

REGISTRATION AND FINAL DEFENSE OF THE PH.D. DISSERTATION FOR 2011-2012

Revised July 2011

Dear Ph.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 Ph.D. dissertation at the Warner School. Brenda Grosswirth, Administrator in the Office of Student Services (Dewey Hall 2-161), will be glad to answer questions about these procedures. **Please telephone her at 585.275.1009 with your questions; her e-mail address is bgrosswirth@warner.rochester.edu.**

Although you will be working with Brenda, it is important to understand that the Office of the University Dean of Graduate Studies (585.275.9093) oversees and coordinates the work for the Ph.D. degree in all graduate schools of the University.

The key procedures have been organized in sequence—with checklists—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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IMPORTANT DETAILS

Elapse of Time Between the Dissertation Proposal Examination and the Final Defense

University of Rochester regulations concerning graduate study state that a minimum of six months must elapse between successful completion of the Ph.D. Dissertation Proposal Examination (Qualifying Examination) and the scheduling of the final defense of your dissertation. **According to University regulation, your defense may not be scheduled during the final week of April, most of May, the final two weeks in August, and the first two weeks of September, as well as during the winter recess, which runs from late December through early January. (For exact dates, see "Calendar for Registration and Defense of the Ph.D. Dissertation"— pages 5-6.)**

**REGISTRATION OF THE DISSERTATION WITH
THE WARNER SCHOOL MUST CONCUR WITH
DEADLINES STATED IN "CALENDAR FOR REGISTRATION
AND DEFENSE OF THE PH.D. DISSERTATION" – PAGES 5-6.**

Composition of the Committee, and Request for SKYPE or Teleconference

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.

If your long-distance committee member is unable to attend the defense, SKYPE or teleconferencing may be an option. To use either SKYPE or a teleconference, you must write a formal letter to University Dean of Graduate Studies Margaret Kearney requesting the incorporation of either SKYPE or a teleconference and stating the reasons for your request. The letter should be addressed to Dean Margaret Kearney but must be submitted to Brenda Grosswirth (in Dewey 2-161F), so that appropriate approvals in the Warner School may be obtained and the letter then forwarded to the Office of the University Dean of Graduate Studies. You will be contacted as soon as possible with a response. Please be aware that this formal letter must be submitted to Brenda Grosswirth no later than two weeks prior to the registration of the dissertation.

Style of Dissertation

It is extremely important that you obtain the University's document on regulations regarding the format and style of your dissertation. The document, ***The Preparation of Doctoral Theses***, was prepared by the Office of the University Dean of Graduate Studies. It is available at www.rochester.edu/theses/.

The Office of the University Dean of Graduate Studies **carefully and thoroughly** checks the dissertation for correct arrangement, format, etc. If you have a question regarding formatting, please telephone the Office of the University Dean at 585.275.9093.

Please consult with your dissertation sponsor on any additional style manual which may be used for the dissertation. The Office of the University Dean of Graduate Studies recommends the *Chicago Manual of Style*, however other style manuals certainly can be used. **Please be aware that you are responsible for adherence to one style manual. However, please understand that the style manual does not supersede *The Preparation of Doctoral Theses*.**

PROCEDURES FOR PROQUEST/UMI

- The University of Rochester has established its own website with ProQuest/UMI: <http://www.etsadmin.com/rochester>. This website is for the Ph.D. degree only.
- It is strongly recommended that you begin working on your on-line ProQuest form before your dissertation defense so that you become familiar with the site. The form can be started, continued, amended; it does not have to be completed at one sitting. However, you will not be able to complete the form until after your defense, because you must not attach a pdf of your final dissertation to the ProQuest site or enter your final abstract (not to exceed 350 words) into the ProQuest site until all necessary revisions and corrections have been made. If you do submit a pdf of your dissertation to the ProQuest site before you have made your final revisions/corrections, the entire record will have to be withdrawn and you will have to begin again.
- Upon completion of the form, the website will generate a "bill" that can be paid only by entering a credit card number. The amount of the "bill" will be based upon your ProQuest publishing choices (i.e., Traditional or Open Access, embargo periods, etc.) and the options to copyright or to order personal copies.
- ProQuest is committed to providing support to students—
Technical Support: 1.877.408.5027
Author Relations: 1.800.521.0600 (x7020)

