Graduate Education
Thesis & Dissertation Writing Workshop

Spring 2019
Maribeth Price, Dean of Graduate Education

Part II: Finishing your thesis or dissertation
The Office of Graduate Education
C 2201

• Maribeth Price
  • Dean of Graduate Education

• Rachel Howard
  • Admissions, applications, assistantships

• Trudy Severson
  • Student progress, POS processing, degree audits, thesis/dissertation processing
Steps
You’re getting close!

• Define a topic area and establish committee
• Review the literature
• Develop and refine research question
• Develop and refine methods
• Collect and analyze data
• Write up the results
• Get approval of document from advisor
• Get approval from committee
• Defend
• Final edits

Process is not as linear as it appears!
Manuscript preparation
Two style options

• Traditional Thesis/Dissertation

• Compilation of Journal Articles
The required components of an M.S. thesis or Ph.D. dissertation include the following. ALL components MUST be available for committee review prior to the defense.

- Title Page,
- Abstract,
- Acknowledgements,
- Table of Contents,
- List of Tables,
- List of Figures,
- Introduction
- Theory and/or Literature Search
- Methods
- Results
- Conclusions
- Bibliography,
- Appendices,
- Vita.

Chapter titles and organization are flexible to accommodate differences in disciplines, but these components should be present and recognizable.
Journal Articles Style

- Title Page,
- Abstract,
- Acknowledgements,
- Table of Contents,
- List* of Tables,
- List* of Figures,
- **Introduction** to the full body of work represented by the articles
- **One or more journal articles**, 
- **Conclusions** including a summary of conclusions from the articles and implications from the work as a whole
- Bibliography for references not in the articles,
- Appendices (include documentation for permission to reproduce published/copyrighted articles),
- Vita.

* - Note that the lists of tables & figures refers to tables and figures in the Introduction and the Conclusions.
Previously published material

• What if I publish a paper before it is included in my thesis/dissertation?
  • Publishers usually assert copyright ownership of papers they publish.
  • Most readily give permission for the paper to be reprinted in a thesis/dissertation, but it takes time.
  • Documentation of permission must be included in the first appendix of your thesis/dissertation

• Applies to accepted or published papers, not submitted ones
Graduate Office

• Updated annually
• Use the current version!
  • Do not copy from old thesis/dissertation
  • Do not use an online source
• LaTex template available
• Includes templates for title page
### Thesis/Dissertation Format Checklist

**Global formatting requirements**

**Page layout**
- Pages are standard letter size (8.5 by 11 inches) in portrait orientation
- All pages are one-sided
- The body text is double-spaced
- Paragraphs are indented

**Margins**
- 1.5-inch margin on the left, including the title page
- 1-inch margins on the top, bottom, and right
- Landscape and double-size pages have the same margins as portrait pages

**Fonts**
- Body text font is in 12-pt. Times New Roman or similar serif font
- The same body text font is consistently used throughout
- Figure/table captions are distinctive from the body text but at least 10 pt.
- No text is smaller than 10 pt.
- Headings clearly indicate the hierarchy

**Page numbers**
- Numbers appear in the upper right corner, ¾” from the top and right side.
- The title page and copyright page are not numbered
- The front matter (starts with Abstract) is numbered using lower-case Roman numerals (i, ii, iii…)
- The rest (starting with Chapter 1) is continuously numbered with Arabic numerals (1, 2, 3…)

**Figures and tables**

**Table/figure layout**
- Centered on portrait pages with caption immediately above (tables) or below (figures)
- Footnotes appear at bottom-right but numbered as in the portrait pages
The Title Page

• Must be in the exact format shown in the CURRENT year’s thesis writing instructions.
  • Do NOT copy a title page from someone who previously graduated
  • Do NOT copy a title page from an online source
  • Triple-check names, titles, departments

• There is only ONE master title page with original signatures of your committee.
  • Subsequent copies of your thesis will contain a copy of the original signed title page.
MS Title Page

- Title
- Author
- Standard text
- Degree
- Institution
- Defense date
- Required signatures:
  * Graduate Advisory Committee
  * Department Head or Program Coordinator
  * Graduate Dean

See the writing manual for more examples of committee names
PhD title page

Ph.D. Title page: same format as M.S.

