Doctoral Dissertation Guide

Washington
University in St. Louis
THE GRADUATE SCHOOL

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Overview of the dissertation process

Your dissertation is the culmination of your graduate study, and its acceptance by the Graduate School is the final requirement for your PhD. Therefore, we have written this guide to help you complete your work as efficiently as possible.

This guide is itself an outline of the stages of your work in which you interact with the Graduate School; in the following overview, some notice is also taken of ways in which you interact with your faculty adviser and other committee members.

1. At some point in your dissertation research, you will present a proposal or prospectus of your dissertation to your faculty adviser and at least two other faculty members. This presentation may be as casual as handing around your Title, Scope, and Procedure Form for their signatures, or as formal as defending an oral presentation to the committee. The Graduate School will know you are at this point in your work when your fully signed Title, Scope, and Procedure form has been submitted to our office.

2. While you work on your dissertation, you will want to keep in mind the Graduate School's minimal requirements for dissertations and the ways in which material should be organized and formatted. Review the Graduate School's *Dissertation and Thesis Template* found in the Guides page of the Graduate School website. The template uses all required formatting, and its text can be replaced with your own. Whether you use it as the basis for your document or not, you must consult it for answers to all your formatting questions; that information is no longer included in this guide.

3. When you and your faculty agree that your dissertation is ready to be defended, your defense will be scheduled. The Graduate School will know you have passed your defense when your fully signed Examination Approval Form is submitted to our office.

4. After your defense is over and your paperwork is complete, you will submit your dissertation to the Graduate School electronically.

5. After your electronic dissertation has been accepted, you may order copies from Thesis on Demand. Instructions for how to do so can be found later in this Guide.

6. Also after your thesis has been accepted, we strongly encourage you to submit your thesis data (e.g., field notes, spreadsheets, images, economic models, coordinates) and supplemental files (e.g., scripts, analysis, protocols) to the Washington University Digital Research Materials Repository (DRMR) hosted by the University Libraries. This is a free service which ensures the access and preservation of your scholarship for future use, meeting funder data sharing and archiving requirements. Data and files deposited with DRMR will also be assigned a digital object identifier (DOI), which allows for impact metrics and downloads to be tracked over time. For more information, or to submit your datasets, please see the DRMR webpage at http://libguides.wustl.edu/drmr.

Minimal requirements for dissertations

The following "Statement by Graduate Council on Minimal Requirements for PhD Dissertations" was adopted at the Graduate Council meeting on April 19, 2012.

A dissertation is the product of extensive research and presents an original contribution to knowledge in a given field. It documents the candidate's ability 1) to make substantive contributions to answering a major intellectual question and 2) to communicate research results with professional competence.

In all cases, the dissertation must constitute an integrated, coherent work, whose parts are logically connected. It must have a written introductory chapter that sets forth the general theme and core questions of the dissertation research and that explains the relationship among the constituent chapters or parts. The introduction will typically include, as is appropriate to the discipline, a review of the literature relevant to the dissertation, an explanation of theories, methods, and/or procedures utilized by the author, and a summary discussion of the contribution of the dissertation project to knowledge in the field. In its final deposited form, the dissertation must constitute an archivable product, which meets the standards prescribed by the university.

The dissertation may consist (in whole or in part) of co-authored chapters and articles, but the candidate must be a major contributor to the research and writing of any such papers and must describe her/his ideas, individual efforts, and contributions to the larger work. In order to be in compliance with the university's policy on plagiarism and academic integrity,[1] a dissertation that incorporates co-authored work must also include in its introduction an explanation of the role of the candidate in the research and in the writing of the co-authored work.

If a dissertation includes previously published materials (authored or co-authored), the candidate must provide a full referencing of when and where individual papers have been published. Because prior publication and multiple authorship have implications with respect to copyright, PhD candidates should discuss copyright with advisers and obtain copyright clearance from any co-authors well in advance of defending the dissertation. Written permission must be obtained in order to include articles copyrighted by others within the dissertation.

It is the responsibility of the student and the student's dissertation committee to ensure that the dissertation meets all requirements regarding authorship, academic integrity, and copyright, as here outlined.

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[1] According to the university's policy on Academic Integrity, "Plagiarism is the willful or unintentional act of using, without proper acknowledgement, another person's or persons' words, ideas, results, methods, opinions, or concepts. . . . The act of claiming as one's own work any intellectual material created by another or others is wrong and will be treated by the Graduate School of Arts and Sciences as a serious violation of academic integrity."

Preliminary paperwork

Title, Scope, and Procedure

You *may* file your [Title, Scope, and Procedure Form](#) as soon as your Research Advisory Committee has signed it.

