

GUIDELINES FOR SUCCESSFULLY SCHEDULING AND COMPLETING YOUR DISSERTATION

**By The Office
of Graduate
Studies:**

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DISSERTATION/THESIS PROCESS OVERVIEW



PREPARATIONS

- Template
- Graduate Policy
- Thesis/
Dissertation
Director

TEMPLATE

- Visit webCentral to obtain the template for the dissertation located on the bottom right on the Student tab.
 - Login: <https://webcentral.du.edu/cp/home/displaylogin>
 - Select: Student tab

Template for style guide

Thesis and Dissertation Templates

- APA
- MLA
- Turabian/Chicago

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UNIVERSITY of
DENVER

UNIVERSITY GRADUATE POLICY

- Read the appropriate section of the Graduate Policy Manual:
 - “Master’s Degree Requirements”, page 59
 - “Doctoral Degree Requirements”, page 64
- Available under:
 - www.du.edu
 - “Current Students”
 - “Academics”
 - “Graduate Policy Manual”
- Schedule of Deadlines

THESIS/DISSERTATION DIRECTOR

- Select a primary thesis/dissertation director.
 - The thesis/dissertation director must be a tenured or tenure-track member of the candidate's graduate program. It is the thesis/dissertation director's responsibility to ensure that the student's research meets appropriate academic standards for the discipline in which the degree is being conferred.

PROPOSAL

- Department Guidelines
- Committee
- Student Status

DEPARTMENTAL GUIDELINES

- Read the Student Handbook to understand the “Prospectus” guidelines. Please note the Prospectus is terminology used in JK SIS for the dissertation proposal.
- Master’s Handbook:
<https://portfolio.du.edu/downloadItem/246799>
- Doctoral Handbook:
<https://portfolio.du.edu/downloadItem/236908>

PROPOSAL COMMITTEE

■ University Policy:

- Programs reserve the right to determine the composition of the dissertation proposal committee. However, only those who meet the following University requirements may serve as voting members of the oral defense committee.

■ Korbel Policy:

- “Each student is required to prepare a research prospectus outlining work to be carried out for the dissertation study. The document must be approved by the student’s dissertation (thesis) committee. That approval, in writing, can only be given following the completion of an oral “prospectus conference” between the student and the committee. It is very important, therefore, that a student agrees on a committee chair and two other committee members before proceeding too far with their prospectus (if necessary one committee member can come from elsewhere at Denver University, or from another university).”

CONTINUOUS ENROLLMENT

STUDENT STATUS

■ Consecutive Term Enrollment

- All graduate degree-seeking students must be in active status and enrolled for consecutive terms fall through spring.

■ Continuous Enrollment

- Registration for Continuous Enrollment (CE) is limited to students who have completed all their coursework (with the exception of Independent Research hours 4995/5995) and are pursuing academic work/research necessary to complete a degree. Continuous Enrollment is designed primarily for students who are working on a thesis, dissertation or research paper/capstone.

