

Dear Candidate,

Congratulations on reaching a major milestone in your pursuit of a doctoral degree. As you prepare for the next challenging stage of your degree work, the *Dissertation Handbook* will be a helpful resource. Please see the *Abstract and Dissertation Format Guidelines* for assistance in formatting your dissertation. The *Dissertation Handbook* and the *Abstract and Dissertation Format Guidelines* are available on the Rackham website in pdf format.

You are now embarking on the final and, in many ways, the most exciting stage of your degree work. We hope the *Dissertation Handbook* will make that journey smoother.

Rackham Academic Records and Dissertations  
December 2008

**THE DISSERTATION HANDBOOK: A GUIDE TO SUBMITTING YOUR  
DOCTORAL DISSERTATION AND COMPLETING YOUR DOCTORAL  
DEGREE REQUIREMENTS**

by

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A dissertation submitted in partial fulfillment  
of the requirements for the degree of  
Doctor of Philosophy  
(English Language and Literature)  
in The University of Michigan  
2009

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## **DEDICATION**

This edition of the *Dissertation Handbook* is dedicated to all doctoral students at the University of Michigan's Horace H. Rackham School of Graduate Studies.

## ACKNOWLEDGMENTS

This version of the *Dissertation Handbook* was written by Assistant Dean John Godfrey, with extensive contributions by the staff of Rackham Academic Records and Dissertations.

## PREFACE

The *Handbook* answers many questions about submitting the dissertation to the Rackham Graduate School. The *Abstract and Dissertation Format Guidelines*, available at [\*\*www.rackham.umich.edu/doctoral\\_students\*\*](http://www.rackham.umich.edu/doctoral_students), answers formatting questions. Please note that this *Dissertation Handbook* is correctly formatted.

For information on achieving candidacy, Required Fee Total, or other Rackham policies, consult the *Rackham Graduate School Academic Policies* handbook:  
[\*\*www.rackham.umich.edu/policies/gsh/\*\*](http://www.rackham.umich.edu/policies/gsh/)

The Dissertation Checklist in Grad Tools is helpful in navigating the Rackham and departmental requirements. Grad Tools can be found at [\*\*www.gradtools.umich.edu\*\*](http://www.gradtools.umich.edu).

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## **CHAPTER I**

### **Preparing the Dissertation**

#### **Dissertation Format**

After the dissertation committee gives preliminary approval to the final draft of the dissertation, it must be formatted to meet the standards of Rackham Academic Records and Dissertations (OARD). These specifications, derived from standards used across institutions of higher education, ensure consistency in the preparation of dissertations for publication. The *Abstract and Dissertation Format Guidelines* are available at: **[www.rackham.umich.edu/doctoral\\_students](http://www.rackham.umich.edu/doctoral_students)**.

Students are urged to consult with the staff of the Knowledge Navigation Center in the Graduate Library, which offers tutorials, template assistance, guides, and resources for dissertation preparation. Information and links are available at: **[www.lib.umich.edu/knc](http://www.lib.umich.edu/knc)**.

#### **Dissertations in Languages Other than English**

If the primary literature on a subject matter is in another language, and the dissertation addresses a community of scholars who publish in a language other than English, a student may elect to write the dissertation in that language provided that all committee members speak and read the language and support its use in the dissertation. If a reasonably broad English-speaking community of scholars is actively pursuing the

dissertation's general topic, the dissertation should be written in English. All dissertations must include an abstract and title page in English. A second title page in the language of the dissertation may be included, or the English title page may also include the title in the dissertation language underneath the English title.

### **Citations and Acknowledgment of Sources**

Full and complete attribution of sources is central to professional academic integrity. All sources of information and materials that contribute to the research and writing of the dissertation must be properly acknowledged. Students are responsible for consulting with faculty advisers as they prepare the dissertation to make sure that citations and acknowledgments are complete and accurate. Sources that must be cited include, but are not limited to:

- language or wording either taken directly or paraphrased from another source, whether published or not;
- concepts, interpretations, techniques, methods, test instruments or procedures borrowed or adapted from another work, whether published or not;
- charts, graphs or figures borrowed or adapted from another source, whether published or not;
- photographs, films, recordings, digital material or other images from another source; and
- data, surveys or results of any kind from any other inquiry or investigation.

In some fields, other kinds of information and material also must be cited: students are responsible for consulting with faculty advisers to make sure that all field-specific acknowledgment protocols are also followed.