You *must* file your [Title, Scope, and Procedure Form](#) before starting your fifth year of graduate study.

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.

Research Advisory Committees normally consist of three tenured or tenure-track Washington University   faculty members from within your degree program.

Your dissertation's title, scope, and procedure 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.

Intent to Graduate

You must file an Intent to Graduate form for the semester in which you intend to graduate. Deadlines for filing the Intent to Graduate form for each semester are listed on the Graduate   School's online calendar.

Complete this form by logging onto [WebSTAC](#) and clicking on "Intent to Graduate" from the menu. Take note of the diploma pick-up and mailing dates that are included on the form because your diploma will be mailed to the address entered. If your graduation semester changes, you must file a new form.

ORCiD

We strongly encourage you to establish an Open Researcher and Contributor ID (ORCiD) and begin to populate your profile at http://orcid.org. ORCiD is a free, persistent personal digital identifier which several funders, publishers, scholarly associations, databases, and universities are beginning to adopt or require. Many scholars will want to establish their ORCiD profile and maintain it throughout their careers. You are also encouraged to include your ORCiD in your dissertation submission in ProQuest. For further information, review http://libguides.wustl.edu/orcid.

How to arrange for a dissertation defense

Consult your committee chair about the membership of your dissertation defense committee, which should conform to the following Graduate Council policy. Address questions regarding dissertation defense committee membership to Associate Dean Diana Hill Mitchell, currently the Graduate School Dean's designee for approving such committees.

1. "The committee before which the student is examined consists of at least five members, who normally meet two independent criteria:

   o Four of the five must be tenured or tenure-track Washington University faculty; one of these four may be a member of the Emeritus faculty. The fifth member must have a doctoral degree and an active research program, whether at Washington University, at another university, in government, or in industry.
   o Three of the five must come from the student's degree program; at least one of the five must not.

   All committees must be approved by the Dean of the Graduate School or by his or her designee, regardless of whether they meet the normal criteria." *

2. Fill out (your department may do this for you) the Dissertation Defense Committee Form, which may be found [HERE](#).

   o This form must be signed by your department's Director of Graduate Studies and sent to Associate Dean Diana Hill Mitchell. Your DGS or a department staff member should send it (not you). Dean Mitchell will email her approval to the DGS. Only after this step has been completed should the defense be scheduled.

   o After the committee has been approved and at least 15 days before the defense, your department (not you) should send an email to the Graduate School stating the time, date, and place of the defense. The email should have a copy of your CV attached if you are an Arts & Sciences student on the Danforth Campus. *Do not put your Social Security Number, birth date, or birth place on your CV.*

3. You are responsible for giving copies of the dissertation to your committee. According to the Graduate School, committee members may request rescheduling of the defense if the dissertation is not made available at least 1 week in advance. However, most departments require dissertations to be available to committee members 2-4 weeks before the defense.

4. "Attendance by a minimum of four members of the dissertation defense committee, including the committee chair and an outside member, is required for the defense to take place. This provision is designed to permit your defense to proceed in case of a situation that unexpectedly prevents one of the five members from attending. Do not plan in advance to have only four members in attendance; if one of those four cannot attend, your defense must be rescheduled. Note that the absence of all outside members or of the committee chair would necessitate rescheduling the defense." *

5. "Members of the dissertation defense committee normally attend in person, but one of the five (or, in case of an emergency, one of the four) members may attend virtually instead." *

*Policies passed by the Graduate Council in November 2013.

Forms and permissions needed prior to electronic submission

Deadlines

Your dissertation must be not only submitted but also accepted by the deadlines indicated in the academic calendar at http://graduateschool.wustl.edu/events. You should submit your dissertation before the deadline, in case you need to make changes. Also, you should submit your Examination Approval Form and Survey of Earned Doctorates before the deadline.

Copyright Permissions

Before you submit your dissertation electronically, you must have obtained **permissions** for any copyrighted work included in it for which you do not hold the sole copyright. This may include your own previously published work, whether or not you are its sole author. You may wish to visit http://media2.proquest.com/documents/copyright_dissthesis_ownership.pdf for help with this topic or you may wish to consult your subject librarian, or email WULIB_copyrighthelp@wumail.wustl.edu.

The Examination Approval Form

The form is signed by members of the dissertation defense committee at your defense and by the chair of your department or program afterward.

- o 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.

- o All Examination Approval Forms (including those from Engineering) are submitted to Angie Mahon, Campus Box 1187.

