

School of Education  
**Directions for Student-Managed  
Submission of Ed.D. Dissertation**

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Water Tower Campus • 820 N. Michigan, 11th floor • Chicago, IL 60611  
Phone: (312) 915-6800 • (312) 915-6660



Preparing people to lead extraordinary lives

**Effective beginning Fall 2019**

The student-managed submission of dissertations gives you control over the process of preparing and submitting the dissertation.

The dissertation is submitted through ETD Administrator/ProQuest, a web-based dissertation publishing company available through university libraries.

The guide contains four parts. Please read the directions carefully and provide the information and appropriate materials in the proper order. *Do not submit the material for any part listed in the directions below until it is accurate and complete; if the material is inaccurate or incomplete, the School of Education will not accept it.*

The following forms are available online at <http://www.luc.edu/education/resources/forms/>.

**Dissertation Committee**

- \* Ed.D. Dissertation Committee Recommendation form

**Dissertation Proposal**

- \* Ed.D. Dissertation Format Guidelines
- \* Ed.D. Dissertation Proposal Ballot
- \* Ed.D. Dissertation Proposal Approval for IRB

**Dissertation Text and Oral Defense**

- \* Sample Announcement of an Oral Defense
- \* Ed.D. Text and Oral Defense Ballot

You are ultimately responsible for the submission of all the dissertation forms and documents to the School of Education. They are to be submitted to the Office of Student Academic Services in the School of Education LT 1008 or [hluchtenburg@luc.edu](mailto:hluchtenburg@luc.edu) Subject: Dissertation.

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## IMPORTANT DEADLINES

To be eligible for graduation, you must meet all necessary School of Education deadlines. Of particular importance as you complete your dissertation are the dates below:

### **Fall (To have degree conferred in December and participate in Commencement in May)**

- Graduation application = due August 1
- Oral defense = no later than mid-September
- Initial Format Check Submission = due October 1
- Format Check Completed and Approved Final PDF submitted to ProQuest = due November 1\*
- See below for between semesters

### **Spring (To have degree conferred in May and participate in Commencement in May)**

- Graduation application = due December 1
- Oral defense = no later than mid-February
- Initial Format Check = due March 1
- Format Check Completed and Approved Final PDF submitted to ProQuest = due April 1\*
- See below for between semesters

### **Summer (To have degree conferred in August and participate in Commencement in May)**

- Graduation application = due February 1
- Oral Defense = no later than mid-March
- Initial Format Check = due April 1
- Format Check Completed and Approved Final PDF submitted to ProQuest = no later than the Friday before commencement\*
- See below for between semesters

### **Summer (To have degree conferred in August and Commencement in May of the following year)**

- Graduation application = due February 1
- Oral defense = no later than mid-April
- Initial Format Check = due May 1
- Format Check Completed and Approved Final PDF submitted to ProQuest = due June 1\*
- See below for between semesters

### **Between Semesters**

- Approved Final PDF = no later than the Friday before the next semester begins
- The degree will be awarded for that upcoming semester, but the student does not have to register/pay for Dissertation Supervision 600 for that semester
- It is very strongly recommended that first submission for format check happen a month prior to the final approved PDF is due. This means the oral defense needs to occur even earlier so committee-requested changes have adequate time to be resolved and the format check completed.

\*Valerie Collier (vcollier@luc.edu) is available if you need professional assistance with the formatting of your dissertation. She is familiar with a number of different styles, including the guidelines from the School of Education.

## PART 1 --THE DISSERTATION COMMITTEE

1. Submit the Ed.D. Dissertation Committee Recommendation [form](#) with the appropriate signatures to the School of Education's Office of Student Academic Services, LT 1008. You and your committee members are responsible for complying with the School of Education's policy regarding committee membership as follows:
  - a. Dissertation committees have official standing only upon appointment by the School of Education.
  - b. **Director:** Only a full-time member of the Loyola University Chicago School of Education Faculty may direct a dissertation. Members of the School of Education Faculty are listed on the web at [http://www.luc.edu/education/faculty\\_directory.shtml](http://www.luc.edu/education/faculty_directory.shtml).
  - c. **Readers:** Full, Associate, and Clinical School of Education Faculty, other Loyola University Chicago Faculty, and individuals from other institutions may be recommended to serve as readers. In the case of proposed readers from other institutions or those who are not full time School of Education Faculty, you must submit a copy of each reader's curriculum vitae with this form.
  - d. The minimum number of voting members on a dissertation committee is three, 2 of which must be Loyola University Chicago School of Education Faculty. At no time may committee composition fall below the minimum number required.
2. You should make copies of this form for your records before submitting it to the School of Education. The School of Education will notify you and the director that the Committee has been approved via a letter.

