

University of Portland
Graduate School
Dissertation & Thesis Guidelines

Establishing a Committee

Candidates with a dissertation or thesis requirement in their graduate program must follow the guidelines below.

Doctoral Dissertation Committees:

- Upon completion of Year 1 of the program, the candidate and the Graduate Program Director (Associate Dean) will consult to identify the candidate's dissertation chair and committee members.
- The dissertation committee will consist of three University of Portland faculty members, two of whom must be from the School of Education*. The chair must be a School of Education tenure-track faculty member. All committee members must hold a doctoral degree.
- After review by the chair and committee members, one or two additional non-voting committee participants may be selected because of their expertise in an area (e.g. statistics, content area, etc.) not represented by the committee members. These additional committee participants must hold a minimum of a master's degree (doctorate degree preferred) and must exit the proposal and final defense hearings during the committee deliberations. All additional committee participants must be approved by the Graduate Program Director (Associate Dean) and the candidate is responsible for all expenses related to their participation. The chair will contact the additional committee participants regarding their role and responsibilities.
- Once the committee is formed, the candidate may begin to work on a dissertation proposal.

*Per the Campus Alberta Quality Council's requirements, dissertation committees for Edmonton-based cohorts will include two additional members, for a total of five individuals: (1) a committee member who is a University of Portland faculty member outside of the School of Education and (2) a committee member who is employed by a peer institution. All committee members must hold a doctoral degree.

Master's Thesis Committees:

- Once a candidate has completed about 50% of his or her degree program requirements, the candidate should consult with his or her Graduate Program Director and establish a thesis committee consisting of three University of Portland faculty members.
- The chair and one other faculty member (2 out of 3) must hold a terminal degree.
- After review by the chair and committee members, one or two additional non-voting committee participants may be selected because of their expertise in an area (e.g. statistics, content area, etc.) not represented by the committee members. These additional committee participants must hold a minimum of a master's degree (doctorate degree preferred) and must exit the proposal and final defense hearings during the committee deliberations. All additional committee participants must be approved by the Graduate Program Director and the candidate is responsible for all expenses related to their participation. The chair will contact the additional committee participants regarding their role and responsibilities.
- Once the committee has been approved by the Graduate Program Director, the candidate selects a chair, asks the chair to serve, and when the chair has agreed to

serve; then, the candidate may begin to work on a thesis proposal. The chair becomes the candidate's academic advisor.

Dissertation/Thesis Proposal

It is the candidate's responsibility to schedule regular meetings with the chair to discuss the chair's expectations regarding the quality of the proposal.

Dissertation/thesis proposals will minimally include an introduction, literature review, and a description of methodology. A timeline for critical activities and completion must also be included. Specific guidelines are determined by the dissertation or thesis chair.

Once the chair has approved of the proposal, then the other committee members or "readers" are asked to read the proposal. All committee members should be given at least two weeks to read drafts of the dissertation or thesis proposal.

The proposal defense or hearing should be scheduled by the chair upon completion of at least 24 hours of course work. When the chair and committee members are ready for the proposal defense, the candidate coordinates a day and time that the committee and candidate may meet for the proposal hearing.

Once the candidate has obtained the committee's agreed upon date and time for the hearing, the proposal hearing is officially filed with the Graduate School by the chair one week prior to the hearing by completing the steps below:

- Fill out the Notice of Dissertation/Thesis Proposal or Final Defense form (see Appendix A);
- Collect the required signatures;
- Give a copy to the candidate, committee members, and the Graduate Program Specialist/Counselor of the candidate's unit (for the candidate's file); and
- Give the original to the Graduate School.

The unit will schedule a room for the hearing.

Proposal Defense

A 1.5-hour time slot is scheduled for this hearing. The chair of the dissertation or thesis conducts the hearing. The candidate is asked to prepare a 10-15 minute formal presentation explaining justification, rationale, brief overview of the review of literature and proposed methods.

Because the proposal hearing is designed to establish *agreed upon* future work, this hearing must be held no later than the semester prior to the expected final defense and degree completion. Candidates may not hold both a proposal and final defense within the same semester.

