diploma.
- Return 8 lines, type "A DISSERTATION," centered, in capital letters.

- Return 8 lines and type:

Submitted in partial fulfillment of the requirements
for the degree of <INSERT DEGREE TITLE>(e.g., Doctor of Philosophy)
in <INSERT SPECIFIC AREA> (e.g., Sport Management)()
in the Graduate School of
Troy University

- Return 10 lines and type MONTH < INSERT OCTOBER, DECEMBER, MARCH, MAY, OR JULY> comma and <INSERT YEAR> of graduation in capital letters. (Only the months of October, December, March, May, or July may be used.)

Dissertation Acceptance Page (Required)

After all of the corrections recommended by the Dissertation Chair, Dissertation Committee, and the Dean of the Graduate School have been made and the Dissertation has been successfully defended, the Dissertation Acceptance Page must be signed by the Dissertation Chair, the Dissertation Committee members, the Chair of the Department/School, the Dean of the College, and the Dean of the Graduate School (see Appendix G). A Dissertation Acceptance Page printed on bond paper with original signatures is required for all bound University copies of dissertations. A minimum of two bound dissertation copies are required by the University. Check with the Dissertation Chair for the number of bound copies recommended or required by specific graduate programs (see Appendix O).

Summary:

- The Dissertation Acceptance Page is counted but not numbered.
- Type the title of the dissertation study in capital letters; double space if longer than one line; centered at the top of the page.
- Return 4 lines and type:

Submitted by <INSERT NAME OF STUDENT> in partial fulfillment of the requirements
for the degree of <INSERT NAME OF DEGREE> (e.g., Doctor of Philosophy)
in <INSERT DEGREE AREA>

(e.g., Sport Management)
in the Graduate School of
Troy University

- Return 4 lines and type centered “Accepted on behalf of the Faculty of the Graduate School by the Dissertation Committee:”
- Return 4 lines, draw a signature line and date line.
- Return 1 line, type <Insert Name and Educational Degree of Dissertation Chair>.
- Return 1 line, type Dissertation Chair.
- Return 2 lines, draw a signature line.
- Return 1 line and type <Insert Name and Educational Degree of Committee Member>.
- Repeat the two previous lines so that all Committee Members’ names are included.
- Return 4 lines, draw a signature line and date line
- Return 1 line, type <Insert Name of the College Dean>
- Return 1 line, type “Dean of the <Insert Name of the College>”
- Return 4 lines, draw a signature line and date line
- Return 1 line, type “Dianne L. Barron, Ed. D.”
- Return 1 line, type “Associate Provost and”
- Return 1 line, type “Dean of the Graduate School”
- Return to bottom line of the page, type <Insert MONTH, YEAR> of the actual graduation date (Only the months of October, December, March, May, or July may be used).
- Refer to Appendix G for a sample Dissertation Acceptance Page.

Abstract (Required)

The abstract should contain a rationale or justification for the study. Generally, a brief account of the purpose, need, and significance of the investigation is given. Dissertation objectives are clearly but concisely stated. The methodology, results, and principle conclusions are summarized.

The abstract of a dissertation should fit on one page, be double spaced, and not exceed 250 words. This word limit and the format have been specified so that the abstract will more easily conform to the requirements of dissertation abstract databases. The title of the dissertation is repeated above the abstract (see Appendix H).

Summary:

- The abstract page should be counted but not numbered.
- Type “Abstract” centered one inch from the top of the page.
- Double space and type the title of the dissertation study in capital letters; double space if the title extends beyond one line.
- Double space and type the author’s name in full as it will appear on the diploma; centered.
- Double space and without indent, begin the text of the abstract.
- The abstract must be double spaced and meet paper and margin requirements.
- The abstract should be a single paragraph with no more than 250 words.
- The abstract must not exceed one page.
- The abstract must not include any figures, illustrations or tables.

Human or Animal Subjects Review (Required)

This form is not optional (see Appendix I). All students must include a completed Human or Animal Subjects form in the dissertation, even if human or animal subjects were not used. The student is responsible for submitting his or her application to the Institutional Review Board (IRB) for approval *before research is begun*. Please access <http://trojan.troy.edu/institutionalreview/index.html> for more information.