Research that is the basis of a dissertation may be, either entirely or in part, collaborative work to which other investigators or assistants make substantial contributions. Such contributions must be properly acknowledged. How these acknowledgments are made varies by field. Students are responsible for consulting with faculty advisers to ensure that contributions by others are completely and properly cited.

Information about how to cite sources properly is available at:  
<http://www.lib.umich.edu/ugl/guides/plagiarism.html>, and the Shapiro Science Library's website, Citing Sources and Intellectual Property at:

[http://www.lib.umich.edu/science/reference/srg/cite\\_source/plagiarism.html](http://www.lib.umich.edu/science/reference/srg/cite_source/plagiarism.html).

Failure to cite and acknowledge all sources and contributions to the dissertation is a violation of academic ethical standards. As outlined in the Rackham Graduate School's "Academic and Professional Integrity and Procedures" (<http://www.rackham.umich.edu/policies/gsh/appb/>), such serious misconduct will result in penalties up to and including expulsion and rescinding a degree.

### **Use of Copyrighted Materials in Your Dissertation**

Students are required to receive written permission from the copyright owner for any material used in the dissertation that falls outside the guidelines of "fair use," and are responsible for full compliance with proper use of copyrighted material. For information

about copyrighted material and fair use, see [\*\*www.umi.com/umi/dissertation/copyright\*\*](http://www.umi.com/umi/dissertation/copyright) and University of Michigan Copyright Information, [\*\*www.copyright.umich.edu\*\*](http://www.copyright.umich.edu)

Students should retain full documentation of every instance for which they have received permission to use copyrighted material.

## **CHAPTER II**

### **Completing the Doctoral Degree Requirements**

#### **Final Dissertation and Degree Requirement Deadlines**

Doctoral students must be enrolled for eight hours of candidacy during the term in which the defense takes place. The defense must take place no later than the last day of exams in that term, unless Rackham OARD has granted an extension at the request of the dissertation committee chair.

Degrees are conferred three times a year. In addition to conferral that takes place during commencement ceremonies at the end of the Fall and Winter terms, degrees completed during the Spring/Summer term are conferred at the August meeting of the University Regents and are distributed by mail. All candidates who complete the degree requirements may choose to participate in commencement ceremonies at a later date.

Rackham OARD publishes annual deadlines

([www.rackham.umich.edu/doctoral\\_students](http://www.rackham.umich.edu/doctoral_students)) by which a candidate must defend a dissertation and complete all degree requirements. The deadline in order to have the degree conferred in the same term is usually five to six weeks before the end of the term. Rackham OARD also publishes annual deadlines for candidates who defend after this date but before the last day of the term, and who complete all degree requirements, including final revisions, before a date early in the following term. These candidates will have their degree conferred in the term in which they complete all requirements and

submit final revisions, but will not be required to pay an additional tuition for eight weeks of candidacy.

The date by which a candidate must complete and submit all degree requirements, including format revisions, is a firm date. Extensions are not permitted. A candidate who does not meet the final deadline cannot be listed among the degree recipients for that particular term, nor participate in commencement.

Table II.1. 2008-09 Doctoral Degree Deadlines for  
Intended Final Term of Enrollment

		<b>Last day to defend</b>	<b>Last day to complete all requirements</b>	<b>Conferral date</b>
Fall Term	For diploma to be conferred in same term	October 21, 2008	October 21, 2008	December 14, 2008
	For diploma to be conferred in following term with no new registration	December 18, 2008	February 2, 2009	May 1, 2009
Winter Term	For diploma to be conferred in same term	March 6, 2009	March 6, 2009	May 1, 2009
	For diploma to be conferred in following term with no new registration	May 1, 2009	May 26, 2009	August 18, 2009
Spring/Summer Term	For diploma to be conferred in same term	June 26, 2009	June 26, 2009	August 18, 2009
	For diploma to be conferred in following term with no new registration	August 18, 2009	September 29, 2009	December 20, 2009



## **The Pre-Defense Meeting**

A candidate must register online ([www.rackham.umich.edu/doctors\\_students](http://www.rackham.umich.edu/doctors_students)) to schedule a group pre-defense meeting with a representative of Rackham OARD. The pre-defense meeting must take place at least ten working days before the oral defense. Candidates are encouraged to bring however much of the dissertation they have written for a format review, or may choose to submit the entire dissertation by mail no later than three weeks before the scheduled oral defense.