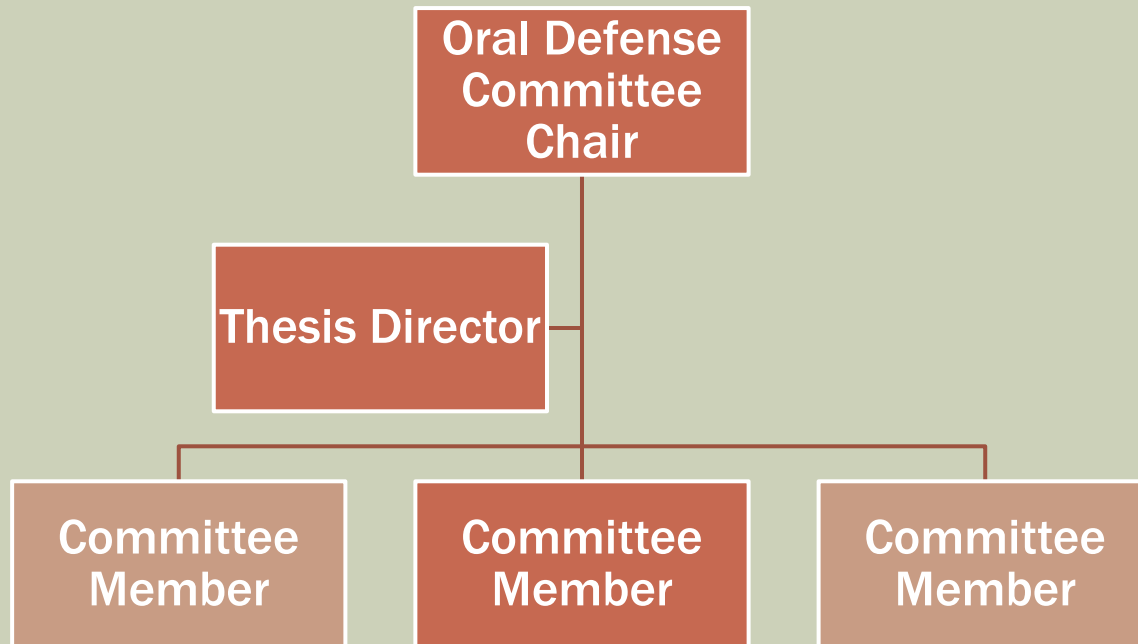
BACK-CONTINUOUS ENROLLMENT FEES

- Students who have finished their coursework but who have become inactive because they were not registered for CE or on an approved leave of absence from the program must complete the *Continuous Enrollment Application for Re-Admission*. The student must submit transcripts from any institution(s) s/he may have attended during his/her absence from DU.
- The student will owe CE and technology fees for the quarters s/he was not enrolled from winter quarter 2005 forward. In addition, a late fee may be assessed at the time of readmission. Paying fees for previous quarters will not make the student eligible for retroactive enrollment, financial aid, or retroactive loan deferment.”

THESIS ORAL DEFENSE COMMITTEE

- Composition
- Committee Chair
- Director
- Special Members

THESIS COMMITTEE COMPOSITION



A minimum of 3 committee members and a maximum of 5 committee members are permitted by Graduate Policy.

THESIS COMPOSITION

- The committee is composed of a minimum of **three** and a maximum of **five** members.
- Minimally two are voting members, including the thesis director. The chair of the committee is a non-voting member and must be from a department, school or college other than that of the candidate. All voting members of the committee must be full-time appointed faculty at DU and have research records appropriate to the student's area of specialization.
- Faculty from appropriately related programs who hold the terminal degree in their field may serve on the committee as long as the candidate's graduate program has the majority representation and a majority of the members hold the earned doctorate.
- When a master's degree is interdisciplinary, faculty representation from all disciplines must be reflected on the committee.

ORAL DEFENSE COMMITTEE CHAIR

- The committee member from outside of the student's graduate department represents the Associate Provost for Graduate Studies and serves as chair of the oral defense committee. The oral defense committee chair must be a tenured or tenure-track member of the DU faculty.
- It is the responsibility of the student to find an appropriate oral defense committee chair to serve who meets these requirements.
- The role of the chair is to provide a non-specialist's perspective on the quality of the thesis. The chair must be familiar with the standards for doctoral research and should have some general knowledge of the topic of the student's thesis. The chair is expected to have read the thesis prior to the examination and to participate in the examination as his/her academic expertise permits, but s/he does not vote on the committee.

THESIS DIRECTOR

- The thesis director must be a tenured or tenure-track member of the candidate's graduate program. It is the thesis director's responsibility to ensure that the student's research meets appropriate academic standards for the discipline in which the degree is being conferred.