Use of 10 pt. font is ok to fit additional committee members, if needed.

See the writing manual for more examples of committee names
Who owns a thesis/dissertation?

• The ownership rights to theses and dissertations created by students is governed by SD BOR Policy 4:34 and the SD Mines policy IX-2.

• Students with questions regarding intellectual property, patents, and inventions are advised to review these policies and contact the SD Mines Office of Research Affairs with questions.
Copyright

- Students are encouraged to place a copyright notice in every thesis or dissertation.
- The student must, as a condition of a degree award, grant royalty-free permission to the School to reproduce, use, and publicly distribute copies of the thesis or dissertation.

Copyright © 2017 by Koffee R. Bean
All Rights Reserved
Printing

• All revisions, edits, and proofreading are done electronically.¹

• ONE final copy on archival paper is printed by you. The library makes the rest.²

• The ONE copy is printed after ALL revisions and proofreading are done.

• The TITLE PAGE is printed earlier, for your committee to sign to indicate acceptance of the document.

¹ Unless you have a committee member who prefers paper.
² For items larger than 11x17”, like maps, you must provide enough copies.
PAPER

- Devereaux Library has very specific archival paper requirements
- The SD Mines bookstore sells the right kind
  - Buy paper from the bookstore early, in case they run out.
- If purchasing paper elsewhere, consult with the Library FIRST for detailed requirements
Copying and Binding

• Contact the Devereaux Library to set up an appointment to discuss costs.

• Budget $200-$300+ depending on:
  • document length
  • number of color pages
  • number of copies

• The Library at retains:
  • Original unbound manuscript
  • 1 bound copy
  • 1 cd copy (in PDF format)

• Additional copies may be required for:
  • Department
  • Major Professor
  • Industrial partners or funding agencies

• The Library will sign a form indicating that you have ordered and paid for the necessary copies.
Timelines
Process overview
General steps to completion

• Schedule target defense date with committee
• Major professor approves document
• Committee approves document
• Schedule defense with Grad Office
• Defend
• Revise document as committee requires
• Committee signs title page to approve revisions
• Submit to Grad Office for proofreading
• Make final corrections
• Print on archival paper and submit to Library
The defense process
In detail. Just take it a step at a time.

You will get this document by email; it is also on the Forms site.

Thesis/Dissertation Completion Instructions
The forms listed in this document may be found at http://www.sdmut.edu/Academics/Graduate-Education/Grad-Ed-Forms/.

Getting ready to defend


2. Review the Schedule and Procedures for Defense and the current year Graduate Education Deadlines well in advance. Be sure to allow about 6-10 weeks to complete the defense process once the thesis/dissertation (TD) is written. Pay particular attention to the last day possible to submit your final document to the Grad Ed Office. Check early on with your committee members about their availability, not only for your defense, but also for follow-up. This is particularly important during the summer.

3. Contact Deveraux Library's Coordinator of Library Operations for cost estimates for printing and binding (library@sdmut.edu). The appropriate archival paper is available at the Minn Bookstore. If purchasing from elsewhere, contact the library for paper specifications.

4. Submit your TD to your major professor for review. He or she will verify when the TD is ready to go to your committee. At this time, also discuss whether the TD will require corrections from Research Affairs as a restricted TD, so that you can arrange for the approval needed on the Defense Approval and Scheduling form with time to spare.

5. The Graduate Office handles the thesis/dissertation (TD) submission in a DIL course titled Thesis/Dissertation Final Submission. You are enrolled in this course automatically during your final semester and should see it when you log into DIL. Please note that this course is for Grad Ed TD's only and the document is then forwarded to your major professor or committee later. If you are unfamiliar with DIL, visit or contact the Grad Office and we will be glad to walk you through it.

6. Submit your document to the committee for review. Each committee member will need to sign the Defense Approval and Scheduling form to verify that the document is defensible, in order to schedule your defense.