The Dissertation Chair as well as the Director/Chair of the School/Department should ensure that the IRB application is complete and the study design is well explained and adequately protects the rights of participants before signing the IRB application. The Human or

Animal Subjects Review form must be reviewed and signed by the Dissertation Chair, Director/Chair of the School/Department, and the Chair of the Troy University Institutional Review Board (IRB). A Human or Animal Subjects Review Form printed on bond paper with original signatures is required for all bound University copies of dissertations.

Copyright Page (if applicable)

The accepted dissertation is the property of Troy University. At least two original copies of the dissertation are deposited in the Troy University Library for binding and circulation (see Appendix J). The University is to be given credit for material used in the publication of any portion of a dissertation used as a direct quotation or as an adoption. Citing Troy University as the address for the publication will be sufficient. Library copies of dissertations may not be sent to printers for publication. A dissertation may be protected from unauthorized copying by merely inserting a copyright statement. See Appendix J for wording on the copyright page. The student may also register this copyright with the Copyright Office, Library of Congress, Washington, D.C. All data collected as part of federal, state, or private research grants become the property of Troy University (see Appendix J).

Summary:

- The copyright page is counted but not numbered.
- If the author intends to apply for a copyright, a copyright page must be inserted immediately following the Human or Animal Subjects Review form.
- The copyright is placed at the bottom of its own page in the following format:

Copyright by
<INSERT FULL LEGAL NAME>
<INSERT Year of publication/graduation

OR

In the event that students do not wish to copyright their dissertation, they may, nonetheless, protect their work by adding an author's statement (see example below).

Example: This dissertation may not be reprinted without the expressed written permission of the author.

Dedication and Acknowledgements (Optional)

A heading of “Dedication and Acknowledgements” should be typed at the top of the page. The Dedication and Acknowledgements, if used, should be brief. While dedications may indicate appreciation of family and/or friend support, only persons who provided professional help (i.e., Dissertation Chair, Dissertation Committee members, or others) should be acknowledged (see Appendix K).

Summary:

- Type “Dedication and Acknowledgements” one inch from the top of the page.
- Return two line spaces (one double space). Begin typing the text.
- The text must be double spaced and centered on the page.
- If used, should be concise and to the point with a maximum of one paragraph each.
- Pagination sequence begins at this page with small Roman numerals.
-

Table of Contents (Required)

The heading, “Table of Contents”, is typed without punctuation and centered one inch from the top of the page (see Appendix L). Double space; type “Page” right justified. Single space and begin listing at the left margin three line spaces below the heading. The list should include titles of parts, sections or chapters, and their principal subdivisions. The list contained in the Table of Contents must be worded exactly as the division or subdivision is worded in the body of the dissertation. The listing of subdivisions should be of consistent detail for all sections of the Table of Contents.

Summary:

- Type “Table of Contents” in capital letters without punctuation; centered one inch from the top of the page.
- Return two line spaces. Type “Page” right justified in upper and lower case.
- Single space the Table of Contents; begin listing left justified with initial page number of the entry right justified.
- Subdivisions should be listed. They must be worded exactly as they appear in the body of the Dissertation, and typed in all capital letters.

- Single space within each entry and double space between.
- All material that follows the Table of Contents should be listed; no preceding material is listed.
- The list of tables, plates, figures and abbreviations are listed separately.
- Only the list of Appendices is included in the Table of Contents. (Note: Within the Table of Contents, the section division “Appendices” or “Appendix”. The list of individual appendices are indented and presented in upper and lower case. Count and number page, using small Roman numerals.

List of Tables (Required if tables are presented)

The heading, “List of Tables”, is typed in uppercase and lowercase letters without punctuation and centered one inch from the top of the page. Double space and type “Page” right justified (see Appendix M). Single space and begin the List of Tables at the left margin three line spaces below the heading. The table title is single spaced and indented underneath the listed table heading. The table title must be the exact wording as it appears in the dissertation. Tables must be numbered consecutively throughout the text or alternatively using a system that is a reflection of their location, for example, Tables 3.1, 3.2, 3.3, etc., for tables occurring in Chapter 3. If a table is so long that it continues on multiple pages, list only the page number on which the table number and title may be found.

Summary:

- Type “List of Tables” without punctuation and center one inch from the top of the page.
- Single space within each table title if necessary, and double space between table entries.
- Include all tables appearing in the List of Tables.
- The List of Tables uses the title of the table as it appears above the table.
- Count and number, using small Roman numerals.