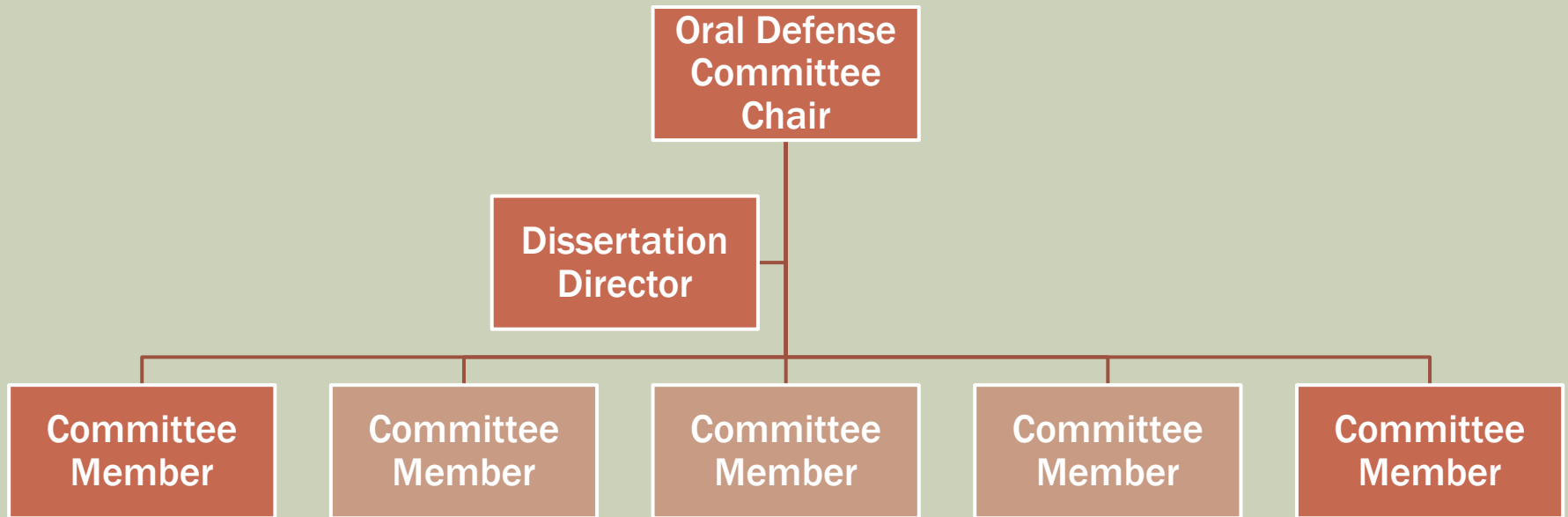
SPECIAL MEMBERS

- In rare occasions, students may request to add an adjunct faculty member, post-doctoral appointee, a professor from another institution, or another qualified person—including someone without a doctorate but with other appropriate qualifications—as a special committee member. A special member may not be considered a substitute for one who meets the University requirements; rather, the special member should be considered as an addition to the core committee.
- Students also may request that a non-tenure track, full-time appointed DU faculty member serve as committee chair.
- These requests must be supported by a strong rationale, have the support of the student's program and be approved by the Associate Provost for Graduate Studies. The request must include a statement of rationale, the proposed special member's CV, and the *Thesis/Dissertation Oral Defense Committee Recommendation* form.

DISSERTATION ORAL DEFENSE COMMITTEE

- Composition
- Committee Chair
- Director
- Special Members

DISSERTATION COMMITTEE COMPOSITION



A minimum of 4 committee members and a maximum of 7 committee members are permitted by Graduate Policy.

DISSERTATION COMMITTEE COMPOSITION

- The committee is composed of a minimum of **four** and a maximum of **seven** members.
- Minimally three are voting members, including the dissertation director. The chair of the oral defense committee is a non-voting member and must be from a department, school or college other than that of the candidate. All members of the committee must be full-time appointed faculty at DU and have research records appropriate to the student's area of specialization.
- Faculty from appropriately related programs who hold the terminal degree in their field may serve on the committee as long as the candidate's graduate program has the majority representation and a two-thirds majority of the members, excluding the director, hold the earned doctorate.
- When a doctoral degree is interdisciplinary, faculty representation from all disciplines must be reflected on the committee.

DISSERTATION ORAL DEFENSE COMMITTEE CHAIR

- The committee member from outside of the student's department or discipline represents the Associate Provost for Graduate Studies and serves as chair of the oral defense committee. The oral defense committee chair must be a tenured member of the DU faculty and must hold an earned doctorate from an accredited institution.
- It is the responsibility of the student to find an appropriate oral defense committee chair to serve who meets these requirements.
- The role of the chair is to provide a non-specialist's perspective on the quality of the dissertation. The chair must be familiar with the standards for doctoral research and should have some general knowledge of the topic of the student's dissertation.

DISSERTATION DIRECTOR

- The dissertation director must be a tenured or tenure-track member of the candidate's graduate program. It is the dissertation director's responsibility to ensure that the student's research meets appropriate academic standards for the discipline in which the degree is being conferred.