School of Education  
**Ed.D. Dissertation Committee Recommendation Form**

Water Tower Campus. 820 N. Michigan, 11<sup>th</sup> floor. Chicago, IL 60611  
Phone: (312) 915-6800 • (312) 915-6660



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Submit form to your dissertation director who will then forward it to the Associate Dean, Academic Programs of the School of Education. A letter will be sent confirming your committee.

_____	_____	_____	_____	
Last or Family Name	First Name	Middle	Loyola Student ID	
_____		_____	_____	_____
Street Address		City	State	Zip Code
_____		_____		_____
_____	_____	_____		
Home Phone	Cell Phone	Loyola E-mail Address		
_____	_____	_____		
Program _____	Cohort name if applicable _____		_____	

Proposed Dissertation Topic

\_\_\_\_\_

Proposed Committee

Please note that in the case of proposed committee members who are: (a) Loyola University Chicago faculty who are **not** full time School of Education Faculty, or (b) from other institutions, you **must** submit a copy of each reader's curriculum vitae with this form.

_____
Director's Name - Loyola SOE Faculty
_____
Name - Loyola School of Education (SOE) Faculty
_____
Name- Loyola School of Education (SOE) Faculty
_____
Name of Outside Reader, Degree, Academic Rank, Program Area, and Institution
_____
Name of Outside Reader, Degree, Academic Rank, Program Area, and Institution
_____
Name of Outside School-based Reader, Degree, Academic Rank, Program Area, and Institution*

Vitae attached for outside reader(s)?  Yes  No

_____	_____
Signature of Director	Date
_____	_____
Signature of Associate Dean, Academic Programs	Date

\*This committee member is a non-voting member of the committee. This member is required to have at a minimum a MA/MEd or its equivalent

## PART 2 --THE DISSERTATION PROPOSAL

1. Submit copies of the dissertation proposal to members of the committee.
2. Contact the School of Education to reserve a room for the proposal defense at [SOEreservations@luc.edu](mailto:SOEreservations@luc.edu) with the subject line marked "Proposal Defense". An e-mail confirmation will be sent. (Allow an extra 30 minutes prior to the actual defense time when scheduling to allow time to set-up any presentation. Please note the conference rooms in the School of Education are equipped with computers and projectors. Any defense presentation must be Microsoft Office compatible and brought on a flash drive. This reduces the difficulties with compatibility for the presentation.)
3. Students are required to orally defend their dissertation proposal.
4. Should any voting member of the committee not approve the proposal **as submitted**, you must make all necessary revisions **before submitting** the Ed.D. Dissertations Proposal Ballot to the School of Education. Once revisions are made and the committee has agreed that the proposal is acceptable, you shall have each voting member of the committee sign the [Ed.D. Dissertation Proposal Ballot](#) with Box A checked, therefore indicating approval from all voting members.
5. All projects involving human subjects must be approved by the Institutional Review Board for the Protection of Human Subjects (IRB).
  - a) When submitting your documents to IRB, use the "[Ed.D. Dissertation Proposal Approval for IRB](#)" form as proof that your proposal has been approved by your committee.
  - b) You will need to submit a copy of the IRB written notification of approval of the research to the School of Education. The School of Education will **not** register final approval of a dissertation proposal, and **you should not begin research, until you have received written approval from the IRB.**
6. Submit the following material to the School of Education's Office of Student Academic Services, LT 1008:
  - a) If human subjects are involved in the research, you must attach a copy of the IRB written notification of approval (see #5 above).
  - b) The Ed.D. Dissertation Proposal Ballots with the appropriate signatures and Box A checked, indicating unanimous approval of the proposal from each member of the committee.

Ed.D. Dissertation Proposal Ballots will **not** be approved without these two items.
7. You should make a copy the Ballot for your records. The School of Education will notify you via a letter that your proposal has been accepted.