List of Figures (Required if figures are presented)

The heading, “List of Figures” without punctuation and centered one inch from the top of the page. Double space and type “Page” right justified. Single space and begin the List of Figures at the left margin three line spaces below the heading. The figure caption is typed single spaced and indented underneath the listed figure heading. The figure captions included in the List of Figures must be listed with the exact wording of the figure caption as it appears in the body of the dissertation or its appendices. Figures must be numbered consecutively throughout the text or alternatively using a system that is a reflection of their location, for example, Tables 3.1, 3.2, 3.3, etc., for tables occurring in Chapter 3. The List of Figures should include all figures presented in the same order as in the Dissertation text (See Appendix N).

Summary:

- Type “List of Figures” without punctuation and center one inch from the top of the page.
- Return two line spaces. Type “Page” right justified in upper and lower case.
- Single space; type the list of figures left justified with the page number of the table right justified.
- Captions are indented and single-spaced underneath the figure listing.
- Double space between figure entries.
- Include all figures appearing in the List of Figures and in the same order.
- The List of Figures uses the exact wording of the figure caption presented below the figure in the text or appendices.
- Count and number, using small Roman numerals.

List of Plates, Symbols, Abbreviations and/or Specialized Nomenclature

If necessary to the presentation of the dissertation, these lists appear after the Lists of Tables and Lists of Figures in the preliminaries using a form or style acceptable to the field of study. The recommended format is identical to the one used for the List of Tables and List of Figures.

Summary:

- Count and number, using small Roman numerals.

- Only those conforming to the most recent writing style manual (as approved by the respective College) may be used.

Text Pages

Each dissertation must be divided in some manner of logical organization. The customary major divisions are chapters, but it is permissible to divide a dissertation into sections. Each chapter (or section) must be numbered consecutively using Arabic numerals. The Introduction is generally the first chapter of the dissertation.

Introduction

Typically the first chapter (or major section) of the dissertation is the Introduction. The heading format and placement is consistent with that of the other chapter titles. The Introduction should contain a brief statement of the problem under investigation. It should outline the scope, aim, and general character of the research. The Introduction may be the opening statement of the first major section.

Body of the Dissertation

Each new chapter (or section) must begin on a new page. The chapter number and title (or section number and title) must be in all capital letters separated by a colon (e.g., CHAPTER ONE: INTRODUCTION) and centered one inch from the top of the page. Title is placed two spaces after colon. A chapter or section title that requires more than one line is to be double spaced.

Any sub-headings must be in accordance to the most recent edition of the research writing style approved by the College. Some chapters may not require subdivisions, while others may require one or more levels for clear organization. Students should take measures to avoid excessive levels of sub-headings.

Summary:

- Chapters or Sections should be numbered with Arabic numerals starting with page 1, centered 0.5” from the bottom of the page (The page number itself should be 0.5 inches from the bottom of the page.)
- Type “CHAPTER <INSERT NUMBER>: <INSERT CHAPTER TITLE> in capital letters, without punctuations and centered at the top of the page.

- Double space and begin typing the text.

Headings

Section headings are in uppercase and lowercase letters. Additionally, they are centered one inch from the top of the page. Dissertations are generally organized into sections with each section covering a portion of the dissertation topic. Examples may be the headings of the primary pages (e.g., Abstract, Acknowledgements, Table of Contents, References, List of Figures, List of Tables, etc.). If the chapter heading is more than one line, the lines can be of different length and double spaced. The text generally begins two line spaces (one double space) below section headings.

First order headings are in uppercase and lowercase letters, centered, and boldface. Examples include **Introduction, Materials and Methods, Results, Discussion, Conclusions,** and **Recommendations.**

Second-order headings are typed in uppercase and lowercase letters, boldface, flush with the left margin, and on a separate line. The text begins two spaces below second-order headings. Indent 0.5" for paragraphs, and continue return text flush with left margin.

Third-order headings are typed in uppercase and lowercase letters, boldface, indented 0.5" (in line with the text), and end the heading with a period. Text should follow immediately after the heading (do not start text on the following line).