SPECIAL MEMBERS

- In rare occasions, students may request to add an adjunct faculty member, post-doctoral appointee, a professor from another institution, or another qualified person—including someone without a doctorate but with other appropriate qualifications—as a special committee member. A special member may not be considered a substitute for one who meets the university requirements; rather, the special member should be considered as an addition to the core committee.
- Students also may request that a non-tenure track, full-time appointed DU faculty member serve as committee chair.
- These requests must be supported by a strong rationale, have the support of the student's program and be approved by the Associate Provost for Graduate Studies. The request must include: a statement of rationale, the proposed special member's CV and the Thesis/Dissertation Oral Defense Committee Recommendation form.

COMMITTEE APPROVAL

- Deadlines
- Forms
- Permission

THESIS/DISSERTATION ORAL DEFENSE COMMITTEE RECOMMENDATION FORM

- The oral defense committee should be approved as soon as the thesis/dissertation proposal has been approved or defended but no later than the first day of the term in which the student expects to complete his/her degree.

- Form:
<http://www.du.edu/currentstudents/graduates/committee.pdf>
- Approval:
 - Thesis/Dissertation Director
 - Department Chair
 - Associate Provost

SCHEDULE OF ORAL DEFENSE

- Formal notification of the oral defense should be filed in the Office of Graduate Studies no later than **four weeks** before the defense date and in accordance with the university schedule of deadlines when graduation candidacy is in the same quarter as the defense.
- Form:
<http://www.du.edu/media/documents/graduates/oralexam.pdf>
- Approval:
 - No signatures are required.
 - Both the Office of Graduate Studies and the department need to receive the completed form by the deadline.
- After the form has been submitted, the Office of Graduate Studies will verify that all members meet the minimum university requirements.

ORAL DEFENSE

SUBMIT COPY TO COMMITTEE

- Submit the thesis/dissertation to the oral defense committee at least two weeks before the date of the defense.
- The Oral Defense Committee Chair should receive a copy, as the chair is expected to have read the thesis/dissertation prior to the defense and to participate in the defense as his/her academic expertise permits, but he/she does not vote on the committee.

ORAL DEFENSE

- Satisfactorily complete the oral defense at **least three weeks** before the end of the term in which the degree is to be awarded.
- The oral defense committee chair will preside over and manage the defense process. He or she is responsible for making certain that the defense is conducted in a professional manner and that the student has a fair opportunity to defend his/her thesis/dissertation. The chair is expected to provide opportunities for each voting member of the oral defense committee to participate in the defense and to ensure that the defense is of high quality while remaining within proper limits of inquiry. Interested faculty members, and in accordance with departmental policy, currently enrolled graduate students also may attend the oral defense. After the oral defense committee has conducted the essential examination of the candidate, questions may be asked by others present if pertinent, appropriate as determined by the defense committee.

RESULTS OF ORAL DEFENSE

- When the defense is completed, the chair will request that the candidate and all other persons not on the defense committee leave the room and will call for a motion to pass or fail the candidate.
- A recommendation to pass can have no more than one negative vote from members of the committee.
- If the motion is a recommendation to pass, the committee must then agree on the conditions of the recommendation.

Recommendations

- Pass with no revisions
 - Pass with minor revisions
 - Pass with major revisions
 - Fail
-
- The *Result of Oral Defense Form* must be signed by all committee members.
 - The form needs to be returned immediately to the Office of Graduate Studies.

THESIS/DISSERTATION

- Formatting
- Deadlines
- Submission Instructions

THESIS/DISSERTATION FORMATTING

- Formatting Guidelines:
<http://www.du.edu/media/documents/graduates/formatting.pdf>
- The University of Denver's Office of Graduate Studies is committed to the preservation and dissemination of the research contributions of its students; most of the formatting requirements were established with that commitment in mind. Additionally, format requirements meet the requirements of UMI Dissertation and Thesis Publishing (ProQuest Information and Learning).
- While the content of a thesis/dissertation is the prerogative of the student and his/her thesis/dissertation committee, and the style of the writing determined by the department, the format is established by Graduate Studies.
- If your thesis/dissertation does not conform to the minimum standards, you will be required to redesign and resubmit it.

SUBMISSION

- The primary avenue for submitting the students' work is electronically through ProQuest/UMI because it is widely known and respected as the main searchable database for scholarly work.
- Students are encouraged to submit the dissertation to ProQuest.
- This provides the University of Denver and the author an opportunity to showcase and promote scholarly work through Digital DU.
- The electronic submission instructions can be found at:
<http://www.du.edu/media/documents/graduates/ETD.pdf>.

