Dear PhD Student:

Congratulations upon reaching the final stage of the requirements for the PhD degree. The administration of the Warner School is committed to supporting your efforts to form your dissertation committee. **Please understand that your comprehensive exam committee does not automatically become your dissertation committee.**

Below is a summary of the key procedures required for the formation of your committee. Brenda Grosswirth, Administrator in the Office of Student Services (LeChase Hall 248), 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 PhD degree in all graduate schools of the University.

The key procedures have been organized in sequence to make it easier for you to complete the required steps. Each of the major sets of instructions is printed separately for your convenience. They are as follows:

- Completion of the Comprehensive Exam/Qualifying Exam (page 2)
- Composition of the Committee (page 3)
- Continuance of a Relocated Committee Member; Replacement/Addition of Committee Member; Emeritus Faculty (page 4)
- Approval of Dissertation Committee and Checklist (page 5)
- Style & Format of the Dissertation Proposal and Dissertation (page 6)
- Human Subjects Review (page 7)
- FORM A (at end of document)
- FORM B (at end of document)
- FORM C (at end of document)
COMPLETION OF THE COMPREHENSIVE EXAM/QUALIFYING EXAM

The PhD dissertation committee cannot be formed until the Comprehensive Exam/Qualifying Exam has been completed, and Brenda Grosswirth in the Office of Student Services has been notified of that completion and the date(s) of that completion.

If you have not already done so, please either (1) submit the Faculty Sign-Off page that is part of the comp exam/qualifying exam form, or (2) ask each member of your comp/qualifying exam committee to confirm the exam completion by sending an email to Brenda Grosswirth at bgrosswirth@warner.rochester.edu.

Please understand that your comprehensive exam committee does not automatically become your dissertation committee.

A minimum of six months must elapse between the completion of the comp exam/qualifying exam and the final defense of the dissertation.
COMPOSITION OF THE COMMITTEE

The PhD dissertation committee must be approved in the early stages of the proposal-writing process, so that you have the benefit of a full committee in the development of your dissertation proposal.

The PhD dissertation committee is governed by University regulations. The PhD committee must be approved, first, by the Warner School’s Associate Dean, and second, by the University Dean of Graduate Studies, who has final authority.

- **Sponsor of the dissertation:** The sponsor of the dissertation must be a Warner School faculty member who is tenured or tenure-track, and has a rank of at least assistant professor. The sponsor may be from your program area in the Warner School, but is not required to be.

  Your academic advisor does not automatically become the sponsor of your dissertation. However, if your dissertation sponsor is not your academic advisor, the dissertation sponsor will be designated as your academic advisor for the remainder of your academic career at the Warner School.

- **Second member of the committee:** The second member of the dissertation committee must be a Warner School faculty member who is tenured or tenure-track, and has a rank of at least assistant professor. If the sponsor is not from your program area, this second member is required to be from your program area. However, if the sponsor is from your program area, this second member is not required to be from your program area.

- **Third member of the committee:** The third member of the dissertation committee must be a faculty member who is tenured or tenure-track, and has a rank of at least assistant professor. The third member must have a primary appointment outside the Warner School. He/she must provide an “outsider’s perspective,” which, in this case, is defined not as coming from a discipline different from that of the student or the first two committee members, but as coming from another PhD program in the University.

  University regulations allow this third committee member to be someone outside the University of Rochester. However, if this is the case, the proposed committee member must have an earned PhD (an EdD will be accepted in some situations, but this is rare), teach full time at a PhD granting institution, have a rank of at least assistant professor, and be actively engaged in research. Approval of a committee member outside the University is dependent upon his/her background and the relevance of his/her expertise to your research. (A medical school faculty member does not normally qualify for a PhD committee unless he/she is on a research track.)

  1. A current curriculum vitae is required for a proposed committee member who is not on the University of Rochester faculty.
  2. The student must also submit a written explanation that details the reasons this proposed committee member is particularly suited to be on the student’s committee. Please send both the CV and the written explanation directly to Brenda Grosswirth at bgrosswirth@warner.rochester.edu.

If you wish the third member of your dissertation committee to be from outside the University of Rochester, please be aware that the University Dean of Graduate Studies may ask for a fourth committee member.

August 2015
CONTINUANCE OF A RELOCATED COMMITTEE MEMBER; REPLACEMENT/ADDITION OF COMMITTEE MEMBER; EMERITUS FACULTY

According to PhD regulation, the PhD dissertation committee must include a minimum of two tenured or tenure-track faculty members from the Warner School. If one of the two Warner School committee members leaves the University, he/she may serve in the capacity of a “Warner School committee member” for one calendar year only after leaving the University. After one year has elapsed, the relocated committee member may remain on the committee, however he/she will no longer serve in the capacity of a “Warner School committee member.” Consequently, another tenured or tenure-track faculty member from the Warner School must be added to the committee, with the relocated committee member becoming the fourth member of the committee.