Fourth-order headings are in uppercase and lowercase letters, boldface, italicized, indented 0.5" (in line with text), and end the heading with a period. Text should follow immediately after the heading (do not start text on the following line). Example: *Text.* **Fifth-order headings** are in uppercase and lowercase letters, italicized, indented 0.5" (in line with text), and end the heading with a period. Text should follow immediately after the heading (do not start text on the following line). Example: *Text.*

The sub-headings within a chapter (or a section) do not begin on a new page unless the preceding page is filled. If there is no space or the space is insufficient for the complete heading and at least two lines of type at the bottom of a page (see orphans and widows), the new subdivision should begin on the next page. It is never correct to carry over the last few words of a paragraph. It is preferable to add an extra line, rather than continue a portion of a line.

Summary:

- Count and number all text pages with Arabic numbers.
- All divisions and subdivisions as indicated by headings should be identical to those listed in the Table of Contents.
- The scheme of subdivision within the chapter or section must be consistent throughout the chapter or section.
- Avoid excessive or unnecessary subdivisions.

Glossary, Footnotes, and Endnotes. Consult the department’s specified style manual for guidance on the use of glossaries and endnotes.

References or Literature Cited (Required)

Dissertations that make use of other works, either in direct quotation or by reference of an idea must contain a “References” section listing these sources. The reference list at the end of the dissertation provides the reader the information necessary to identify and retrieve each source and must strictly adhere to the most recent edition of the research writing style guidelines that are accepted by the College. Only sources cited in the dissertation should be listed in the References section.

Type “References” without punctuation and centered one inch from the top of the page. (Note: The Reference section should NOT have a cover page). Consult with the Dissertation Chair for the departmentally approved format for reference listings. The References section should conform to all font and margin requirements. The student should consult the most recent edition of the research writing style guidelines, which are accepted by the College, for guidance on the use of glossaries and endnotes. The student must follow the most recent edition of the research writing style used in the College. Such research writing styles include, but are not limited to, American Psychological Association (APA), Modern Language Association (MLA), or Chicago Manual Style. The student should consult the Dissertation Chair to identify the appropriate writing style.

Appendices (If appropriate)

Some dissertations will not require this section. It is usually added to contain supplementary illustrative materials, original data, and quotations that are too lengthy for inclusion in the text or not immediately essential to an understanding of the text.

Summary:

- A cover page will precede the Appendices. “APPENDICES” should be centered and printed five inches from the top line.
- The appendices may be divided into Appendix A, Appendix B, etc., depending on the type and amount of material used. Do not include cover pages for individual appendices within the “Appendices” section.
- Type Appendix A (etc.) at the top right corner of the page as the header.
- Each appendix should have a brief descriptive title. In the case where an appendix contains one table, the table title may serve as the appendix title. If the appendix consist of multiple tables or figures, a brief unifying title should be used for the appendix title, and each figure treated as a separate figure and designated with the alternate numbering scheme. For example, two tables in Appendix A, would be identified as Appendix A.1 and Appendix A.2.
- Type the title of the material in capital letters, centered and one inch from the top of the page. If title is more than one line, double space. (Exception: If the appendix title is also a table title, the title should be formatted as a table title.)
- Each appendix and its title should be listed in the Table of Contents. A separate Table of Contents for the Appendices should NOT be included.
- All appendices must meet paper and margin requirements.
- Count and number all pages (including cover page) consecutively.

Curriculum Vitae (Required)

At a minimum provide full name of student, permanent address, educational degrees, teaching or work experience, and if appropriate, publications (see Appendix O).

Use of Copyrighted Material

The student is required to obtain permission from the author or publishers to quote extensively from copyrighted material. Such permission is usually granted on condition that acknowledgement is made. The student is responsible for any fees associated with using copyrighted material. Permission for the use of all such materials must be obtained before the dissertation is submitted for final approval. Contact the Troy Library website for more

information on how to obtain copyright permission.

Use of Reprints in Dissertation

- Reprints may be used in the body of a dissertation if the student is either the first author or has been primarily responsible for the publication. The student must have primary responsibility for the research as well as the preparation and editing of the dissertation project.
- Reprints must be sufficiently clear and of an approved size. Two-sided reprints are not acceptable.
- Such reprints, if used, must constitute only a subsidiary part of the dissertation. Reprint approval, as part of the dissertation, must be secured by an explicit vote of the Dissertation Committee.
- Some discussion and/or other documentation in addition to the reprint(s) must be included within the body of the dissertation.
- As noted above, the student has the responsibility to secure permission to use copyrighted material in the dissertation.

