Instructions for Submitting Your Thesis or Dissertation

Updated October 5, 2011

> These instructions have changed over time and will change again. Avoid needless delay and frustration:
>
> **READ AND FOLLOW THESE INSTRUCTIONS**
>
> **Questions?**
> **Answers!** Queen Watson, queen.watson@emory.edu.

The Application for Degree must be submitted by the degree application deadline for the semester in which you want to complete. That deadline is available on the graduate school website as well as on the registrar website. It generally falls about three weeks into the semester.

The thesis or dissertation and all other items must be submitted by the deadline indicated on the Laney Graduate School academic calendar. That deadline is available on the graduate school website. It generally falls about three weeks before the end of the semester.

Everything should be submitted to the Laney Graduate School, 209 Administration Building. If you are not submitting in person, the mailing address is

> James T. Laney School of Graduate Studies, Emory University
> 209 Administration Building
> Mailstop 1000-001-1AF
> 201 Dowman Drive
> Atlanta, Georgia 30322

Important Conditions

1. PhD candidates must be admitted to candidacy at least one semester before receiving the degree.   This is a minimum requirement. You should apply for candidacy as soon as all requirements are completed, and no later than August 1 before the start of your fifth year of study.

2. Degree candidates must be registered during the semester in which the degree is awarded.

3. You must submit an Application for Degree in the semester you wish to graduate. If you apply one semester but do not complete all requirements, you must resubmit in the semester in which you will receive the degree.

4. Any incompletes, Ps and Fs must have been resolved.

5. All fees and other charges from Emory University must be paid.

On the next page, you'll find a handy checklist, and on the following pages you will find details about completing forms, preparing manuscripts, and more.

Dissertation/Thesis Submission Checklist

☐ A completed and signed **Application for Degree**.

☐ A completed and signed **Report of Completion of Requirements for Doctoral/Master's Degree** (aka "Degree Clearance" form).

☐ **A pdf file of your thesis or dissertation**, prepared from a word processing file that conforms to all formatting requirements, and produced using Adobe Acrobat. You will also need to upload the original word-processor files and supplementary items.

☐ A **printed copy of your thesis or dissertation**. This printed copy must include
   - ☐ A signed **Distribution Agreement** – signed by you
   - ☐ A signed **Approval Sheet** – signed by all members of your committee

☐ A completed **Electronic Thesis and Dissertation (ETD) Repository Submission Agreement**, signed by you and your advisor.

☐ A completed and signed **ProQuest/UMI Publishing Agreement** (required for doctoral degrees, optional for master's degrees), and a check for the relevant fee.

☐ A printed certificate for completing the online **Graduate Education Exit Survey**

☐ A printed certificate for completing the online **Survey of Earned Doctorates** (for doctoral degrees only)

Help Available

1. **Copyright and Intellectual Property issues**
Each semester, the University Libraries Intellectual Property Rights Office holds workshops for graduate students on copyright law and author rights and responsibilities. You'll find dates on the graduate school website. Videos of previous sessions are available on Blackboard.

2. **Submitting Your Thesis or Dissertation**
Each semester, you'll find three information session with representatives both from the Laney Graduate School and from the ETD Repository. Dates are on the graduate school website.

3. **ETD Submission Workshops**
Close to the thesis and dissertation submission deadline, the ETD will offer submission workshops for hands-on assistance with the actual preparation and uploading of documents.

Several of these items are covered in a document called "Completing Your Degree in [semester]," posted on the degree completion page of the graduate school website. It's a good document to print and have handy. Visit www.gs.emory.edu/resources/progress.php?entity_id=7.

Completing the Forms

1. **Application for Degree**
This is an Office of the Registrar form, available on the graduate school website as well as on the registrar website. It is now also available online, as part of your OPUS record, in the semester listed as your expected semester of graduation. It must be submitted – online or to the graduate school – in the semester you wish to graduate. **The deadline for this form is earlier than all other items, and late applications incur a late fee.**

2. **Report of Completion or Requirements for Doctoral/Master's Degree**
This is a graduate school form, often referred to as the "degree clearance" form, available on the graduate school website – one for doctoral degrees, one for master's degrees. It certifies that your dissertation/thesis has been accepted and that you have completed all other requirements. All members of your committee must sign the form.

3. **Distribution Agreement**
This agreement grants Emory University the right to include your dissertation/thesis in the ETD repository. It must be signed and inserted into your dissertation/thesis as indicated below. A sample of the page is included in this document; you need to reproduce the text **exactly as it is appears on the sample page** (see page 9, below).

4. **Approval Sheet**
This form certifies that the dissertation/thesis you submit is the very one that has been approved by your committee. All members of your committee must sign.