You can receive support directly from ProQuest if you need help with your form or with the pdf of the final dissertation.
- Patricia McLane and Elaine Kuchman in the Office of the Dean of Graduate Studies are the University of Rochester ProQuest Administrators for all Ph.D. degrees. If you need assistance, please contact Patricia at 585.275.9093 or at (pmclane@admin.rochester.edu), or Elaine at 585.275.4279 or at (ekuchman@admin.rochester.edu).
- After your defense, you will be required to send the University Dean of Graduate Studies Office an "e-mail verification" confirming that you have completed your ProQuest form, have attached the final version of your dissertation, and have entered the final version of your dissertation abstract. Your degree is not complete until the "e-mail verification" is received.
- The appointed independent chair of the defense will give you a packet of information at the conclusion of your defense. The packet will include ProQuest information, detailed instructions regarding the e-mail referenced above, and also a checklist of your final degree requirements.

CALENDAR FOR REGISTRATION AND DEFENSE OF THE PH.D. DISSERTATION, 2011-2012

Fall 2011

For March 2012 Degree (Degree Conferral Date in March to be announced):

- The first day on which a defense may be held is Monday, September 12, 2011—having registered the dissertation with the Warner School at least 4 weeks prior to the defense date.
- The final day on which to register a dissertation with the Warner School is Friday, November 4, 2011, however, there must be a period of at least 4 weeks between the date of registration and the date of defense.

(For students registering after November 4, the first day on which a defense may be held is Monday, January 30, 2012—having registered the dissertation with the Warner School at least 4 weeks prior to the defense date.)

- The final day on which a defense may be held is Tuesday, December 20, 2011—having registered the dissertation by the deadline of Friday, November 4, 2011.
- Due to winter recess and holidays, Ph.D. defenses may not be held between Wednesday, December 21, 2011 and Tuesday, January 3, 2012. **Ph.D. defenses may be held between Wednesday, January 4, 2012 and Friday, January 6, 2012—but only if the dissertation was registered by the deadline of Friday, November 4, 2011.**
- The last day on which to submit the final corrected abstract and pdf of your dissertation to complete the ProQuest requirement and fulfill degree requirements for a March 2012 PhD is Friday, January 13, 2012. NOTE: If this deadline is not met, you must register and pay the appropriate fees for the 2012 Spring semester.

Spring 2012

For May 2012 Degree (Degree Conferral Date of 5/19/12):

- The first day on which a defense may be held is Monday, January 30, 2012—having registered the dissertation with the Warner School at least 4 weeks prior to the defense date.
- The final day on which to register a dissertation with the Warner School is Monday, March 5, 2012, however, there must be a period of at least 4 weeks between the date of registration and the date of defense.

(For students registering after March 5, the first day on which a defense may be held is Wednesday, May 30—having registered the dissertation with the Warner School at least 4 weeks prior to the defense date.)

- The final day on which a defense may be held is Wednesday, April 18, 2012—having registered the dissertation with the Warner School by the deadline of Monday, March 5.
- The last day on which to submit the final corrected abstract and pdf of your dissertation to complete the ProQuest requirement and fulfill degree requirements for a May 2012 PhD is Tuesday, April 24, 2012.
- University Doctoral Commencement and Warner School Diploma Ceremony: Saturday, May 19, 2012.

Summer 2012—Please be aware that in the summer, the time between the date of registration and the date of defense is extended to five (5) weeks.

For October 2012 Degree (Conferral date to be announced)

- The first day on which a defense may be held is Wednesday, May 30, 2012—having registered the dissertation with the Warner School at least **five (5)** weeks prior to the defense date.
- The final day on which to register a dissertation with the Warner School is Monday, June 18, 2012, however, there must be a period of at least **five (5)** weeks between the date of registration and the date of defense.

(For students registering after June 18, the first day on which a defense may be held is Monday, September 10, 2012—having registered the dissertation with the Warner School at least **five (5)** weeks prior to the defense date.)

- The final day on which a defense may be held is Friday, August 17, 2012—having registered the dissertation with the Warner School by the deadline of Monday, June 18.
- The last day on which to submit the final corrected abstract and pdf of your dissertation to complete the ProQuest requirement and fulfill degree requirements for an October 2012 PhD is Thursday, August 23, 2012. NOTE: If this deadline is not met, you must register and pay the appropriate fees for the 2012 Fall semester.

Fall 2012

For March 2013 Degree (Conferral date to be announced)

- The first day on which a defense may be held is Monday, September 10, 2012—having registered the dissertation with the Warner School at least 5 weeks prior to the defense date.