CHAPTER 4: DEGREE COMPLETION AND FINAL DISSERTATION APPROVAL

Submission of Final Draft and Defense

The student should obtain, complete, and file the Intent to Graduate packet by the published deadline. In order to graduate, the student must have completed all required coursework and obtain a 3.0 GPA or better. The student should consult the *Graduate Catalog* and his or her academic advisor for specific degree requirements. Students conducting a dissertation project must be enrolled in a minimum of one semester hour during the term, including summer session, in which the degree will be awarded and met dissertation research requirements at the time of graduation. The student must have completed all requirements of the dissertation approval process and have been awarded a dissertation grade.

The student is responsible for checking the University academic calendar (http://trojan.troy.edu/academic_calendar.html) regarding relevant deadlines for commencement in the semester in which he or she plans to graduate. The student should recognize that many variables involved in the final approval of the dissertation are unpredictable. Given the unpredictable nature of the time required for review and corrections, students should be very conservative in planning a schedule that will allow graduation on the intended date. During the first semester of enrollment in Graduate School, the student should prepare a schedule with relevant dates for dissertation completion to be reviewed and approved by the Dissertation Chair. The schedule should consider personal and professional time limitations (see Appendix A). The doctoral student should be prepared to complete the dissertation within eight years.

Gaining Dissertation Committee Approval

The dissertation draft will only be reviewed by the Dissertation Committee after receiving initial approval from the Dissertation Chair. Feedback and suggestions from the Dissertation Committee members should be incorporated until the draft is considered acceptable by all members of the committee (See Appendix G). The student should anticipate review by the Dissertation Committee and the incorporation of feedback to consume approximately two to three weeks.

Scheduling an Oral Dissertation Defense

When the dissertation has been approved by all members of the Dissertation Committee, the student will meet with the Dissertation Chair will determine the date, time, and site of the

oral dissertation defense. All members of the defense committee must receive a copy of the candidate's dissertation to review at least two weeks prior to the scheduled defense. The oral Dissertation defense must occur at least four weeks before the intended date of graduation. The Dissertation Chair will notify the Dean of the Graduate School at least one week in advance of the scheduled oral Dissertation defense.

Oral Defense of the Dissertation

The format (i.e., online or face-to-face) of the oral Dissertation defense is determined by the Dissertation Chair in consultation with the Dissertation Committee and should be consistent with department/school policy. After the student has successfully defended their dissertation the Dissertation Chair and Dissertation Committee members will sign the Dissertation Acceptance Page. However, only after any edits made by the Dissertation Committee have been approved, the Chair/Director of the Department/School, Dean of the College, and Dean of the Graduate School will also sign the Dissertation Acceptance Page. After all signatures have been completed will the dissertation be submitted to the Graduate School.

If the student does not pass the oral dissertation defense, a subsequent oral defense may be scheduled at the discretion of the Dissertation Chair in consultation with the Dissertation Committee. The student may have only one more opportunity to defend their dissertation. If the student does not successfully defend their dissertation the second time, they will be dismissed from the program.

Submission of the Dissertation to the Graduate School

The dissertation must be reviewed by the Graduate School for adherence to dissertation formatting requirements (Appendices E). The student must submit a flawless copy printed on regular paper to the Graduate School (Adams Administration Building, Room 011, Troy campus) for format review. The appropriate number of "Dissertation Acceptance Pages" and "Human and Animal Review Forms" printed on bonded paper with appropriate original signatures should be submitted along with the dissertation. The dissertation and other required pages are to be submitted in a "10 x 13" heavy manila envelope with a copy of the title page adhered to the front of the manila envelope.

Each dissertation is reviewed for quality of print and correct formatting. The Graduate School staff also hand counts each page to be sure that no pages are improperly numbered or

missing. The Graduate School will either approve the dissertation as submitted or return it to the student for necessary format corrections. Should the dissertation need format corrections, it is the student's responsibility to make all necessary corrections and resubmit to the Graduate School for final format approval.

A single dissertation can take anywhere from one to two days to process, depending on its length and the number of errors encountered. Since the Graduate School staff must review many graduate theses and dissertations each semester, it is suggested that the student allow at least three weeks to obtain Graduate School approval of the dissertation. The last date a fully approved dissertation may be submitted to the Dean of the Graduate School is three (3) full weeks prior to the date of graduation. **THIS DEADLINE IS NOT NEGOTIABLE.**

Submission of Final Copies of Dissertation to Library

Upon approval from the Graduate School, the student should consult his or her Dissertation Chair to determine the number of final copies of the dissertation that will be required (see Appendix D). Final copies of the dissertation should be copied on 8.5 x 11 inches, 20-pound white bond paper with a 25% or higher rag content (watermark should be visible) (see Appendix O).