5. **ETD Repository Submission Agreement Form**
This form is available on the ETD website. It needs to be signed by **you and your advisor**. With this form, you specify the terms of distribution of and access to your dissertation/thesis, and you certify that you have obtained appropriate permissions for any copyrighted material in your dissertation. Both these decisions have long term consequences, and it is imperative that you discuss them with your advisor. See **A Note on Access** on the next page.

6. **ProQuest/UMI Publishing Agreement** (required for doctoral degrees, optional for master's)
This form is available on the ProQuest site. A link and instructions for how to log in are on the graduate school website. As with the ETD form above, you need to decide about access to your dissertation/thesis. **Note especially these five items:**

- Use the "2010-2011 FTP/CD UMI Dissertation Publishing Submission Agreement (PDF)" -- your thesis or dissertation will be submitted via ftp, by Emory's ETD system.

- ProQuest's access options differ from those provided by our ETD Repository; be careful to make your Emory and ProQuest options consistent.

- You can use this form to copyright your dissertation/thesis, if you choose to do so.

- ProQuest/UMI charges a fee for publishing your dissertation/thesis. When you submit your dissertation/thesis to the Graduate School, please bring a check made out in accordance with the instructions in the ProQuest/UMI agreement. The smallest fee you can pay is the one for "Traditional Publishing."

- Since the ETD Repository publishes your dissertation/thesis online (subject to your embargo restrictions), you may not need the "Open Access" publication by ProQuest.

7. **Graduate Education Exit Survey**
All graduate students are required to complete this online survey and print the certificate of completion for submission to the Laney Graduate School along with the printed copy of the thesis or dissertation.

8. **Survey of Earned Doctorates** (for doctoral degrees only) This is a national survey used to gather information about all students who earn a doctoral degree. The survey is available online, along with information about the purpose of the survey and a confidentiality statement. Students completing doctoral degrees are required to complete this survey and print the certificate of completion for submission to the Laney Graduate School along with the printed copy of the dissertation.

A Note on Access

The move to electronic theses and dissertations creates unparalleled opportunities for wide and timely dissemination of the work of Emory graduates, creating greater opportunities for your scholarly work to be recognized by others.

It also creates new parameters for copyright and publishing, and it is important that you make an informed decision about the terms of access to your dissertation or thesis. In particular, you need to learn about two issues:

1. If your dissertation contains articles that were published in scholarly journals or elsewhere, you need to make sure that the terms of access you stipulate with the Emory ETD Repository and ProQuest/UMI are compatible with the permissions granted by those journals or other entities. Don't assume that articles you have published can be placed in your dissertation and then made available online.

2. If you plan to publish some or all of your dissertation/thesis, you need to find out whether the journals and publishers who would be likely to publish your work regard an electronically accessible dissertation as a prior publication.

The policies on both these issues vary widely across fields and publishers, and are changing fast. Take the time to investigate the conditions in your field, and make your decisions with accurate and up-to-date information – and in consultation with your advisor.

The Library offers regular information sessions on copyright and intellectual property. Dates and times are on the ETD website (https://etd.library.emory.edu/). Take advantage of these sessions to learn about issues that will be important throughout your scholarly career.

It is important to know just what information is covered by the access restrictions in the ETD as well as on ProQuest. The ETD website contains lots of information to help you understand this, and that information is summarized in a brief document on our website, "Making Informed Decisions About Access and Restictions" (you'll find it on the Degree Completion page, right below this document).

Preparing Your Manuscript

> Documents with errors, including spelling and grammar,
> will be returned for further proofreading and correction.

1. **Paper**: In addition to submitting your dissertation/thesis electronically, you must submit one printed copy. It is essential that you submit **a printed copy of the exact file you upload to the ETD repository**. If there are **ANY** discrepancies we will return the paper copy to you.

2. **Special Pages**: In addition to the text, your dissertation/thesis needs to contain a number of special pages. Directions for formatting those pages are found starting on page 8. **You must place these additional pages in this EXACT order**:

   1. Distribution Agreement
   2. Approval Sheet
   3. Abstract Cover Page
   4. Abstract
   5. Cover Page
   6. Acknowledgments (optional)
   7. Table of Contents (including a list of tables and figures, if needed)

   These pages should NOT be numbered. The body of the dissertation follows immediately after the Table of Contents, and the first page of the body is page 1.

3. **Signatures**: A number of the special pages have space for signatures. **Do NOT include signatures in the electronic copy of your dissertation/thesis**. Upload the file of your dissertation/thesis, print the same file, and then collect the necessary signatures. The printed paper copy must have all required original signatures.

4. **Style Manual**: When a program does not have specific directions, the general standard is *A Manual for Writers of Term Papers, Theses, and Dissertations* by Kate L. Turabian.

5. **Margins**: All materials (including text, illustrations, graphs, figures, etc.) must be within the margins (left = 1.5", all others = 1"). A dissertation/thesis cannot be accepted if any of the text falls outside the margins.