School of Education  
**Ed.D. Dissertation Proposal Ballot**

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Phone: (312) 915-6800, (312) 915-6660



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\_\_\_\_\_  
Last or Family Name                      First Name                      Middle                      Loyola Student ID

\_\_\_\_\_  
Street Address                      City                      State                      Zip Code

\_\_\_\_\_  
Home Phone                      Loyola Email Address                      Cohort, if applicable

\_\_\_\_\_  
Program

Are human subjects involved in this study?       Yes\*

\*If yes, you must submit a copy of the letter of approval from the Institutional Review Board for the Protection of Human Subjects (IRB) before the School of Education will register final approval of the proposal.

- A.  We approve this outline.  
(Note: In approving this outline, the director of the dissertation certifies that the candidate understands and is able to explain any statistical procedures required by this research.)
- B.  We approve this outline, on the condition that the changes and/or additions are made.
- C.  We do not approve this outline for the reasons stated.

(Note: If B or C is checked, the student must make all necessary revisions and resubmit the outline for re-voting by all committee members. Only when A is checked should the committee sign this ballot. To secure approval of the dissertation proposal, the student must receive unqualified approval from all voting members.)

Date: \_\_\_\_\_ Signature of Committee Director \_\_\_\_\_

Date: \_\_\_\_\_ Signature of Committee Member \_\_\_\_\_

Date: \_\_\_\_\_ Signature of Committee Member \_\_\_\_\_

Date: \_\_\_\_\_ Signature of Committee Member \_\_\_\_\_

PLEASE USE THE REVERSE SIDE FOR COMMENTS

School of Education  
**Ed.D. Dissertation Proposal Approval for IRB**

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\_\_\_\_\_  
Last or Family Name                      First Name                      Middle                      Loyola Student I.D.

Street Address \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

Home Phone \_\_\_\_\_ Cohort, if applicable \_\_\_\_\_

Program \_\_\_\_\_

Are human subjects involved in this study?  Yes\*     No

**Tentative Title of the dissertation**

The readers of the committee have approved the proposal for the above-mentioned dissertation.

Date: \_\_\_\_\_ Signature of Director \_\_\_\_\_

*Please submit to IRB with other required documentation.*

## **PART 3--THE TEXT AND ORAL DEFENSE OF A DISSERTATION**

1. After receiving the necessary approval of the proposal, you may proceed with the research of the dissertation.
2. Upon the Director's approval of the written text, you shall:
  - (a) submit a reader's copy to each committee member. The committee has one month to review the text.
  - (b) schedule an oral defense at a time convenient to all voting members of the committee.
  - (c) contact the School of Education to reserve a room for the final oral defense at [SOEreservations@luc.edu](mailto:SOEreservations@luc.edu) with the subject line "Final Oral Defense". An e-mail confirmation will be sent. Allow an extra 30 minutes prior to the actual defense time when scheduling to allow time to set-up any presentation. Please note the conference rooms in the School of Education are equipped with computers and projectors. The oral defense presentation must be Microsoft Office compatible and brought on a flash drive. This reduces the difficulties with compatibility for the presentation.
  - (d) prepare an [Announcement of an Oral Defense](#) and post it on the 11th Floor (of Lewis Towers) by the elevators.
3. All voting members of the committee must attend the oral defense; the School of Education will not accept the results of the oral defense if all voting members are not present. The only exception to this policy is in the case of a reader's absence due to an emergency (i.e., a sudden, unexpected event that prevents attendance at the oral defense); in such cases, the School of Education will consult the absent reader(s) before deciding whether to accept the result of the oral defense. Under no circumstances will the School of Education accept the results of an oral defense at which the dissertation director was not present.
4. Upon the successful completion of the oral defense, each voting member of the committee must sign the [Ed.D. Dissertation Text and Oral Defense Ballot](#). You must immediately submit the signed ballot to the School of Education's Office of Student Academic Services, LT 1008.
5. Submit to ProQuest a copy of the entire dissertation for a format check (See ProQuest Procedures section of this document). Before submitting, use the format checklist also provided in the [Format Guidelines](#) to make sure all format requirements are met. This submission includes:
  - (a) the entire manuscript (which includes front matter, main body, and back matter)
  - (b) supplemental materials: un-signed approval sheet\*, stand-alone title page, and stand-alone abstract as described in the School of Education's Dissertation Format Guidelines.

\*School of Education will obtain the signature for the approval sheet after the oral defense and any additional edits are made.



