



**DISSERTATION AND THESIS  
SUBMISSION GUIDE**

**Spring 2019**

PREPARED  
BY  
THE OFFICE OF GRADUATE EDUCATION

Questions concerning these guidelines or any aspect of manuscript preparation for the dissertation/thesis should be directed to

The Office of Graduate Education

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[utdallas.edu/ogs/](http://utdallas.edu/ogs/)

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## SUBMISSION REQUIREMENTS AND GUIDELINES

This guide is designed to help students through the submission and publication process. The requirements and guidelines outlined in this guide apply to both masters and doctoral students unless otherwise specified. At UT Dallas, the term **dissertation** refers to the final research paper for the doctoral degree and **thesis** refers to the research paper required for some master's programs. The guide includes all pertinent deadline dates for the current semester, details of required documentation and guidelines/requirements for the Final Oral Examination. The guide is updated every semester. Please make sure you are using the most recent version. University policies on graduate study at UT Dallas are outlined in the Policy Statement UTDPP1052 (<https://policy.utdallas.edu/pdf/utdpp1052>).

UT Dallas requires publication of the dissertation/thesis and abstract in its original form. The dissertation/thesis becomes a permanent and archived record of original research. Students are required to upload their dissertation/thesis as a PDF file to the [Thesis and Dissertation Submission website](#).\* The Eugene McDermott Library will archive a digital copy of the dissertation/thesis, which will be publically available through [Treasures @ UT Dallas Institutional Repository](#). A copy will also be submitted to ProQuest and digitally archived in ProQuest Dissertations & Theses Global and will be made available to a world-wide network of online information providers and distributors (See [Index partners](#) for a full list of indexes).

The Office of Graduate Education will continue to provide guidance on formatting requirements, assist in the review and submission of dissertations/theses and the coordination and scheduling of doctoral defenses. Please consult the [Dissertation and Thesis Formatting Guide](#) for guidelines on preparation and formatting of dissertations/theses.

**\*NOTE: Some programs may still require bound copies. It is the responsibility of the student to provide such copies.**

## FINAL ORAL EXAMINATION FOR DOCTORAL CANDIDATES

University policies for conducting the Final Oral Examination are outlined in the Policy Statement UTDPP1052 (<https://policy.utdallas.edu/pdf/utdpp1052>). Here is a brief summary of what to expect.

When your supervising committee agrees that you are ready to defend, you should consult with the members of your committee and agree on a suitable time and place for your defense. You must complete the [PhD Request for Final Oral Examination Form](#) and obtain signatures from all committee members. The signed form must be submitted to the Office of Graduate Education at least **2 weeks** before your defense date. The examination must take place on the UT Dallas campus, or satellite campus) in a room that is freely accessible to the public. No defense can be scheduled after 4 pm or when the University is closed.

The final Oral Examination is divided in to three phases. In phase I, you will give a presentation of your work. This phase is chaired by your supervising professor and is open to the public. The presentation and questions should last longer than one hour. During phase II of the examination, you will be questioned by your committee primarily on your research, although aspects of the general field may also be covered. This phase of the examination is chaired by the Outside Chair and is not open to the public. Depending on your program, other member of faculty may be present and participate in the discussion. In phase III the committee will discuss the examination and agree on the outcome. You will not be present for this phase of the examination. You will be informed of the decision as soon as the committee has reached agreement.

## FOR PhDs: DISSERTATION DEADLINES AND REQUIRED DOCUMENTS

### DEADLINES Spring 2019

January 23, 2019	Graduation Application Deadline for Spring 2019
March 26, 2019	Last day to request a final oral exam
April 9, 2019	Last day to hold a final oral exam
April 18, 2019	Last day to upload dissertation for final review
April 23, 2019 (Noon)	Last day to have your dissertation <b>approved</b> by the Office of Graduate Education

--The Final Oral Exam **cannot** be conducted when the University is closed for business.  
--It may **not** start after 4pm.  
--It **must** be conducted in a room with open access.

### IN ABSENTIA DEADLINES (for Summer 2019 Graduation)

May 7, 2019	Last day to request a final oral exam
May 21, 2019	Last day to hold a final oral exam
May 30, 2019	Last day to upload dissertation for final review
June 4, 2019, (Noon)	Last day to have your dissertation <b>approved</b> by the Office of Graduate Education

### DOCUMENTS REQUIRED AT LEAST TWO WEEKS BEFORE FINAL ORAL EXAM

- Dissertation (PDF)
- Completed and signed [PhD Request for Final Oral Exam Form](#) (Upload as an ADMINISTRATIVE FILE)
- Unsigned signature page (PDF, upload as an ADMINISTRATIVE FILE). Once the format is approved, print the page and take it to your defense. After you pass your defense, obtain signatures of all committee members.

