Pre-Defense to Publication

A Checklist for Graduate Students

BEFORE THE DEFENSE

Map Out Your Schedule to Graduation

☐ Visit http://gradschool.utah.edu/thesis and find the deadlines for manuscript submission.

> NOTE   Be aware that if you do not submit your defended manuscript by the semester's deadlines, you will not graduate in that semester.

☐ Schedule your defense date with your department so that you have time to make revisions your advisors may suggest and still submit your manuscript before the Thesis Office deadlines.

> NOTE   As you plan your defense, be aware that University policy requires that you submit your manuscript to your committee at least two weeks before the defense date. See "Administrative Preparation for the Defense" below.

☐ Visit http://registrar.utah.edu/graduation/index.php and find the deadlines for applying for graduation.

> NOTE   Be aware that there is a separate deadline for students who wish to graduate Summer semester but walk in Spring's Convocation exercises.

☐ Talk with your Graduate Coordinator or check your online records to make sure you are on track for graduation.

    Some items to double-check:

    ☐ Do you have documentation of your language verification? (if required by your department)

    ☐ Are there any outstanding grades issues that need to be resolved? (Missing grades, or grades marked "E," "I," or "T," can disrupt the graduation process)

    ☐ Have you paid all outstanding tuition and other fees?

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Self-Check Your Manuscript

☐ Read the Thesis Handbook to learn the formatting guidelines for manuscript submission: http://gradschool.utah.edu/thesis/handbook.

☐ *Optional* Download an appropriate manuscript template to streamline the formatting process. Templates can be found here: http://gradschool.utah.edu/thesis/thesis-templates.

> NOTE Using templates provided on the Thesis Office website does not guarantee that the manuscript will be free of formatting errors. You will still need to check your manuscript against the requirements found in the Thesis Handbook.

☐ Review the Frequently Asked Questions to resolve potential problems: http://gradschool.utah.edu/thesis/frequently-asked-questions-2.

☐ Know what style guide (sometimes called a citation guide) you are using by asking your department or checking against the official list: http://gradschool.utah.edu/thesis/department-approved-style-guides-2.

> NOTE You **must** identify a style guide before submitting your manuscript so that the Thesis Office can check that your citations and other textual style issues are correct. Applications used for processing citation information, such as LaTex and EndNote, are not considered style guides.

Preliminary Review

The Preliminary Review by the Thesis Office is meant to take place after you have written one or two chapters. It is offered to you as a way to find out about formatting requirements early on in the manuscript process. It is not required, but it is highly recommended. Students who have had a preliminary review and submit their manuscripts on time are far more likely to pass the Thesis Office process in the semester they submit. Please note that if your manuscript defense is prior or close to the preliminary review deadline for the semester, the Thesis Office will not do a preliminary review.

There are several ways to have a preliminary review. Select the option that works best for you.

CHOOSE ONE

☐ Attend a Thesis Office Formatting Workshop (offered each semester) and have your name recorded by the presenter.

☐ Email thesis@gradschool.utah.edu to set up an in-person or phone/Skype preliminary review appointment.

☐ Call 801.581.7642 to set up an in-person or phone/Skype preliminary review appointment.

☐   Turn in a single-sided, unbound hard copy of what you would like to be reviewed (generally 1 or 2 chapters of your manuscript).

☐   Email a pdf file of what you would like to be reviewed to thesis@gradschool.utah.edu and request a preliminary review.

Administrative Preparation for the Defense

These requirements may be done by you or by your Graduate Coordinator. Check with your department's office to confirm who is responsible for these items.

☐   Provide a copy of your manuscript to your supervisory committee members at least two weeks before the defense.

           NOTE   The requirement of two weeks is University policy for manuscripts. Some departments, however, require that manuscripts be handed in earlier than two weeks prior. Check with your department for specific rules regarding defense submission.