If the relocated committee member is the sponsor of the dissertation, PhD regulation remains the same, i.e., the sponsor can remain as the sponsor of the dissertation (after leaving the University) through the time of the final dissertation defense. However, after one calendar year, a second Warner tenured or tenure-track faculty member must be added to the dissertation committee, with the relocated committee member becoming the fourth member of the committee and also continuing to serve as sponsor of the dissertation.

If one of your committee members is replaced and/or if an additional member joins your committee, the new committee member must be approved. Please contact Brenda Grosswirth at 585.275.1009 regarding the approval procedures.

Emeritus status is not a rank that permits service on a committee. Emeritus faculty members are grandfathered in as inside members of their home department for one year after retirement. After one year, a petition is required for them to serve in any committee role. The petition must show that they remain active in their field and active with doctoral students.
APPROVAL OF DISSERTATION COMMITTEE AND CHECKLIST

To receive approval of your dissertation committee, you must complete FORM A, (attached at end of this document) and FORM B (attached at end of this document), in conjunction with materials indicated in the checklist below. Please submit all completed forms and required materials to Brenda Grosswirth in the Office of Student Services, LeChase Hall 248 (585.275.1009, bgrosswirth@warner.rochester.edu).

➤ Print legibly your full name in the space marked “student’s name” at the top of FORM A.

➤ Use FORM A to obtain signatures of your proposed committee members—or ask your proposed committee members to send their approvals via e-mail to Brenda Grosswirth at bgrosswirth@warner.rochester.edu.

➤ Use FORM A to indicate the names, academic rank, and area of specialization in relation to your dissertation topic for each of your proposed committee members. This information must be printed legibly.

➤ Print legibly the topic or title of your dissertation proposal in the appropriate space on FORM A.

➤ On FORM A, leave empty the spaces for approvals by the Warner School’s Associate Dean and the University Dean of Graduate Studies. Brenda Grosswirth, Administrator in the Office of Student Services, will submit the form to the Associate Dean and the University Dean for their consideration.

➤ Submit to Brenda Grosswirth an updated curriculum vitae for any proposed committee member who is not on the University of Rochester faculty, and submit to Brenda Grosswirth a written explanation that details the reasons this proposed committee member is particularly suited to be on your committee.

➤ Use FORM B for information regarding your proposed committee members.

➤ Submit FORM A, FORM B, and an updated curriculum vitae along with a written explanation of suitability (for any proposed committee member not on the University of Rochester faculty) to Brenda Grosswirth, LeChase Hall 248.

➤ Obtain a copy of Oral Exam of the PhD Dissertation Proposal from Brenda Grosswirth in the Office of Student Services, or from the Warner website. This document will guide you in the next step of the dissertation process.

After the committee has been approved by the Warner School’s Associate Dean and the University Dean of Graduate Studies, you and your committee members will be notified by letter.

If you have questions about the completion of FORMS A and B, or about the requirements for a proposed committee member not on the University of Rochester faculty, please contact Brenda Grosswirth at 585.275.1009 or at bgrosswirth@warner.rochester.edu.
STYLE AND FORMAT OF THE DISSERTATION PROPOSAL
AND DISSERTATION

As a PhD student, you must adhere to the University’s document on regulations regarding the preparation of the dissertation, *Preparing Your Thesis: A Manual for Graduate Students*. This document was prepared by the Office of the University Dean of Graduate Studies. It is available at [http://www.rochester.edu/Theses/](http://www.rochester.edu/Theses/).

Warner students are responsible ONLY for adherence to the following portions of the manual:

- Formatting your Thesis, middle of page 2 – top of page 4
- The Order of Thesis Contents, middle of page 4 – top of page 7
- Formatting The Title Page, page 9
- EXAMPLE OF Biographical Sketch, page 10
- EXAMPLE OF Contributors and Funding Sources, page 11
- EXAMPLE OF Table of Contents, page 12

The remaining portions of the manual do not pertain to Warner students. If you have questions regarding this, please contact Brenda Grosswirth at 585.275.1009 or at [bgrosswirth@warner.rochester.edu](mailto:bgrosswirth@warner.rochester.edu).

**IMPORTANT**
The style manual that must be used by Warner School students is that of the American Psychological Association (APA). However, please understand that the APA style manual does not supersede *Preparing Your Thesis: A Manual for Graduate Students*.
HUMAN SUBJECTS REVIEW

You, as Investigator, are ultimately responsible for the safe and ethical conduct of your research. The University’s Research Subjects Review Board (RSRB) is intended to assist you, as Investigator, in this responsibility. Investigators who are planning a study involving human subjects must prepare an application package that includes a protocol/study design, Information Letters and/or Consent Forms, Study Measures, and Institutional Approval Letters, and then submit that application electronically via the RSRB website. All documents must be uploaded and submitted electronically through the RSRB ROSS online system. The University’s RSRB must assess proposals involving human subjects, to ensure that adequate mechanisms are in place for the protection of the rights and welfare of human research subjects.

