

June 17, 2020

DISSERTATION SUBMISSION AND DEFENSE: POLICIES AND PROCEDURES

When a PhD candidate has reached All But Defended (ABD) status, he/she will need to a) prepare his/her dissertation for both defense and submission to the Graduate School; b) apply for graduation for the appropriate semester and year; c) maintain matriculation each semester until graduation and pay all applicable fees.

All of these actions must be completed before a student can be successfully graduated; failure to complete any of these will delay graduation.

Maintenance of Matriculation

Students are responsible for maintaining matriculation each semester after they have completed all required coursework. The Graduate School will register and pay for maintenance of matriculation through a student's seventh year in the program. Once a student has reached his or her eighth year in the program, he/she is responsible for both a) registering for maintenance of matriculation each semester and b) paying all applicable fees (including registration/services and health insurance fees).

Applying for Graduation (UNIVERSITY and GSAS REQUIREMENT)

The Graduation Information page on the Registrar's website contains information on application deadlines and instructions on how to apply for graduation. It can be found here:

https://www.nyu.edu/students/student-information-and-resources/registration-records-and-graduation/graduation-and-diplomas/graduation-information.html#tripleBox_nyutable

Please make sure to register for graduation at least 3 months prior to your expected graduation date.

Dissertation Submission (GSAS REQUIREMENT)

The Graduate School has a detailed page of submission requirements that can be found here:

<https://gsas.nyu.edu/content/nyu-as/gsas/academics/submitting-your-dissertation.html>. **These**

are hard deadlines and extensions will not be granted. All paperwork specifically related to the dissertation submission must be coordinated and delivered by the student – the Academic Administrator does not process these forms. Please make sure to follow the deadline dates as listed on the GSAS site.

Preliminary Deadline Dissertation Filing Steps (GSAS REQUIREMENT)

Candidates must submit the Preliminary Dissertation Paperwork to the GSAS Office of Academic and Student Affairs (OASA) by the [preliminary dissertation deadline](#). Submissions may be electronic or hardcopy. Electronic submissions should be sent to gsas.academicaffairs@nyu.edu. The Preliminary Submission Paperwork consists of the following:

- One copy of the title page (unsigned, but see below)
- [Survey of Earned Doctorates completion certificate](#)

The signature on the title page will be needed by the final deadline. If a candidate desires to have the title page signed electronically, then the advisor's name and official email address must also be submitted at this time. OASA will submit the title page for signature to the advisor through DocuSign.

A candidate must upload his or her dissertation to [ProQuest](#) **by the preliminary dissertation submission deadline**. The preliminary dissertation submission will be reviewed for adherence to the formatting requirements, not content (the dissertation advisor oversees content review). Once the preliminary dissertation is reviewed, the candidate will receive an email notification that details formatting changes that need to be made before final submission. Students must also complete and submit via the [ProQuest](#) site at this time as part of the upload process:

- Dissertation Publishing Agreement
- Dissertation Abstract

Dissertation Defense (GSAS and/or DEPARTMENT REQUIREMENT)

Prior to scheduling the doctoral dissertation defense, three dissertation readers, one who is the candidate's advisor, must approve the dissertation for defense. Indication of approval to defend is made by the signing of the [Doctoral Thesis Reader Sheet](#) . Only the three main readers of the core committee need sign this document. Collect all physical signatures as possible and then submit a scanned copy of this form to [OASA](#) and submit the original copy to the Academic Administrator **by the preliminary dissertation deadline**. If any electronic signatures are needed, please collect all official email addresses for any individuals signing electronically and provide them to the Academic Administrator as the remaining signatures will need to be collected through DocuSign. Please note, this must be completed **by the preliminary dissertation deadline**.

When a date has been set with your committee members for your dissertation defense, contact the Department's Administrative Aide (Front Desk) to schedule the defense in one of the department conference rooms. Please inform the Administrative Aide of any media or tech needs you may have (e.g. Skype if a member of the committee cannot attend in person).

Final Deadline Dissertation Filing Steps

Candidates must take the [Doctoral Thesis Oral Defense Form](#) to the oral defense. The dissertation committee Chair and members physically present sign the [Doctoral Thesis Oral Defense Form](#) according to the result of the oral defense in the spaces provided and return it to the Academic Administrator immediately after the oral defense is completed. If some or all physical signatures are not possible to gather at this time, the Academic Administrator will submit a scanned copy of this form to OASA, and they will collect the remaining electronic signature(s) through DocuSign. Again, be sure to include all official email addresses for any individuals signing electronically.

After editing the text and format to ensure it is consistent with the comments made during the defense and review of the preliminary dissertation submission, candidates must upload a final dissertation to [ProQuest](#) **by the final dissertation deadline**, using the link provided after the preliminary dissertation review. If you did not opt for an electronic signature on the title page, a copy physically signed by the advisor must also be submitted at this time.

Remember, after a successful defense, please submit the following forms to the Academic Administrator for processing (DEPARTMENT REQUIREMENT):

- [Doctoral Thesis Oral Defense Form](#)
- [Doctoral Thesis Reader Sheet](#)

Both forms can be found on this page: <http://gsas.nyu.edu/page/grad.pp.manual>

Frequently Asked Questions

How many committee members do I need?

Students need a total of five committee members – three main committee members and two readers.

May I have a committee member/reader from outside NYU?

Yes, students may have up to two non-NYU faculty as committee members and/or readers, provided the person is approved by the DGS. If an outside reader is to be part of the dissertation committee, students must complete and submit the [Outside Dissertation Reader Approval Form](#) to the Academic Administrator. A current CV of the outside reader must be included. Please be sure that the email address listed on this form is the outside reader's official school or business email address.

Are original signatures required on the defense paperwork?

Please review above rules as governed by GSAS.

I will be officially graduated in September or January but would like to walk in May graduation exercises. How can I apply for this?

You will receive an email from the Academic Administrator in March re: applying for a graduation exception for May exercises.

All questions regarding the Preliminary Deadline Dissertation Filing Steps and the Final Deadline Dissertation Filing Steps should be forwarded to: [GSAS OASA](#).