

# **DOCTORAL DISSERTATION GUIDE**

Issued by

Graduate School of Arts and Sciences

Washington University

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## TABLE OF CONTENTS

TERMINOLOGY USED IN THIS GUIDE .....	3
PRELIMINARY PAPERWORK .....	4
COPYRIGHT ISSUES TO CONSIDER .....	5
GUIDELINES FOR THE FORMAT OF THE DISSERTATION .....	6
PREPARATION FOR THE DISSERTATION EXAMINATION .....	8
PRESENTATION OF COMPLETED DISSERTATION TO THE GRADUATE SCHOOL .....	10
APPENDIX A: TITLE PAGE INSTRUCTIONS AND SAMPLE .....	12
APPENDIX B: ABSTRACT INSTRUCTIONS AND SAMPLE .....	14
APPENDIX C: STATEMENT BY GRADUATE COUNCIL ON MINIMAL REQUIREMENTS FOR PH.D. DISSERTATIONS .....	15
APPENDIX D: EXCEPTIONAL CIRCUMSTANCES .....	16



## TERMINOLOGY USED IN THIS GUIDE

The Graduate School of Arts & Sciences, whose offices are located at 153 North Brookings Hall, 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 (or, if co-chaired, four) departmental faculty members who sign the Title, Scope, and Procedure form before you begin your dissertation and who serve as the first three (or four) 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**. Your committee chair may or may not be the same person as your research advisor who, for example, has presided over the laboratory in which you have worked during the course of your research.

## 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 no later than six months before your dissertation examination, and is required in order for you to be considered ABD. Forms are available in the Graduate School.

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. The committee may also include a fourth member, such as faculty from other universities or adjunct, visiting, research-track, or emeritus Washington University faculty. Final approval of the committee rests with the Dean of the Graduate School.

2. Candidates for a degree must file an **Intent to Graduate** form for the semester in which they intend to graduate. You may complete this form after logging onto WebSTAC and clicking on “Intent to Graduate” from the menu. If you are unable to access this form, please contact the Office of Student Records, whose contact information is included below. They will provide the form and can tell you the deadline for filing. Please note that, if you do not finish by the time you had originally stated in your first Intent to Graduate form, you must file a subsequent form for the semester when you now intend to complete your work

You should keep your own copy of this form, as it has diploma pick-up and mailing dates. This form also includes your mailing address, which may change between the time you fill the form out and when you finish your work; therefore, you should contact the Office of Student Records any time you change addresses after filing this form.

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](mailto:student_records@aismail.wustl.edu)

## **COPYRIGHT ISSUES TO CONSIDER**

### **I. Your use of copyrighted material**

All Washington University dissertations are microfilmed and digitized by University Microfilms International. Public access to the microfilm and electronic versions is controlled by the answers to two questions:

- 1) Did the dissertation use copyrighted material?
- 2) If copyrighted material was used, was a publisher's permission to use the material required before the dissertation can be made available to the public, or was the student's use of the material protected by "fair use" law?

Answers to both questions are sufficiently complicated that students should consult UMI's booklet, "Copyright Law and Graduate Research," available on-line in a downloadable format: <http://www.umi.com/umi/dissertations/copyright>. Note that any required permissions will need to be obtained in writing and copies of them provided to UMI with your dissertation.

Note that your inclusion of previously published work authored or co-authored by you will require the publisher's permission unless you retained the right to subsequent publication. In the case of co-authored material, you will need to obtain the permission of your co-authors if they share that right. (See also Appendix D for other guidelines regarding the use of your own previously published articles.)

Note also that UMI makes the final decision as to whether material used in a dissertation violates copyright law. If it does, the dissertation will not be made available to the public (i.e., published) by UMI. Publication of your dissertation is a requirement for your Ph.D. Therefore, you must consider copyright issues early and often as you research and write your dissertation.

