

DOCTORAL DISSERTATION GUIDE

Issued by

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TERMINOLOGY USED IN THIS GUIDE

The Graduate School of Arts & Sciences, whose main office is located in Cupples II Suite 204, is referred to throughout this guide as the **Graduate School**.

Although the term "thesis" is often used to refer to both a master's thesis and a doctoral dissertation, this guide, to avoid any possible confusion, will limit itself to the word **dissertation**.

The **Research Advisory Committee** is made up of three departmental faculty members who sign the Title, Scope, and Procedure form before you begin your dissertation and who serve as the first three readers for your dissertation and members of your Dissertation Examination Committee.

The **Dissertation Examination Committee** is made up of your Research Advisory Committee and at least three additional faculty members. All members of this committee, plus the chair of your department or program, will sign your Examination Approval Form after you have completed the oral phase of your dissertation examination.

The **dissertation examination** is sometimes called the dissertation defense, the oral defense, or the oral examination. This guide will always use the term dissertation examination.

In most cases, the chair of your Dissertation Examination Committee will be the same faculty member who has chaired your Research Advisory Committee. This guide will refer to this faculty member as your **committee chair**.

PRELIMINARY PAPERWORK

There are two forms that need to be filed well before the completion of your dissertation and the scheduling of your dissertation examination:

1. The **Title, Scope, and Procedure** form (titled “Notice of Title, Scope, and Procedure of Dissertation”) is to be filed with the Graduate School as soon as possible after your Research Advisory Committee has been formed. Students are required to file their Notice of Title, Scope, and Procedure before beginning their fifth year of graduate study. Forms are available on the Graduate School website.

Your project's "scope" defines its limits—what you intend to cover and what you intend not to cover. Your "procedure" describes the manner in which you intend to conduct your research. By defining the scope and procedure of your dissertation, you provide an initial outline or model for yourself as you research your topic. The form also serves as a contract between you and your Research Advisory Committee.

It is understood that your dissertation's scope, procedure, and even its title may change in the course of your research. You are not required to file an amended form with the Graduate School, although getting your committee's written approval of the changes may be advisable.

Research Advisory Committees normally consist of three tenured or tenure-track Washington University faculty members from within your department. Questions regarding committee composition may be sent to Associate Dean Nancy P. Pope.

2. Candidates for a degree must file an **Intent to Graduate** for the semester in which they intend to graduate. You may complete this form by logging onto [WebSTAC](#) and clicking on “Intent to Graduate” from the menu. If you are unable to access this, please contact the Office of Student Records, whose contact information is included below.

Please note that, if you do not finish by the time you had originally stated in your first Intent to Graduate, you must file a subsequent intent for the semester when you now intend to complete your work. Also please continue to update your post-graduation address in WebSTAC as it changes.

The **Office of Student Records** is located in the lower level of the Women's Building.

Phone: (314) 935-5959

Fax: (314) 935-4268

E-mail: student_records@aismail.wustl.edu

COPYRIGHT LAW AND YOUR DISSERTATION

United States copyright law protects your ownership of your dissertation's words – not your ideas – from the moment you record them. Giving notice of copyright and registering it are two additional steps: (1) The Graduate School recommends that you include a copyright page in your dissertation to give your prospective readers notice that you retain your rights to the work, on the whole. You may need to identify parts of your dissertation that you do not have the rights to, as they occur, but their existence does not prevent you from including a notice of copyright. (2) The Graduate School makes no recommendation for or against registering your copyright, but you should be aware that copyright registration is a prerequisite to filing a lawsuit for damages. You could sue to stop someone from claiming or copying your work without registering your copyright; however, if your dissertation contains work that could be used to make money, such as patentable but as yet unpatented discoveries, you should probably register your copyright. You may do so yourself (go to www.copyright.gov for instructions), or you may request that ProQuest do it for you. If you wish to register your copyright yourself, do it within 90 days of submitting your dissertation to ProQuest.