The student should submit to the Troy University Library (Troy Campus), Serials Department, the required number of final dissertations along with a completed Troy University Dissertation Binding form and a check or money order made out to Troy University Library. The Library staff will review the dissertation for conformity of quality standards for Dissertation Binding. The student should retain a copy of the binding fee receipt provided by the Library personnel.

Recording by the Troy University Registrar

At least one week prior to graduation, the student is responsible for delivering a copy of the paid binding fee receipt provided by the Troy University Library personnel and a copy of the Dissertation Acceptance Page with signatures to their home campus Registrar's office (same office that is processing the student's Intent to Graduate). **THIS IS A VERY CRITICAL STEP. IF IT IS NOT ACCOMPLISHED ON TIME, THE STUDENT WILL NOT GRADUATE OR PARTICIPATE IN THE GRADUATION CEREMONY THAT SEMESTER.**

Distributing Copies of the Dissertation

Assuming that the student has met all of the degree requirements, including paying his/her fees for Dissertation Binding at least one week prior to graduation, the Troy University Library will have copies of the dissertation bound (see Appendix O). It is the student's responsibility to distribute all additional copies to the appropriate persons or locations.

APPENDICES

Appendix A

SCHEDULE FOR DISSERTATION COMPLETION

After Admission to Graduate Program	<p>Select Dissertation Chair and Dissertation Committee, no later than the end of 18 hours.</p> <p>Submit Dissertation Committee Assignment Form</p> <p>Become thoroughly familiar with <i>Dissertation Guidelines</i>.</p> <p>Discuss with Dissertation Chair potential dissertation research topics.</p>
After successfully passing the Comprehensive Examination	<p>Prepare written dissertation research proposal.*</p> <p>Gain Dissertation Chair approval of dissertation research proposal</p> <p>Prepare IRB application.</p>
After successfully defending dissertation research proposal	<p>Enroll in dissertation course work as advised by Dissertation Chair.</p> <p>Submit draft dissertation to Dissertation Chair.</p> <p>Incorporate Dissertation Committee suggestions into the draft dissertation</p>
At least 10 weeks prior to Graduation	<p>Enroll in dissertation course work as advised by Dissertation Chair.</p> <p>Submit dissertation draft with all corrections to Dissertation Chair.</p>
Semester of Intended Graduation	<p>Enroll in Dissertation course work as advised by Dissertation Chair.</p> <p>Submit draft Dissertation to Dissertation Chair.</p> <p>Incorporate into the draft Dissertation all Dissertation Chair suggestions and make necessary corrections.</p>
At least 7 weeks prior to Graduation	<p>Enroll in Dissertation course work as advised by Dissertation Chair.</p> <p>Dissertation Chair approves draft dissertation.</p> <p>Distribute copies of Dissertation Chair approved draft dissertation to Dissertation Committee members.</p> <p>Incorporate feedback from Dissertation Committee into the draft Dissertation.</p>
At least 5 weeks prior to Graduation	<p>Enroll in Dissertation course work as advised by Dissertation Chair.</p> <p>Dissertation committee members approve final Dissertation draft.</p> <p>Schedule Oral Dissertation Defense.</p> <p>Dean of Graduate School notified of scheduled oral Dissertation defense.</p> <p>Consult with chair for the number of required final copies of Dissertation, and prepare that number of Dissertation Acceptance pages (on bond paper).</p>
At least 4 weeks prior to Graduation	<p>Successfully defend dissertation.</p>

	Obtain Dissertation Chair, committee members', department chair and dean of college signatures on all copies of Dissertation Acceptance Pages.
At least 3 weeks prior to Graduation	Submit committee accepted dissertation with copies of dissertation Acceptance page to Graduate School. Make any corrections needed, resubmit. Dissertation approved by Graduate School. Copy appropriate number of approved dissertations.
At least 2 weeks prior to Graduation	Submit required number of final copies, completed Dissertation Binding Form, and fees to Library.
At least 1 week prior to Graduation	Submit Dissertation binding fee receipt and copy of Dissertation Acceptance page to Troy University Registrar

Appendix C

GRADUATE SCHOOL DISSERTATION CHECKLIST

When a Dissertation is submitted to the Graduate School*, it will be reviewed to verify proper formatting. Any needed corrections will be noted on this check list and returned to the student. (Student is not responsible for providing this form to the Graduate School.)