The chair, voting committee members and any additional non-voting committee participants may attend the hearing; guests and faculty members in the unit may not attend, unless given explicit approval by the chair prior to the hearing. Any additional non-voting committee participants, guests, or faculty members in the unit who attend the

proposal hearing are asked to leave, along with the proposal candidate, approximately 15 minutes before the proposal hearing is scheduled to end. While any additional non-voting committee participants, guests, or faculty members in the unit and the candidate are outside, the voting committee members discuss whether or not the proposal is acceptable. Only the voting committee members may vote or make binding recommendations for the dissertation or thesis work.

There must be unanimous consensus among the voting committee members that the proposal is acceptable. The agreed upon proposal becomes a binding agreement between candidate and his or her committee members. Before adjourning the proposal defense hearing, the chair obtains the required signatures on the appropriate approval form (see Appendix B). The chair then provides a copy to the Dean and the candidate and gives the original to the Graduate Program Specialist/Counselor of the candidate's academic unit for the candidate's file.

Any changes the candidate needs to make to the proposal before proceeding with the study must be agreed upon by the chair, voting committee members, and candidate and be documented. The chair should then submit a copy of this documentation to the Graduate Program Specialist/Counselor of the candidate's academic unit for the candidate's file.

Dissertation or Thesis Management

If the dissertation or thesis proposal significantly changes after it is approved, the chair may convene a meeting with the candidate and committee members to discuss the changes and new direction of the study, which may require a new proposal defense. Additionally, once the dissertation or thesis proposal has been approved, any change in committee must be requested by the candidate in writing to his or her respective Graduate Program Director with an explanation for the request. The new committee member(s) must indicate in writing a willingness to serve and to accept the proposal as presented at the defense, but if the new member agrees to serve but has new recommendations regarding the dissertation or thesis work, the candidate is responsible for following the recommendations, as approved by the chair.

The candidate must be continuously enrolled in the dissertation or thesis course from the time the proposal to the final defense. In selecting a thesis chair, master's candidates should recognize that a minimum of two semesters of work may be necessary and that chairs will be paid only for the three credits the candidate enrolls. Both doctoral and master's candidates should be certain that their chair is willing to spend his or her time reading the entire dissertation or thesis and is committed to the proposal and the timetable.

It is the candidate's responsibility to seek out faculty help and it is the faculty chair's responsibility to make adequate time for the candidate, including planning the work, discussion, help in analysis of the work, and final editing time. Committee members may expect to act in the minimum capacity as a reader, but additional assistance may be requested by the candidate.

The campus Institutional Review Board (IRB) must approve any research involving human subjects (see Appendix C). Candidates must wait until their proposal defense is approved before submitting an IRB proposal. Study data may not be collected until the IRB proposal is approved.

The faculty is concerned about the occasional practice of using literature search services, statistical consultants, or other third-party assistance in the completion of the dissertation or thesis work. *In general, the candidate should perform all research work independently.* If outside assistance is used, the candidate has an obligation to limit such aid to clerical assistance and operational advice. The candidate is expected to have attained personal professional mastery of the literature, problem, research techniques, design, analysis, results, and implications.

Dissertations must be written and formatted according to the guidelines set forth in the most current edition of the *Publication Manual of the American Psychological Association*. Additional dissertation formatting guidelines will be provided to candidates by the unit. A dissertation or thesis should be written following the style guidelines of the discipline or unit. A request for a style substitution should be directed to the candidate's dissertation or thesis committee and to the Dean of the Graduate School.

Final Dissertation or Thesis Defense and Oral Examination

The oral presentation serves as a basis for the defense of the dissertation or thesis. It includes the presentation of the candidate's interpretations of the research. The candidate will defend the relevance of the topic as a contribution to the field of research. All aspects of the study may be questioned.