☐   Prepare the Supervisory Committee Approval form and Final Reading Approval form by typing in the full names of your supervisory committee in the appropriate places. Forms can be found here: http://gradschool.utah.edu/thesis/forms.

Copyright Information

If you have previously published material in your dissertation, follow the steps below to conform to federal and University copyright codes.

☐   For all published materials, reach out to the publisher to obtain permission to duplicate copyrighted material. Many publishers have their own permission forms or make forms available at http://www.copyright.com. If you are published with a company that does not have its own permission form, you may use the University forms here: http://gradschool.utah.edu/thesis/forms.

☐   If you have collaborated with someone on published material, you will also need to obtain a release from your co-authors, including any committee members who served as co-authors. Release forms are also found at http://gradschool.utah.edu/thesis/forms.

DURING THE DEFENSE AND IMMEDIATELY AFTER

☐ Relax! You're going to do great.

☐ Get signatures from your supervisory committee on the Supervisory Committee Approval form.

> NOTE   In order to be accepted, you must have the **original** signatures in ink of the majority of your supervisory committee on the form. Without the majority of signatures, the Thesis Office will not accept your manuscript. Plan accordingly to obtain signatures if you will not have the majority of the committee present in person at your defense.

> NOTE   The majority of signatures is all that is needed for the Thesis Office to process your manuscript. Although it is generally better to have a complete signature page, as long as the majority of members have signed no further signatures are needed for you to graduate.

☐ Have the department chair sign the Final Reading Approval form.

> NOTE   In the event a department chair is out of town, she or he can email the Thesis Office to communicate they accept the decision of the supervisory committee. With this email, the Thesis Office will accept the manuscript for processing. However, you must have an original signature on the Final Reading Approval form before you can graduate.

> NOTE   You do not need to obtain a signature from the Graduate School Dean. The Dean's signature is provided as part of the Thesis Office process.

☐ Make adjustments and revisions to your manuscript based on the directions of your supervisory committee.

☐ Re-check your manuscript to determine that you are following the formatting requirements according to the Thesis Office.

> NOTE   Remember that revisions you make after the defense can change formatting settings for things such as subheadings, figure and table placement, footnotes, and other items. Make sure to check these elements carefully before submitting.

AFTER THE DEFENSE: FORMAT REVIEW

☐ Print out a copy of your manuscript.
    The manuscript must be:

      ☐ single-sided

      ☐ not stapled or bound

☐ Bring or mail the physical copy of your manuscript to the Thesis Office, along with the signed Supervisory Committee Approval and Final Reading Approval forms.

    Campus Address: 302 Park Building
    Snail Mail Address: 201 S President's Circle Room 302,
                             Salt Lake City UT 84112

    NOTE   There is no need to put your manuscript in a box or folder. The Thesis Office has binding clips available for your manuscript.

    NOTE   Anyone can deliver your manuscript to the Thesis Office. Since it is your academic work, however, only those you have cleared under FERPA regulations can pick up your reviewed copy (see below).

☐ Fill out a Manuscript Submission Form, available in hard copy in the Thesis Office or online at https://gradschool.utah.edu/thesis/forms.

☐ Once you have submitted your manuscript, let the Thesis Office know your preferred email for contact by sending an email to thesis@gradschool.utah.edu.

☐ ***Optional*** Follow your progress in the queue for Formatting Review by visiting http://gradschool.utah.edu/thesis/thesis-manuscript-tracking and inputting your standard uID and password.

☐ ***Optional*** If you will not be able to pick up your manuscript after the review, you can select others who are authorized to pick up your manuscript. To do so, you must fill out a FERPA authorization form (available at the Thesis Office or here: http://gradschool.utah.edu/thesis/forms). You may also email thesis@gradschool.utah.edu and request that your manuscript be scanned and emailed to you once it has been reviewed.

    NOTE   To comply with FERPA rules, you and the people you authorize to pick up your manuscript must show a photo ID in order to pick up your manuscript.

