

Part 1: General Steps for Undertaking Your Thesis or Dissertation

- 1) Complete all course work and other requirements to initiate thesis/dissertation; e.g., master's candidacy form and/or doctoral program of study and comprehensive examinations (if required). Forms are available at <http://www.utc.edu/graduateschool>.
- 2) Establish your thesis or dissertation committee consisting of a chairperson and committee members (two committee members for thesis; three committee members for dissertation), after you have determined that the faculty are members of the Graduate Faculty and are approved to direct or serve on committees. You can verify their status at <http://www.utc.edu/graduateschool>.
- 3) Complete committee appointment forms <http://www.utc.edu/graduateschool> to establish committee and obtain required signatures on appropriate forms as soon as you begin thesis or dissertation enrollment. Submit the form to the Graduate School for approval.
- 4) Begin your thesis/dissertation registration. You must register for thesis or research/dissertation hours continuously every semester until your manuscript is approved by the Graduate School.
- 5) Develop your prospectus in consultation with committee.
- 6) Obtain research compliance approval (this may include human subjects, animal care, radiation safety, and hazardous materials) BEFORE initiating data collection. This requirement is so critical that if you neglect to do so all your research may be unacceptable. See <http://www.utc.edu/Administration/InstitutionalReviewBoard>. For information about approval involving animals, please see <http://www.utc.edu/iacuc>.
- 7) Review the *Guide to the Preparation of Theses and Dissertations*, Tenth Edition, available at <http://web.utk.edu/~thesis/>. Be sure to consult this publication in preparing your thesis/dissertation. UTC does not want manuscripts printed on both sides of the paper, however, as the Knoxville campus of UT does. And, of course, adjust the approval page for UTC purposes. Use 20 lb. cotton paper for paper copies.
- 8) Meet deadlines for submitting the **draft copy** of your thesis/dissertation to the Graduate School <http://www.utc.edu/Administration/GraduateSchool/thesis/>, completing **oral defense**, submitting **final copies**, the **approval sheet** signed by all committee members and **Electronic Thesis/Dissertation (ETD)** to the Graduate School. See the Graduate School calendar <http://www.utc.edu/graduateschool> for deadlines.
- 9) Pay binding/publication fees.
 - a. Write a check to the Lupton Library for \$18 [Fall 2007 only] to bind three copies of your paper thesis or dissertation. Submit the receipt to The Graduate School office with your final copy.
 - b. Write a check to ProQuest Information and Learning Company for electronic submission: \$45 for microfilming thesis, \$55 for dissertation, \$65 for copyright (optional) and submit it to the Graduate School Office with your final copy.

Complete the UMI Publishing Agreement form available at http://dissertations.umi.com/publishing_guides.html

Doctoral students only:

Complete the “Survey of Earned Doctorates” <http://www.norc.org/projects/Survey+of+Earned+Doctorates.htm> and submit it to the Graduate School.

10) Wait for an email note of acceptance from ProQuest/UMI. This will occur once the UTC graduate dean has approved your submission. Congratulations! Your masterpiece is on its way to worldwide distribution.

Now that you know the overall steps your masterpiece will follow,
Part 2 explains the review and the electronic submission processes.

Part 2: The Review and Submission Process for Electronic Theses and Dissertations

I. *Why Review?*

- **Standards for the whole university**

All universities set high marks for the written record of the research conducted by their advanced students. It is the task of the Graduate School to ensure that students from all departments produce well written research documents. For this reason, Graduate School deans carefully read and must approve every thesis or dissertation published.

- **The Graduate School reviews your manuscript for the following:**

- ✓ logical organization
- ✓ consistency in citation style
- ✓ correctness in style and usage
- ✓ format requirements
- ✓ compliance with policies
- ✓ committee approval

- **Two reviews: draft and final for ETD**

The Graduate School uses two levels of review.

1. The first is an early review of the draft to ensure that general requirements for compliance and formatting are in order. At this time, we return to you a checklist that indicates any corrections that need to be made. It will be most helpful to you if the draft is fairly complete; in other words, it should have a title page, approval sheet, abstract, table of contents, table of figures, all chapters, and a list of references (see <http://web.utk.edu/~thesis/> and customize pages to UTC format). This review is good protection for you: you won't have to make major last minute changes in formatting or processing. After 10-14 days, you will be notified that the draft is ready for return along with a checklist of comments.
2. The second level is the final one when you submit three paper copies and the ETD version. This process is explained in detail in the following paragraphs.