You may have already transferred your rights to part of your dissertation by having it published. The journals which publish scholarly articles differ widely, even within a narrowly defined subfield of a discipline, in their handling of authors' rights. The following options are illustrative, not exhaustive:

1. The journal may retain all rights to your article and refuse to let you use it in your dissertation.
2. The journal may retain all rights to your article but permit you to use it in your dissertation.
3. The journal may retain only the right of first publication and let all other rights revert to you.
4. The journal may have published your article with your permission but retained no rights to it.

Option 1 requires you to refer to your article rather than reprint it; this option is rare. Option 2 requires you to request and receive permission, and then to acknowledge the permission and the previous publication in your dissertation. Most journals will tell you exactly how to do this; the wording of such acknowledgments differs from one journal to another. The difference between options 3 and 4 does not matter to you if the article has already appeared at the time you submit your dissertation electronically; however, if the journal has retained the right of first publication and the article will appear in a future issue, you must embargo your dissertation with ProQuest until after the article appears.

As you publish your work, keep track of the options chosen by the journals which accept your articles.

Your rights to a previously published article may vary further if you are not its sole author. Consult your faculty advisor and your co-authors to ensure that your use of co-authored work is appropriate.

If you plan to submit a book based on your dissertation to a publisher, you may wish to embargo your dissertation with ProQuest until after the book appears or until it goes out of print a few years later. When you submit your dissertation electronically, you may choose an embargo of up to two years. However, you may request a longer embargo by writing a note to your administrator in the text box on the submission site. You may even choose an indefinite term for your embargo, so that it will be permanent if you never remove it. You may remove any embargo by contacting ProQuest directly.

GUIDELINES FOR THE FORMAT OF THE DISSERTATION

1. **Style.** You should consult with your committee chair and other Research Advisory Committee members to determine your discipline's preferred documentation style, including the use of footnotes or endnotes and the manner in which references are to be cited.
2. **Margins.** When typing the original manuscript, stay well within these margin guides:
 - a. Left, 1.5 inches (this margin is extra-wide because of the binding process); right, 1 inch;
 - b. top, 1 inch; bottom, 1 inch.
3. **Pagination.** Page numbers should appear centered at the bottom of the page. Margins, listed above, should be outside the page number. The number should be separated from the text by approximately .5 inch.

Every sheet of paper in the manuscript should be numbered except for two: the title page not numbered (but is counted as the first page; see below), and the optional copyright page is neither numbered nor counted. Letter suffixes (e.g., 10a) may not be used.

Lower case Roman numerals are used for the preliminary pages, including the title page and acknowledgments page. Since the title page is counted but not numbered, "ii" is the first number used and appears on the page after the title and copyright pages.

Arabic numerals are used for all other manuscript pages. Begin the first page of the body of the dissertation with page number 1, and continue on in Arabic numerals to the end of the volume.

4. **Font** should not routinely be italic and should never be script or ornamental. Size should be equivalent to 10-point Arial or 12-point Times New Roman.
5. **All textual material should be double-spaced**, with one or two exceptions: each footnote and endnote should be single-spaced, with one blank line between notes; long quotations should be indented and single-spaced, provided your discipline's style preferences permit you to do so.

The items on the following page appear in the dissertation in the order given.

Note that items 1, 4, 5, 9, and 10 are required.

1. The dissertation should include a **title page** that conforms precisely to the sample and instructions in Appendix A (Page 10). **The title page should include the month your degree is conferred. You must choose one of May, August, or December.** It should have no page number.

2. If you wish to include a **copyright page** (with or without paying the fee to register your copyright), it should appear as an unnumbered and uncounted page immediately following the title page. The copyright page should have the following information, centered and double-spaced:

copyright by

[full name of author]

[year of degree awarded]

3. If the dissertation contains an **Abstract**, it should appear next.

4. An **Acknowledgments** page must be included, immediately before the table of contents. The dedication, if there is one, should close the acknowledgments. These are professional thanks to those whose support has contributed to your completing your dissertation. You are expected to acknowledge sources of financial and academic support; external funding especially requires acknowledgment. You are permitted to thank those whose contribution has been personal, but you should do so in a professional style. Acknowledgments rarely take up more than one page.