At this meeting, the *Rackham Abstract and Dissertation Format Guidelines* will be reviewed along with the requirements for doctoral degree completion. Rackham OARD staff review with the candidate the steps that must be completed to receive the degree and provide dissertation evaluation forms that must be distributed to each dissertation committee member prior to the defense. Note that staff will not check each dissertation and/or abstract individually, but specific questions or concerns can be addressed at the end of the meeting.

Candidates also receive a folder containing dissertation evaluation forms for committee members along with other instructions. These must be completed by each committee member and returned directly to Rackham OARD at least three working days before the oral defense.

Oral defenses must be public events. Candidates must provide Rackham OARD with the date, time, and location, so that the information can be published. Special requirements for the Doctor of Musical Arts include at least three public recital programs in addition to the defense.

Candidates unable to travel to campus may arrange a pre-defense meeting by mailing one unbound, single-sided paper copy of the dissertation and abstract to Rackham OARD along with a cover letter that includes:

- Name
- Program
- UMID
- Date, time and place of the oral defense
- Email address
- Telephone number where the candidate can be reached during normal business hours.
- Names and fax numbers of all dissertation committee members.

Rackham OARD will fax committee members the dissertation evaluation forms.

Rackham OARD ([\*\*www.rackham.umich.edu/doctorsal\\_students/\*\*](http://www.rackham.umich.edu/doctorsal_students/)) provides information about what is needed for these forms.

Candidates do not need to make formatting corrections prior to the defense, but these must be completed along with other content revisions the committee requests prior to the published final submission deadline.

### **Distributing the Dissertation, Abstract and Evaluation Forms**

At least 10 business days before the oral defense, a candidate should distribute copies of the dissertation, abstract, and Rackham dissertation evaluation forms to each dissertation committee member. Normally, paper copies of the dissertation are provided each committee member, but members may choose to receive a digital copy. A

committee member who does not receive a copy of the dissertation, the abstract, and an evaluation form at least ten working days before the defense may ask for a postponement. Each committee member is expected to read, complete, and submit the dissertation evaluation form at least three working days before the defense.

For candidates who attend the pre-defense meeting less than 10 working days before the oral defense, the dissertation committee chair must confirm in writing or email (**[oard.staff@umich.edu](mailto:oard.staff@umich.edu)**) that the committee has agreed to conduct the oral defense on short notice.

### **Authorization of the Oral Defense**

Committee members may return their evaluations to Rackham OARD in person, by fax (734-936-1809), or by email (**[evaluations@umich.edu](mailto:evaluations@umich.edu)**). *It is strongly recommended that evaluation forms not be returned via campus mail.* Candidates should verify that all evaluation forms have been completed and returned by referring to **[www.wolverineaccess.umich.edu](http://www.wolverineaccess.umich.edu)**. Once all authorization forms have been received and reviewed, Rackham OARD authorizes the oral defense.

A need for minor alterations will not affect authorization for the oral defense. If one or more committee member judges that major revisions are required, Rackham OARD will ask the dissertation committee chair (or co-chairs) to determine if the defense can proceed or whether further work is necessary before the defense can take place. The oral defense may be postponed, proceed as scheduled, or the committee will meet with the candidate to discuss the matter further.

Any disagreement over the acceptability of a dissertation will be resolved by the Dean of the Graduate School, who will act as final arbiter in consultation with the dissertation committee members.

### **Final Preparations for the Oral Defense**

After Rackham OARD has received evaluations from all dissertation committee members and has authorized the oral defense, the candidate will pick up a sealed defense packet from Rackham OARD to be delivered directly to the chair or one of the co-chairs at the defense. This packet contains authorization of the oral defense, each committee member's confidential evaluation, the Final Oral Examination Report, and the Certificate of Dissertation Committee Approval, to be signed by the chair or co-chair when all revisions have been made.

All members of the dissertation committee are expected to be present at the defense. If they are unable to be present, committee members are expected to notify the chair or co-chairs and the candidate at least ten business days in advance and to make necessary arrangements provisions for remote participation.

### **Dissertation Committee Representation at the Oral Defense**

At least four members of the dissertation committee, including the chair or co-chair and the cognate member, must attend the oral defense. Attendance may be in person or by conference call or other remote access. The chair must sign the Final Oral Examination Report for any member who participates remotely. Additional information

is in Appendix B, Table B.1, Reference Chart for Membership on Dissertation Committees.