Survey of Earned Doctorates (SED)

The Survey of Earned Doctorates must be submitted prior to the electronic submission of your dissertation. Information regarding the SED and a link to complete it may be found HERE. You may leave
answers blank if you choose not to share any piece of information.

The electronic submission of your dissertation will not be approved until an emailed confirmation of your SED survey submission has been received by the Graduate School.

Post-Graduation Job Survey

Let us know what your current post-graduation plans are by filling and out and submitting the form at http://graduateschool.wustl.edu/gradcareers-post-graduation-job-survey. You can file this form again later to update us on changes. We continue to want to hear what you're doing.

Navigating the ProQuest electronic submission process

After you have successfully defended your dissertation and made any committee-requested changes, the Graduate School requires that you create an online account at ProQuest (http://www.etdadmin.com/wustl) to submit your final text. ProQuest is this country's most widely used commercial archiving service for dissertations and theses. This guide is to inform and advise you in making selections through the submission process in ProQuest. The tabs below including "Publishing Options", "PDF", and "Register U.S. Copyright" require special attention and will be addressed in detail.
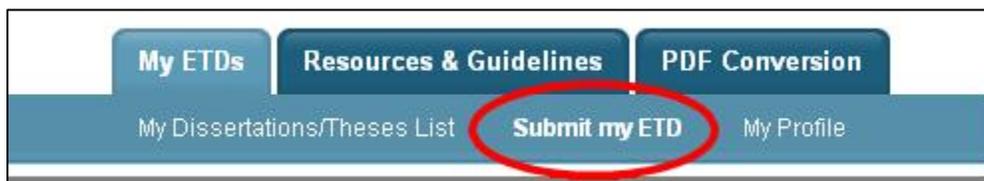
Before you create your account, make sure that you have the following items at hand:

- o The full text of your dissertation, formatted as a PDF, with embedded fonts
- o Supplementary files and/or supporting documents (optional)
- o The body of your abstract, without the heading; note that there is *no* word limit on your abstract
- o A full list of your committee members
- o Any copyright permissions obtained; these will need to be submitted as a part of this process.

Log in to ETD Administrator. If you have not yet created an account, you must do so now. Make sure to register with an email address that is checked regularly, even after your graduation.

Click here to create your account.

Ready to begin?

▶ Submit my dissertation/thesis

▶ View/revise existing submission

After you have created your account and logged in, select "Submit ETD" from the "My ETDs" tab.

My ETDs | Resources & Guidelines | PDF Conversion

My Dissertations/Theses List | Submit my ETD | My Profile

On the left side of the webpage, you will see a menu of checkboxes that look like the following image. This portion of the guide will take you through each checkbox, step by step.

Publishing information:

☐ Instructions

☐ PQ publishing options

☐ ProQuest/UMI agreement

☐ Contact information

About my dissertation/thesis:

☐ Dissertation/Thesis details

☐ PDF

☐ Supplemental files (optional)

☐ Notes (optional)

Submission & payment:

☐ Register U.S. Copyright

☐ Order copies

☐ Shipping address

☐ Submit

☐ Instructions

The instructions page includes similar information to what we have up above; please review and then click continue, which will bring you to the second checkbox, "PQ Publishing Options".

☐ PQ publishing options

The first half of this page requires you to indicate a selection for either "traditional" publishing or "open access" publishing.

Washington University is committed to providing open access for scholarly work authored by WUSTL students and faculty. Therefore, the WU Library has launched a platform called Open Scholarship: http://openscholarship.wustl.edu. When a student submits a dissertation to ProQuest, the Library automatically receives an electronic copy and makes it available on Open Scholarship. However, the Library respects all limitations, such as embargoes, that authors set on their submissions in ProQuest.

As you can see in the image below, Open Access Publishing PLUS requires a $95 registration fee, whereas Traditional Publishing is free for Washington University students; the Library pays the fee to ProQuest for this option. Because the Open Scholarship platform will give your dissertation as much open access, at no charge, as ProQuest will charge $95 to give it, we recommend that students choose Traditional Publishing.

Select Type of Publishing *

○ Traditional Publishing View agreement
- I want to make my work widely available and I want to be eligible to receive royalties on the sale of my work.
- I understand that I must maintain a current mailing address with ProQuest/UMI in order to be eligible to receive royalties.
- I understand that ProQuest/UMI does not charge a fee for Traditional Publishing.
- I understand that my work will be available through ProQuest Dissertations & Theses, Udini and Dissertation Express, an

○ Open Access Publishing PLUS View agreement
- I want the broadest possible dissemination of my work, and I want to provide free global access to the electronic copy of m
- I understand that I will not be eligible to receive royalties.
- I understand that the ProQuest/UMI fee for Open Access Publishing PLUS is $95.00 USD.
- I understand that I will pay the fee, unless notified by my graduate institution that the school will pay.
- I understand that my work will be available through ProQuest Dissertations & Theses, Udini and Dissertation Express, an

The second half of the PQ Publishing Options page asks you to select your publishing and access options.

