

**REGISTRATION AND FINAL DEFENSE  
OF THE ED.D. DISSERTATION FOR 2009-2010**

Revised September 2009

Dear Ed.D. Candidate:

Congratulations upon reaching the final stage of your dissertation preparation. The administration of the Warner School is committed to supporting your efforts to complete your dissertation defense.

Below is a summary of the key procedures required for registration and final defense of your Ed.D. dissertation at the Warner School. Brenda Grosswirth, Administrator in the Office of Student Services, will be glad to answer questions about these procedures. We encourage you to telephone her at 585-275-1009 with your questions; her E-mail address is [bgrosswirth@warner.rochester.edu](mailto:bgrosswirth@warner.rochester.edu).

We have organized the key procedures in sequential order—with checklists—in order to make it easier for you to complete all of the final steps required. Each of the major sets of instructions is printed separately for your convenience. They are as follows:

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- FORM A: ED.D. Dissertation Registration and Committee Sign-Off (page 5)
- SAMPLE 1: Abstract Cover Page (page 6)
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## GENERAL COMMENTS

### Composition of the Committee

It is assumed that the composition of your committee will remain intact from the time of the dissertation proposal exam through the final defense of the dissertation. However, during this time period a member of your committee may have left the University of Rochester. If that member has continued to work with you and will return to Rochester for the defense, either you or the committee member must fund travel expenses. The Warner School is not responsible for paying the travel expenses of your committee member.

### Style of Dissertation

As with the dissertation proposal, you should consult your dissertation sponsor on the style manual to be followed. The University of Rochester bookstore stocks the style manuals of the University of Chicago, the American Psychological Association, and the Modern Language Association. **Please be aware that you are responsible for adherence to one style manual.**

You may consult *The Preparation of Doctoral Theses*, which can be found at [www.rochester.edu/theses/](http://www.rochester.edu/theses/). This document can guide you in the organization, format, and appearance of your dissertation. Ed.D. candidates are not required to use *The Preparation of Doctoral Theses*, however they may use it.

Finally, the abstract for the Ed.D. dissertation no longer has a maximum number of words.

## BEFORE INITIATING THE FINAL DISSERTATION DEFENSE

The dissertation defense process can be initiated only if you—

- ❑ are registered currently at the Warner School
- ❑ have no University or Warner School debts outstanding (contact the University Office of the Bursar at 585-275-3931)
- ❑ have no “I” or “N” grades on your program of study, with the possible exception of ED 593, “Ed.D. Dissertation Research” (contact the University Office of the Registrar at 585-275-5131 to obtain a transcript)
- ❑ have maintained continuous enrollment from the semester of your matriculation until delivery of the final copies to Brenda Grosswirth (contact the University Office of the Registrar at 585-275-5131 to obtain a transcript)

## INITIATING THE FINAL DISSERTATION DEFENSE

Your dissertation committee members must approve your dissertation and agree that it is ready for the final defense. They do this by adding their signatures to FORM A (page 5 of this document).

You then bring the following to Brenda Grosswirth in Dewey Hall 2-161:

- FORM A (which is page 5 of this document), with **signatures, home addresses, e-mail addresses, and home telephone numbers** of committee members (typed, word-processed, or printed legibly). The Dean's Office will obtain the approval of the Associate Dean.
- Two copies of the abstract, with abstract cover sheet (SAMPLE 1, which is page 6 of this document).
- Two copies of the dissertation, with dissertation title page (SAMPLE 2, which is page 7 of this document). These two copies of the dissertation must be bound in some manner.

**FORM A**

**ED.D DISSERTATION REGISTRATION AND COMMITTEE SIGN-OFF**

The following student has my permission to register his/her Ed.D. dissertation:

\_\_\_\_\_. My signature below indicates I approve of the dissertation as submitted, and I agree the dissertation is in its final form.