### **Substitutions at the Oral Defense**

If the dissertation committee chair cannot attend the oral defense either in person or by conference call, the candidate must either: (a) change the date of the oral defense; or (b) revise the dissertation committee so that it has two co-chairs rather than a sole chair. If option (b) is selected, the chair will ask one of the regular members of the committee to serve as co-chair. This member must be able to attend either in person or by conference call or other remote access. The candidate must submit to Rackham OARD a Dissertation Committee Form, available on the Rackham OARD website, that indicates the revised makeup of the committee. It must be signed by the department or graduate program chair and be submitted at least two weeks prior to the defense.

If a co-chair cannot attend the oral defense either in person or by conference call or other remote access, no changes need to be made as long as the second co-chair and three other committee members, including the cognate member, are able to attend or otherwise participate in the oral defense.

If the cognate member of the committee cannot participate, the dissertation committee chair and/or the cognate member who will be absent, together with the candidate, should seek a substitute who qualifies as a cognate member (see *Rackham Graduate School Academic Policies*, section 2.1.2.2, Formation of the Dissertation Committee).

If it becomes necessary to make a substitution for a regular member of the committee, the dissertation committee chair and/or the committee member who will be absent, together with the candidate, should seek a faculty member in the candidate's program who is knowledgeable about the area of dissertation research and is of equal or higher qualifications than the member for whom he/she is substituting.

### **Responsibilities of Substitute Members of Dissertation Committees**

A substitute member who attends the oral defense is not responsible for submitting an individual evaluation of the dissertation before the defense. This member participates in the writing and signing of the oral defense report, however, and passes on the comments and concerns of the committee member he/she is representing.

### **Responsibilities of Committee Members Unable to Participate in the Oral Defense**

A committee member unable to participate in the oral defense may, if he/she wishes, communicate questions in advance to the chair for discussion at the oral defense. Members unable to take part must return the Dissertation Evaluation Form before the defense.

Under exceptional circumstances, an absent committee member may ask the dissertation committee chair to hold an additional and separate oral defense. The chair will incorporate the findings from this additional and separate defense into the final report of the oral defense performance.

## **The Oral Defense**

Since defenses vary from department to department and from committee to committee, the candidate should consult the chair in advance about what to expect in the course of the upcoming oral defense. Many disciplines, for example, require the candidate to make an opening presentation. The candidate may be required to cover specific elements, topics, or issues in these presentations, which can be practiced beforehand. Candidates are urged to talk to the committee chair and to other faculty in their field about how awkward situations, such as disagreements among committee members, can be addressed tactfully while keeping the oral defense on track. While no time limit is set for an oral defense, the average defense takes about two hours.

Candidates may also choose to prepare by attending a few oral defenses in their own or related fields. Oral defenses are public events—the date, time and place of every defense are posted in the Graduate School’s lobby as well as on the OARD website.

## **Final Oral Examination Report and Certificate of Dissertation Committee Approval**

The committee chair is responsible for returning to Rackham OARD the evaluation forms, the Final Oral Report Examination, and the Certificate of Dissertation Committee Approval within 48 hours after the defense but no later than 5:00 p.m. on the final doctoral degree deadline date. The student should confirm with the chair that the report has been submitted.

Any disagreement over the acceptability of a dissertation will be resolved by the Dean of the Graduate School, who will act as final arbiter in consultation with the Dissertation Committee members.

**Post-Dissertation Defense Meeting:  
Submitting Final Copies of the Dissertation and Other Materials**

Because the doctoral degree deadlines are firm dates and extensions are not permitted, candidates must revise and correct the dissertation as soon as possible after the oral defense. The chair or co-chair of the dissertation committee must review and approve corrections and provide Rackham OARD with a signed Certificate of Dissertation Committee Approval indicating that all required revisions have been made and are acceptable. When corrections have been approved, the candidate should register for a post-defense meeting ([http://www.rackham.umich.edu/doctoral\\_students/](http://www.rackham.umich.edu/doctoral_students/)), providing several possible meeting times. The candidate must successfully complete a post-defense meeting and submit the materials below either in person or by mail, by 5:00 pm on the published doctoral degree deadline. Meetings are scheduled between 9:00 am and 4:00 pm and cannot be scheduled any sooner than two business days after registration. At this meeting, a Rackham OARD evaluator will review each page of the dissertation and abstract to verify that the documents are in the correct format.

