

REGISTRATION AND FINAL DEFENSE OF THE PH.D. DISSERTATION

Revised July 2008

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. We encourage you to 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.

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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GENERAL COMMENTS

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 3-5.)**

**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 3-5.**

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

It is important that you obtain a copy of 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.**

CALENDAR FOR REGISTRATION AND DEFENSE OF THE PH.D. DISSERTATION, 2008-2009

Summer 2008

For October 2008 Degree (Degree Conferral Date of 10/17/08):

- The last day to submit two corrected copies of the dissertation to the Office of the University Dean of Graduate Studies is Wednesday, August 27, 2008. *If this deadline is not met, students must register for ED 995, Continuation of Enrollment, for Fall 2008.*

Fall 2008

For March 2009 Degree (Degree Conferral Date of 3/13/09):

- The first day on which a defense may be held is Monday, September 15, 2008—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 7, 2008, 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 7, the first day on which a defense may be held is Monday, January 26, 2009—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 Friday December 19, 2008—having registered the dissertation by the deadline of Friday, November 7, 2008.
- Due to winter recess and holidays, Ph.D. defenses may not be held between Monday, December 22, 2008 and Friday, January 2, 2009. **Ph.D. defenses may be held between Monday, January 5, 2009 and Friday, January 9, 2009—but only if the dissertation was registered by the deadline of Friday, November 7, 2008.**
- The final day on which to submit two corrected copies of the dissertation, a digital/electronic copy of the dissertation, and the completed authorization form to the Office of the University Dean of Graduate Studies is Tuesday, January 13, 2009. *If this deadline is not met, students must register for ED 995, Continuation of Enrollment, for Spring 2009.*

Spring 2009

For May 2009 Degree (Degree Conferral Date of 5/16/09):

- The first day on which a defense may be held is Monday, January 26, 2009—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 9, 2009, 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 9, the first day on which a defense may be held is Wednesday, May 27—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 22, 2009—having registered the dissertation with the Warner School by the deadline of Monday, March 9.
- The final day on which to submit two corrected copies of the dissertation, a digital/electronic copy of the dissertation, and the completed authorization form to the Office of the University Dean of Graduate Studies is Monday, April 27, 2009.
- University Doctoral Commencement and Warner School Diploma Ceremony: Saturday, May 16, 2009.

Summer 2009—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 2009 Degree (Conferral date to be announced)

- The first day on which a defense may be held is Wednesday, May 27, 2009—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 22, 2009, 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 22 the first day on which a defense may be held is Monday, September 14, 2009—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 Wednesday, August 19, 2009—having registered the dissertation with the Warner School by the deadline of Monday, June 22.

- The final day on which to submit two corrected copies of the dissertation, a digital/electronic copy of the dissertation, and the completed authorization form to the Office of the University Dean of Graduate Studies is Wednesday, August 26, 2009. *If this deadline is not met, students must register for ED 995, Continuation of Enrollment, for Fall 2009.*

Fall 2009

For March 2010 Degree (Conferral date to be announced)

- The first day on which a defense may be held is Monday, September 14, 2009—having registered the dissertation with the Warner School at least 5 weeks prior to the defense date.

BEFORE REGISTRATION OF THE DISSERTATION

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

- are registered currently at the Warner School
- have no Warner School or University debts or fees 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 595, Ph.D. Research: Dissertation (contact the University Office of the Registrar at 585-275-5131 to obtain an official transcript)
- have maintained continuous enrollment from the semester of matriculation until delivery of the final copies to the University Dean of Graduate Studies (contact the University Office of the Registrar at 585-275-5131 to obtain an official transcript)

PROCESS FOR REGISTRATION OF DISSERTATION

- Please submit to Brenda Grosswirth (Administrator in the Office of Student Services) the completed "Ph.D. Dissertation Registration and Committee Sign-Off" form (FORM A, which is page 8 of this document).
- Please make sure that the sign-off form (FORM A, which is page 8 of this document) includes signatures of committee; typewritten, word-processed, or legibly printed home addresses and e-mail addresses of the committee and student; and the defense day, date, and time. **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 3-5).**
- Submit completed "University of Rochester Ph.D. Sponsor Form" (FORM B, which is page 9 of this document).
- Submit a clean copy of the dissertation with title page (SAMPLE 1, which is page 10 of this document). The copy of the dissertation must be bound with a black thesis binder from the University of Rochester Bookstore, or with coil binding. (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 three copies of the abstract with cover page (SAMPLE 2, which is page 11 of this document). Each abstract with its cover page must be stapled.
- Complete and submit the ProQuest/UMI dissertation publishing "form." This "form" consists of pages 3 and 4 and optional pages 5 and 6 from the ProQuest/UMI Dissertation Publishing Document. **This document, with an attached important letter from Vice-Provost and University Dean of Graduate Studies Bruce Jacobs, must be obtained from the Office of Student Services in Dewey 2-161 (585-275-1009 or bgrosswirth@warner.rochester.edu).**
- Submit the **\$65 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 for \$65 (not a personal check)**, payable to ProQuest, **only if a decision is made to copyright** (see instructions on page 5 of the ProQuest/UMI Dissertation Publishing Document).
- Provide each member of the committee (not the independent chair) with a copy of the dissertation. **All copies must be identical.**

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.

Home Address/E-mail

(typed, word-processed, or printed legibly)

Sponsor

_____ (Signature)	_____ (Date)	_____ (Street, City, State, Zip Code)
		_____ (E-Mail Address)

Committee Members

_____ (Signature)	_____ (Date)	_____ (Street, City, State, Zip Code)
		_____ (E-Mail Address)

_____ (Signature)	_____ (Date)	_____ (Street, City, State, Zip Code)
		_____ (E-Mail Address)

_____ (Signature)	_____ (Date)	_____ (Street, City, State, Zip Code)
		_____ (E-Mail Address)

**Student Address/
E-mail:**

_____ (Street, City, State, Zip Code)
_____ (E-Mail Address)

Recommended Defense Day, Date, and Time:
(See Calendar on pages 3-5 for registration deadlines.)

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

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.

(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

2009

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

2009

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 (i.e., advising record), and all materials described on page 7 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 Office of the University Dean selects 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 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.
- Submit the following to Patricia McLane, Administrator in the Office of the University Dean.** (Ms. McLane's office is located in Rooms 257-258 in Wallis Hall. The Office is open Monday through Friday, 8:30 a.m. through 4 p.m. The telephone number is 585/275-9093. The e-mail address is pmclane@admin.rochester.edu.)
 - 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 14 & 15 of this document).** Instructions for completing the Authorization Form are on page 16 and instructions for the submission of a digital copy of your dissertation are on page 17 of this document.
- Deliver final copies of the dissertation, the digital/electronic copy of the dissertation, and the completed Authorization Form to Patricia McLane in Rooms 257-258 of Wallis Hall according to the deadlines below:

Summer 2008—Wednesday, August 27, 2008	(October 2008 degree)
Fall 2008—Tuesday, January 13, 2009	(March 2009 degree)
Spring 2009—Monday, April 27, 2009	(May 2009 degree)
Summer 2009—Wednesday, August 26, 2009	(October 2009 degree)
- 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

**University of Rochester, UR Research
Electronic Thesis & Dissertation (ETD) Authorization Form for PhD Students
(Instructions for completing this two-page form are on page 16.)**

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: _____

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:

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/urpolic.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.

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 585-275-9317

James Farrington, Sibley Music Library, ESM
James.farrington@rochester.edu 585-274-1304

Michele Shipley, Edward G. Miner Library, URM
Michele_shipley@urmc.rochester.edu 585-275-6878