II. *The Process*

You will spend a long time researching and writing your thesis or dissertation. After you and your committee are satisfied with it, you will begin the process of having it approved.

- Before you submit your manuscript, you defend it.

- It must be successfully defended in front of your graduate advisory committee. If the members approve, they will sign an approval form and send that to the Graduate School to announce that your thesis or dissertation is ready to submit both in paper and electronic format.
- At this point, it should then be proofread, polished, and *completely ready* to turn in. The final version of your manuscript should represent your best academic work.
- Once you have successfully defended your thesis or dissertation, you pay the Lupton Library to bind three copies of your manuscript.
- Bring three paper copies of your manuscript, along with the \$18 [Fall 2007 only] receipt from the Library, to the Graduate School office.
- Submit the manuscript electronically.
 - You must convert your word processed documents to PDF form.
 - Logging in
 1. The first time you log in to the ETD manager, you'll have to set up an account. All you do is choose a user name and a password. These will identify you from among all other graduate students using the site. Any time you log in after that, you'll just type in this name and password, and you will be given access to your files.
 2. Your username can be anything you want, but make it easy to remember (your last name and two initials should work).
 3. Do the same with passwords. No one can look up your password for you, so you'll need to remember it. Also, keep it secret. Anyone with your password becomes you to the computer and can meddle with your files.
 - Connect to the ETD Manager site with your converted files at hand (that is, on a diskette, hard drive, flash drive, or zip disk) and follow the instructions there. You will have to log in to the Manager using any web browser and upload your manuscript. If you have separate graphics, audio, or video files, you'll have to upload those, too.
 - The signature page for the ETD should have only the typed names, not the signatures, of your committee members.
 - Your ETD is forwarded electronically to the Graduate School for review.
- The Graduate School reviews both the paper copies and the ETD.
- The graduate dean/reviewer may send you comments or questions.
 - At any point in this process, the dean/reviewer may contact you for clarifications. Once your manuscript is completely reviewed, you will be sent an email describing the results.
 - If you were notified that there are editorial revisions needed, you will have to resubmit your

manuscript and go through another review cycle. At this stage, revisions should be minor if your draft was substantially complete, and you implemented the suggestions on the dean/reviewer's checklist.

- However, if your manuscript was accepted, congratulations are in order.

After submission

The decision

- **How long will it take?**
 - The process usually takes about 10-14 days.
- **How will I be notified?**
 - Your notification will come through your UTC email.

Revisions

- **Resubmitting your manuscript**
 - You may be asked to revise your manuscript and resubmit it. You do this the same way you submitted your original manuscript: you log in to the *ETD Manager*.
 - Connect to the ETD Manager
 - Log in using the name and password you set up when you first submitted your account.
 - Delete the files you want to replace.
 - Upload the new versions to your ETD account.

Adding files

- **If you have to add or change files you've already submitted.**
- If you forgot to upload a piece of your manuscript, or if you want to replace a piece with a corrected version, work with your committee chair and notify the graduate school reviewer. Log on to the *ETD Manager*: delete any files you want to replace and upload the new ones.
 - However, don't do this if the Graduate School has already begun reviewing your ETD, unless the reviewer says to go ahead. Otherwise, the reviewer won't get the updates.

III. Why submit to ProQuest for digital publication?

There are four very important reasons why you as a young scholar should submit your work to ProQuest/UMI.

1. Legitimacy and Recognition

- A published dissertation/thesis provides new scholars with a legitimate citable entry on your curriculum vitae (an academic resume)—often their first—at a critical juncture in their career.
- The UMI database of dissertations and theses provides an external, running record of an institution's graduate productivity.

2. Exposure and Dissemination

- Citations and abstracts of newly published dissertations and theses exposes the work of new scholars to an entirely new audience and extending their reach to society.
- ProQuest Information & Learning is designated by the Library of Congress as the offsite repository for published dissertations and theses from accredited U.S.S graduate institutions, based on The University of Michigan database that was established decades ago.

3. Comprehensive Service

- UMI Dissertation Publishing provides the only comprehensive service in the world for publishing, archiving, and disseminating graduate research and scholarship.

4. Copyright Protection

- You will own registered copyright protection and will be able to publish your work as chapters or text.