



DISSERTATION AND THESIS SUBMISSION GUIDE

Fall 2020

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

FA3.104

972-883-2234

graduate.utdallas.edu/

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*Recent updates highlighted in yellow

TABLE OF CONTENTS

SUBMISSION REQUIREMENTS AND GUIDELINES.....	3
IMPORTANT CHANGES	3
UTD COPYRIGHT TUTORIAL.....	4
SIGNATURE PAGE	4
FINAL ORAL EXAMINATION FOR DOCTORAL CANDIDATES	4
DEADLINES AND REQUIRED DOCUMENTS FOR SUBMITTING A DISSERTATION	5
PRIORITY DEADLINES Fall 2020	5
REGULAR DEADLINES Fall 2020.....	5
DOCUMENTS REQUIRED AT LEAST TWO WEEKS BEFORE FINAL ORAL EXAM.....	5
DOCUMENTS REQUIRED BY THE FINAL DEADLINE	5
DEADLINES AND REQUIRED DOCUMENTS FOR SUBMITTING A THESIS.....	6
PRIORITY DEADLINES Fall 2020	6
REGULAR DEADLINES Fall 2020.....	6
DOCUMENTS REQUIRED BEFORE YOUR DEFENSE (OR AT LEAST ONE WEEK BEFORE THE FINAL DEADLINE)	6
DOCUMENTS REQUIRED BY THE FINAL DEADLINE	6
PROCEDURE FOR SUBMITTING YOUR DISSERTATION/THESIS	7
BEFORE THE DEADLINE TO REQUEST A FINAL ORAL EXAMINATION	7
BEFORE THE FINAL APPROVAL DEADLINE	8
CITATIONS AND COPYRIGHTED MATERIAL.....	9
ASSESSMENT OF ORIGINALITY AND APPROPRIATE CITATIONS	9
UTD COPYRIGHT TRAINING FOR GRADUATE STUDENTS	9
HOW TO OBTAIN AN ORIGINALITY REPORT AND RECEIPT.....	9
INTERPRETING THE ORIGINALITY REPORT	9
POLICY ISSUES PRIOR TO CONDUCTING THE RESEARCH	11
USE OF HUMAN SUBJECTS IN RESEARCH (IRB).....	11
USE OF ANIMALS IN RESEARCH (IACUC).....	11

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 master's 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 submission website <https://utd-etd.tdl.org/>.* The Eugene McDermott Library will archive a digital copy of the dissertation/thesis which will be publicly 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 does not require a hard copy of your dissertation/thesis; however, some programs may still require hardbound copies. It is the responsibility of the student to provide such copies. All printing services for dissertations and theses have moved to ThesisOnDemand.com. Please visit this site to print a copy of your dissertation, as the University Copy Center is no longer providing the service.

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

IMPORTANT CHANGES

NEW FOR FALL 2020: PRIORITY DEADLINE OPTION FOR PHD STUDENTS

Starting in Fall 2020, the Office of Graduate Education is introducing Priority Deadlines. These deadlines will replace the In Absentia deadline structure. Priority deadlines fall earlier than the regular deadlines in each semester, giving students the option to complete all requirements earlier in each term. The priority deadline option also allows for later regular deadlines each term, giving students following the regular deadlines additional time to complete all dissertation/thesis requirements. There will also be brief “blackout” periods between the Summer and Fall semesters and the Fall and Spring semesters when doctoral defenses cannot be held. These are outlined on the dissertations deadlines page and further explained on our Priority Deadlines FAQs page.

CHANGES REGARDING COVID-19

If you will be defending your dissertation remotely, you will need to provide a link to the specific platform you will be using to defend. An OGE representative will be present at the remote defense (assigned by our office). Our office will send email updates to all students who have applied to graduate as circumstances change. Please see our [FAQs](#) for answers regarding defending your dissertation remotely.

UTD COPYRIGHT TUTORIAL

Beginning in Fall 2019, all students submitting a dissertation or thesis are required to complete the UTD Copyright Tutorial for Graduate Students (see page 9). The tutorial can be taken at any time during your doctoral or master's career but **must** be completed before you submit your dissertation or thesis.

SIGNATURE PAGE

The signature page no longer requires approval prior to your defense and we do not require you to submit a signed signature page.

For doctoral students, the Final Oral Examination Report signed by the Examining Committee will serve as documentation that the dissertation has been accepted. It will be the responsibility of the Chair of the Examining Committee to provide the Office of Graduate Education with the report.