AFTER THE DEFENSE: UPLOADING TO PROQUEST

Between the Formatting Review and uploading to ProQuest, you may be asked to provide one or more copies of your manuscript demonstrating you have made the formatting & editing changes required by the Thesis Office. The procedure for submitting these edits is the same as submitting for a Format Review: submit a hard-copy, single-sided version of your manuscript to the Thesis Office, including the previous marked-up version if the Thesis Office requests it. (If you are no longer local, your editor may agree to accept an email pdf file of the corrected manuscript. Check with your individual editor to see if this is an option.)

Once your manuscript has been approved by the Thesis Office, you will receive an email describing the procedure for uploading your manuscript to ProQuest. Follow these instructions carefully. In addition, here are some other tasks you should do as you get ready for graduation.

☐ Upload your manuscript to ProQuest by the date your editor gives you.

> NOTE   Sometimes the Thesis Office's review cycle stretches past the end of the semester. The Thesis Office will notify individuals who are still in the queue about their status and path to graduation. If you have questions about your status, email theis@gradschool.utah.edu.

☐ Check your email frequently. Sometimes errors are discovered in the manuscript uploaded to ProQuest. If this is the case, an editor will email you through your ProQuest account. All corrections requested through ProQuest must be made before Thesis Release is granted.

VERIFICATION AND EXPEDITED PROCESSING

Circumstances may arise during the review process that put unique pressures on your deadlines or time to graduation. Below are a few common situations and the processes for managing them. Please note that these are documented as exceptions to the rules, and as such require extra work on your part and permissions from the managing editor. The checklists below are the steps you are advised to take to request an exception, but following this checklist does not guarantee that your request will be granted. Each semester has a unique workload for the Thesis Office, and the managing thesis editor will make decisions based on that semester's needs and employee availability.

REQUEST FOR VERIFICATION OF DEGREE PROGRESS

Governments, future employers or academic programs, and others may wish to know that you have passed your defense and are on track to graduate. The University offers two ways to give information to interested parties about your progress to graduation.

Unofficial Graduate School Letter
The Graduate School Dean will sign a letter on University letterhead that will let interested parties know that you have completed your defense and you are in the process of working on finalizing your manuscript with the Thesis Office. This is an informational letter and not an official University letter. It communicates that you are progressing toward your degree but does not guarantee that your degree will be awarded. You may request this letter at any time after your defense.

To request the Unofficial Graduate School Letter:

☐ Send an email with your name and uID number to thesis@gradschool.utah.edu requesting the letter. Letters are generally sent within one business day.

Official University Letter
The University of Utah publishes an official letter which confirms that you have earned your degree and will receive your diploma following the end of the semester. It only confirms this after all requirements for the degree have been met.

Before requesting the Official University Letter you **must**:

☐ Upload your manuscript to ProQuest and receive a final Thesis Release.

☐ Be cleared through the Graduate Records Office. The Graduate Records Office checks:

  ☐ you have applied for graduation in the correct semester

  ☐ Language Verification (if required by your department)

  ☐ Missing or unresolved grades (T, I, and E grades)

- ☐ Owed fees

- ☐ Committee Information submitted by the department

☐ Be uploaded into the Registrar's Office database. This typically happens the day after the Graduate Records Office clears you.

To request the Official University Letter from the Registrar's, you have two options: requesting a Statement of Degree Completion or submitting for an automatic verification letter.

To request a Statement of Degree Completion:

☐ Email graduation@utah.edu and request a "Statement of Degree Completion."

☐ Fill out the Request Form that the Registrar's Office sends you, and resubmit it. The Registrar's Office will provide you the Statement in physical form, or can email and/or fax it to you or another person.

> NOTE "Statement of Degree Completion" documents are **ONLY** issued in the first and middle portions of a semester. When the Graduation Office starts processing students for that semester's graduation, the Registrar's Office will no longer provide these statements. If you need a University Document after the Registrar's Office has stopped providing Statements of Degree Completion, follow the steps to request a Verification Letter below.