JOINT RESEARCH IN DISSERTATIONS

The Preparation of Doctoral Theses: A Manual for Graduate Students (page 4, www.rochester.edu/Theses) states that if a candidate for the degree Doctor of Philosophy has collaborated with others in carrying out the research upon which the dissertation is based, the character and extent of the candidate's own participation in the project must be stated clearly in a **Foreword** to the dissertation.

The Foreword is a separate section immediately preceding the text and is numbered as page 1 (not as part of the beginning material in lower-case Roman numerals). Each co-authored chapter must be identified in the Foreword, listing its co-author(s). This would apply to articles already published or accepted for publication, manuscripts that have been submitted for publication, or any other manuscripts.

THE OPTION OF A PUBLIC LECTURE PRECEDING THE CLOSED FINAL DEFENSE

The Warner School now offers an option for Ph.D. candidates to present a public lecture immediately preceding the closed final dissertation defense. A public lecture is part of the defense. Therefore, committee members and the appointed independent chair must be present. The public lecture replaces the presentation a candidate typically gives at the beginning of a closed defense. You and your dissertation sponsor make the decision regarding the inclusion of a public lecture as part of the defense.

Procedures for the Public Lecture

Following the sponsor's welcome to the audience and his/her establishment of guidelines/expectations the candidate speaks no longer than 45 minutes. The candidate will take questions from the audience. The committee members probably will reserve their questions for the closed dissertation defense. At the conclusion of the public lecture, the sponsor thanks the audience for their attendance/participation and then dismisses them. The committee, the independent chair chosen by the University Dean of Graduate Studies, and the candidate remain in the room after the audience leaves, with the independent chair then conducting the closed dissertation defense. No guests—regardless of their relationship to the candidate—can attend the closed defense.

Composition of the Audience

Relatives may attend the public lecture; unfortunately, children may not. Other invited guests should be connected with Warner or connected in some way with the candidate's dissertation research. Warner faculty and students may attend without being specifically invited.

BEFORE REGISTRATION OF THE DISSERTATION

Before the dissertation can be registered, please be sure that you –

- have maintained continuous enrollment from the semester of matriculation through the semester of your final defense. **The category for which you are registered during the semester of your final defense must also have a grade, i.e., A, B, or S. It is your responsibility to request an early grade submission from your dissertation sponsor. Please remember that this grade must be submitted to Registrar Crys Cassano before you register your dissertation with Brenda Grosswirth.**
- have no Warner School or University debts or fees outstanding (contact the University Office of the Bursar at 585.275.3931).
- have received appropriate approvals if you intend to use either SKYPE or a teleconference as part of your final dissertation defense. **See page 2 for instructions on, and a timeline for, requesting SKYPE or a teleconference.**

PROCESS FOR REGISTRATION OF DISSERTATION

To register the dissertation, please submit all completed forms and required materials to Brenda Grosswirth in the Office of Student Services (585.275.1009; bgrosswirth@warner.rochester.edu).

- Please submit the completed "Ph.D. Dissertation Registration and Committee Sign-Off" (FORM A, which is page 11 of this document).
- Please make sure that the sign-off form (FORM A, which is page 11 of this document) includes signatures of committee members (or ask your committee members to send their approvals via e-mail to Brenda Grosswirth at bgrosswirth@warner.rochester.edu); legibly printed telephone numbers and e-mail addresses of the committee and student; the defense day, date, and time; and information regarding a public lecture preceding the closed final defense (if you and your dissertation sponsor decide upon a public lecture). **It is your responsibility to schedule the defense date and time, which must be agreeable to all members of the committee and must adhere to deadlines stated in the attached "Calendar for Registration and Defense of the Ph.D. Dissertation" (pages 5-6).**
- Submit completed "University of Rochester Ph.D. Sponsor Form" (FORM B, which is page 12 of this document). This form must be signed by your dissertation sponsor; an e-mail will not substitute.
- Submit a clean copy of the dissertation with title page (SAMPLE 1, which is page 13 of this document). The copy of the dissertation must be bound with coil or plastic binding, which is available at all *Fedex Office Print and Ship Centers*. (Please note that once the dissertation is registered, no portion of it may be changed in any way. However, changes may be made after the defense.)
- Submit one copy of the dissertation title page (SAMPLE 1, which is page 13 of this document).
- Submit two copies of the abstract with cover page (SAMPLE 2, which is page 14 of this document). Each abstract with its cover page must be stapled.
- Provide each member of the committee (not the independent chair) with a copy of the dissertation. **All copies must be identical.**
- Begin your ProQuest form if you have not already done so: <http://www.etdadmin.com/rochester>. You will not be able to complete the form until after your defense because you cannot attach a pdf of your final dissertation to the ProQuest site or enter your final abstract into the ProQuest site until all necessary revisions and corrections have been made. Please see **PROCEDURES FOR PROQUEST/UMI** on page 4 for detailed information.