The final defense and oral examination is scheduled after the committee has accepted the completed draft of the dissertation or thesis. The dissertation chair, in consultation with the candidate and the committee members, should plan a final defense and oral examination at least four weeks prior to the date of graduation. The thesis chair, in consultation with the candidate and the committee members, should plan a final defense and oral examination at least six weeks prior to the date of graduation.

At least two weeks prior to the desired final defense and oral examination date, the dissertation or thesis chair will provide notice of the defense date and time to the academic unit and to the Graduate School by completing the following steps:

- Fill out the Notice of Dissertation or Thesis Defense form (Appendix A);
- Collect the required signatures;
- Give a copy to the candidate, committee members, and the Graduate Program Specialist of the candidate's academic unit (for the candidate's file); and
- Give the original to the Graduate School.

A 1.5-hour time slot is scheduled for the final defense. The unit will schedule a room for the defense. The Graduate School Dean or an appointed representative will attend the defense. The defense is open to the University of Portland faculty and candidates. An

invitation to attend the defense will be extended by the unit to the university community. Other invitations are the responsibility of the candidate.

Copies of the abstract of the study will be provided by the candidate for distribution at the final defense. The candidate will give a 30-minute formal presentation that covers all chapters of the dissertation or thesis. The candidate should also be prepared to answer questions from the attendees. In the case of dissertation defenses, candidates will bring printed copies of the Signature Page (see Appendix D) to the defense.

The final defense and oral examination is moderated by the chair; however, all committee members may ask questions. All faculty members and additional non-voting committee participants may ask questions, but only members of the committee may vote. All guests, including any additional non-voting committee participants and the candidate, are asked to leave during the deliberations. The Graduate School Dean or an appointed representative will be present during the deliberations as an observer only. The voting committee members must unanimously agree that the oral presentation is successful. If the voting committee members would like the candidate to make any modifications to the written dissertation or thesis, the requested revisions will be briefly noted in writing. The chair will then call the candidate in to the defense room and give him or her oral notice that the defense was successful.

Before adjourning of the oral examination, the chair will secure the required signatures on the Committee Approval of Final Dissertation Defense/Oral Examination form or the Committee Approval of Final Thesis Defense/Oral Examination form (see Appendix B). Any requested modifications to the written dissertation or thesis should be briefly noted in writing and appended to the approval form. The chair and candidate will discuss any requested modifications in detail after the oral examination. In the case of dissertation defenses, the chair will also secure the required signatures on the Signature Pages (see Appendix D) provided by the candidate at the end of the dissertation defense. The Graduate School Dean or an appointed representative observes to protect the interests of the candidate, faculty, and the Graduate School. The chair provides a copy of the completed approval form to the Dean and the candidate, and gives the original to the Graduate Program Specialist/Counselor of the candidate's unit for the candidate's file. The chair gives the signed Signature Sheets to the Graduate Program Specialist/Counselor of the candidate's unit to collect the remaining required signatures.

Submission of the Final Copy

One digital (PDF) copy of the finished and fully approved dissertation or thesis and a completed, signed, and scanned (PDF) copy of the Pilot Scholars Submission Agreement (see Appendix E) must be submitted via email to the unit at least two weeks prior to graduation. The unit will forward the digital dissertation or thesis and completed Pilot Scholars Submission Agreement to the Head of Public Services in the Clark Library.

The digital copy should adhere to the following guidelines:

- The digital copy should include an exact copy of the signed signature page.

- The file should be submitted in PDF format (Word files can be converted to PDF on lab computers) via email attachment to the unit.
- Oversized drawings (e.g. set designs) should be included in the file at the appropriate place in the document. (Commercial services can scan oversize documents and convert them into PDFs for inclusion in the dissertation/thesis file.)
- When non-text CDs are submitted (e.g. recitals):
 - All tracks should be named to reflect the actual content rather than listing them as track 1, etc.
 - Audio files should be submitted in MP3 format. (Media Services can assist candidates in meeting these requirements.)
- Dissertation or thesis pages that are not scan-able (e.g. material swatches) should be submitted as accompanying material. If such pages are numbered in the print version of the dissertation/thesis, the page number should be included on the copy of the page that accompanies the digital version.