The process for obtaining approval for research involving human subjects and the procedure for submitting an on-line application can be found at the link below:

https://www.warner.rochester.edu/files/studentservices/forms/humanssubj.pdf

The Warner School has an internal review process that provides guidance in preparing these materials prior to RSRB review. Training for this submittal process is required by the Warner School and held on the last Friday of most months of the year. You and your dissertation sponsor must complete an Evaluation For Scientific Merit For Dissertations And Other Student-Led Studies Involving Human Subjects (FORM C, at end of this document), and then submit that form to Constance Flahive, Warner School of Education (LeChase Hall 354). Procedural questions can be directed to Connie at 585.276.4781 or at cflahive@warner.rochester.edu.

Students often must make revisions to the dissertation proposal after passing the dissertation proposal examination, and therefore you are encouraged to discuss with your dissertation sponsor the exact time to undertake the RSRB process.
FORM A

SUBMISSION OF PROPOSED PhD DISSERTATION COMMITTEE MEMBERS FOR APPROVAL BY DEANS

I agree to serve on the dissertation committee for ________________________, a student in the Margaret Warner Graduate School of Education and Human Development currently working to fulfill requirements for the PhD degree. In lieu of signatures below, proposed committee members may send their agreements to serve via e-mail to Brenda Grosswirth at bgrosswirth@warner.rochester.edu.

Signatures of Proposed Committee Members:

(1) ______________________ (3) ______________________
   (signature of dissertation sponsor, or see above)    (signature of “outside” member, or see above)

(2) ______________________ (4) ______________________
   (signature of second committee member from the Warner School, or see above) (if applicable)

Names of Proposed Committee Members (printed)  Academic Rank  Area of specialization relating to your topic

_________________________________________  _____________  ________________________________

_________________________________________  _____________  ________________________________

_________________________________________  _____________  ________________________________

_________________________________________  _____________  ________________________________

_________________________________________  _____________  ________________________________

Date of student’s entry into PhD program: ______________________

Date of student’s entry into EdD program if student matriculated into the Ed.D. program and then transferred into the PhD program: ______________________

Dissertation Proposal Topic/Title: ______________________

******************************************************************************

Brenda Grosswirth in Warner’s Office of Student Services will obtain the signatures required below.

Approved:  Associate Dean, Warner School  Date

Approved:  University Dean of Graduate Studies  Date

August 2015
## FORM B

**PhD DISSERTATION COMMITTEE AND STUDENT INFORMATION**

### Committee Members

<table>
<thead>
<tr>
<th>Name of sponsor</th>
<th>Department and PO Box if UR faculty</th>
<th>Office phone</th>
<th>Check UR directory; many UR faculty do not know their correct e-mail addresses</th>
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### Committee Members (outside Warner)

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<thead>
<tr>
<th>Name of committee member</th>
<th>Office address if non-UR faculty</th>
<th>Office phone for non-UR faculty</th>
<th>For non-UR faculty</th>
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### Committee Members (fourth, if applicable)

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<tr>
<th>Name of fourth committee member, if applicable</th>
<th>Office address</th>
<th>Office phone</th>
<th>E-mail address</th>
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### Student

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<th>Name</th>
<th>Street</th>
<th>Area &amp; Number</th>
<th>E-mail Address</th>
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### Home Address

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<th>City, State, Zip Code</th>
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### Home Telephone

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### Cell Phone

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*August 2015*
FORM C

EVALUATION FOR SCIENTIFIC MERIT
FOR DISSERTATIONS AND OTHER STUDENT-LED STUDIES INVOLVING HUMAN SUBJECTS

This form should be submitted to Constance Flahive at the Warner School of Education, LeChase 354. In accordance with Federal guidelines, the University has established a system of ethical review boards (RSRB) to review research projects involving human subjects, including dissertation studies. Prior to submitting a dissertation, pilot study or other research project protocol to RSRB for approval, the student’s sponsor must first attest to the “scientific merit” of the proposed study and review the protocol to be sure it clearly reflects the research design as indicated below.

To be completed by Doctoral Candidate/Student:

Candidate Name:
Sponsor’s Name:
Proposal Title: __________________________________________________________
EPRP Minimal Risk #: __________ Expiration Date: __________________________

To be completed by Dissertation Sponsor/Faculty Supervisor:

Please use the following criteria as evidence of scientific merit:

- This research uses procedures consistent with sound research design.
- The investigator is qualified and has the time and resources to conduct the research.
- The research method is sufficiently sound to reasonably expect that the research question will be answered.
- The knowledge expected to result from this study is sufficiently important/needed.
- The data monitoring plan is appropriate to safeguard the rights and welfare of subjects.
- The use of healthy volunteers or vulnerable subjects, if any, is appropriate.
- Any Conflict of Interest issues have been addressed according to University Policy.

I attest that I have reviewed the protocol for scientific merit as described above and believe that this protocol meets the criteria.

Sponsor’s Signature: ________________________________ Date: ______________

This form should be submitted to Constance Flahive at the Warner School of Education, LeChase Hall 354.

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