Master's students must complete the Master's Thesis Approval Form and have it signed by their Supervising Committee. The form can be downloaded [here](#).

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. At **least two weeks** before you submit your Request for Final Oral Examination, provide all your committee members with a copy of your dissertation. When your supervising committee agrees that you are ready to defend, you should consult with the members of your committee, including the Chair of Your Examining 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 **two weeks before your defense date**. Signatures on the Request for Final Oral Examination form must either be a physical signature or a verified, timestamped UTD digital signature. Request forms must include valid signatures for all members (including the Examining Committee Chair) in order to be accepted by our office. **Request forms missing valid signatures will be rejected.**

The examination must take place on the UT Dallas main campus (or UT Dallas 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. Your appointed Examining Committee Chair (ECC) will remain in effect until you graduate, unless your ECC requests termination of the appointment at the end of the current semester.

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 no 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 representative appointed by the Dean of Graduate Education as Chair of the Examining Committee and is not open to the public. Depending on your program, other members 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.

DEADLINES AND REQUIRED DOCUMENTS FOR SUBMITTING A DISSERTATION

The deadlines are set as late as possible to allow the necessary time for processing by the Office of Graduate Education, the Registrar's Office and other offices involved in graduation and commencement.

No extensions are possible.

Blackout no defense dates between Summer and Fall 2020: August 5th

Blackout no defense dates between Fall 2020 and Spring 2021: Dec. 12-18th, with the earliest defense date on Jan. 11th, the first day of classes for Spring 2021

PRIORITY DEADLINES Fall 2020

Sept. 4, 2020	Graduation Application Deadline for Fall 2020
Sept. 8, 2020	Last day to request a final oral exam
Sept. 22, 2020	Last day to hold a final oral exam
Sept. 29, 2020	Last day to upload dissertation for final review
Oct. 6, 2020 (Noon)	Last day to have your dissertation approved 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.

REGULAR DEADLINES Fall 2020

Oct. 27, 2020	Last day to request a final oral exam
Nov. 10, 2020	Last day to hold a final oral exam
Nov. 17, 2020	Last day to upload dissertation for final review
Dec. 3, 2020 (Noon)	Last day to have your dissertation approved 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*)
- UTD Copyright Tutorial Certificate of Completion (**new requirement**)

See pages 7-8 for submission instructions to the [UT Dallas ETD Submissions](#) website.

- The dissertation and request form must be submitted at least two weeks (14 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.

DOCUMENTS REQUIRED BY THE FINAL DEADLINE

- Final **committee approved** PDF version of the dissertation with **unsigned** signature page
- Turnitin Digital Receipt (see page 8 for how to obtain an originality report and receipt)
- [Survey of Earned Doctorates](#) Certificate of Completion
- [Citation Form](#) signed by the supervising professor and student
- 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

DEADLINES AND REQUIRED DOCUMENTS FOR SUBMITTING A THESIS

The deadlines are set as late as possible to allow the necessary time for processing by the Office of Graduate Education, the Registrar's Office and other offices involved in graduation and commencement.

No extensions are possible.

PRIORITY DEADLINES Fall 2020

Sept. 4, 2020	Graduation Application Deadline for Fall 2020
Sept. 22, 2020	Last day to upload thesis for review by the Office of Graduate Education
Oct. 6, 2020 (Noon)	Last day to have your thesis approved by the Office of Graduate Education

REGULAR DEADLINES Fall 2020

Sept. 4, 2020	Graduation Application Deadline for Fall 2020
Nov. 19, 2020	Last day to upload thesis for review by the Office of Graduate Education
Dec. 3, 2020 (Noon)	Last day to have your thesis approved by the Office of Graduate Education

DOCUMENTS REQUIRED BEFORE YOUR DEFENSE (OR AT LEAST BY THE FIRST SUBMISSION DEADLINE)

- 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.
- UTD Copyright Tutorial Certificate of Completion (**new requirement**)

See pages 7-8 for submission instructions to the [UT Dallas ETD Submissions](#) website

DOCUMENTS REQUIRED BY THE FINAL DEADLINE

- Final **committee approved** version of the thesis with **unsigned** signature page
- Turnitin Digital Receipt (see pages 9-10 for how to obtain an originality report and receipt)
- [Citation form](#) signed by the supervising professor and student
- 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 and 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 [UT Dallas ETD Submission](#).
- Click Login and select **Shibboleth Authentication**.
- Login using your UT Dallas username 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 with EMBARGO REQUEST in subject line, asking for approval of the embargo and the reason for requesting the delay in publication. **If you need to extend your 1-year embargo to a 2-year embargo, please contact our office at least a month before the embargo is going to end to for the Treasures @ UT Dallas** **embargo. Please contact disspub@proquest.com directly to extend your embargo on ProQuest. All embargoes begin at the month of graduation.**

Our office does not accept dissertation submissions via email. Please wait until your status is "Needs Corrections" to upload any primary or administrative files.