7. At the same time you submit the TD to your committee, log into DIL and submit a PDF document in the "Thesis/Dissertation Format Check Submission" folder. Include a copy of the unmarked title page, using the current approved Thesis/Dissertation Title Page template. The page must list all your committee members, Department Head, and Graduate Education Dean. The Grad Office will do a preliminary formatting check and email you and your major professor about any issues with the title page or document.

8. Schedule your defense using the Defense Approval and Scheduling Form, which must be signed by your entire committee. Email an illustration (as a single pdf or print file) to the Grad Ed Office to be used in your defense notice. The Grad Ed Office will email the notice to your fellow graduate students and to the SDM&T campus community.

9. Ask your committee if they have any revision or notes from their reviews, which you can start working on prior to the defense. If so, complete the revisions and provide a new draft to the committee a day or two prior to the defense.

10. Review the Checkout Sheet for Graduate Students and begin completing requirements and obtaining signatures.

11. Defend.

Continued on next page. Post defense steps.


12. Following your defense, complete all corrections/edits required by your committee. Check the final content and formatting using the Thesis and Dissertation Checklist.

13. Print your title/signature page on the archival quality paper stock that you will be using for your final document. Also print and fill out the Thesis/Dissertation Order Sheet or the Restricted Thesis/Dissertation Order Sheet on ordinary paper (it is convenient to get these signatures at the same time as your title page).

14. Obtain all signatures on the title page except the Graduate Dean's signature. (The signed title page serves as confirmation that the committee members approve your final work.) Obtain the signatures on the order sheet in the same way and keep it for later.

15. Scan the signed title page, with all signatures except the Dean’s, as a PDF file.

16. Log into DIL and submit the TD document (as a single PDF file) and the scanned title page to the "Thesis/Dissertation Proofreading Submission" Dropbox folder.

17. We will notify you by email when the proofreading is complete. Download the marked file and your edited abstract from the same Dropbox folder (the abstract will have been reviewed separately by the Dean). Make your final corrections.

18. Print your final, corrected document on archival paper (the proper kind is available in the bookstore). Take the printed copy, including the signed title page, to the Grad Ed Office. You will be notified to come to the Grad Ed Office to pick up your document once the dean has reviewed and signed it.


20. Take to the Deveraux Library the signed Thesis/Dissertation Order Sheet (or Restricted Thesis/Dissertation Order Sheet), the Checkout Sheet for Graduate Students, the final TD (with title page), and the required number of CDs. The CDs must contain a PDF of all supplemental elements of the TD in addition to the original files. Pay for the printing and binding and make sure that you obtain the required library staff signatures on the checkout sheet.

21. Gather all required signatures and return the Checkout Sheet for Graduate Students to the Grad Ed Office. This is an important step to ensure that your diploma is released.

FVTS
It may take 3-4 months for the library to complete the printing and binding. When they are ready, the Deveraux Library will take care of distributing the ordered copies to you, the department and the other recipients. Diplomas are mailed separately 10-12 weeks after the end of the semester. The diplomas will be mailed to the address listed in your graduation application; please list the Graduate Office if that address has changed.

You're done! Congratulations!
Tips on Committee Scheduling

- Contact your committee during the semester **prior** to your planned date of graduation to check their availability.
- Set a target date weeks ahead of time, even if your document is not done yet.
- Be mindful of holidays and term start/end dates.
- Don’t overload your committee with members.
- Allow 1-2 extra weeks for obtaining post-defense signatures by surface mail if your committee includes off-campus members.
- **Deadlines are minimums! Allow extra time.**
1/3 of students who plan to graduate do not finish in the anticipated semester. Plan in advance, and anticipate potential changes to your timeline.
Get approvals

• “Final” draft should be as good as you can make it
  • It MUST be complete. No missing chapters, abstracts, references, etc.
  • Review Grad Office formatting requirements
  • Proofread and edit; get help if you need it

• Major professor must approve it before you send to the committee/Grad Office

• Committee must approve it as defensible before you can formally schedule the defense with the Grad Office
  • Check preferred review format for each member (paper, Word, PDF)
Grad Office pre-format check

• This review is a courtesy to find formatting errors you might have missed
• It is NOT instructions on how to format—those are already provided to you
• Check your own document carefully using the checklist provided BEFORE submitting

The Truffle Challenge
Like making truffles, formatting theses and dissertations require care and attention to detail. Dr. Price will give a chocolate truffle to every student with NO errors on the format check.
Dear Student:

Select a date/time when your committee members can attend and reserve the room for your defense.