**Signatures of Committee**

**Home Addresses**  
(typed, word-processed, or printed legibly)

**E-mail Addresses and Home Phone Numbers**

\_\_\_\_\_  
(Sponsor)

\_\_\_\_\_  
E-mail address

\_\_\_\_\_  
Home Phone

\_\_\_\_\_  
E-mail address

\_\_\_\_\_  
Home Phone

\_\_\_\_\_  
E-mail address

\_\_\_\_\_  
Home Phone

\_\_\_\_\_  
(if applicable)

\_\_\_\_\_  
E-mail address

\_\_\_\_\_  
Home Phone

**Home address, e-mail address, and cell phone number of student** (typed, word-processed, or printed legibly):

\_\_\_\_\_  
**Title of Dissertation:**

\*\*\*\*\*

The Warner School Office of Student Services will obtain the approval below:

\_\_\_\_\_  
Approved: Associate Dean, Warner School

\_\_\_\_\_  
(Date)

# **SAMPLE 1**

## ABSTRACT

An Evaluation of an Elementary Education Program

by

Sara Smith

Submitted in Partial Fulfillment

of the

Requirements for the Degree

Doctor of Education

Supervised by

Professor Jane Andrews

Margaret Warner Graduate School of Education and Human Development

University of Rochester  
Rochester, New York

2010

6

September 2009

## **SAMPLE 2**

An Evaluation of an Elementary Education Program

by

Sara Smith

Submitted in Partial Fulfillment

of the

Requirements for the Degree

Doctor of Education

Supervised by

Professor Jane Andrews

Margaret Warner Graduate School of Education and Human Development

University of Rochester  
Rochester, New York

2010

**APPOINTMENT OF READER/INDEPENDENT CHAIR  
AND  
APPROVAL OF DISSERTATION**

Following submission of all required materials (see page 4 of this document) to Brenda Grosswirth in the Office of Student Services, 2-161 Dewey Hall—

- The Warner School's Associate Dean appoints a Reader/Independent Chair for your final defense. (The faculty member who served as Reader/Independent Chair for your proposal exam may be assigned as Reader/Independent Chair for your final defense, but this is not always the case.)
- Brenda Grosswirth contacts both you and your sponsor to announce the Reader/Independent Chair.
- The Reader/Independent Chair has three (3) weeks to read your dissertation, prepare written comments, and present these comments to the Office of Student Services.
- If the comments indicate that there are fundamental problems with your dissertation, and if the Associate Dean concurs with this assessment, then **revisions** to the dissertation must be made and the dissertation **resubmitted** to Brenda Grosswirth in the Office of Student Services. The Associate Dean will then resubmit the revised dissertation to the Reader/Independent chair for his/her approval.
- If the **original comments** submitted by the Reader/Independent Chair indicate that your dissertation is ready to be defended (or when the Reader/Independent Chair has approved the required revisions—see item immediately above), Brenda Grosswirth notifies both you and your sponsor that the dissertation is ready for defense. The comments are then distributed to both you and your committee members.
- You may then register the dissertation for the final defense.

## REGISTRATION OF THE DISSERTATION

Follow the checklist below for the materials that are necessary for the registration of the dissertation. Please submit all materials to Brenda Grosswirth, Administrator in the Office of Student Services, Dewey Hall 2-161, 585-275-1009.

- ❑ Submit FORM B (which is page 10 of this document) with two defense days, dates, and times that you have arranged with your committee members (**not with the Reader/Independent Chair**). **The two dates must be different from one another.** The Office of Student Services selects one of the two possible examination dates, and announces the day, date, time, and **location** of the exam in a memo mailed to you, committee members, and the Reader/Independent Chair
- ❑ **If changes have been made in the dissertation since the original submission of two copies to Brenda Grosswirth in the Office of Student Services, two copies of the revised dissertation (bound in some way) must be submitted.** If no changes have been made since the original submission, you may continue to the next item in this checklist.
- ❑ Submit two copies of the abstract with cover page (SAMPLE 1, which is page 6 of this document). Each abstract with its cover page must be stapled.
- ❑ Submit two copies of the dissertation title page (SAMPLE 2, which is page 7 of this document).
- ❑ Complete and submit the ProQuest/UMI dissertation publishing "form." This "form" consists of pages 4 and 5 and *optional* pages 6 and 7 from the ProQuest/UMI Dissertation Publishing Document. **This document, with an attached important letter from Associate Dean Brian Brent, must be obtained from the Office of Student Services in Dewey 2-161 (585-275-1009 or bgrosswirth@warner.rochester.edu).**
- ❑ Submit the **\$70 Thesis Archive Fee**, in the form of a personal check, certified check, or money order — payable to the University of Rochester.
- ❑ Submit a certified check or money order (not a personal check) for \$95, payable to ProQuest/UMI, **only if you choose one of the ProQuest/UMI "Open Access Publishing Options."**
- ❑ Submit a certified check or money order for \$55 (not a personal check), payable to ProQuest/UMI, **only if a decision is made to copyright** (see instructions on page 6 of the ProQuest/UMI Dissertation Publishing Document, the document referred to above, i.e., the document that must be obtained from the Office of Student Services).
- ❑ You must provide each member of your dissertation committee (**not the Reader/Independent Chair**) with a clean copy of the dissertation that will be defended. This means that if the dissertation has been revised on instructions from the Reader/Independent Chair and the revisions subsequently approved by the Reader/Independent Chair, copies of this **revised** dissertation must be provided to each member of your committee. **It is imperative that each member of your committee has an identical copy of your dissertation, i.e., a copy identical to the final copy submitted to Brenda Grosswirth in the Office of Student Services, whether that is the original dissertation or the revised dissertation.**