--The dissertation, separate unsigned signature page, and request form must be submitted at least two weeks (14 calendar days) before the date of the Final Oral Exam.  
--If submitted less than two weeks before the date of the final oral exam, the submission will be rejected.

See pages 6-7 for submission instructions to the [Thesis and Dissertation Submission website](#).

### DOCUMENTS REQUIRED BY THE FINAL DEADLINE

- Final approved PDF version of the dissertation with **unsigned** signature page
- Signed signature page
- [Survey of Earned Doctorates](#) Certificate of Completion
- [Citation Form](#) signed by the supervising professor and student
- Turnitin Digital Receipt (see page 8 for how to obtain an originality report and receipt)
- Permissions from publishers to reprint previously published material, OR documentation from publisher stating permission is not needed
- Signed Use of Human Subjects in Research Form (IRB) (Only required if the research involved human subjects)
- Signed Use of Animals in Research Form (IACUC) (Only required if the research involved animals)

## FOR MASTER'S: THESIS DEADLINES AND REQUIRED DOCUMENTS

### DEADLINES Spring 2019

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January 23, 2019	Graduation Application Deadline for Spring 2019
April 23, 2019	Last day to upload thesis for review by the Office of Graduate Education
April 30, 2019 (Noon)	Last day to have your thesis <b>approved</b> by the Office of Graduate Education

### IN ABSENTIA DEADLINES (for Summer 2019 Graduation)

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May 28, 2019	Last day to upload thesis for review by the Office of Graduate Education
June 4, 2019, (Noon)	Last day to have your thesis <b>approved</b> by the Office of Graduate Education

### DOCUMENTS REQUIRED BEFORE YOUR DEFENSE (OR AT LEAST ONE WEEK BEFORE THE FINAL DEADLINE)

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- Thesis (PDF)  
*Upload a draft of your thesis for format review. It does not have to be the final version but must be a complete document.*
- Unsigned signature page (PDF, upload as an ADMINISTRATIVE FILE)  
*Once the format is approved, print the page and take it to your defense. After you pass your defense, obtain signatures of all committee members.*

See pages 6-7 for submission instructions to the [Thesis and Dissertation Submission website](#).

### DOCUMENTS REQUIRED BY THE FINAL DEADLINE

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- Final **approved** version of the thesis with **unsigned** signature page
- Signed signature page
- Citation form signed by the supervising professor and student
- Turnitin Digital Receipt (see page 8 for how to obtain an originality report and receipt)
- Permissions from publishers to reprint previously published material, OR documentation from publisher stating permission is not needed
- Signed Use of Human Subjects in Research Form (IRB)  
*(Only required if the research involved human subjects)*
- Signed Use of Animals in Research Form (IACUC)  
*(Only required if the research involved animals)*

## PROCEDURE FOR SUBMITTING YOUR DISSERTATION/THESIS

### BEFORE THE DEADLINE TO REQUEST A FINAL ORAL EXAMINATION

The process for submitting a dissertation or thesis is similar with the exception that the [PhD Request for Final Oral Exam Form](#) is only required for dissertations. The following information/documents are required when submitting your dissertation/thesis. Additional information on requirements can be found by opening the ⓘ icon at the side of field boxes on the submission website.

To submit your dissertation/thesis:

- Go to the [Thesis and Dissertation Submission website](#).
- Click Login and select **Shibboleth Authentication**.
- Login using your UT Dallas NetID and password.

### Verify Your Information

You will be asked to provide the following information:

- Permanent phone number
- Permanent home address
- Permanent email address (*this cannot be a UT Dallas email address*)

### License Agreements

Complete the Texas Digital Library and ProQuest license agreements by checking the box at the bottom of each agreement.

### Document Information

You will be asked to provide the following information:

- Title of your dissertation/thesis
- The month and year in which your degree will be awarded
- Your dissertation/thesis abstract
- At least one keyword
- The subject area(s) of your dissertation/thesis
- Your committee members and their roles
- The Committee Chair's email address
- The chapter(s) or page number(s) where any previously published material is used

**NOTE:** You have the option of delaying publication of your dissertation/thesis by either 1 or 2 years. If you choose an embargo option, an email will be sent to your supervising professor, asking for approval of the embargo and the reason for requesting the delay in publication.

