Dear PhD 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 PhD dissertation at the Warner School. 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; her office location is LeChase Hall 248.

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:

- Elapse of time Between Comprehensive Exam/Qualifying Exam and the Final Defense, and Blackout Scheduling Times (page 2)
- Composition of the Committee, and Timeline for Request of SKYPE (page 3)
- Procedures for ProQuest/UMI (page 4)
- Calendar for Registration and Defense of the PhD Dissertation, 2015-2016 (pages 5-7)
- The Option of a Public Lecture Preceding the Closed Final Defense (page 8)
- Style and Format of the Dissertation (page 9)
- Before Registration of the Dissertation (page 10)
- Process for Registration of Dissertation (page 11)
- PhD Dissertation Registration (page 12)
- PhD Diploma Form (page 13)
- Following Registration of the Dissertation (page 14)
- Following Successful Defense of the Dissertation (page 15)
ELAPSE OF TIME BETWEEN THE COMPREHENSIVE EXAM/QUALIFYING EXAM 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 Comprehensive Exam, which is now the PhD Qualifying Exam, and the scheduling of the final defense of your dissertation.

BLACKOUT SCHEDULING TIMES

According to University regulation, your defense may not be scheduled during winter recess. (For exact dates, see “Calendar for Registration and Defense of the PhD Dissertation”—pages 5-7 of this document.)

COMPOSITION OF THE COMMITTEE, AND TIMELINE FOR REQUEST OF SKYPE

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 leave the University of Rochester. If that member continues 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. **The sponsor of your dissertation must be physically present for the defense.**

If your long-distance committee member is unable to attend the defense, SKYPE may be used. To use SKYPE, you must write a formal letter requesting the incorporation of SKYPE and stating the reasons for your request. This formal letter must include your e-mail address, as well as the names (with dissertation sponsor indicated) and e-mail addresses of all committee members. **The letter must be submitted (via e-mail) to Brenda Grosswirth no later than two weeks prior to registration of the dissertation, but must be addressed to Margaret Kearney, University Dean of Graduate Studies.** You will be contacted as soon as possible with a response.
PROCEDURES FOR PROQUEST/UMI

- The University has a contractual arrangement with ProQuest®/UMI Dissertation Publishing for the on-demand publication of PhD dissertations and the electronic and print publication of PhD abstracts in Dissertation Abstracts International.

- All PhD students are required to complete the ProQuest Dissertation Publishing Agreement on the University of Rochester ProQuest®/UMI website: http://www.etalbeadmin.com/rochester. You may set up your online account before your defense so that you can familiarize yourself with the site and be ready to complete the process after the defense. Much of the required descriptive information can be completed before the defense, but do not upload the abstract or dissertation until after the defense when all corrections have been made and the document is finalized. The uploaded version must reflect all requested corrections from the committee and the graduate studies offices, and, if stipulated at the defense, must have been approved by the advisor or committee.

- You will receive an e-mail of instructions regarding completion of degree requirements from the University Graduate Studies office the day following your defense.

- 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 Publishing Agreement Form or with the pdf of the final dissertation.
Summer 2015

For October 2015 Degree (Conferral Date of 10/9/2015)

- The first day on which a defense may be held in Summer 2015 is Monday, May 18, 2015—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, September 9, 2015—having registered the dissertation with the Warner School at least 4 weeks prior to the defense date. **However, beginning with August 24, defenses cannot be scheduled on Tuesdays, from 1:30 - 3pm.**

- The **first deadline** for submission of the final corrected abstract and pdf of your dissertation to the ProQuest website to fulfill degree requirements for an October 2015 PhD is Friday, August 28, 2015. **If you do not meet this first deadline, you must register and pay for Fall 2015. Please be aware that no portion of your tuition can be reimbursed.**

- The **second deadline** for submission of the final corrected abstract and pdf of your dissertation to the ProQuest website to fulfill requirements for an October 2015 PhD is Wednesday, September 16, 2015. **Please be aware that you must register and pay for Fall 2015, and that no portion of your tuition can be reimbursed.**

Fall 2015 and Continuing through Feb. 19, 2016

For March 2016 Degree (Conferral Date of 3/11/2016)