**FORM B**

**SCHEDULING OF THE ED.D DISSERTATION FINAL DEFENSE**

The dissertation final defense of \_\_\_\_\_  
(student's name)

may be held on either of the dates listed below — the dates must be different from one another:

First Choice: \_\_\_\_\_  
(Day) (Date—different from the one below) (Time: 2-hour slot)

Second Choice: \_\_\_\_\_  
(Day) (Date—different from the one above) (Time: 2-hour slot)

Both of these dates are agreeable to all of my dissertation committee members. **I understand that I am not to check these dates with the Reader/Independent Chair.**

\_\_\_\_\_  
(Student's signature)

Dissertation Committee members (typed, word-processed, or printed legibly):

\_\_\_\_\_  
(Sponsor)

\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
(if applicable)

## CONDUCT OF THE DISSERTATION DEFENSE

- The purposes of the dissertation defense are to ascertain (1) whether you have proposed a significant thesis in the dissertation and (2) whether you have defended the dissertation adequately by offering appropriate and effective arguments and by marshaling relevant and convincing evidence.
- Attendance at the defense is limited to the following:
  - (a) the student
  - (b) the dissertation committee
  - (c) the Reader/Independent Chair
  - (d) faculty members and other persons—with the approval of the Associate Dean's Office, the sponsor, the Reader/Independent Chair, and the student.
- Procedures for conducting the defense are at the discretion of the Reader/Independent Chair and your dissertation committee. These procedures are usually agreed upon immediately preceding the examination. You may be asked to leave the room while the procedures are being discussed.
- At the conclusion of the defense, you will be asked to leave the room while the committee deliberates and votes in camera to recommend "pass" or fail." The Reader/Independent Chair does not have a vote, but records both the committee's recommendations and committee members' comments on the report form provided by the Office of Student Services. The Reader/Independent Chair adds his/her own comments if desired.
- You will then be asked to return to the examination room to learn the outcome of the defense and the comments of your committee members. The Reader/Independent Chair is responsible for reading these comments.
- For cases in which there is not unanimous approval by the dissertation committee, the final decision rests with the Associate Dean. The advice of the Academic Policy Committee may be requested by the Associate Dean.
- A candidate who fails the final defense will be allowed to defend once more only, unless the dissertation committee recommends against it by a majority vote. If a second defense is allowed, it must be held in such a way as to conform with regulations for the initial defense.

## **FOLLOWING SUCCESSFUL DEFENSE OF THE DISSERTATION**

Below is a checklist of the procedures you must follow after successful defense of the dissertation:

- Make revisions suggested by the committee and prepare revised final dissertation.
- Submit the following to Brenda Grosswirth in the Office of Student Services.**
  - Two identical copies of the final dissertation that are clear and clean, and **unbound and unperforated**. (Make sure that photographs—if they are incorporated into the dissertation—are identical in both copies of the dissertation.)
  - A complete copy of the final dissertation **in digital/electronic format, along with a completed UR Research Authorization Form (pages 13 & 14 of this document)**. Instructions for completing the Authorization Form are on page 15 and instructions for the submission of a digital copy of your dissertation are on page 16 of this document.
  - Completed *Survey of Earned Doctorates*. Copies of this form are available from Brenda Grosswirth.
- Deliver final copies of the dissertation, the digital/electronic copy of the dissertation, the completed Authorization Form, and the completed *Survey of Earned Doctorates* to Brenda Grosswirth according to the deadlines below:

**Fall Semester: September 30 for October degree conferral**

**Spring semester: (1) January 15 for March degree conferral  
(2) April 30 for May degree conferral**

- Deliver a bound copy of the dissertation to the Warner School's Office of Student Services within three months of the date of graduation.