A candidate who fails to submit these materials by the doctoral degree deadline may be required to register for another term and/or be awarded the degree in a later term. Candidates must submit final revisions to Rackham OARD within one year of the date of the defense. A candidate who fails to submit revisions by this deadline will be required to register again for the term in which they submit the final corrections and to defend the revised dissertation.



Materials to be submitted to Rackham OARD at the post-defense meeting include:

- a complete, final, correctly formatted, unbound, single-sided paper copy of the dissertation to be microfilmed by ProQuest/UMI and forwarded to the department
- a completed ProQuest/UMI publishing agreement form
- two copies of the correctly formatted abstract
- for Doctor of Musical Arts, three copies of recital programs
- one extra copy of the dissertation title page
- copies of any written permission secured for use of copyrighted material in the dissertation
- application for graduation via Wolverine Access
- NORC survey (Survey of Earned Doctorates)
- exit survey of Rackham Doctoral Recipients (optional)

Students are encouraged to complete the on-line exit survey of Rackham Doctoral Recipients.

Rackham OARD often requires additional format revisions before the dissertation can be approved. Candidates should allow enough time to make these formatting revisions before the final submission deadline.

### **Submitting the Dissertation to the University Library and Dissertation Binding**

The University Library recommends that a digital copy of the dissertation be submitted to the Library as the copy of record. After the Rackham post-defense format check, the candidate will be instructed about how to upload a digital copy of the corrected

and completed dissertation to Rackham OARD. Rackham OARD will transfer the dissertation to Deep Blue in the University Library when the degree is conferred.

The Library will accept a print copy of a dissertation in lieu of a digital copy. In these instances, after the Rackham format check, the candidate must bring a copy of the corrected and completed dissertation to a Rackham-approved bindery, and pay to have it bound for the University Library.

The following approved binderies are aware of the Rackham binding requirements. The candidate's full legal name with the University, the title of the dissertation, and the year the degree will be conferred should be stamped in gold on the spine of the bound copy, from top to bottom. If the dissertation consists of more than one volume, the volume number should be stamped on the spine of each volume. The front cover remains plain. Rackham approved binderies are:

Bessenberg Bindery  
**Bessenberg.com**  
**bessenberg@provide.net**  
215 N. Fifth Ave.  
Ann Arbor, MI 48104  
(734) 996-9696

Kolossos Printing  
**KolossosPrinting.com**  
2055 W. Stadium Blvd.  
Ann Arbor, MI 48103  
or  
1214 S. University Ave.  
Ann Arbor, MI 48104  
Phone: (734) 994-0454

or  
301 E. Liberty  
Ann Arbor, MI 48104  
Phone: 741-1600

Additional copies of the dissertation may be bound for members of the committee or others.

## **Finishing Steps**

Candidates who indicated to Rackham OARD that they plan to attend commencement will receive information by email. Detailed and up-to-date commencement information is available at **[www.umich.edu/~gradinfo](http://www.umich.edu/~gradinfo)**. Diplomas may be picked up from the diploma area of the Registrar's Office until the week after commencement. Those who attend commencement in the term in which the degree is conferred receive the diploma at the ceremony. Otherwise, the diploma will be mailed approximately three weeks after commencement.

Any outstanding tuition, fees, or other charges must be paid to the University before the end of the term in which the degree is conferred. The diploma or an official transcript will not be issued until all charges are cleared.

## **CHAPTER III**

### **Copyrighting, Distributing and Publishing the Dissertation**

#### **Registering the Copyright of the Dissertation**

The Rackham Graduate School does not require registering the copyright of the dissertation. Because the decision to register the copyright varies among departments and individuals, candidates should discuss the advantages and disadvantages of copyright registration with members of the dissertation committee. It is strongly recommended that an unnumbered copyright page be inserted after the Title Page (and Frontispiece, if included) of the dissertation. Students may request ProQuest/UMI to register the copyright for the dissertation in their name. The student must pay for the copyright registration by providing a certified check or money order (with no expiration date), payable to PQIL at the post-defense meeting.