FORM A

PH.D. DISSERTATION REGISTRATION AND COMMITTEE SIGN-OFF

{Student and Committee Members: Please complete this page in its entirety.}

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

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

Contact Information

(printed legibly)

Sponsor

(Signature) (Date) (cell phone and office phone and home phone)

(E-Mail Address)

Committee Members

(Signature) (Date) (cell phone and office phone and home phone)

(E-Mail Address)

(Signature) (Date) (cell phone and office phone and home phone)

(E-Mail Address)

Student Contact Information:

(cell phone and office phone and home phone)

(E-Mail Address)

**Recommended Defense Day, Date, and Time:
(See Calendar on pages 5-6 for registration deadlines.)**

Day _____ **Date** _____ **Time** _____

Public Lecture Preceding Closed Final Defense: Yes ___ **No** ___

If yes, start time for public lecture: _____
(45-minute maximum for public lecture)

If yes, start time for closed final defense: _____

FORM B

UNIVERSITY OF ROCHESTER

PH.D. SPONSOR FORM

_____, Department of Education (Warner School)
(Name of Student)

has my permission to register a Ph.D. thesis entitled:

_____.

I have read and approved the thesis as submitted. It is in complete form, and copies of this thesis as registered will be given to the examining committee.

(Printed name of Dissertation Sponsor)

(Signature of Dissertation Sponsor)

(Date)

Sample 1

An Evaluation of an Elementary Teacher Education Program

by

Jennifer Smith

Submitted in Partial Fulfillment

of the

Requirements for the Degree

Doctor of Philosophy

Supervised by

Professor Stephen Mellors

Margaret Warner Graduate School of Education & Human Development

University of Rochester
Rochester, New York

2012

Sample 2

ABSTRACT

An Evaluation of an Elementary Teacher Education Program

by

Jennifer Smith

Submitted in Partial Fulfillment

of the

Requirements for the Degree

Doctor of Philosophy

Supervised by

Professor Stephanie Mellors

Margaret Warner Graduate School of Education & Human Development

University of Rochester
Rochester, New York

2012

FOLLOWING REGISTRATION OF THE DISSERTATION

After you register your dissertation, the Office of the University Dean of Graduate Studies and the Warner School coordinate their efforts as described below:

- Following approval by the Warner School's Associate Dean, the Warner School forwards the copy of the dissertation to the Office of the University Dean of Graduate Studies. Also forwarded to the University Dean are a copy of your program of study, your transcript, and materials described on page 10 of this document.
- The Office of the University Dean of Graduate Studies *carefully* checks the dissertation for correct arrangement, format, etc., based on **The Preparation of Doctoral Theses** at **www.rochester.edu/theses/**.
- The University Dean of Graduate Studies appoints an independent chair for the defense.
- The copy of the dissertation that was sent to the Office of the University Dean is forwarded to the independent chair.
- The Office of the University Dean of Graduate Studies (**not the Warner School**) issues a memorandum to both you and members of your dissertation committee that confirms the defense day, date, and time(s) that you have chosen (and to which the University Dean of Graduate Studies Office **will** adhere); announces the location of the defense; and names the independent chair.

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 and abstract. (See page 4 for details on the ProQuest website.)
- Attach a pdf of your final dissertation to your ProQuest form.
- Enter your final dissertation abstract into the ProQuest site. Your dissertation abstract must not exceed 350 words.
 - Proquest is committed to providing support to students—
Technical Support: 1.877.408.5027
Author Relations: 1.800.521.0600 (x7020)
- Send an “e-mail verification” to ekuchman@admin.rochester.edu confirming that you have (1) completed your ProQuest form, (2) attached the final version of your dissertation to your ProQuest form, and (3) have entered the final version of your dissertation abstract into the ProQuest site. YOU WILL RECEIVE DETAILED INSTRUCTIONS REGARDING THIS E-MAIL AT YOUR FINAL DEFENSE. (SEE PAGE 4, FINAL PARAGRAPH.)