Select Publishing Options

I want major search engines (e.g. Google, Yahoo) to discover my work through ProQuest. * Learn more
○ Yes
○ No

Access options (e.g., delaying the release of your work)

If you choose to delay the release of your work, access to the full text of your work will be delayed for the period of time that you specify. repository.

Note: Most institutions have delayed release (or embargo) policies. Please consult with your Graduate School for more information.

Delaying release in ProQuest

I want my work to be available **in ProQuest** as soon as it is published. *
○ Yes
○ No - I have patents pending, or another reason why I need to delay access to the full text of my work.

The table below, from ProQuest, is an excellent summary of the advice our office would give you about whether or not you should embargo your dissertation.

Consideration	Recommended Action		
	Choose Traditional Publishing	Place an embargo on your dissertation	Restrict from Google/search engines
Likely submission to a peer-reviewed journal	✓	✓	
Interested/potential interest by an academic or commercial press	✓	✓	
Ethical need to prevent disclosure	✓	✓	✓

If you choose to embargo your work, select "No – I have patents pending, or another reason why I need to delay access to the full text of my work" and select how long an embargo you would like. If you need to embargo your work for more than two years, request as long an embargo as you wish by using the "Note to administrator" text box.

Delaying release in ProQuest

I want my work to be available **in ProQuest** as soon as it is published. *

○ Yes

● No - I have patents pending, or another reason why I need to delay access to the full text of my work.

How long would you like to delay the release to ProQuest? * (more info)

○ 6 months ○ 1 year ○ 2 years

If a longer embargo is necessary, please indicate in the Note to administrator.

Note to administrator (optional):   200 characters

[   ]

Clear

Reason for delaying release to ProQuest: *

[Select   ▼]

Enter your requested embargo length here, if it is beyond 2 years.

You can lift an embargo on your work at any time – or impose or extend an embargo – by contacting both ProQuest (at etdsupport@proquest.com or 1.877.408.5027) and the Washington University Libraries (at digital@wulib.wustl.edu) directly.

☐ **Contact information**   ☐ **Dissertation/Thesis details**

On the contact information page, please use an email address that is checked regularly, because that is how the Graduate School will get in touch with you regarding your submission.

Please note that you must include an abstract on the Dissertation/Thesis details page, even if your dissertation does not include one. There is no word limit on your abstract.

☐ **PDF**

You are required to submit your dissertation as a PDF.

Register U.S. Copyright

You do not need to register your claim to copyright in order to include a copyright page in your manuscript. If your dissertation is not itself of monetary value and does not contain information of monetary value, then registering your claim to copyright is not necessary. In order to sue others for monetary damages caused by their infringing your copyright, you must have registered your claim to copyright.

If you wish to register your claim to copyright, you may choose to have ProQuest act as your agent to register your copyright for a fee, or you may decline that service and register your work yourself. More information about copyright registration can be found at http://libguides.wustl.edu/copyright/registration.

We will:

- Prepare an application in your name
- Submit your application fee
- Deposit the required copy or copies of the manuscript
- Mail you the completed certificate of registration from the Library of Congress

If ProQuest files for you, they will do these things.

1. Previous U.S. Copyright Registration

Has registration for your published dissertation/thesis, or for an earlier version of the manuscript, been made with the Copyright Office?

○ Yes - copyright was previously filed   ○ No

2. Requesting ProQuest/UMI to file for U.S. Copyright Registration

○ **Do not file for copyright** - I am requesting that ProQuest/UMI not file for copyright on my behalf.

○ **File for a new copyright** - I am requesting that ProQuest/UMI file for copyright on my behalf.

- I understand that an additional fee of $55.00 (USD) will be charged.

- I authorize ProQuest/UMI to submit an application for registration of my copyright in the Work in my name. I will receive the re

- If I have previously registered my published dissertation/thesis, or an earlier version of the manuscript with the U.S. Office of above (see Question 1).

There is an alternate way to order copies of your dissertation. See the section called "How to submit copies for printing and binding".

Review and approval process

The Graduate School is notified when you submit your dissertation to ProQuest. When we review your submission, we make sure that your Examination Approval Form and Survey of Earned Doctorates have been completed, and we check the submitted PDF to ensure that all formatting requirements have been followed. The amount of time we will need to review your manuscript, and the number and nature of any changes you may be required to make, are generally determined by how carefully you have prepared your work. **Please do not wait until the deadline day to submit your dissertation!** Your work must be formatted correctly and approved by the Graduate School in order for you to graduate.