### **II. Your dissertation's copyright protection**

Your dissertation is protected by copyright law without your taking any action whatsoever. You may further protect your dissertation by inserting a copyright notice in the final copy (see page 7 for the format and placement of a copyright notice). You may also wish to register your copyright, either through UMI's copyright registration service or on your own. Registration of your copyright will permit you to recoup monetary damages resulting from unauthorized use of your work; it is recommended, therefore, if your dissertation contains information potentially of monetary value, such as patentable discoveries.

## GUIDELINES FOR THE FORMAT OF THE DISSERTATION

1. **Style.** You should consult with your committee chair and other Research Advisory Committee members to determine the preferred textual arrangement and style, including the presentation of footnotes/endnotes and the manner in which references are to be cited.
2. **Margins.** When typing the original manuscript, stay well within these margin guides: Left, 1.5 inches (this margin is extra-wide because of the binding process); right, 1 inch; 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 with page number 1; pages with Arabic numerals should NOT continue numerically (e.g. from xii to 13).

4. All textual material should be **double-spaced**.
5. **Font** should be 10-point or larger. Because the manuscript will be reduced in size on microfilm, a larger font is preferable.
6. Long **quotations** may be indented and single-spaced, although some disciplines prefer them to be indented and double-spaced.
7. **Footnotes/endnotes** should be single-spaced. Leave one blank line between notes.
8. **Illustrative or pictorial material** should be black and white in order for the microfilm of your dissertation to be fully legible. Colors will appear as minutely differing shades of gray. However, if color provides you with a clearer presentation of your results, you may wish to make one black-and-white copy for microfilming while using color in your other copies. As this copy is also the one shelved in the West Campus Library, you may decide it should also contain color despite the certainty that the microfilm will be difficult to read.

The following items appear in the dissertation in the order given:

1. The dissertation should include a **title page** that conforms precisely to the sample and instructions in Appendix A (Page 12).
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 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. An **Acknowledgments** page should be included. In the final copy, it should be placed between the title page (or copyright page, if there is one) and the table of contents. The dedication, if there is one, may close the acknowledgments or occupy the next page. It is appropriate to acknowledge sources of financial support; some fellowships and grants require acknowledgement.
4. The dissertation should include a **Table of Contents**. It should list every subsequent section of the dissertation, plus the Acknowledgments page that precedes it.
5. 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.
6. If the dissertation includes a list of **Abbreviations** it should appear next.
7. If the dissertation contains the dissertation **Abstract**, it should appear next. It may or may not contain the full heading shown in Appendix B.
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 the dissertation text beginning on page 2. If the epigraph pertains only to the first chapter, it should appear between the chapter title and the chapter text.
9. 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 Tables of Contents should clearly indicate where references are located.
10. **Enclosures**, such as paper items that are larger than the standard page but may be folded or non-paper items such as compact disks or computer diskettes, may be bound with your dissertation; they will appear in a sleeve inside the back cover.

## PREPARATION FOR THE DISSERTATION EXAMINATION

1. You should consult with your committee chair about the composition of the Dissertation Examination Committee. Committees normally contain six tenured or tenure-track Washington University faculty members, four from within your department or program and two from outside. In addition to these six, the committee may also include other members, such as faculty from other universities or adjunct, visiting, research-track, or emeritus Washington University faculty. Final approval of the committee rests with the Dean of the Graduate School.
2. When the student has put together an acceptable committee, a list of its members should be delivered to the appropriate administrator in the student's department or program. This administrator should, in consultation with you and your committee members, arrange the date, time, and place for the dissertation examination.

After securing the committee, the administrator will send a letter to the Graduate School at least 15 days before the dissertation examination, stating the time, date, and place of the oral, designating the chair of the Dissertation Examination Committee and naming its additional members.