Checker's Initials _____

Date _____

- _____ Dissertation Acceptance Page (bond paper with signatures)
- _____ Human or Animal Subjects Review Form (bond paper with signatures)
- _____ Title Page
- _____ Abstract
- _____ Format of Optional Preliminary pages
- _____ Citing Troy University as the address for the publication
- _____ Numbering and Format of Tables and Figures
- _____ Table of Contents
- _____ Format of all Lists / Appendices
- _____ Pagination
- _____ Margins
- _____ Consistent format of Reference / Citations
- _____ Quality of Copy / Darkness of Print
- _____ Sequence of Page Numbering
- _____ Vitae

****Note: The last date a signed fully-approved Dissertation may be submitted to the Dean of the Graduate School is three (3) full weeks prior to the date of graduation. THIS DEADLINE IS NOT NEGOTIABLE.***

Appendix D

LIBRARY DISSERTATION CHECKLIST

When a Dissertation is submitted to the Library, it will be reviewed to verify proper compliance to quality standards for Dissertation binding. The library will not accept theses that do not conform to these standards. (Student is not responsible for providing this form to the Library.)

Checker's Initials _____

Date _____

- _____ Dissertation Acceptance Page (with original signatures)
- _____ Human or Animal Subjects Review Form (with original signatures)
- _____ All pages printed on #20 bond, 25% or higher rag content paper with watermark visible
- _____ Paper of uniform weight and color
- _____ Correctly completed Dissertation Binding Form submitted
- _____ Paid appropriate binding fee
- _____ Issued Binding fee receipt

Appendix E

DISSERTATION ORDER

SEQUENCE	PAGINATION	Page Number Placement	Listed in Table of Contents
Preliminary Pages	Small Roman Numerals		
Fly Page	Uncounted	Unnumbered	No
Title Page	Count/Do Not Number	None	No
Dissertation Acceptance Page	Count/Do Not Number	None	No
Abstract	Count/Do Not Number	None	No
Human or Animal Subjects Review Form	Count/Do Not Number	None	No
Copyright Notice	Count/Do Not Number	None	No
Dedication	Count/Number	Bottom/Center	No
Acknowledgements	Count/Number	Bottom/Center	No
Table of Contents	Count/Number	Bottom/Center	No
List of Tables	Count/Number	Bottom/Center	Yes
List of Figures	Count/Number	Bottom/Center	Yes
Key to Symbols or Abbreviations	Count/Number	Bottom/Center	Yes
Text Pages	Arabic Numbers Starting at 1		
Introduction	Count/Number	Bottom/Center	Yes
Body of Dissertation (Chapters)	Count/Number	Bottom/Center	Yes
Summary or Conclusions	Count/Number	Bottom/Center	Yes
Recommendations	Count/Number	Bottom/Center	Yes
Reference Material			
Glossary (optional)	Count/Number	Bottom/Center	Yes
Endnotes or Footnotes (optional)	Count/Number	Bottom/Center	Yes

References (required) and Bibliography (optional)	Count/Number	Bottom/Center	Yes
Cover Sheet for Appendices	Count/Number	Bottom/Center	No
Appendices	Count/Number	Bottom/Center	Yes
Curriculum Vitae	Uncounted	Unnumbered	No

Appendix F

SAMPLE TITLE PAGE

DISSERTATION TITLE

by

JOHN Q. DOE

Submitted in partial fulfillment of the requirements
for the degree of Doctor of Philosophy
in *Name of Academic Area*
in the Graduate School
at Troy University

TROY, ALABAMA

Month, Year (of completion)

Appendix G

SAMPLE OF DISSERTATION ACCEPTANCE PAGE

DISSERTATION TITLE

Submitted by John Q. Doe in partial fulfillment of the requirements
for the degree of Doctor of Philosophy
in *Name of Academic Area*
in the Graduate School of
Troy University

Accepted on behalf of the Faculty of the Graduate School by the Dissertation committee:

_____	_____
Dissertation Chair	Date
_____	_____
Dissertation Committee member	Date
_____	_____
Dissertation Committee member	Date
_____	_____
Director/Chair of School/Department	Date
_____	_____
Dean of the College	Date
_____	_____
Associate Provost and Dean of Graduate School	Date

Appendix H

SAMPLE OF ABSTRACT

DISSERTATION TITLE

Author's name in full as it will appear on the diploma

The abstract should be no more than 250 words, not including title.