Once our review is complete, we will send you an email through ProQuest saying one of the following:

a. Your submission has no revisions and is being accepted.
b. Your submission has no revisions, but we are missing required paperwork.
c. Your submission has a few revisions that must be made before we can accept it.

If you have revisions you must make, log back in to ProQuest, and you will see this screen.

Submit your revisions:

Submit revisions

Click here to submit your revised PDF.

Please verify submission first

After you submit, you cannot revise your submission without permission from yo

Submission Summary:

If changes are needed, you can make them using the links provided.

Dissertation/Thesis Details:

Degree:

Title:

Abstract:

Subject Categories:

Keywords:

PDF:

Publishing Options:

Submit revisions

The Graduate School will not be notified of your modifications unless you click here.

How to acquire bound copies

As of February 1, 2016 the Graduate School will no longer accept any paper copies for binding. Once your revisions are submitted in ProQuest, and the Graduate School has reviewed them, you will receive an email saying your dissertation is approved. Then, and *only* then, you can order copies of your dissertation to be printed and bound from Thesis on Demand. Any copies must all be identical to your approved ProQuest submission. Therefore, when you upload a PDF of your dissertation for printing and binding, use the same one that was just approved in ProQuest.

1. Ask your department's administrator if your program is one who will pay for a certain number of copies to be bound by Thesis on Demand. In some departments, those will be ordered directly by departmental staff; in other departments, you will order those and request reimbursement for them. Clarify your department's procedures before starting to order printed and bound copies of your work.

2. Go to http://wustl.thesisondemand.com to order copies. Begin by uploading your PDF; when prompted, fill out the rest of the page. If you want copies sent to different shipping addresses, you will need to go through this process separately for each address; all copies ordered together will be shipped together to a single destination. Note that this service will *not* ship to international addresses.

3. As soon as you reach the second page of the order form, "Document Information as Uploaded" will appear on the right-hand side of the page; check to be sure that the total number of pages, the number in color versus black and white, and the information about images is all accurate. Your PDF for ProQuest will already have embedded fonts.

4. If your dissertation *does not* have color pages, choose the "Print Document in Black and White Only" option; if your dissertation *does* have color pages, choose the "Print Document in Color" option.

5. If you have any difficulty, begin by consulting the FAQ section of the bindery's website: http://thesisondemand.com/faq/. You will need to enter the university's zip code, 63130, in order to access these questions and answers.

Questions to ask before submission

It's a great relief to pass your defense and have very little work left to do before you can put PhD on your CV. It's a great frustration to convert your dissertation into a PDF and submit it electronically, only to be asked to do it again after making changes to the text.

Here are some things to make sure you have completed before you submit to ProQuest.

- ✓ Have you filed your Intent to Graduate for the semester in which you plan to complete your degree?
- ✓ Does your title page indicate the correct administrative unit?
- ✓ Is your committee alphabetized by last name, after your chair/co-chairs?
- ✓ Is Your Title in Upper and Lower Case, as in This Question?
- ✓ Does your title page indicate the month and year in which your degree is being conferred?
- ✓ If you are including an abstract page, does it use the required heading found in the Dissertation & Thesis Template?
- ✓ Is your front matter numbered correctly, starting with ii?
- ✓ Does the page numbering on your Table of Contents correspond to the correct page location?
- ✓ Does your Table of Contents include your bibliography/references/works cited?
- ✓ Have you completed the Survey of Earned Doctorates?
- ✓ Have you completed the Post-Graduation Job Survey?
- ✓ Has the Graduate School received your Examination Approval Form?
- ✓ Do you have any requisite copyright permission letters?

After your dissertation has been approved by the Graduate School, make sure you have checked the following, if you plan to have copies bound.

- ✓ Have you spoken with your department administrator, to find out if your program pays for any copies to be bound?

You may need to present proof that you have completed your degree to a prospective employer before you receive your diploma. In that case, only after you have been notified that your submission has been approved, you may request a [Degree Certification](#) on the Graduate School website, on the Forms page.

Questions from students may be addressed to Angie Mahon at amahon@wustl.edu. Questions about use of copyrighted materials, permissions, and fair use may be addressed to your subject librarian, or WULIB_copyrighthelp@wumail.wustl.edu.

Credits: Mary Clemens, Cecily Stewart Hawksworth, and Nancy Pope collaborated on this version of the Guide in June 2016.

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