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 Files: Upload completed and signed [PhD Request for Final Oral Exam Form](#) in PDF format (**ONLY REQUIRED FOR DISSERTATIONS**)
- Administrative File: Upload your UTD Copyright Tutorial Certificate of Completion (**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. Dissertations/theses submitted to our office **must be formatted using our most recent template**. Dissertations/theses formatted without a template or with an outdated template (2016 or earlier) will be rejected and students will be asked to resubmit.

SUBMISSION
PROCESS

BEFORE THE FINAL APPROVAL DEADLINE

- Submit your dissertation/thesis to Turnitin and obtain an originality report and receipt (see page 9)
- PhD only: Upload the revised version of your dissertation as a PDF file for final format review at least 1 week before the final approval deadline (see page 5)
- MS 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 6)
- 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 submissions website ([UT Dallas ETD Submissions](#)).

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.

UTD COPYRIGHT TRAINING FOR GRADUATE STUDENTS

- Sign into [eLearning](#)
Go to MY ORGANIZATIONS and open UTD COPYRIGHT TUTORIAL FOR GRADUATE STUDENTS
(Please contact the Office of Graduate Education if you do not see this)
- Complete the copyright tutorial and test. The test can be repeated but you must receive a score of 100% on the test before you can receive a certificate of completion.
- Upload the certificate of completion to the submission website as an ADMINISTRATIVE FILE

HOW TO OBTAIN AN ORIGINALITY REPORT AND RECEIPT

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

- Sign into [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

INTERPRETING THE ORIGINALITY REPORT

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/>).

Note: It can take some time for the originality report to download.

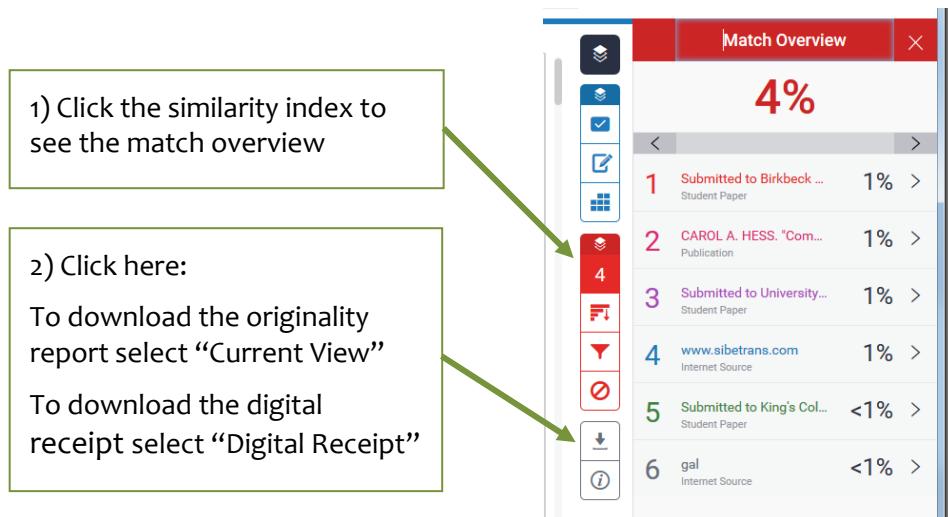


Figure 1. Instructions for downloading a Turnitin.com report.

USE OF COPYRIGHTED MATERIAL

It is your responsibility, as author of a dissertation or thesis, to conform to the provisions of the copyright law with regard to quoting and/or reproducing copyrighted materials. If the dissertation or thesis contains any material (e.g. figures, tables, text, or photographs) taken from copyrighted sources, you must determine if permission from the copyright holder is needed. This is true even if your or your advisor are the 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 you 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 [UT Dallas ETD Submissions](#) 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 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)

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 [UT Dallas ETD Submissions](#) as an ADMINISTRATIVE FILE before the final deadline.

USE OF ANIMALS IN RESEARCH (IACUC)

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 [UT Dallas ETD Submissions](#) as an ADMINISTRATIVE FILE before the final deadline.