Appendix I

HUMAN OR ANIMAL SUBJECTS REVIEW FORM

for

Name of Student

Title of Research Project

This research project has been reviewed by the Institutional Review Board and approved as follows (the appropriate block must be checked by either the Dissertation Chair or the Chair of the Institutional Review Board):

- **Neither humans nor animals** will be used and this research is certified exempt from Institutional Review Board review by the Dissertation committee chair.
- **Human participants** will be used and this research is certified exempt from Institutional Review Board review by the Chair of the Institutional Review Board.
- **Human participants** will be used and this research was reviewed and is approved by the Institutional Review Board.
- **Animal participants** will be used and this research was reviewed and is approved by the Animal Research Review Board.

Signature of Dissertation Committee Chair

Date

Signature of School/Department Director/Chair

Date

Signature of Chair of Institutional Review Board

Date

Appendix J

SAMPLE COPYRIGHT STATEMENT

Copyright by*

John Q. Doe

Year

OR

This Dissertation may not be re-printed without the expressed written permission of the author.

** Please refer to "Copyrighting the Dissertation" to determine property ownership.*

Appendix K

SAMPLE OF DEDICATION AND ACKNOWLEDGEMENTS

I dedicate this research project to *May indicate wife, husband, friend, parents* whose unfailing support helped me achieve this important milestone in my life. I owe a debt of gratitude to many people who have helped me along the way to completion of this project. Foremost, I would like to thank *Name of Dissertation Chair* for agreeing to be the chair of my dissertation project. I would also like to thank my Dissertation Committee members for their substantial contributions to my Dissertation.

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Appendix O

**TROY UNIVERSITY
DISSERTATION BINDING FORM**

(Submit with the appropriate number of signed copies to be bound)

TO: Troy University Library

DATE: _____

Attn: Serials Department
Wallace Hall
Troy, AL 36082
Phone: (334) 670-3252
Email: <https://library.troy.ed>

FROM: _____

Last Name First Name Middle Initial

STUDENT ID NUMBER: _____

STUDENT EMAIL: _____

DISSERTATION TITLE: _____

UNBOUND COPIES TO BE SUBMITTED BY STUDENT:

# Submitted	For use by:
2	Troy University Library (Required)
1	Branch Library (Required for Global Campus sites only)
_____	Dissertation Chair, Department, or Committee Members (Optional - Verify number requested)
_____	Student Personal Use

_____ Total copies to be bound

Cost (payable in advance) equals total copies _____ (X) \$65. 00 each = \$ _____

Plus shipping /handling charges for Personal Use copies of \$5.00 each volume \$ _____

(Cost is valid for shipping within the continental United States only.)

TOTAL COST: \$ _____

Enclose payment in full. Check or money orders only. Make payable to **Troy University.**

_____ Mail bound copies (other than library copies) to: _____. Please call the student to pick up.

(Note: The address provided below must be good for at least a period of 4 months)

Address: _____

Telephone: _____

Central Library Information

_____ / _____

Date Received by Library / Signature of Person Receiving Original Copies

_____ / _____

Date Copies Returned for Distribution / Signature of Person Receiving & Mailing Bound Copies

Appendix P

Sample VITAE

Name of Author: John Q. Doe

Address: 1234 Stevens Street
Smithville, Alabama 23456

Telephone Number: (334) 123-4567

EDUCATION

Doctor of Philosophy in *Name of Academic Area* – Troy University, Troy, Alabama, year graduated.

Cognate Area:

Dissertation Title:

Masters of Science in Education – Name of school, location of school, year graduated

Major:

Thesis Title (if applicable):

Bachelor of Science in Education – Name of school, location of school, year graduated

Major area of study:

EMPLOYMENT OR TEACHING EXPERIENCE

Indicate with the most recent employment or teaching experience listed first.

SCHOLARSHIP

PUBLICATION(S)

List in the most recent research writing style of the College style with the most recent publication listed first.

PRESENTATION(S)

List in the most recent research writing style of the College style with the most recent publication listed first.

SERVICE

List any school-, college-, or university level service (i.e. committees)

List any community, academic, or professional service

List any professional or industry membership(s)