Additionally, the candidate should submit a finished, fully approved and bound hardcopy of the dissertation/thesis, along with the signed signature page (see Appendix D), to his or her Chair, unless the Chair states that a different method of submission is preferred. The hardcopy of the dissertation or thesis needs to be printed on 20 lb., 25% rag content paper. Additional submission, printing and binding guidelines may be provided by the unit.

Appendix A

Notice of Dissertation/Thesis Proposal or Final Defense Form

University of Portland Graduate School
Notice of Dissertation/Thesis Proposal Defense or Final Defense

CANDIDATE NAME: _____

WILL PRESENT: (check one)

- ☐ DISSERTATION PROPOSAL
- ☐ THESIS PROPOSAL
- ☐ FINAL DISSERTATION
- ☐ FINAL THESIS

TITLE:

NAMES OF COMMITTEE MEMBERS:

_____ (if applicable)

_____ (if applicable)

HEARING DATE: _____ HEARING TIME: _____

Graduate Program Director

Committee Chair

Dean of the Unit

Dean of the Graduate School

Instructions:

Committee Chair:

Give a copy of this completed and signed form to the Graduate Program Specialist/Counselor of the candidate's unit (for the candidate's file), the candidate, and the committee members. Submit the original to the Graduate School. The unit will reserve a room for the defense and invite faculty to attend.

Unit Checklist:

- ☐ Room reserved. ROOM: _____
- ☐ Room information emailed to the candidate and Committee Chair on: ____/____/____
- ☐ FOR FINAL DEFENSE: Invitation to attend the defense extended to the university community on: ____/____/____
- ☐ FOR FINAL DEFENSE: A Graduate School representative appointed to attend.

Appendix B

Proposal and Final Defense Committee Approval Forms

University of Portland Graduate School
Committee Approval of Dissertation Proposal Defense/Oral Examination

Candidate Name: _____

Candidate Identification Number: _____

Dissertation Proposal Defense Date: _____

This is to certify that, on this date, this candidate's Dissertation Committee met and approved his/her proposal.

Proposal Title: _____

APPROVED BY:

Chair	Date
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Committee Member	Date
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Committee Member	Date
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Committee Member (if applicable)	Date
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Committee Member (if applicable)	Date
----------------------------------	------

Committee Member (if applicable)	Date
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Dean's Approval:

Dean of the Unit	Date
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Chair: Please give a copy of this signed form to the Dean and the candidate and give the original to the Graduate Program Specialist/Counselor (for the candidate's file).

University of Portland Graduate School
Committee Approval of Thesis Proposal Defense/Oral Examination

Candidate Name: _____

Candidate Identification Number: _____

Thesis Proposal Defense Date: _____

This is to certify that, on this date, this candidate's Master's Thesis Committee met and approved his/her proposal.

Proposal Title: _____

APPROVED BY:

Chair

Date

Committee Member

Date

Committee Member

Date

Committee Member (optional)

Date

Dean's Approval:

Dean of the Unit

Date

Chair: Please give a copy of this signed form to the Dean and the candidate and give the original to the Graduate Program Specialist/Counselor (for the candidate's file).

University of Portland Graduate School
Committee Approval of Final Dissertation Defense/Oral Examination

Candidate Name: _____

Candidate Identification Number: _____

Final Dissertation Defense Date: _____

This is to certify that, on this date, this candidate's Dissertation Committee met and approved his/her final oral defense of his/her dissertation with corrections as attached to this form.

Final Dissertation Title: _____

APPROVED BY:

Chair	Date
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Committee Member	Date
------------------	------

Committee Member	Date
------------------	------

Committee Member (if applicable)	Date
----------------------------------	------

Committee Member (if applicable)	Date
----------------------------------	------

Committee Member (if applicable)	Date
----------------------------------	------

Dean's Approval:

Dean of the Unit	Date
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Dean of the Graduate School	Date
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Chair: Please give a copy of this signed form to the Dean and the candidate and give the original to the Graduate Program Specialist/Counselor (for the candidate's file).