3. While you arrange for your dissertation examination, you should also prepare a dissertation **abstract** and a **curriculum vitae** (c.v.). Copies of the abstract and the c.v. will be sent to members of the Dissertation Examination Committee along with their invitations to the examination. Additionally, a copy of your abstract—revised, if you wish, after your dissertation examination—will be sent to the Graduate School to be published in *Dissertation Abstracts*.

The abstract should conform to the sample and instructions in Appendix B. It must be 350 words or less. (Thirty-five lines of type with 70 characters per line contain about 350 words.) Mathematical formulas, diagrams, and other illustrative materials are not recommended for the printed abstract.

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. You should bring your abstract and your c.v. to your committee chair for approval. If your committee chair approves, he or she should initial both the abstract and the c.v.
5. At least 15 days before the scheduled examination, you should deliver to the Graduate School ten copies of the approved abstract and ten copies of the approved c.v.

*While at the Graduate School, you may wish to pick up the Doctoral Dissertation Agreement Form, the Survey of Earned Doctorates, and the Academic Job Survey.*

*These forms are to be filled out, signed, and turned in to the Graduate School along with copies of the finished dissertation. See section on the "Presentation of Completed Dissertation to the Graduate School."*

6. The Graduate School will send out official dissertation examination invitations, along with copies of your abstract and c.v., to you and to all the members of your committee.

In its invitation to the committee chair, the Graduate School will also enclose the Examination Approval Form. Upon your successful completion of your Dissertation Examination, members of your committee will fill out and 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.

7. You and your committee chair share responsibility for delivering copies of the dissertation to all committee members. According to the rules set down by 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.
8. Attendance by a minimum of five members of the Dissertation Examination Committee, including the committee chair, is required for the exam to take place.

## PRESENTATION OF COMPLETED DISSERTATION TO THE GRADUATE SCHOOL

After the dissertation examination takes place, all of the following are to be brought to the Graduate School by the deadline indicated in the academic calendar. Usually, the deadlines are the day after Labor Day, for August degree recipients; the first working day in January, for December degree recipients; and the first Monday in May, for May degree recipients.

1. **Three copies of the completed dissertation.** Copies should be in their finished form, on loose, single-sided, 8.5" by 11" sheets of 20-pound weight white paper. (Most printer and copier paper qualify.) Paper may be a heavier weight, but it may not be lighter. Print should be letter quality. All pages should face forward. Copies should not be bound, stapled, clipped, or hole-punched.

Each dissertation copy should be placed in a separate manila envelope, which should then be fastened but not glued. An extra copy of the title page should be taped to each envelope.

*The Graduate School sends all copies of your dissertation to Olin Library. The library, after processing and binding these copies, keeps one for its shelves; this copy is the one microfilmed by UMI. Olin sends the other two copies to your home department. Your department is responsible for sending you your bound dissertation copy. Therefore, your department must have your current mailing address. Your copy will be sent to you 3-6 months after you graduate. Olin Library will receive its copy some time after that.*

Students in co-sponsored programs such as the Division of Biology and Biomedical Sciences should turn in **four** copies of the completed dissertation.

2. **Two additional, loose copies of the dissertation's title page.** One of these is the one required by UMI with your Doctoral Dissertation Agreement Form (item 5).
3. **One additional, loose copy of the abstract.** This copy may be the same abstract as the one you had presented to the Graduate School in preparation for the dissertation examination, or it may be revised; it must, however, follow the same format (see Appendix B). This additional copy will be published in *Dissertation Abstracts*; it goes to UMI with your Doctoral Dissertation Agreement Form (item 5).
4. **Two loose sheets containing short title information.** Include ONLY a) a short title of 35 letters or less (including spaces), b) your last name, c) the degree being issued, and d) the year of its award—all arranged and punctuated as in the following example, which is based on the sample title page in Appendix A:

Effect of Urbanization in Guajiro, West, Ph.D., 1996.