5. The dissertation must include a **Table of Contents**. It should list every subsequent section of the dissertation, plus the Acknowledgments (and, optionally, the Abstract) that precede it.

6. If the dissertation contains tables, figures, illustrations, etc., a **List of Tables (Figures, Illustrations, etc.)** should be included, immediately following the Table of Contents. Note that such pictorial material may be laid out either vertically, like the text of the dissertation, or horizontally, with its bottom edge the outside edge of the page. Note also that pages devoted to tables, figures and illustrations should be counted and numbered like all other pages.

7. If the dissertation includes a list of **Abbreviations**, it should appear next.

8. The dissertation may begin with an epigraph (a quotation from someone else's work); if there is an epigraph, it should appear on page 1 of the dissertation, with chapter 1 beginning on page 2.

9. The body of the dissertation follows. Its first page (the epigraph page, if there is one; otherwise, the first page of the first chapter) begins the numbering of pages in Arabic numerals, with page 1.

10. The dissertation should include a **Bibliography or References or Works Cited** section. Although this section is usually placed at the conclusion of the entire dissertation, in some cases it may be appropriate to list sources at the end of each chapter. The Table of Contents should clearly indicate where references are located, no matter where they are.

11. Students wishing to include a C.V. should put it at the end.

PREPARATION FOR THE DISSERTATION EXAMINATION

1. You should consult with your committee chair about the composition of the Dissertation Examination Committee, which should conform to the following Graduate Council policy.

“The committee before which the student is examined consists of at least six members, who normally meet two independent criteria:

- Five of the six must be tenured or tenure-track Washington University faculty; one of these five may be a member of the Emeritus faculty. The sixth member must have a doctoral degree and an active research program, whether at Washington University, at another university, in government, or in industry.

- Four of the six normally come from the student's degree program; at least two of the six must not.

All committees must be approved by the Dean of the Graduate School of Arts & Sciences or by his or her designee, regardless of whether they meet the normal criteria.”

Your dissertation advisor, who chairs the committee, should be both inside and full-time tenured or tenure-track. However, if you have a chair and a co-chair, or two co-chairs, then either one of the two could be outside or not full-time tenured or tenure-track faculty. Questions regarding Dissertation Examination Committee membership may be addressed to Associate Dean Nancy P. Pope, currently the Graduate School Dean's designee for approving such committees.

2. You and your committee chair should fill out the Dissertation Committee Form, which may be found at <http://graduateschool.wustl.edu/files/graduate/ApprovedDissCommForm.pdf> . This form should be signed by the Director of Graduate Studies in your department and delivered to Associate Dean Nancy P. Pope. She will email her approval to the DGS. Only after this step should the defense be scheduled.
3. After the committee has been approved, at least 15 days before the dissertation examination the department should send an email to the Graduate School stating the time, date, and place of the exam. The email must also have a copy of your C.V. attached if you are a student in Arts and Sciences. Your C.V. may be one you have already used in a professional capacity. It should include the following information: name; date of birth; mailing address; phone number; e-mail address and fax number (if available); employment history; education history; teaching history; honors or awards you've received; conference papers; and publications.
4. Your department should then be sure that your committee chair has a copy of the Ph.D. Approval Form, which may be found at http://graduateschool.wustl.edu/files/graduate/Examination_Approval_form.pdf . When you successfully complete your Dissertation Examination, members of your committee will sign this form. The chair of your department or program will also sign it, whether or not he or she is a member of your Dissertation Examination Committee. Department chairs who are on the committee should sign twice.
5. You are responsible for delivering copies of the dissertation to all committee members. According to the Graduate School, members of the Dissertation Examination Committee have the right to request rescheduling of the examination if the dissertation is not made available to them at least one week in advance of the scheduled examination date. However, most departments require dissertations to be available to committee members two to four weeks before the dissertation examination takes place.
6. Attendance by a minimum of five members of the Dissertation Examination Committee, including the committee chair, is required for the exam to take place.