- The first day on which a defense may be held is Monday, August 31, 2015—having registered the dissertation with the Warner School at least 4 weeks prior to the defense date. **However, defenses cannot be scheduled on Tuesdays, from 1:30 - 3pm.**

- The final day on which a defense may be held is Friday, February 19, 2016—having registered the dissertation with the Warner School at least 4 weeks prior to the defense date. **However, defenses cannot be scheduled on Tuesdays, from 1:30 – 3pm.**
Due to winter recess and holidays, PhD defenses may not be held between Monday, December 21, 2015 and Friday, January 1, 2016. **PhD defenses may be held between Monday, January 4, 2016 and Friday, January 8, 2016—but only if the dissertation was registered 4 weeks prior to the defense date. Please remember that defenses cannot be scheduled on Tuesdays, from 1:30 – 3pm.**

The **first deadline** for submission of the final corrected abstract and pdf of your dissertation to the ProQuest website to fulfill requirements for a March 2016 PhD is Tuesday, January 12, 2016. **If you do not meet this first deadline, you must register and pay for Spring 2016. Please be aware that no portion of your tuition can be reimbursed.**

The **second deadline** for submission of the final corrected abstract and pdf of your dissertation to the ProQuest website to fulfill degree requirements for a March 2016 PhD is Wednesday, March 2, however you must register for Spring 2016 and no portion of your tuition can be reimbursed.

**Spring 2016**

**For May 2016 Degree (Degree Conferral Date of 5/14/2016)**

- The first day on which a defense may be held is Monday, January 4, 2016—having registered the dissertation with the Warner School at least 4 weeks prior to the defense date. **However, defenses cannot be scheduled on Tuesdays, from 1:30 – 3pm.**

- The **final day on which a defense may be held for a May 2016 degree is Friday, April 8, 2016—having registered the dissertation with the Warner School no later than Friday, March 4.** All defenses held after April 8, and through Summer 2016, will be for degrees granted in October 2016. **Please remember that defenses cannot be scheduled on Tuesdays, from 1:30 – 3pm.**

- The last day on which to submit the final corrected abstract and pdf of your dissertation to the ProQuest website to fulfill degree requirements for a May 2016 PhD is Friday, April 15, 2016.

**For October 2016 Degree (Conferral day to be announced)**

- The first day on which a defense may be held for an October 2016 degree is Monday, April 18.
• **NOTE:** Due to timelines established by the University Dean of Graduate Studies Office, defenses held between Monday, April 18 and Friday, April 22 must have dissertations registered with the Warner School no later than Friday, March 11.

• University Doctoral Commencement and Warner School Diploma Ceremony: Saturday, May 14, 2016 — with a PhD Conferral date of Saturday, May 14.

**Summer 2016**

**For October 2016 Degree (Conferral date to be announced)**

• The first day on which a defense may be held in Summer 2016 is Monday, May 16, 2016—having registered the dissertation with the Warner School at least 4 weeks prior to the defense date.

• The last day on which to submit the final corrected abstract and pdf of your dissertation to the ProQuest website to fulfill degree requirements for an October 2016 PhD is Friday, August 26, 2016. **If this deadline is not met, you must register for Fall 2016.**
THE OPTION OF A PUBLIC LECTURE PRECEDING THE CLOSED FINAL DEFENSE

The Warner School offers an option for PhD 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/introduction 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 of the two-and-one-half hour period allowed for the defense. 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 Warner Associate Dean Brian Brent, 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.
STYLE AND FORMAT OF THE 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.**
BEFORE REGISTRATION OF THE DISSERTATION

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

☐ have contacted Brenda Grosswirth one week prior to registration of your dissertation to confirm she will be in her office on the day you plan to register. E-mail: bgrosswirth@warner.rochester.edu; telephone: 585.275.1009.

☐ have received appropriate approvals if you intend to use SKYPE as part of your final dissertation defense. See page 3 for instructions on, and a timeline for, requesting SKYPE.

☐ have made certain that each of your committee members has sent Brenda Grosswirth an e-mail stating that, in his/her opinion, your dissertation is ready for defense.