School of Education

## Sample Announcement of Final Oral Defense

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*Members of the student's school and the University community should be notified of a public oral defense of a dissertation. The School of Education therefore requires the student to prepare and distribute a formal announcement of the oral defense (see sample announcement on next page) and post it on the 11<sup>th</sup> Floor (of Lewis Towers) by the elevators.*

LOYOLA UNIVERSITY CHICAGO

SCHOOL OF EDUCATION

ANNOUNCES THE FINAL PUBLIC EXAMINATION OF

(STUDENT'S NAME)  
(Degrees earned and institutions)

[TITLE OF DISSERTATION]

(DATE, TIME, LOCATION)

BOARD OF EXAMINERS  
(List in a column names and degrees of committee members)

School of Education  
**Ed.D. Text and Oral Defense Ballot**



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Last or Family Name		First Name	Middle	Loyola Student I.D.	
Street Address			City	State	Zip Code
Home Phone		Loyola Email Address		@luc.edu	
Program				Cohort, if applicable	

**Instructions:**  
 This ballot is used to approve **both** the text and the final public oral defense of the dissertation.

**Committee Members:**  
 All voting members must sign this ballot. You indicate approval of the text and oral defense of the dissertation by signing this form. You may indicate a dissenting vote by signing the bottom part of this form.

Approved: \_\_\_\_\_  
*Director's Signature* *Printed Name* *Date*

Approved: \_\_\_\_\_  
*Reader's Signature* *Printed Name* *Date*

Approved: \_\_\_\_\_  
*Reader's Signature* *Printed Name* *Date*

Approved: \_\_\_\_\_  
*Reader's Signature* *Printed Name* *Date*

Approved: \_\_\_\_\_  
*Reader's Signature* *Printed Name* *Date*

Dissenting Vote: \_\_\_\_\_  
*(Reader only)* *Reader's Signature* *Printed Name* *Date*

PLEASE USE THE REVERSE SIDE FOR COMMENTS

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## PART 4- COMPLETION OF A DISSERTATION

1. Upon the committee's approval of the oral defense, submission of the Ballot, and completed Format Check, you must submit to ProQuest a final PDF approved manuscript by the deadline (See Important Deadlines page of this document).
2. Optional: If you would like to have your personal copies of your dissertation bound professionally there are two options - Loyola Bindery or ProQuest.
  - a. You can obtain more information about the cost and process for the **Loyola Bindery** at <http://libraries.luc.edu/services/bindery.htm>.
    1. If you would like your director's signature in your bound copy, replace the Dissertation Committee page at the end of the dissertation with a signed Approval Sheet.
    11. Please note: If binding a manuscript and it is more than 300 pages or 2.5 inches, it should be printed double-sided so that the binding will hold.
    111. While you can use any paper you prefer for your bound copies, the paper the library required was archival quality - white, water-marked, minimum 25% cotton and minimum 20 lb. It should be submitted in an 8-3/4 x 11-1/4 inch paper box with a lid, as the binding is out-sourced.
  - b. If you wish to purchase bound copies through **ProQuest**, but did not order them at the time of initial submission or you wish to change the quantity ordered, you will need to contact ProQuest at 877-408-5027.

Please note: If you order your bound copies from ProQuest, it will not include a signed approval sheet.
4. After your degree has been posted on your transcript, the School of Education will release the PDF of your dissertation to be available electronically through ProQuest and the Library. (Any bound copies ordered from ProQuest will be sent after this point.)
5. We highly recommend that you keep an unbound hard copy of your dissertation. It is probable that over time newer software may not hold the necessary format should you want another copy in the future.

## **PROQUEST PROCEDURES**

### **Manuscript Preparation:**

Write your document as you normally would in your word processor (only documents in RTF or Microsoft Word format can be converted with the recommended ProQuest conversion tool), keeping a few tips in mind to improve the quality of the PDF document:

1. Spacing and pagination:
  - a. Use tabs instead of a series of spaces to align text.
  - b. Insert page breaks instead of a series of enter/linefeeds to start a new page.
  - c. Use your word processor's tools for creating tables of content and cross references to ensure that pagination is consistent even if the generation of the PDF file causes the pages to shift slightly.
2. Fonts: Be sure to use embeddable Type1 or TrueType fonts. The required font style and size is Times New Roman 12 pt. (See ProQuest's Frequently Asked Questions for instructions on how to embed fonts.) Every file must have the fonts embedded.
3. Graphics
  - a. It's best to use bitmap, GIF, or JPEG images. Avoid using graphic editors that are part of a word processor.
  - b. Use a high resolution such as 600-dpi. Be aware that images can make the size of your manuscript file huge. It is fine to reduce the quality of the graphic to make it a smaller file. However, its quality must be acceptable to both you and the university.