Please consult your program's faculty and staff if you have questions about this stage of your work. They can ask the Graduate School office any question that they cannot answer.

PRESENTATION OF COMPLETED DISSERTATION TO THE GRADUATE SCHOOL

After you have made any committee-required corrections to your dissertation, you must log on to <http://www.etdadmin.com/wustl> to create an account and submit the final text online. ProQuest will ask you to choose a publishing option. Washington University Libraries will cover the cost of Traditional Publishing. If you choose Open Access Publishing, you will be responsible for paying the difference between the fees for the two options. If your dissertation is not embargoed, it will be openly accessible through the Libraries' website soon after your degree is conferred; therefore, you may prefer not to spend money making it accessible immediately.

Once your dissertation has been successfully submitted, you will receive an email informing you that everything has been received. Final submission must be completed by the deadline indicated in the academic calendar at <http://graduateschool.wustl.edu/events>. **Please plan to submit your dissertation and additional forms well before the set deadline. You may need to make corrections to your formatting or fill out additional paperwork.**

Additional Required Forms:

- 1. The Examination Approval Form** (the original, not a photocopy), signed by members of the Dissertation Examination Committee and the chair of your department or program. Check with your department as to whether you will be responsible for submitting this form to the Graduate School, or whether your department will submit it on your behalf. This form should be submitted to Cecily Stewart in Cupples II 204A, or sent to her at Campus Box 1187. (Engineering students should submit it to Mary Clemens in Cupples II 210, or send it to her at Campus Box 1187.) *Your electronic submission of your dissertation will not be processed until this form is received.*
- 2. The Survey of Earned Doctorates.** The National Opinion Research Center (NORC) at the University of Chicago conducts this survey for a variety of government bodies, including the National Science Foundation, the National Endowment for the Humanities, and the U.S. Department of Education. The data are used, among other things, to set student stipends. We appreciate your answering all the questions you can, but you may submit the survey with some answers left blank if you cannot locate or choose not to share any piece of information. The survey is available through the following website: http://graduateschool.wustl.edu/Survey_of_Earned_Doctorates. Please plan to complete electronically prior to the dissertation deadline. *Your electronic submission of your dissertation will not be processed until this email arrives.*
- 3. The Academic Job Survey.** This [form](#) helps Washington University track the employment history of alumni. The form is available electronically and on paper. This form should be submitted to Nancy Bauman in the Liberman Graduate Center, located in the Danforth University Center, Suite 300, Campus Box 1186. If you wish to receive an electronic version, please email Nancy Bauman at nbauman@wustl.edu.

SUBMISSION OF PAPER COPIES FOR BINDING

In order to have a bound copy of your dissertation sent to you, you will need to submit a hard copy of it to the Graduate School office. **Do not print copies of your dissertation until after your electronic submission has been approved by the Graduate School.** Before submitting a copy for binding, please ask your degree program's staff two questions: (1) whether the program will pay the \$10 binding fee for your copy, and (2) whether the program has decided to purchase any additional bound copies of all its students' dissertations, for a departmental collection and/or for your advisor. If you are in a program that is not paying the binding fee for your copy, you will need to bring \$10 cash or check with your copy. *Please note that you must have exact change.* If you are in a program that wishes to purchase a copy or two of your dissertation for its own use, please bring its copy or two at the same time you bring your own.

To submit hard copies for binding, you need to put each copy in its own large heavy-duty envelope with a short title sheet taped on the outside of the envelope. Bring your envelope(s) to the Graduate School offices in Cupples II. Students earning the Ph.D. in any of the Engineering disciplines should submit their work to Mary Clemens in Cupples II, room 210; other Ph.D. students should submit their work to Nancy Buchanan in Cupples II, room 223. **Printed copies should be single-sided.**

The short title sheet must have Title, Surname, Degree, and Year. The bindery will print exactly what appears on this sheet on the spine of each bound copy, provided you have not exceeded the length limit. Any title longer than 35 characters will be truncated by the bindery. The short title you devise for this purpose will appear only on the spine of the bound copy; it should be a reasonable abridgement of your dissertation's full title. Here is a short title page based on the title page in Appendix A:

Effects of Urbanization in Guajiro, West, Ph.D., 2012

Do not include the words "short title" on the sheet. **Do** use a full 8.5 x 11 sheet of paper.