6. **Footnotes**: The Laney Graduate School does not have any preference in the placement of footnotes, but they must be consistent throughout the dissertation/thesis.

7. **Tables and Figures**: If you include tables or figures in your dissertation/thesis it is necessary to include a list of these items. This list should follow the general style of the table of contents.

8. **Non-printed Sources**: If your dissertation/thesis refers to items other than books and journals – films, music discs, etc. – then these items should not be mixed into the bibliography, but should be listed in a separate reference section. Consult recent editions of style guides for information about how to refer to such items.

9. **Page Numbers**: Page numbers should be in the upper right hand corner. Page numbers are the only items which may fall outside the margin. **Begin numbering on the first page of the BODY of the dissertation/thesis**. Page numbering must be consistent throughout the dissertation/thesis (if you

start numbering pages in the upper right hand corner you must continue numbering pages in the upper right hand corner throughout the document).

10. **Spacing and Font**: Double spacing is required. Acceptable font size is 11 and 12 for the text (excluding foot notes, abstracts and acknowledgements). Please choose a common font, preferably a serif font (Times, Garamond, Georgia, etc.).

    Two of the special pages may be single-spaced: the Distribution Agreement and the Abstract.

11. **Double-sided**: The body of the text can be printed double-sided. The special pages (item 2 above) must be single-sided.

12. **Production of Bound Paper Copies**: The library will no longer bind paper copies of dissertations/theses. Please ask your program administrator for your program's requirements on the production of paper copies. The ETD website and Queen Watson have instructions for how to arrange for the production of bound copies for your program or your personal use.

Electronic Submission

1. **Generate a PDF**: The electronic version of your dissertation/thesis should be a PDF file.

Create the PDF version of your dissertation/thesis using the Adobe Acrobat Professional software available in ECIT, Cox Hall's Computer Lab or in your individual programs. Do not use a non-Adobe PDF generator (i.e., freeware or shareware); the long term preservation of PDF files produced using these nonstandard products cannot be assured.

Do NOT produce the pdf file by scanning pages of printed text. This creates an "image-only" unsearchable document that the ETD system cannot process. If necessary, you may scan individual pages that contain tables or figures. If you do, make sure they are inserted at the proper place in the PDF file, and that the quality of the scanned images is good.

Your PDF file **must contain the special pages** (item 2 on page 5 above), **without signatures**.

If you need help generating a PDF file, please turn to the appropriate IT help staff.

2. **Log in to ETD**: To begin the electronic submission process, go to etd.library.emory.edu. At the top of the page there is a log-in area. Log in using your Emory NetID username and password.

3. **Submit Your File**: Once you have logged into the ETD system, a "Submit Your Thesis" link will appear in the upper left hand corner of the page. Click on that link to proceed with the submission process. Detailed instructions on using the ETD submission software are available on the site under "Help."

4. The ETD system will ask you to upload **additional items**, such as the original word-processing files, images, video or audio clips, and more. More instructions are on the ETD site.

5. **My ETD**: After submitting your dissertation/thesis, you may continue to refer to "My ETD" to see the progress on the approval. You will receive automated e-mails informing you when your submission (1) has been received by the system; (2) has been approved by the graduate school; and (3) has been published in the repository (or embargoed for later publication).

6. Completion of your dissertation submission does not indicate that you have completed all necessary steps for graduation. Confirm your graduation status with the registrar – use OPUS to make sure you have all required credits etc., and call if you have any questions.

<div style="border:2px solid navy; background:#f5e9b8; padding:1em;">

<p align="center">**Help!**</p>

Send an email to **ETD-ADMIN@listserv.emory.edu**

Complete the ETD help form at https://etd.library.emory.edu/help.

</div>

Creating the Special Pages

The following pages contain instructions for creating the special pages mentioned on page 5. Please note that (a) these pages should not be numbered, but (b) must otherwise follow the formatting instructions for the thesis or dissertation manuscript (margins, spacing, font, etc.)

> **Each sample page is followed by a page with comments.**
>
> **Please pay close attention to the comments for each special page: they will help you avoid common errors.**

Distribution Agreement

The text below should be reproduced exactly as written, on the Distribution Agreement page. Sign the page on the signature line, and type your name under the signature line. Write the date on the date line.

Distribution Agreement

In presenting this thesis or dissertation as a partial fulfillment of the requirements for an advanced degree from Emory University, I hereby grant to Emory University and its agents the non-exclusive license to archive, make accessible, and display my thesis or dissertation in whole or in part in all forms of media, now or hereafter known, including display on the world wide web. I understand that I may select some access restrictions as part of the online submission of this thesis or dissertation. I retain all ownership rights to the copyright of the thesis or dissertation. I also retain the right to use in future works (such as articles or books) all or part of this thesis or dissertation.