- Your defense may not be scheduled during the period of final examinations at the end of the semester (see academic calendar at the front of the current catalog).
- This form must be completed and received in the Office of Graduate Education (C 2201) NO LESS THAN FIVE WORKING DAYS before the scheduled time of the defense.

Print StudentName_________________________ Student ID____________________________
Program __________________________ [ ] MS thesis defense [ ] PhD dissertation defense
Time_________________________ [ ] am [ ] pm on __________________ Day of week ________
Month__________ Day__________ Year______________
Room ____________________ Building ____________________

Thesis/Dissertation Title (print clearly):____________________________

Do any of the following pertain to this thesis/dissertation: (1) it contains ITAR or EAR, or (2) it is covered under an existing proposal. If you answered Yes, the Office of Research Affairs (OH 102) must be notified. The Office of Research Affairs will then review the proposal and the thesis/dissertation materials to determine if the document is classified.

Restricted Thesis/Dissertation Declaration (to be completed by the Office of Research Affairs)

This ______ is [ ] not a restricted thesis/dissertation. Release date if required: __________ Date ________

Signature of designated official (Print Name) __________________________ Date ______________

I request to defend on the date specified above: Student Signature __________________________ Date ______________

Committee approvals:

[Signature and details of committee members]

Restricted section—check with major professor whether it applies to you.

Form is due to the Grad Office at least 5 business days prior to defense.
Defense Approval and Scheduling Form

Dear Student: Select a date/time when your committee members can attend and reserve the room for your defense.

- Your department/program secretary is a great resource for available room information.
- Your defense may not be scheduled during the period of final examinations at the end of the semester (see academic calendar at the front of the current catalog).

- This form must be completed and received in the Office of Graduate Education (C 2201) NO LESS THAN FIVE WORKING DAYS before the scheduled time of the defense.

Print Student Name ___________________________________________ Student ID __________________________

Program ___________________________________________ [ ] MS thesis defense [ ] PhD dissertation defense

Time ___________________ [ ] am [ ] pm on ____________________

Day of week ____________________________ Month Day Year

Room ____________________________ of the ____________________________ Building

Thesis/Dissertation Title (print clearly): __________________________________________________________

Do any of the following pertain to this thesis/dissertation: (1) it contains patentable content; (2) it is subject to export control under ITAR or EAR; or (3) it is covered under an existing proprietary or non-disclosure agreement? If you are unsure, please discuss with your major professor before answering. [ ] Yes [ ] No

If you answered Yes, the Office of Research Affairs (OH 102) must complete the Restricted Thesis/Dissertation Declaration below. A restricted defense is not announced to the campus community, and the thesis/dissertation documents will be held in the library until the specified release date.

Restricted Thesis/Dissertation Declaration (to be completed by the Office of Research Affairs)

This [ ] is [ ] is not a restricted thesis/dissertation. Release date if restricted: ____________________________

Signature of designated official ____________________________ (Print Name) ____________________________ Date ____________________________
Committee must have time to review the document and declare it defensible before you can schedule.
Restricted thesis/dissertation

• Consult with major professor if you are unsure whether this applies to your thesis/dissertation

• If it does, you will need to schedule an appointment with the Office of Research Affairs to certify that it is restricted

• **Allow time**—discuss with major professor when giving the document to him/her to review
Defend

• The defense is the final exam of your degree
• Typically a 30-60 minute presentation, open to the public,
• Followed by an oral examination by your committee in private
• Additional revisions usually suggested
• A defense report is sent to the Grad Office by your committee, to indicate whether you passed the defense.
Post-defense steps