To request a Verification Letter:

☐ Go to https://registrar.utah.edu/transcripts/record-verification.php and look for "Custom Verification Letter." Read the section thoroughly and follow the instructions listed.

☐ Fill out the "Verification Request Form" and pay the fee of $15.00. The letter will be printed within 2-3 business days.

REQUEST FOR EXPEDITE

Students who have submitted their manuscripts before the deadline have their manuscripts processed by the end of the semester, with the final Records approval process happening on or near the semester's final deadline (generally a week or two after semester finals). At times, an upcoming job or postdoc position requires a student to provide proof of graduation before the end of the semester. The Thesis Office has provided the option to request for expedited processing when there is a documented need for a student to have proof of graduation before the end of the semester.

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Expedite requests are mitigated by many factors. Although the Thesis Office does its best to process all requests, not all expedite requests are approved, and receiving an approval for expedite does not guarantee that the manuscript will be ready by your individual deadline. The best guarantee for swift passage through the Thesis Office is to prepare thoroughly before submission and submit your manuscript well before the semester deadlines.

To request for expedite:

☐   Submit your manuscript by the semester deadlines. Expedite requests are not approved when the manuscript is submitted after the semester deadlines.

☐   Determine if your employer or interested party needs an unofficial or official letter of your graduation status. If all they need is an unofficial letter, follow the steps listed above under "To receive an unofficial letter…". You will not need to request expedited processing.

☐   Determine the scheduling of your expedite request. The Thesis Office will need to know the exact date by which you need your materials, plus the dates of any other considerations. Remember that once the Thesis Office has given you a Thesis Release, your records will still need to be processed through the Graduate Records and Registrar's offices, a process that can take 2+ business days. Departments and other offices you work with may have similar time considerations. Set a clear schedule for when you need your materials, so that the Thesis Office can accurately weigh your request against the other requests it receives.

> NOTE   It is extremely important to let the Thesis Office know as early as possible that you will need an expedite consideration. The more time the Thesis Office has to schedule the processing of your manuscript, the more likely you are to be granted the special consideration you are requesting.

> NOTE   Exactness is key! If you need your manuscript processed by August 25 and you say you need it by "the end of August," you probably won't receive your manuscript until August 31. The more precisely you set your schedule, the better equipped the Thesis Office will be to provide you with special treatment.

☐   Send an email requesting the expedite to thesis@gradschool.utah.edu. Provide documentation that demonstrates your need for an expedited review and the timeline you are requesting. This can take the form of a government document (such as a Visa request), job offer, email from a company representative, or other document. The documentation must be from the entity that needs your graduation status information.

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- ☐ If your manuscript is not already formatted this way, re-format your submission so that

    - ☐ There are no major formatting errors. (See https://gradschool.utah.edu/thesis/frequently-asked-questions-2/#meetsreq for a list of major formatting errors.)

    - ☐ All figures and tables are at the end of the chapter in which they are first mentioned.

    - ☐ There is no List of Figures or List of Tables if they are not necessary. (Lists are not required when there are fewer than 5 entries or more than 25.)

    - ☐ Chapters which have been previously published are inserted as images of the PDF pages into your manuscript.

    This formatting is the easiest for the Thesis Editors to check and speeds the expedite process.

- ☐ If your expedite request is approved, check your email frequently while your manuscript is under review. Make all corrections requested by your editor and return the manuscript by the deadline given to you.

    NOTE   Being approved for expedited processing takes you out of the regular queue for manuscript processing. As a result, the online Thesis Manuscript Tracking tool will no longer give you accurate information about your progress. Use email—either to your editor or to thesis@gradschool.utah.edu—to determine your status.

- ☐ Once you have been cleared by the Thesis Office, you will need to formally request a "Custom Verification Letter" from the Registrar's Office. Follow the instructions above under "Official University Letter" to obtain this letter.