### Instructions for binding:

1. The spine of the volume must contain (a) the student's name; (b) the title of the degree, i.e., Ph.D.; and (3) the year the degree was awarded.
2. The volume may be bound in any color the student desires.

### Recommended bindery:

New Ridge Bookbindery  
250 North Goodman Street  
Rochester, NY 14607  
Telephone: 585-271-6990  
Fax: 585-271-9027  
Monday – Friday, 11 a.m. – 5 p.m.  
Saturday, by appointment, between 10 a.m. and 2 p.m.

*University of Rochester, UR Research  
Electronic Thesis & Dissertation (ETD) Authorization Form for EdD Students  
(Instructions for completing this two-page form are on page 15.)*

Student Name: \_\_\_\_\_

Mailing Address: \_\_\_\_\_  
\_\_\_\_\_

Email Address: \_\_\_\_\_ Phone: \_\_\_\_\_

School:    \_\_\_\_\_ College (A&S/Engr.)    \_\_\_\_\_ ESM    \_\_\_\_\_ Medicine & Dentistry  
          \_\_\_\_\_ Simon School    \_\_\_\_\_ School of Nursing    \_\_\_\_\_ Warner School

Faculty Adviser: \_\_\_\_\_

Program Title: \_\_\_\_\_

Dissertation/Thesis Title: \_\_\_\_\_  
\_\_\_\_\_

Keywords: \_\_\_\_\_  
\_\_\_\_\_

Supporting Grants: \_\_\_\_\_

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**Part A: Use of Copyrighted Material(s)**

I hereby certify that, if appropriate, I have obtained and attached written permission statements from the owner(s) of each third party copyrighted matter to be included in my thesis or dissertation, allowing distribution as specified below. If I have been unable to obtain written permission statements for any third party copyrighted materials, the materials have been removed from the text of my theses or dissertation and placed in an appendix that will be restricted from public view. The following appendices should be restricted from public view because they contain copyrighted materials:

\_\_\_\_\_

I hereby certify that any proprietary or confidential information that must be permanently secured has been removed from the text of my dissertation/thesis and placed in an appendix that will be restricted from public view. The following appendices should be restricted from public view because they contain proprietary and/or confidential information:

\_\_\_\_\_

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I certify that the dissertation/thesis version I am submitting is the same as the final version approved by my Dissertation Committee.

I hereby grant to the University of Rochester and its agents the non-exclusive license to archive and make accessible, under the conditions specified below, my thesis or dissertation in whole or in part in all forms of media, now or hereafter known. I retain all other 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.

**Part B: Access**

In addition to the unrestricted display of the bibliographic information and the abstract, I agree that the above-mentioned document be placed in the UR Research digital repository (<http://urresearch.rochester.edu>) with the following status: **(choose option 1, 2 or 3 below)**

\_\_\_\_\_ 1. Release the entire work immediately for access worldwide.

\_\_\_\_\_ 2. Release the entire work for University of Rochester access **only** for: (choose time period)

\_\_\_\_\_ 1 year

\_\_\_\_\_ 2 years

A request to extend the embargo beyond a total of two years must be approved by the relevant college/school Dean/Associate Dean for Graduate Studies.

\_\_\_\_\_ 3. Secure the entire work for patent, proprietary or confidentiality purposes for a period of **three (3) months**. Following the three-month period of restricted access, the work will be:

\_\_\_\_\_ Released immediately for access worldwide.

\_\_\_\_\_ Released for University of Rochester access **only** for:

\_\_\_\_\_ 1 year

\_\_\_\_\_ 2 years

A request to extend the embargo beyond a total of two years must be approved by the relevant college/school Dean/Associate Dean for Graduate Studies.

The undersigned agree that this ETD Authorization Form updates any and all previously submitted authorization forms.

**Signature of Author:** \_\_\_\_\_

**Date:** \_\_\_\_\_

## University of Rochester, UR Research Instructions for Electronic Thesis & Dissertation (ETD) Authorization Form

**Student Name:** This should be identical to the name on your title page because your name may be used to locate your dissertation/thesis in the database.

**Keywords:** To enhance retrieval of your dissertation/thesis you may add additional keywords that are not already included in your title or abstract.

**Supporting Grants:** List all grantors and corresponding grant numbers that supported the research described in your dissertation/thesis.