<table>
<thead>
<tr>
<th>Task</th>
<th>Timeframe</th>
</tr>
</thead>
<tbody>
<tr>
<td>Defend</td>
<td>4 weeks prior to end of finals week</td>
</tr>
<tr>
<td>Work on revisions prior to/after defense and obtain title page approval signatures from your committee (allow two-three weeks)</td>
<td>3 weeks prior to end of finals week</td>
</tr>
<tr>
<td>Submit committee-approved copy to Grad Office via D2L for proofreading (allow two weeks)</td>
<td>3 weeks prior to end of finals week</td>
</tr>
<tr>
<td>Make final corrections, print on archival paper, get Dean’s signature (allow one week), submit final copy</td>
<td>1 week prior to end of finals week</td>
</tr>
<tr>
<td>Complete Checkout Sheet for Graduate Students</td>
<td>Last day of finals week</td>
</tr>
<tr>
<td>Remind your advisor to convert research grades to S</td>
<td>Last day of finals week</td>
</tr>
<tr>
<td>Commencement smile</td>
<td>Saturday after the last day of finals</td>
</tr>
<tr>
<td>All course, project, and program requirements completed and grades assigned</td>
<td>Wednesday after commencement (final deadline for faculty to submit grades)</td>
</tr>
</tbody>
</table>

Plan to remain on campus, if possible, until all steps are complete and the Checkout Sheet is turned in.
Thesis/dissertation approval

• Committee signatures on the title page, printed on archival paper, indicates approval and acceptance of the final copy.

• You cannot proceed to the final proofreading without all committee signatures.

• The Dean signs AFTER the proofreading and final edits have been made.
Checkout

- Certifies that
- Your project is complete
- Your library copy has been submitted
- You have met your responsibilities for proper disposal of hazardous materials
- You have returned your keys OR signed a volunteer form

Section A: To be completed by the student's major professor/advisor:

1. Degree research/project completion: Please check one:
   - Student is a non-thesis student and has no project to complete
   - Student is a non-thesis student and has completed the final project requirements
   - Student has written a thesis or dissertation (Section B must be completed)

2. Student is currently enrolled to complete another degree: [ ] Yes [ ] No
   If No, please check all that apply:
   - Student has been issued keys (Section C must be completed)
   - Student has been using laboratory facilities (Section D must be completed)
   - Neither of these items applies (includes distance students not located on campus)

List labs: ____________________________

Signature of Major Professor: ____________________________ Date: ____________________________

Section B: To be completed by Devereaux Library:

The Devereaux Library certifies that this student has delivered the final master copy of the thesis/dissertation to the Library for printing and binding and has fully paid for all services related to thesis/dissertation production.

Signature of certifying official: ____________________________ Print name: ____________________________ Date: ____________________________

Section C: To be completed by the Facilities and Risk Management Office or Human Resources:

[ ] The Facilities and Risk Management Office (Facilities Building) certifies that this student has returned any building and room keys issued to him/her OR
[ ] Human Resources certifies that this student has submitted a Volunteer Work Agreement for continued access to campus buildings, rooms, or labs. http://www.sdmt.edu/campus-services/human-resources/docs/volunteer-work-agreement/

Signature of certifying official: ____________________________ Print name: ____________________________ Date: ____________________________

Section D: To be completed by the Campus Environmental Health and Safety Manager:

Student: To get this section completed, you will need to arrange an appointment for a lab walk-through by emailing Margaret.Smalleycock@sdmt.edu. The sooner you make this appointment, the better.

The Campus Environmental Health and Safety Manager certifies that this student has cleaned his/her laboratory space and properly disposed of all chemicals or hazardous waste.

Signature of certifying official: ____________________________ Print name: ____________________________ Date: ____________________________

Reminders for the Student:

- [ ] I have submitted the Placement/Post Graduation form to the Career Planning Office (Curbcock).
- [ ] I have submitted the Graduate Information Form to the Alumni Office (Foundation Building).
- [ ] PhD students only: I have completed the Survey of Earned Doctorates for the National Science Foundation.

https://sed-ncses.org
Do you understand the difference between **deadlines** and **due dates**?