## Upload Your Files

- Manuscript: Upload your dissertation/thesis in PDF format (**REQUIRED**)
- Supplemental Files: Upload any supplemental material, such as audio, video or data sets (**OPTIONAL**)
- Administrative File: Upload completed and signed [PhD Request for Final Oral Exam Form](#) in PDF format (**ONLY REQUIRED FOR DISSERTATIONS**)
- Administrative File: Upload a *separate* unsigned signature page in PDF format (for formatting approval) (**REQUIRED FOR BOTH DISSERTATIONS and THESES**)

## Confirm & Submit

Check that all information is correct. You can enter and change information and files any time **before** you submit your dissertation/thesis. Once you click the “Confirm and Submit” button, you will need to contact the Office of Graduate Education to make changes.

To submit your dissertation/thesis, click the “Confirm and Submit” button at the bottom of the page. You will receive an automatic email confirming the submission of your dissertation/thesis. If you do not receive an email, contact the Office of Graduate Education.

Your dissertation/thesis will be reviewed by the Office of Graduate Education to make sure it meets UT Dallas’ formatting requirements and you will be notified of any revisions needed.

## BEFORE THE FINAL APPROVAL DEADLINE

- Submit your dissertation/thesis to Turnitin and obtain an originality report and receipt (see page 8)
- PhD only: Upload the revised version of your dissertation as a PDF file for final format review **at least 3 working days before** the final approval deadline (see page 4)
- Master’s only: Upload a draft of your thesis as a PDF file for initial format review **at least 1 week before** the final approval deadline (see page 5)
- Upload other required documentation as ADMINISTRATIVE FILES **before** the final approval deadline

Your dissertation/thesis will undergo a final administrative check to make sure it conforms to UT Dallas formatting standards. Your dissertation/thesis will be reviewed in the order in which it was received and you will be notified of any corrections needed.

You can track the review progress at any time by logging on to the [Thesis and Dissertation Submission website](#).

**NOTE: All required revisions must be completed before the final approval deadline.**

## CITATIONS AND COPYRIGHTED MATERIAL

### ASSESSMENT OF ORIGINALITY AND APPROPRIATE CITATIONS

It is the responsibility of the author to make sure that all citations are included and appropriate. To guard against improper and/or missing citations and to protect academic integrity in our graduate programs, the Office of Graduate Education requires you to upload a copy of your submitted dissertation/thesis to Turnitin.com for an originality report. Turnitin.com compares the submitted document to an extensive content database to make a determination as to the source of the citations as well as the overlap with previously published documents.

### HOW TO OBTAIN AN ORIGINALITY REPORT AND RECEIPT

After submitting your dissertation/thesis, but **before** the final approval date:

- Sign onto [eLearning](#)  
Go to MY ORGANIZATIONS and open GRADUATE STUDENT CITATION CHECK  
**(Please contact the Office of Graduate Education if you do not see this)**
- Click on “View/Complete” and follow the online instructions to upload your dissertation/thesis to Turnitin
- When the originality report becomes available, download a copy of the report and the digital receipt confirming that the manuscript has been submitted to Turnitin (see Figure 1)
- Email a copy of the report to your faculty supervisor for review
- Upload the Digital Receipt to the submission website as an ADMINISTRATIVE FILE
- Complete the [Citation Form](#) and have it signed by your faculty supervisor
- Upload the completed CITATION FORM to the submission website as an ADMINISTRATIVE FILE