You must add notes to your short title sheet if (a) there is a disc or other loose material that will need a pocket made, (b) the dissertation should be bound in two volumes, or (c) there are any fold-out pages that would be cut in the trimming process. Approximately 1/16" is trimmed off on three sides of each sheet of paper in the dissertation. Here are sample notes: "Please make pocket for CD"; "Two volumes: please indicate '1' and '2' on spine"; "Watch foldouts."

Bound copies will be returned to your degree program's office for distribution to you and, in some cases, to the departmental collection and/or your advisor. Every degree program has agreed to ship your bound copy to you; you must therefore inform your departmental office of any changes in your address. If you choose to have more than one copy of your dissertation bound for your personal use, you will need to pay \$10 for each copy at the time of submission and you will need to have the additional copies picked up from your departmental office; no degree program is liable for the work and expense of shipping more than one copy to you.

APPENDIX A: TITLE PAGE INSTRUCTIONS AND SAMPLE

1. Give the correct name of the administrative unit in which you have been a student.
 - For most students, the unit is a department (e.g., Anthropology, Art History and Archaeology, East Asian Languages and Literatures, etc.). The formal, complete name of your department appears in the [Graduate School Bulletin](#).
 - For students in Business Administration or Social Work, the unit is the Olin Business School or the George Warren Brown School of Social Work.
 - For students in co-sponsored programs, two units' names need to be listed, on two lines; in this example, the student has earned the Ph.D. in Spanish and Comparative Literature:

Department of Romance Languages and Literatures

Program in Comparative Literature

- For students in the Division of Biology and Biomedical Sciences and the School of Engineering, the Division or School should be listed on one line and the program/department name on the next line; for DBBS students the formal, complete names of the Division's twelve Ph.D. programs appear in the [Graduate School Bulletin](#). Examples:

Division of Biology and Biomedical Sciences

Computational Biology

or

School of Engineering and Applied Science

Department of Biomedical Engineering

2. List all the members of your Dissertation Examination Committee in the correct order, beginning with the chair, identified as such, and proceeding with the others in alphabetical order by last name. Titles or degrees are not recommended, nor are departmental or institutional affiliation.
3. Use your full name.
4. Use the month and year in which your degree is to be conferred (not completed). Please note that degrees are conferred only in December, May, and August; use only one of these three on your title page. Do not put a comma between the month and the year.
5. Center everything on the page. Everything not discussed above is required to appear just as shown in the sample on the following page.

WASHINGTON UNIVERSITY IN ST. LOUIS

Department of Anthropology

Dissertation Examination Committee:

Katherine Doe, Chair

Michael Allen

Elaine Buller

Mary Cullman Coletti

Joseph Howard

Robert Edward Thomas

The Effect of Urbanization on Socialization and Personality Development in Guajiro Society

by

Diane Smith West

A dissertation presented to the
Graduate School of Arts and Sciences
of Washington University in
partial fulfillment of the
requirements for the degree
of Doctor of Philosophy

May 2012

Saint Louis, Missouri

APPENDIX B: STATEMENT BY GRADUATE COUNCIL ON MINIMAL REQUIREMENTS FOR PH.D. DISSERTATIONS

The Graduate Council adopted at its meeting on October 16, 1989, the following resolution establishing a framework of minimal requirements for Ph.D. dissertations at Washington University:

Dissertations presented in partial fulfillment of the requirements for a Washington University Ph.D. are to describe a significant advance in scholarly knowledge derived from a candidate's original investigations. A dissertation may address separate research questions or lines of inquiry but must contain elements unifying the entire body of work. Dissertation authors are to be guided by the following rules:

- 1) A dissertation will include a review of background material placing in context the problem or problems under investigation.
- 2) A dissertation will include language that summarizes and discusses the principal contributions of the work as a whole.
- 3) A significant part of each dissertation must rest on independent research conducted by the candidate. Findings due primarily to others and collaborative work will be identified as such with the contributions of the candidate made clear.
- 4) If copies of papers authored or co-authored by the candidate are included within the dissertation, the aforementioned requirements on unifying elements and candidate contributions must be met.
- 5) Large data sets and other technical materials not ordinarily included in scholarly publications should be maintained in a readily accessible form and the dissertation should reference their availability.