**Graduate Education Deadlines**

| Table 2. Official Graduate Office Deadlines for the 2018-2019 Academic Year |
|-------------------------------------------------|-----------------|-----------------|-----------------|
| **Font face: **All students; thesis/dissertation students only** | **Fall 2018** | **Spring 2019** | **Summer 2019** |
| Admission to Candidacy for PhD | One year before defense date | 8/30/2018 | 1/16/2019 | 1/16/2019 |
| **Last day to apply for graduation** | 8/30/2018 | 1/16/2019 | 1/16/2019 |
| Last day to submit thesis/dissertation to committee for review and to Grad Office (via D2L) for preliminary format check (The major professor must review it first and give student permission to submit it to the committee and the Grad Office.) | 10/30/2018 | 3/22/2019 | 6/14/2019 |
| Last day to submit defense schedule form | 11/13/2018 | 4/5/2019 | 6/28/2019 |
| Last day to hold defense | 11/20/2018* | 4/12/2019* | 7/8/2019* |
| Last day to submit electronic thesis/dissertation (including signed title page on archival paper) to D2L for proofreading | 11/28/2018 | 4/18/2019 | 7/12/2019 |
| Last day to submit thesis/dissertation, printed on archival paper and with signed title page, to Graduate Office for the Dean’s signature | 12/5/2018 | 4/26/2019 | 7/19/2019 |
| Last day to submit *Checkout Sheet for Graduate Students* | 12/12/2018 | 5/3/2019 | 7/26/2019 |
| Last day for all requirements to be completed (course grades, projects, program requirements) | 12/19/2018 | 5/8/2019 | 7/31/2019 |

*Failure to meet these deadlines may result in inability to complete the degree requirements in the same semester and a requirement to register for the following semester.*
Avoid the trap

• Typically 1/3 of students who apply to graduate do not finish in the same semester.
  • Writing not finished in time
  • More substantial corrections than anticipated

• Allow 8-10 weeks from final draft to completion.
  • Fall: give to major prof by mid-October
  • Spring: give the major prof by spring break

• Committees will NOT permit the defense to go forward unless the document is complete and the work sound
Be smart…and realistic

• If you do not complete the requirements, you must register for at least 2 credits the next semester. This costs you MONEY.
  • Set realistic deadlines and submit the thesis or dissertation ________ (when?)
  • A first draft is rarely ready for the committee. Plan extra time if your major professor has not already reviewed substantial portions of your work.
  • The committee is NOT obligated to perform high-speed reviews because you are pushing the deadlines.
  • The committee should NEVER agree to review or hold a defense with a partial document!!

Hope is not a strategy
Finishing in the summer

- Not recommended because
  - Faculty are not on contract and may be unwilling
  - Faculty are often busy or traveling
  - Getting reviews and signatures is extra challenging
  - Summer deadlines come quickly!
    - Last day to defend comes in early July
    - Last day to submit final copy is mid-July

- Carefully consider your strategy
  - Has your major professor already reviewed substantial portions of your draft?
  - Get agreement and target date from committee FIRST
  - It may be better to skip summer and complete in fall
  - If you miss summer deadlines, you pay TWICE
Smile, you earned it!

Commencement
Commencement policy
Graduation and commencement are different things

• Graduation
  • Student completes all requirements by the deadline
  • Degree is awarded in the semester of completion
  • Student must remain registered until graduation

• Commencement participation
  • Student walks and is listed in the program
  • May occur in a different semester than graduation
  • May walk in one semester and be listed in another
  • Can only do each (walk/list) ONCE
  • MS summer grads may petition to walk in May or may walk in December
  • PhD students MUST complete all requirements by the deadline to walk and be hooded
Petitioning to walk prior to completion

MS students only

• Approval is not guaranteed

• You must demonstrate that you have every chance of finishing before the next deadline
  • Courses complete
  • Research done
  • Writing nearly done
  • Committee has agreed on tentative defense date

• That your family already has airline tickets is NOT a valid reason.
  • Do not invite them to graduation until you are SURE that you will be done. If you already invited them, make sure you GET DONE.
PhD hooding ceremony

- Hooding is performed by the major professor and the Graduate Dean
- Hooding practice at the Civic Center the day before commencement