SUBMISSION/FORMATTING DEADLINE

- Submit electronic copy of thesis/dissertation to ProQuest and have faculty approval page submitted to the Office of Graduate Studies **two weeks** prior to the end of the term.
- If revisions are such that the thesis/dissertation in its final form cannot be filed at least **two weeks** before the end of the quarter, the awarding of degrees will be postponed.

EMBARGOS AND RESTRICTIONS

- Reasons
- Renewal
- Penrose Access
- Opt-Out

EMBARGO, OPT-OUT, SUPPRESSION

- Embargo
 - Reasons
 - Renewal
 - Penrose Access
- Opt-Out
 - Procedure
- Permanent Suppression
 - Procedure

REASONS FOR EMBARGO

- The student is interested in pursuing the option of an academic or commercial press in acquiring the rights to publish the dissertation as a book.
- The student is interested in submitting work from the dissertation to a peer-reviewed journal.
- There are patentable rights in the work in which disclosure may be detrimental to the rights or interests of the author.
- There is an ethical need to prevent disclosure of sensitive or classified information about persons, institutions, technologies, etc. for a time-limited period.
- If a student believes that they will need to restrict access for a limited time period they can request a 6 month, 1 year, or 2 year embargo.
- When an embargo expires, the thesis/dissertation will be automatically made available electronically by ProQuest.

RENEWING AN EMBARGO

- If a student wishes to continue to restrict access for a limited time period, the student can request a six month, one year, or two year renewal on the embargo. A student and his/her thesis/dissertation chair director will submit a memo to the Associate Provost for Graduate Studies explaining the issue and stating that access to the work stills needs to be temporarily restricted. The Associate Provost must approve the final decision for permission to renewal embargo. A student may only request two embargo renewals for a maximum of six year embargo period. Students with extenuating circumstances should consult the Associate Provost for Graduate Studies.
- If the embargo extension is approved, the student should contact ProQuest directly at 1-800-521-0600 x7020 or via email at disspub@proquest.com.

PENROSE ACCESS DURING EMBARGO

- When an embargo is in place because:
 - The student is interested in pursuing the option of an academic or commercial press in acquiring the rights to publish the thesis/dissertation as a book.
 - The student is interested in submitting work from the thesis/dissertation to a peer-reviewed journal.
- Penrose Library will make the work available only to the DU Community and through Inter-Library Loan in a PDF format. The work will not be made available outside the DU Community over the internet.

PENROSE ACCESS DURING EMBARGO

- When an embargo is in place because:
 - There are patentable rights in the work or other issues in which disclosure may be detrimental to the rights or interests of the author.
 - There is an ethical need to prevent disclosure of sensitive or classified information about persons, institutions, technologies, etc. for a time-limited period.
- Penrose Library will completely restrict access to the work until such time that they are notified by ProQuest that the embargo has been released. At that time, the work will be made available through the Library's online catalog, with links to ProQuest and the library's digital repository.

OPT-OUT PROCEDURE

- In some instances a student may wish to use only Penrose Library as the repository of their work. In such cases the student will submit their work digitally to Penrose and it will be made available only to the DU Community and through Inter-Library Loan in a PDF format.
- A student and his/her thesis/dissertation chair director will submit a memo to the Associate Provost for Graduate Studies explaining the issue and stating that access to the work needs to be restricted. The Associate Provost must approve the final decision for permission to restrict access to the work. In either of these cases a student and the dissertation director will submit a memo to the Associate Provost for Graduate Studies explaining the issue and stating that access to the work needs to be restricted.

PERMANENTLY SUPPRESS

- In rare cases, where the work includes proprietary information such as company data and records or confidential information that should never be made public, such as client records/interviews or some other serious condition that justifies such an action it may be appropriate for a student to ***permanently suppress*** their work. In such cases the student will submit their work electronically to Penrose Library. The work will be retained by the library and listed in catalog system, but will not be accessible without permission from the author.
- A student and his/her thesis/dissertation chair director will submit a memo to the Associate Provost for Graduate Studies explaining the issue and stating that access to the work needs to be restricted. The Associate Provost must approve the final decision for permission to restrict access to the work.

QUESTIONS?

GSTSTU@DU.EDU

303-871-2706

MARY REED BUILDING, ROOM 5

The Office of
Graduate
Studies:

Elizabeth
Buckius

Molly Hooker

Abigail Misic

THANK YOU!

Office of
Graduate
Studies