University of Portland Graduate School
Committee Approval of Final Thesis Defense/Oral Examination

Candidate Name: _____

Candidate Identification Number: _____

Final Thesis Defense Date: _____

This is to certify that, on this date, this candidate's Master's Thesis Committee met and approved his/her final oral defense of his/her thesis with corrections as attached to this form.

Final Thesis Title: _____

APPROVED BY:

Chair Date

Committee Member Date

Committee Member Date

Committee Member (optional) Date

Dean's Approval:

Dean of the Unit Date

Dean of the Graduate School Date

Chair: Please give a copy of this signed form to the Dean and the candidate and give the original to the Graduate Program Specialist/Counselor (for the candidate's file).

Appendix C

Human Subjects Research Approval

IRB/Human Subjects Research Approval

The Institutional Review Board (IRB) reviews and oversees research and classroom projects involving human subjects carried out by members of the University community. The IRB maintains a website with detailed proposal guidelines, the required forms, and the IRB meeting schedule at <http://www.up.edu/irb>.

All research and classroom projects involving human subjects carried out by members of the University community must be approved by the IRB prior to such studies being undertaken. This policy applies to any work whether new, ongoing, or proposed for funding, whether conducted at the University of Portland or elsewhere, by anyone affiliated with the University of Portland (i.e. faculty, staff, undergraduate students, graduate students).

All candidate research involving human subjects must be supervised by a faculty member. Candidates completing a doctoral dissertation or master's thesis should carefully review and adhere to the "Students Conducting Research" guidelines on the IRB website.

Appendix D

Signature Page Examples

Dissertation Signature Page Example

Dissertation Title

by

Candidate's Name

This dissertation is completed as a partial requirement for the Doctor of Education (EdD) degree at the University of Portland in Portland, Oregon.

Approved:

Chair

Date

Committee Member

Date

Committee Member

Date

If applicable:

Committee Member

Date

Committee Member

Date

Approved:

Graduate Program Director

Date

Dean of the Unit

Date

Dean of the Graduate School

Date

Thesis Signature Page Example

Thesis Title

by

Candidate's Name

This thesis is completed as a partial requirement for the degree _____
at the University of Portland in Portland, Oregon.

Approved:

Chair

Date

Committee Member

Date

Committee Member

Date

Approved:

Graduate Program Director

Date

Dean of the Unit

Date

Dean of the Graduate School

Date

Appendix E

Pilot Scholars Submission Agreement

Pilot Scholars: License, Release, and Consent for Course Material

Student's Name (First, Middle, Last): _____

Advisor's Name (First, Middle, Last): _____

Title of the Work: _____

Completion Date: _____

Degree (graduate students) or Program (undergraduate students): _____

College and Department (e.g. College of Arts and Sciences, Department of History): _____

I hereby grant to the University of Portland, Clark Library, and their agents (collectively, the "University") a non-exclusive, royalty-free, perpetual license to use, display, distribute, transmit, copy, reproduce, archive, or otherwise make accessible my work named above (the "Work") in whole or in part in all forms of media, now or hereafter known. **I retain all ownership rights to the copyright in the Work.**

I hereby certify that I am the sole owner of the content contained in the Work and, as such, hold exclusive control of the rights granted to copyright holders by the Copyright Act (17 U.S.C. §106). I certify that, if appropriate, I have obtained written permission from the owner(s) of all third party copyrighted matter included in the Work, and am able to produce such permission upon request of the University. I also certify that the Work contains no libelous material, does not violate the privacy of any individual, and does not otherwise violate the law.

I understand that I am not entitled to payment or any other compensation for use of the Work under this agreement. I hereby release the University from any and all liability relating to use of the Work as licensed herein.

I acknowledge and understand that the Work may constitute an educational record under the Family Education Rights and Privacy Act (20 U.S.C. § 1232g). I authorize the University to publish the Work on its website and I recognize that the University has no control about how such information is accessed or used.

Signature: _____

Date Signed: _____