**Use of Copyrighted Material(s):** Written permission is required from the proper copyright owners of material you may have used in your work that does not fall under the guidelines of fair use (see <http://www.lib.rochester.edu/copyright/urpolitic.htm> for the University's guidelines regarding fair use). This might be content taken from articles, books, web pages, music, poetry and lyrics, sound recordings, etc. The owner of the copyrighted material may be the author or the publisher. In addition, if you signed over copyright for papers you've authored to the publisher, you may need written permission to include your own papers in your dissertation/thesis. University Microfilms (UMI) also requires you to submit permission letters allowing distribution of third party copyrighted materials. More information can be found in Crews, KD. *Copyright Law & Graduate Research* (<http://www.umi.com/umi/dissertations/copyright/>). If you are not able to obtain written permission to include copyrighted materials in your dissertation/thesis, the materials should be removed from the dissertation/thesis and placed in an appendix that will be restricted from public view.

**Proprietary and Confidential Information:** University of Rochester Medical Center authors are expected to conform to the American Society of Microbiology's Code of Ethics (<http://www.asm.org/general.asp?bid=14777>) and use their knowledge and skills to advance human welfare and discourage the misuse of scientific information. If there is proprietary or confidential information in your dissertation/thesis such as industry trade secrets or studies that used a reagent obtained under the Material Transfer Agreement (MTA) with restrictions on publishing, the information should be removed from the dissertation/thesis and placed in an appendix that will be restricted from public view.

**Access:** If your dissertation/thesis includes chapters or data that you plan to publish in the future you should restrict access to the University of Rochester community for a period of time. Some publishers may consider allowing worldwide access to your dissertation/thesis through UR Research to be prior publication.

If your dissertation/thesis contains new information that could lead to an invention, the ETD should be secured for a three-month period during which an Invention Disclosure Form is submitted to the Office of Technology Transfer and patent protection obtained for the invention.

**Additional Information:** If you have any questions or would like additional information about UR Research, please contact the University of Rochester Libraries at [urresearch-help@rochester.edu](mailto:urresearch-help@rochester.edu).

### Author Checklist:

\_\_\_ Have you completed and signed the ETD Authorization Form?

\_\_\_ Have you attached permission letters for previously copyrighted material or moved the copyrighted material to an appendix?

\_\_\_ Have you and your faculty advisor reviewed your dissertation/thesis for proprietary or confidential information and moved the information to an appendix if necessary?

\_\_\_ Have you chosen to restrict access to your dissertation/thesis for up to two years if you plan to publish chapters or data in the future?

\_\_\_ Have you and your faculty advisor reviewed your dissertation/thesis for information that could lead to an invention and filed an Invention Disclosure Form with the URM Office of Technology Transfer if appropriate?

## **University of Rochester**

### **Instructions for the Submission of a Digital Copy of your Dissertation**

A digital copy of your dissertation will be deposited by the Libraries into the University's digital repository, UR Research (<http://urresearch.rochester.edu>).

The digital copy of your dissertation should be provided on one or more of the following:

- CD
- 3 ½" floppy disk
- Zip disk
- DVD

The Libraries' strong preference is that the dissertation files remain in the format that they were originally created, such as Microsoft Word, WordPerfect, LaTeX, Postscript, HTML, and MPEG movie files. In order to ensure long-term access to your dissertation, it is sometimes necessary to go back to the original files and convert them.

In order to ensure that your dissertation cannot be downloaded and manipulated by others, the Libraries will convert the dissertation into uneditable formats, such as PDF, and only those files will be available for viewing.

Your dissertation will be deposited in the digital repository in the same way that you submit your files. In other words, if you have a file for each chapter of the dissertation, it will be deposited as a series of chapters, with each clearly labeled as such.

If you have any questions or concerns, please do not hesitate to contact one of the following people at the Libraries:

Suzanne Bell, River Campus UR Research Project Coordinator  
[Suzanne.bell@rochester.edu](mailto:Suzanne.bell@rochester.edu) 585-275-9317

James Farrington, Sibley Music Library, ESM  
[James.farrington@rochester.edu](mailto:James.farrington@rochester.edu) 585-274-1304

Michele Shipley, Edward G. Miner Library, URM  
[Michele\\_shipley@urmc.rochester.edu](mailto:Michele_shipley@urmc.rochester.edu) 585-275-6878