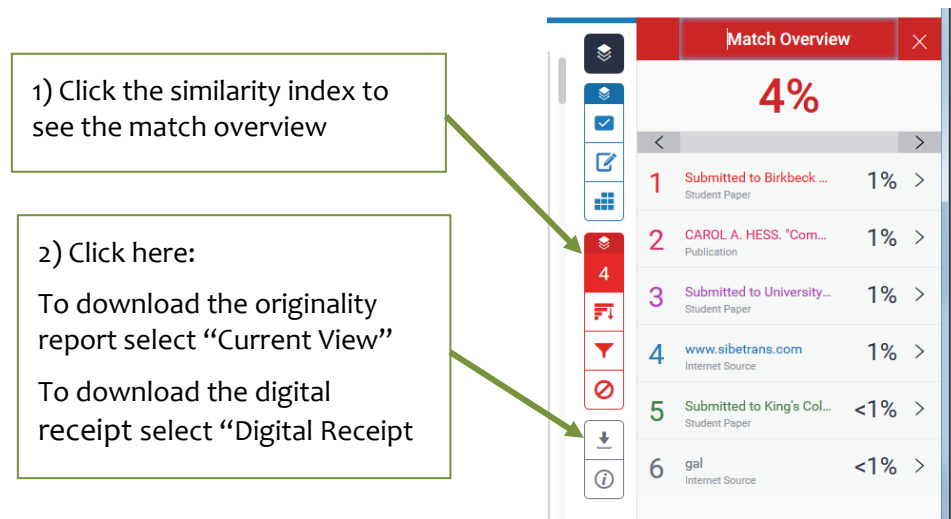


Figure 1. Instructions for downloading a Turnitin.com report.

**Note: It can take several minutes for the originality report to download.**



## INTERPRETING THE ORIGINALITY REPORT

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The Originality Report highlights text that matches text in the databases used by Turnitin and generates a similarity index (the percentage of matches and overlap). A high similarity index does not necessarily mean plagiarism. In cases where the dissertation or thesis contains work that has been previously published, the similarity index may be high. This is not an issue provided the appropriate permissions have been obtained to reproduce the material (see USE OF COPYRIGHTED MATERIAL below). There are other instances where the report identifies phrases used regularly in any given discipline and are not of great concern. The following links provide further information, including a brief demo on to how to best interpret a Turnitin report and more general information about plagiarism (<http://www.ithenticate.com/demo> and <http://www.plagiarism.org/>).

## USE OF COPYRIGHTED MATERIAL

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The author of a dissertation or thesis is expected to conform to the provisions of the copyright law with regard to quoting copyrighted materials. If the thesis or dissertation contains any material (e.g. figures, tables, text, or photographs) taken from copyrighted sources, the student must determine if permission from the copyright holder is needed. This is true even if the student or his/her advisor is an author of the material; in such cases, permission from the publisher may still be needed.

In ordinary practice, it is generally assumed that the quotation of a prose passage of approximately 150 words or less or the quotation of a few lines of verse in a work of scholarship or criticism does not require written permission of the copyright owner. However, the area of “fair use” of copyrighted materials can be defined only by court action, and existing precedents are insufficient to make an exact or strict definition of its limits.

Should the student decide that it is necessary to obtain permission from the copyright owner, the usual procedure is to write the owner and obtain a written reply authorizing use of the material. Students must inform the copyright holder that the request extends to public availability through [Treasures @ UT Dallas Institutional Repository](#) and the prospective publication of the dissertation/thesis by ProQuest through its ProQuest Dissertations and Theses Publishing business. If permission is needed, a copy of the permission received must be uploaded to the [Thesis and Dissertation Submission website](#) as an ADMINISTRATIVE FILE. The instructions from the copyright holder on how to correctly acknowledge the copyrighted material within the dissertation must be followed.

**NOTE:** *Permissions received through the Copyright Clearance Center at [www.copyright.com](http://www.copyright.com) will be accepted. A sample permission request letter can be found in ProQuest “[Copyright and Your Dissertation or Thesis](#)”.*

## POLICY ISSUES PRIOR TO CONDUCTING THE RESEARCH

### USE OF HUMAN SUBJECTS IN RESEARCH (IRB)

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The University Institutional Review Board (IRB) for the Protection of Human Subjects is charged by the university president under federal law with the responsibility of protecting the rights of individuals who are subjects of **any** research, whether funded or unfunded, and whether on or off campus, conducted by students, faculty, or staff of The University of Texas at Dallas. Written permission must be obtained through the Institutional Review Board for the Protection of Human Subjects before any research can be undertaken involving human subjects. All research is covered, including questionnaires and observation. Forms requesting permission to undertake a study involving human subjects may be obtained from the Office of Research (AD 3.204) or the School Dean's office. The completed form, with signatures of authorized university officials, must be uploaded to the [Thesis and Dissertation Submission website](#) as an ADMINISTRATIVE FILE before the final deadline.

### USE OF ANIMALS IN RESEARCH (IACUC)

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The University Institutional Animal Care and Use Committee (IACUC) is charged by the university president under federal law with the responsibility of protecting the welfare of animals used in research. No animals may be used in research without the approval of the IACUC. Forms requesting permission to undertake a study involving animal subjects may be obtained from the Office of Research (AD 3.204) or the School Dean's office. The completed form, with signatures of authorized university officials, must be uploaded to the [Thesis and Dissertation Submission website](#) as an ADMINISTRATIVE FILE before the final deadline.