*This information lets the binder know what to put on the spine of the bound copies. The*

*short title is not used for any other purpose.*

The following three forms are all available at the Graduate School office:

5. **The original, plus one photocopy, of the Doctoral Dissertation Agreement Form.**

*This form gives UMI Dissertation Publishing—a part of ProQuest Information and Learning — permission to microfilm your dissertation and make it available through their abstracting and publication services. The extra copies of the title page and abstract that UMI/PQIL requires are among those already listed here (items 2 and 3); please do not make additional copies to send to UMI/PQIL.*

*This form also includes your voluntary authorization to apply for registration of your claim to copyright your dissertation. Registration is not required. It is entirely up to you whether you want to pay for copyright registration. Your dissertation is protected by copyright law with or without registration, and indeed with or without a copyright page. These extra measures—including a copyright page and registering your claim to copyright—give you additional protection and increase the likelihood of your winning a lawsuit for copyright infringement, should you have occasion to bring one.*

*You do not have to use PQIL as the agent if you wish to handle the details yourself. However, if you wish to register your copyright, attach a certified check, cashier's check, or money order for \$45.00. Personal checks are not accepted. Note that the check or money order should not have an expiration date and should be made payable to UMI or PQIL.*

6. **The Survey of Earned Doctorates.**

*The National Opinion Research Center 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.*

7. **The Academic Job Survey.**

*This form helps Washington University track the employment history of alumni.*

Check with your department as to whether you need to carry the following form to the Graduate School yourself or whether your department will be responsible for submitting it:

8. **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.

## 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, Asian and Near Eastern 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 John M. Olin School of Business or the George Warren Brown School of Social Work.
  - For students in jointly 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

Committee on Comparative Literature

- For students in the Division of Biology and Biomedical Sciences, the Division should be listed on one line and the program name (in parentheses) on the next line; the formal, complete names of the Division's twelve Ph.D. programs appear in the Graduate School *Bulletin*. Example:

Division of Biology and Biomedical Sciences

(Computational Biology)

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 optional, as 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 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 facing page.

WASHINGTON UNIVERSITY

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

December 1996

Saint Louis, Missouri

## APPENDIX B: ABSTRACT INSTRUCTIONS AND SAMPLE

1. Use your full name.
2. Use the correct title of your degree. This will not always be the same as the title of your department or program. For example, there are two Ph.D. degrees granted by the Department of Romance Languages and Literatures: the Doctor of Philosophy in French Language and Literature and the Doctor of Philosophy in Hispanic Languages and Literatures. Students in the Division of Biology and Biomedical Sciences should identify their program thus: Doctor of Philosophy in Biology and Biomedical Sciences (Computational Biology). For exact titles of Ph.D. degrees and of DBBS programs, consult the current Graduate School *Bulletin*.
3. Center the heading. Everything in it not discussed above is required to appear just as shown in the sample below.
4. The body of the abstract is limited to 350 words, excluding the heading. If the body of your abstract is longer than 35 lines, it is important that you check the number of words.

### SAMPLE:

#### ABSTRACT OF THE DISSERTATION

The Effect of Urbanization  
on Socialization and Personality Development  
in Guajiro Society  
by  
Diane Smith West  
Doctor of Philosophy in Anthropology  
Washington University in St. Louis, 1996  
Professor Katherine Doe, Chairperson

(Begin typing the abstract here, double-spaced.)

## **APPENDIX C: 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 D: EXCEPTIONAL CIRCUMSTANCES**

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, all but one of the bound copies of your dissertation will remain at Washington University, which would appreciate their 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, either have it copied onto single-sided 8.5 x 11 paper, or make it an appendix (not a chapter) so that it can be put in a sleeve inside the back cover as an enclosure.

***If there are other exceptional circumstances not covered by the guidelines contained in this booklet, please e-mail Barb Knipshild at [bsknipshild@wustl.edu](mailto:bsknipshild@wustl.edu) or Nancy Buchanan at [buchanan@wustl.edu](mailto:buchanan@wustl.edu).***