Signature:

_____   _____
[Student's name typed]   Date

Approval Sheet

The approval sheet should be designed according to the plan below. See next page for several comments.

[Title of the Thesis or Dissertation]

By

[Name of author]
[Degree]

[Field]

_____ [Advisor's signature]
[Advisor's name, typed]
Advisor

_____ [Member's signature]
[Member's name, typed]
Committee Member

_____ [Member's signature]
[Member's name, typed]
Committee Member

_____ [Member's signature]
[Member's name, typed]
Committee Member

Accepted:

_____
Lisa A. Tedesco, Ph.D.
Dean of the James T. Laney School of Graduate Studies

_____
Date

Approval Sheet

Comments

Degree: Your degree is either Doctor of Philosophy or Master of Arts/Science/or another area. There are a number of possible Master's degree in some programs, particularly Music and Education. If you are unsure, consult with your Director of Graduate Studies.

Your degree does **not** include a subject matter: your degree is **not** "Doctor of Philosophy, Sociology" or any such combination. Your degree is a level of educational attainment with no subject-matter area attached.

Field: Generally, your field is the subject-matter name of your program: English, Chemistry, Health Services Research and Health Policy, Educational Studies, Business, etc.

The field does **not** include the word "program," and does **not** include any sub-field you specialize in. For example, your field is not "19th Century American Literature," "Finance Program," "Neurology Department," "African Studies" or any other sub-field or entity.

There are three exceptions.
Students in the **Graduate Division of Biological and Biomedical Science** and in the **Graduate Division of Religion** should write the name of their division, and then on a new line the name of their program/course of study. Like this:

<div align="center">

Graduate Division of Biological and Biomedical Science
Molecular Systems Pharmacology

Graduate Division of Religion
Theological Studies

</div>

Students in **ILA** should write "Graduate Institute of the Liberal Arts."

Advisor: If your committee had co-chairs, refer to each of them as Advisor, and list them in alphabetical order.

Committee Members: List the members in alphabetical order.

Layout: Remember that **the page margin rules apply to all pages**, including the special pages, like this one. The layout on the previous page can likely accommodate one more committee member, for a committee of 5, without violating the margin rules. But with committees of 5 or 6 members, you may use a two-column layout for the committee members.

If you have questions about any of these items, contact your Director of Graduate Studies or Queen Watson in the Laney Graduate School.

Abstract Cover Page

The abstract cover page should be designed according to the plan below. See next page for several comments.

[Title of Thesis or Dissertation]

By

[Name of author]
[Previous academic degree]

Advisor: [name of advisor, degree]

An abstract of
A [dissertation/thesis] submitted to the Faculty of the
James T. Laney School of Graduate Studies of Emory University
in partial fulfillment of the requirements for the degree of
[Doctor of Philosophy/Master of Arts/Science/etc.]
in [field]
[year]

Abstract Cover Page

Comments

Previous academic degree: List your degree, the name of the university, and the year you received the degree. For example, "B.A., Yale University, 2004" or "M.Sc., University of Pennsylvania, 2003". You can list several degrees, including master's degrees from your current program here at Emory. Note that you can only list a master's degree from your Emory program if you actually applied for and received it; even if master's degrees are given on the basis of candidacy, they are not automatic.

Advisor: If your committee had co-chairs, list both, each noted as "Advisor." List them in alphabetical order.

Name of advisor, degree: Ask your advisor/s how he or she or they should be listed.

Dissertation/thesis: List only the one that applies to you. If you are getting a doctoral degree, you are submitting a dissertation; if you are getting a master's degree, you are submitting a thesis.

Doctor of Philosophy/Master of Arts/Science/etc.: List the degree that applies to you. See the comment on page 11, "Degree.".

Field: See comment on page 11. Your entry here should be the same as on your approval sheet.

Year: Write the calendar year you receive your degree (not the academic year).

Abstract

The abstract should be designed according to the plan below.

Abstract

[Title of Thesis or Dissertation]
By [Name of Author]

[Text of Abstract – no more than 350 words]

Length: The Abstract may not exceed one page, formatted according to the regular page formatting instructions (margins, spacing, font). The text itself cannot exceed 350 words (not counting the title etc.) The Abstract may be single-spaced.

Cover Page

The cover page should be designed according to the plan below. It is almost the same as the abstract cover page. Please see the comments to that page (on page 12).

[Title of Thesis or Dissertation]

By

[Name of author]
[Previous academic degree]

Advisor: [name of advisor, degree]

A [dissertation/thesis] submitted to the Faculty of the
James T. Laney School of Graduate Studies of Emory University
in partial fulfillment of the requirements for the degree of
[Doctor of Philosophy/Master of Arts/Science/etc.]
in [field]
[year]