### **Registering with ProQuest:**

Your dissertation will be managed through a ProQuest account. This includes the format check and submission of a final copy.

1. Open an account at ProQuest through <http://www.etdadmin.com/lucedu>
2. Use your Loyola e-mail account for submission of dissertation work as all communications from the School and University are only through this account.
3. Before submitting your manuscript, you will need to complete the "Dissertation/Thesis Details" page in the ProQuest site. Have the following information ready:
  - a. Dissertation Title
  - b. Committee Members full names
  - c. Subject area and up to six key words that describe the subject matter of your dissertation. This is to improve access to your dissertation by others through the ProQuest database.
  - d. Abstract of no more than 300 words. Copy and paste your abstract text into the dialog box. In order for ProQuest to have a "clean" copy for their catalog you will need use the codes they provide for special characters and emphasis. This will ensure that the copy ProQuest publishes is displayed as desired (the codes will not be visible in the final text).

## PDF Conversion:

1. It is highly recommended that you **use the PDF converter available through the ProQuest site** to convert your manuscript as it best meets the requirements of ProQuest. (There is a risk that ProQuest may not accept manuscripts converted with other software as it may not comply with their standards.) If you have difficulty with converting the manuscript to PDF or with uploading it to ProQuest, contact the ETD Administrator /ProQuest Help Desk at 877-408-5027.
  - a. A complete tutorial for PDF conversion in ProQuest (<http://www.etdadmin.com/lucedu>) is accessed from the Resources & Guidelines tab within the "Creating a PDF" link OR from the PDF Conversion tab. Both pages have the link on the right-hand side of the page in a box titled PDFResources.
  - b. When using the ProQuest conversion tool, you will be sent an e-mail with a web link to access the PDF document. Be sure to save it to your computer with an appropriate file name.
  - c. Once converted, you will need to review your documents to ensure that charts, graphs, etc. converted appropriately.
2. If you have multiple files, the dissertation itself must be merged into a single manuscript file.
  - a. To merge multiple PDF documents into a single document, *Acrobat Adobe* software (other than *Adobe Reader*) is available through the University's libraries or it is possible to download a free 30-day trial from the internet.
  - b. One option is "**Merge files into Single PDF**" - see the tutorial for PDF conversion reference in #1a above or the ProQuest's frequently asked questions.
  - c. The other option is "**Assemble Files into PDF package**". While ProQuest does not give instructions for this, it can be accessed from the "Combine Files" icon in *Adobe Acrobat* and is very userfriendly.
  - d. If changes need to be made, it's possible to insert, delete, or replace pages between PDF files.

If you need help merging separate documents into a continuous PDF, contact Loyola's Digital Media Lab (773-508-8029 or [digitalmedialab@luc.edu](mailto:digitalmedialab@luc.edu))

3. Please note that the Approval Sheet, Stand Alone Title page, and Stand Alone Abstract are to be left as separate files and submitted as **supplemental documents**. They should also be submitted as PDF documents.

## Submission:

1. The supplemental documents may only be a maximum of 10mb. The total (manuscript + supplemental files) submission size is a maximum of 100mb.
2. At the time of submission, you will be asked if you would like various services for additional fees. These include having ProQuest obtain your copyright and/or printing hard copies for you. If you are outside the area, having ProQuest print, bind, and mail your dissertation may be a wise choice, even though more expensive than Loyola's bindery service. It will be printed only after Loyola gives final approval after graduation. (However, for those in the area, an option is Loyola's Bindery which offers just binding at a lower fee – see <http://libraries.luc.edu/services/bindery.htrn>.)
3. The School of Education makes no particular recommendation on the registration of your claim to copyright. The copyright on your dissertation is vested with you, the author, regardless. Copyright registration amounts to an additional safeguard on the protection of your text.
4. When submitting ALL revisions, be sure to use the "submit revisions" link in the left sidebar (rather than the PDF link) as this will automatically notify us that your revision has been uploaded.