

**Registration and Final Defense  
of the Phd Dissertation**  
Revised September 2023

Below is a summary of the key procedures required for registration and final defense of your PhD dissertation at the Warner School.

The final oral examination for the Doctor of Philosophy degree must be taken at this University. The candidate, the advisor, and the appointed chair must be physically present. Remote participation of others is permitted only if approved in advance by the advisor, the associate dean of graduate education, the appointed examination chair, and the University dean of graduate education.

The student presentation is the only portion of the defense that may be recorded. Neither the question and answer nor the deliberations portion may be recorded.

Please contact [studentservices@warner.rochester.edu](mailto:studentservices@warner.rochester.edu) with any questions.

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## **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 the PhD Qualifying Exam, and the scheduling of the final defense of your dissertation.

You should begin scheduling the actual defense three months in advance to ensure that your sponsor, all committee members and your appointed Reader/Independent Chair are able to be present at your defense.

### **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 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.

## 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.etsadmin.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 both the committee and the University Graduate Education Office, and, if stipulated at the defense, must have been approved by the advisor and/or committee members.
- You will receive an e-mail with instructions regarding completion of degree requirements from the University Graduate Education 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.

# Calendar for Registration and Defense of the Phd Dissertation, 2023-2024

## BLACKOUT SCHEDULING TIMES

Defenses may be held on any day the University Graduate Education Office is open for business (i.e., not weekends, evenings, or holidays, or the days between Christmas and New Years).

### Summer 2023

**For August 2023 Degree (Conferral date of 8/31/23)**

**AND**

**for October 2023 Degree (Conferral Date of 10/6/2023)**

- The first day on which a defense may be held in Summer 2023 is Monday, May 15—having registered the dissertation with the Warner School at least 4 weeks prior to the defense date.
- The last day for submission of the final corrected abstract and pdf of the dissertation to the ProQuest website to fulfill degree requirements for an August 2023 PhD is **Wednesday, August 23, at 4pm.**
- 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 2023 PhD is **Wednesday, August 30, at 4pm. If you do not meet this first deadline, you must register and pay for the fall semester.**
- 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 2021 PhD is **Wednesday, September 28, at 4pm, however you must register for Fall 2023 semester.**

### Fall 2022

**For December 2023 Degree (Conferral Date of 12/31/23)**

**AND**

**for March 2024 Degree (Conferral Date of 3/1/2024)**

- The final day for submission of corrected abstract and pdf of your dissertation to the ProQuest website to fulfill requirements for a **December 2023** PhD is Monday, December 11, at 4pm.

- Due to winter recess and holidays, no dissertation registrations will be completed and PhD defenses may not be held between Monday, December 18, 2023 and Friday, December 29, 2023.

PhD defenses may be held on Monday, January 2 — but only if the dissertation was registered by **Friday, December 15**. 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 2024 PhD is **Wednesday, January 17, at 4pm**. **If you do not meet this first deadline, you must register and pay for the spring semester.**
- 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 February 2023 PhD is **Tuesday, February 22, at 4pm, however you must register for the spring semester.**

### **Spring 2024**

#### **For May 2024 Degree (Degree Conferral Date of 5/17/2024)**

- The final day on which a defense may be held for a May 2024 degree is Tuesday, April 16—having registered the dissertation with the Warner School no later than Tuesday, March 12. All defenses held after April 16, and through Summer 2023, will be for degrees conferred in either August 2023 or October 2023.
- 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 2024 PhD is **Friday April 26, at 4pm**.
- University Doctoral Ceremony: Friday, May 17, 2024  
Warner School Ceremony: Saturday, May 18, 2024.

## **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 the establishment of guidelines/expectations, the candidate speaks no longer than 45 minutes of the two-and-one-half hour period allowed for the public 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, 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.

## **Format & Preparation of the Dissertation for Final Defense**

As a PhD student, you must adhere to the University's document on regulations regarding the preparation of the dissertation, *Formatting the Thesis and Preparing for Final Defense*. This document was prepared by the Office of the University Dean of Graduate Education. It is available at <http://www.rochester.edu/Theses/>.

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

- Formatting your Thesis, pages 3-4
- The Order of Thesis Contents, pages 5–8
- Format of Title Page, page 10
- EXAMPLE OF Table of Contents, pages 12
- EXAMPLE OF Biographical Sketch, page 13
- EXAMPLE OF Contributors and Funding Sources, page 14
- EXAMPLE OF List of Tables, page 15

The remaining portions of the manual do not pertain to Warner students.

### **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 *Formatting the Thesis and Preparing for Final Defense*.

## **Before Registration of the Dissertation**

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

- An email from you or your advisor, with all committee members copied, stating that your dissertation is ready for defense is sent to [studentservices@warner.rochester.edu](mailto:studentservices@warner.rochester.edu).
- You have explained to each of your committee members that they will receive a TIME SENSITIVE REQUEST from the University Graduate Education Office. This e-mail allows each to confirm that your dissertation can proceed to final defense. A response from each committee member must be sent within 48 hours of receipt.
- have maintained continuous enrollment each fall and spring semester from date of matriculation. 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 the Dissertation**

You may choose to schedule the defense date and time with your committee or if you prefer Student Services will assist in scheduling the defense.

Submit a pdf of the dissertation to [studentservices@warner.rochester.edu](mailto:studentservices@warner.rochester.edu). 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.

Make certain that this *pdf* follows all formatting instructions detailed on page 7 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.

All committee members will be provided an electronic copy of your dissertation. If a committee member requests you provide them with a paper copy, it must be identical to the final copy of your registered dissertation.

## **Following Registration of the Dissertation**

- The Warner School's Associate Dean appoints an independent chair for the defense. The independent chair is a faculty member from the Warner School.
- A student record will be created for you in the University of Rochester Graduate Studies PhD Completion website. This record includes your Warner degree information, your past degrees, important contact information, and attachments including the defense version of your dissertation, program of study and unofficial transcript.
- You will receive an email from the Office of Graduate Education with a link to your record.
- When your PhD Completion Record is finalized, each committee member will receive an email with a link to access your record and approve your dissertation to progress to defense. After all committee members have provided their approval, your program area chairperson, Warner's Associate Dean, and finally the University Dean of Graduate Education will provide their approvals.
- After all approvals have been submitted, a confirmation email of dissertation defense details is sent to all defense participants.

## **Following Successful Defense of the Dissertation**

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

You will receive additional ProQuest instructions by email from the University Office of Graduate Education for the completion of all PhD degree requirements.

It is important to incorporate all requested corrections before uploading the dissertation to ProQuest.

To see the formatting corrections required for your thesis, retrieve the excel worksheet attached to your record on the PhD Completion website with 'UGE' in the title. All corrections noted there must be included in the final copy, along with any additions or corrections identified by your committee.

If you are unfamiliar with how anything described above works, or have any questions about preparing your final copy, you may contact [UnivGradEducation@UR.Rochester.edu](mailto:UnivGradEducation@UR.Rochester.edu).