

DOCTORAL DISSERTATION GUIDE

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TERMINOLOGY USED IN THIS GUIDE

The Graduate School of Arts & Sciences, whose main office is located at 157 Umrath 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**.

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 faculty accept your dissertation proposal. 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. 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** for the semester in which they intend to graduate. You may complete this after 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

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

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

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 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 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.
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.

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). **The title page should include the month your degree is conferred. Example: May 2009, August 2009 or December 2009.**
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 the dissertation **Abstract**, it should appear next. Your Abstract should be page-numbered in Roman numerals. The Abstract should be listed in the Table of Contents.
4. An **Acknowledgments** page must be included. In the final copy, it appears 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 should include a **Table of Contents**. It should list every subsequent section of the dissertation, plus the Acknowledgments page that precedes 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 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. 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. Committees normally contain six Washington University faculty members. At least five must be full-time tenured or tenure-track faculty, while the sixth is permitted to be part-time, non-tenure-track, visiting, emeritus, research-track, etc. Four members must be from within your department or program and two from outside it. (Outside readers should be able to comprehend your work but should not be experts in it; the point of having outside readers is to ensure that you can communicate the results of your research to scholars in multiple disciplines.) Your dissertation advisor, who chairs the committee, should be both inside and full-time tenured or tenure-track. You may also have a chair and a co-chair, or two co-chairs, in which case one of the two could be outside and/or not full-time tenured or tenure-track faculty. Final approval of the committee rests with the Dean of the Graduate School. Exceptions to policies regarding the composition of dissertation examination committees must be approved by 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. Students in Arts and Sciences should include an electronic copy of their C.V. This administrator should, in consultation with you and your committee members, arrange the date, time, and place for the dissertation examination.
3. After securing the committee, the administrator will send an email to the Graduate School at least 15 days before the dissertation examination, stating the time, date, and place of the exam, designating the chair of the Dissertation Examination Committee and naming its additional members. The email will 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. Once your dissertation defense information has been received and processed, our office will reply to the department's email offering approval of your committee. Your program administrator will prepare a copy of the Examination Approval Form and give it to your committee chair. When you successfully complete 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.
5. You are responsible 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.
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 the dissertation examination takes place, log on to <http://www.etsadmin.com/wustl> to create an account and submit your dissertation online. 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. The academic calendar can be found at: <http://artsci.wustl.edu/GSAS/Calendars/eventsdeadlines.html> . **Please plan to submit your dissertation and paperwork before the deadline. You may need to make corrections to your formatting or fill out additional paperwork.**

The following are to be brought directly to the Graduate School in Umrath 157:

1. **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 survey is available electronically and in paper form through the Graduate School. Please complete and submit to the Graduate School with your dissertation. Do not submit directly to the NORC. If you would like to receive the form electronically, please email Emily Strembicki at estrembicki@wustl.edu.**

2. **The Academic Job Survey.**

*This form helps Washington University track the employment history of alumni. The form is available electronically and in paper form. If you wish to receive an electronic version, please email Emily Strembicki at estrembicki@wustl.edu.**

3. **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.

***Engineering students should contact Mary Clemens at mclemens@wustl.edu for their forms.**

SUBMISSION OF PAPER COPIES FOR BINDING

Your degree program has decided how many bound copies it wants to purchase. Before making paper copies of your dissertation for binding, please check to see whether your program is requiring you to have a copy bound to stay at the University. Some programs are paying the fee to have one copy made for and sent to you. If you are in a program that is not paying the fee, you will need to bring \$10 cash for any copy you want to have bound for your own use.

To submit your dissertation on paper 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 Umrath Hall. Students earning the Ph.D. in any of the Engineering disciplines should submit their work to Mary Clemens in Umrath 162; other Ph.D. students should submit their work to Nancy Buchanan in Umrath 157.

The short title sheet will be the binder's ticket. Mistakes on the sheet will be printed on the spine. The short title consists of the dissertation title, your surname, your degree, and its year. Also indicate on this sheet special circumstances such as (a) material that will need to go into a pocket in the bound copy or (b) a dissertation needing to be bound in two volumes.

The **SHORT TITLE** must be no longer than 35 characters. Any title longer than 35 characters will be truncated by the commercial 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.

Example of a short title page based on the title page in Appendix A:

Effects of Urbanization in Guajiro, West, Ph.D., 2009

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

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*. Example:

Division of Biology and Biomedical Sciences

Computational Biology

For Engineering Students:

School of Engineering and Applied Science

Department of Mechanical, Aerospace & Structural 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 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 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 2009

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: 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, 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 Emily Strembicki at estrembicki@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 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 the process distressing 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:

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<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!