

**Prior to the defense date, the student must:**

1. Meet with Director of Ph.D. Program to discuss & view draft version of defense. ***Director's approval is required prior to setting the date of defense. The student is responsible for setting up this meeting.***
2. Check the academic calendar <http://www.urmc.rochester.edu/education/graduate/current-students/documents/academic-calendar.pdf> for blackout dates and registration deadlines.
3. Check the requirements for Preparation of Doctoral Theses <http://www.rochester.edu/theses/>
4. Coordinate with advisor and committee members to find a suitable date and time.
5. Work with the coordinator to reserve an auditorium for open talk and suitable conference room for closed session once the student has confirmed a **definite** date and time. The coordinator will assist with reserving the auditorium and, if available, the KMRB 2<sup>nd</sup> floor conference room. If this conference room is not available, it is the student's responsibility to find another room for the closed meeting and send email confirmation (including room number, time, date and name of the person who reserved the room for the student) of the room reservation to the coordinator. The auditorium must be reserved 30 minutes before the beginning of the talk and 30 minutes after the scheduled end time the talk/meeting to accommodate setting up and running over. The conference room should likewise be reserved slightly before the closed session is about to begin and at least 30 minutes before the scheduled end time. For example, if a student plans to defend at 1 pm, the auditorium should be reserved 12:30-2:30 and the conference room should be reserved 1:45-4:30. This overlap/extra time is necessary because many open and closed sessions run over their allotted time.
6. Check with their advisor to make sure that they will be in town to sign paperwork 30 (40 in summer)\*\* business days prior to defense date.
7. **No more than 30 (40 in summer)\*\*** full business days prior to defense date, provide the following **signed** (where applicable), **completed** forms to the coordinator. All forms must be completed electronically and then either emailed to coordinator or, where applicable, printed and brought to the mentor **by the student** for signature, then given to the coordinator. Hand-written forms cannot be accepted.
  - Abstract and title page. See title page example in appendix of [thesis manual](#) and below- this format must be followed.
  - Completed committee [email address](#) form – example below.
  - Completed and signed [PhD diploma](#) form – example below.
  - Completed and signed [program of study form](#) – example below. Coordinator will partially complete form and email it to the student for completion and advisor signature.
  - Completed and signed [advisor form](#) – example below.
  - Review the [appointment form](#) that coordinator will email to student. Reply to coordinator via email indicating that all information is correct or what information needs to be corrected. Example below.

\*\*there may be additional deadlines for paperwork depending on the date of defense. Student must review the academic calendar with the coordinator to determine if this applies to them. These deadlines are set by the University and cannot be changed by the graduate education office, program coordinator or a student's mentor. Missed deadlines will result in the student having to re-schedule their defense date.

After the thesis defense is registered with the Offices for Graduate Education the candidate will be contacted via email by that office. This email is to inform the student that they must set up a meeting with the graduate registrar –SMD (commonly known as OGE or the Dean's office). The student will be asked to provide additional items and will be given information about how to register with the Office of University Dean for Graduate Studies on River Campus. The registration with the University Dean must be done no later than 18 (23 in summer) business days prior to the defense date. If exam is at 9 AM then registration must be 19 (24 in summer) business days in advance. No changes may be made in the title or abstract after this registration. Example of this email and attachment are below.
















April 9, 2010

TO: Department Chairs and Graduate Coordinators

COPY : Graduate Steering Committee and their Assistants  
University Council on Graduate Studies

FROM: Bruce Jacobs 

RE: Joint Research in Dissertations

As you know, a good deal of research is now done collaboratively (with an increasing emphasis on interdisciplinarity). There also has been a remarkable rise in the number of ways studies can be distributed to the public. These trends have had a noticeable impact on the content of doctoral dissertations. Simply put, there are more publications and other manuscripts (including dissertation chapters) that are today jointly produced.

Of course, joint efforts have long been the research mode in many disciplines. The publications that typically follow are valuable to the student, the faculty, and the University. However, joint research in a dissertation sometimes raises a question about what the student has contributed to the project. This issue is actually addressed in current rules that guide the format of a dissertation, but they have not always been followed. Even in cases where there has been acknowledgment of joint work, it typically is not reported in the required format.

The purpose of this memo is to specify again the rules that are to be followed when students write their dissertations. They will apply to all Ph.D. students.

The *Graduate Studies Bulletin* (page 40, 2008-2010 edition) and *The Preparation of Doctoral Theses: A Manual for Graduate Students* (page 4, [www.rochester.edu/Theses](http://www.rochester.edu/Theses)) state 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 **Foreward** to the dissertation.

The Foreward is a separate section immediately preceding the text and is numbered as page 1. Each co-authored chapter must be identified in the Foreward, 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.

Enforcement of this policy will begin with dissertations being registered for defenses this summer. Defenses may be held beginning May 26, so I anticipate receiving the first dissertations very soon. I ask that you be sure to forward this information to your faculty and PhD students so that they will be informed of this policy.