☐ have explained to each of your committee members that he/she will receive, via e-mail, a TIME SENSITIVE REQUEST from the University Graduate Studies Office. This e-mail allows each to confirm that your dissertation can proceed to final defense.

☐ 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. 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.

☐ have no Warner School or University debts or fees outstanding (contact the University Office of the Bursar at 585.275.3931).
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; LeChase Hall 248).

☐ Please complete and submit “PhD Dissertation Registration,” which is page 12 of this document.

☐ Please note that page 12 requires the defense day, date, and a two-and-one-half hour block of time; information regarding SKYPE; 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 PhD Dissertation” (pages 5-7).**

☐ Complete and submit the **PhD DIPLOMA FORM**, which is page 13 of this document.

☐ Submit one copy of the dissertation with title page (for format of title page, see page 9 of *Preparing Your Thesis* at [http://www.rochester.edu/Theses/](http://www.rochester.edu/Theses/)). The copy of the dissertation with title page must be bound with coil or plastic binding, which is available at all FedEx Office Print and Ship Centers. The copy may be double-sided. (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 single copy of the dissertation title page.

☐ When you submit the bound copy of your dissertation (described above), you must also provide identical copies to each member of your committee. **Committee members may have read earlier versions of your dissertation, but all members must use the same version at your defense.**

☐ Send a pdf of your dissertation to Brenda Grosswirth at bgrosswirth@warner.rochester.edu.

☐ Make certain that this pdf follows all formatting instructions detailed on page 9 of this document. The pdf copy will be reviewed by the University Dean’s Office and annotated for formatting corrections. A properly formatted dissertation will save you significant time after the defense in preparing the final copy for publication.
**PhD DISSERTATION REGISTRATION**

**Contact Information**
(printed legibly)

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**DEFENSE DAY, DATE, AND TIME:**
(See Calendar on pages 5-7 for registration deadlines.)

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Will SKYPE be used?  Yes ____  No ____

Public Lecture Preceding Closed Final Defense:  Yes ____  No ____

If yes, start time for public lecture: ________________________________
(45-minute maximum for public lecture)
PhD DIPLOMA FORM

PRINT your name clearly using upper and lower case lettering (do not use capitals), and include accent marks as desired.

______________________________________________________________________________________________
NAME as desired on your diploma

______________________________________________________________________________________________
Education
PhD Program

______________________________________________________________________________________________
Future e-mail address

______________________________________________________________________________________________
Address for the May Doctoral Commencement ceremony mailings. If unknown, provide a permanent mailing address.

______________________________________________________________________________________________

______________________________________________________________________________________________

Date ____________________________________________

Signature ______________________________________
FOLLOWING REGISTRATION OF THE DISSERTATION

- The Warner School’s Associate Dean, Brian Brent, appoints an independent chair for the defense. This independent chair is a faculty member from the Warner School. The bound copy of your dissertation submitted to Brenda Grosswirth is given to the independent chair.

- You and your committee members are notified of the appointment of the independent chair via e-mail.

- The Warner School prepares your Student Record for the University Dean of Graduate Studies.

- You will receive this Record (via e-mail) with an attached link so that you can review it.

- **Immediately after reviewing your Record, contact Brenda Grosswirth (bgrosswirth@warner.rochester.edu; 585.275.1009) and confirm the information included in your Student Record.**

- After you notify Brenda, a series of TIME SENSITIVE REQUEST approval e-mails are generated—first, to each of your committee members; next to your program area chairperson; then, to Warner’s Associate Dean; and finally to the University Dean of Graduate Studies.

- After all parties have responded to the e-mails, a confirmation of all dissertation defense details is sent to all defense participants.
FOLLOWING SUCCESSFUL DEFENSE OF THE DISSERTATION

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

☐ Make revisions required by the committee (if revisions are required) and prepare revised final dissertation and abstract.

☐ Follow ProQuest instructions contained in an e-mail from the University Dean of Graduate Studies, which you will receive the day following your defense.

☐ Follow instructions on page 4 of this document and in the e-mail cited above regarding ProQuest/UMI.

- 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 Publishing Agreement Form or with the pdf of the final dissertation.