When special circumstances dictate, exceptions to these rules may be granted upon approval by the candidate's department or major program and concurrence by the Dean of the Graduate School.

Individual programs of the Graduate School are encouraged by the Council to establish, within this framework, their own more specific guidelines and policies. In particular the Council realizes that disciplines have widely differing views on such things as inclusion in a dissertation of reprints of published papers, format and depth for a background literature survey, and handling of data sets. Ph.D. candidates should therefore consult with their home departments or programs at the outset of work on a dissertation.

APPENDIX C: FORMATTING PREVIOUSLY PUBLISHED MATERIAL

It is becoming increasingly common in some fields for graduate students to have submitted portions of their dissertations for publication before completing their doctoral degrees. Often, indeed, some portions of their dissertations have been published and are now available in reprint format. In such cases, reformatting the material for the copies to be presented to the Graduate School of Arts and Sciences may cost the student time that could be better spent otherwise. On the other hand, an electronic copy of your dissertation will remain at Washington University, which would appreciate its being fully readable. To meet this expectation without undue delay, the following advice should be followed:

1. Keep the word-processing file you made in order to submit your material for publication. If the only version of the material is the reprint, your choices are unnecessarily limited. (See # 6.)
2. Line up your prospective articles with the chapters of your dissertation as much as possible. Your goal here is to maintain a consistent format within each chapter.
3. Where different journals have requested different font sizes, documentation styles, and layouts, the student need not make all the chapters match each other, so long as each one is internally consistent. However, if any chapter will appear in the dissertation with its own abstract, then an abstract should appear at the beginning of every chapter.
4. Be sure your dissertation includes an introduction and a conclusion that unify the dissertation. A collection of articles is not acceptable without that framing, unifying material. (See also Appendix C for formal requirements regarding the unity of your dissertation.)
5. The left-hand margin on every page should be 1.5 inches. Journals will generally accept the extra-wide margin, which can therefore be part of your initial formatting of the material.
6. Pagination should be continuous, and all pages should face forward. If you have only a reprint of your article available to you when you are compiling your dissertation, scan and reformat it.

If there are other exceptional circumstances not covered by the guidelines contained in this booklet, please e-mail Cecily Stewart at cecilstewart@wustl.edu (Engineering students should contact Mary Clemens at mclemens@wustl.edu).

APPENDIX D: ADDITIONAL RESOURCES

Some departments have a regular gathering for students writing dissertations to share work in progress and mentor each other. If your department has such an organization, attend its meetings. If you'd like your department to have such an organization, talk to Associate Dean Nancy P. Pope in the Graduate School about getting one started.

The Writing Center can offer help with writing problems that arise as you work on your text.

If you find that writing a dissertation is a distressing process for you, you might want to join the dissertation support group run by one of the counselors at Student Health Services.

Also, check out the following sources:

All-But-Dissertation Survival Guide. Copyright Ben J. Dean, 1997-2006

<http://www.abdsurvivalguide.com/>. A free monthly e-newsletter with practical strategies for A.B.D.ers. See the web site for how to subscribe; also browse their archives.

Authoring a Ph.D.: How to Plan, Draft, Write, and Finish a Doctoral Thesis or Dissertation. Dunleavy, Patrick. New York: Palgrave Macmillan, 2003.

Especially helpful for the humanities and social sciences.

Writing Your Dissertation in Fifteen Minutes a Day. Joan Bolker. Henry Hold, 1998.

Helpful for writer's block, time management, and procrastinators!