#### **Publishing and Distributing the Dissertation within the University**

With limited exceptions for dissertations that are embargoed for a short period of time (see next section), the Rackham Graduate School requires that every doctoral dissertation and abstract be published. Candidates meet this requirement through publication by ProQuest/UMI (**[www.umi.com](http://www.umi.com)**), and will sign an agreement with ProQuest/UMI during the post-defense meeting to make the dissertation available on microfilm. ProQuest/UMI will, in turn, arrange for publishing the abstract in *Dissertation*

*Abstracts International*. This arrangement does not prevent the candidate from publishing the dissertation later in parts or in its entirety. The unbound copy of the dissertation submitted to OARD at the post-defense meeting will be microfilmed, bound, and forwarded to the graduate's department/program office.

### **Dissertation Embargo and Distribution Limitations**

Normally, all dissertations must be made publicly available upon degree conferral, consistent with the University's mission to share its scholarly work with other scholars, students, and the public. Under limited circumstances, however, there may be reason to delay public access to a dissertation for a short period of time. It is the student's responsibility to request such an embargo. Rackham allows students: 1) to request an embargo for dissertations based on research that may be patentable or include confidential, time-sensitive material; or, 2) to limit digital distribution to University of Michigan users of a dissertation that contains material which may be published with a publisher with a restrictive pre-publication policy.

A student may request a delay in distributing the dissertation for up to one year from the date of degree conferral if:

- The student, or his or her collaborators, is applying for a patent on research contained in the dissertation, and does not wish to make the contents public until the patent application has been filed, *or*
- The dissertation includes confidential information that is time-sensitive.

Other circumstances for requesting restricted access to a dissertation will be considered on a case-by-case basis. This request must be submitted before the deadline with which the student is working.

Additionally, a student who has submitted the dissertation in electronic form and is planning to publish material from it in a journal or with a publisher with a restrictive pre-publication policy may request that access to the dissertation be limited to University of Michigan users for no longer than two years from the date of degree conferral. With this restriction on public access, the dissertation will not be considered “pre-published.”

The chair (and co-chair, if any) of the dissertation committee must review and endorse an embargo request before it can be approved by Rackham OARD. Although the full text of the dissertation will be embargoed, the title and abstract will be made available after degree conferral.

## **APPENDICES**

## **APPENDIX A**

### **Doctoral Candidate's Reminders**

#### **Staying Informed and in Touch: Grad Tools**

Earning a doctoral degree involves careful organization and planning of the many steps along the way. Candidates must consult with the committee chair to ensure that the timetable for completing degree requirements is workable and realistic. Difficulties can be avoided by staying in close and frequent touch with the dissertation committee and by being informed about all degree requirements. It is especially important to know well in advance about upcoming leaves or travel plans of all members of the dissertation committee, and to make arrangements for substitutes if necessary. Deadlines for each term are posted on the Rackham OARD website, which contains a wealth of regularly updated information about policies and resources.

The Rackham Graduate School has assembled a special set of web-based tools to help Rackham doctoral students as they work toward their degrees, known as Grad Tools ([gradtools.umich.edu/](http://gradtools.umich.edu/)). Rackham doctoral students create and access their individualized Kerberos-protected Grad Tools site. Resources include an individualized Dissertation Checklist which is automatically updated with the required steps from the Graduate School. The student's program and dissertation committee may include additional way-points. Grad Tools also provides a place to store and distribute



dissertation drafts and documents to committee members, a discussion capability, and other features.

### **Rackham Workshops**

The Graduate School offers workshops that focus on various aspects of the dissertation process. Sessions address aspects of “doctoral life” such as forming the dissertation committee and dealing effectively with it, troubleshooting (e.g., coping with burnout, writer’s block, etc.), proposal and grant writing, the job search, and effective interviewing. Announcements and workshop materials are emailed to students monthly and also posted on Rackham’s website.

### **Use of Human Subjects in Doctoral Research**

Federal regulations and University policy require that all investigations using human beings as subjects of research be reviewed and approved by an appropriately constituted faculty committee before such investigations begin. Please call the Division of Research Development and Administration (DRDA, 734-764-5500) for details on how to apply for this review. No dissertation based on human beings as subjects can be accepted without this prior review and approval. For more information, see <http://www.research.umich.edu/hrpp/>.

## **APPENDIX B**

### **The Dissertation Committee**

Dissertation committee members should have specific and complementary knowledge of the candidate's area of research and be committed to providing regular and frequent feedback as the dissertation research and writing moves forward. Doctoral students must submit a Dissertation Committee Form ([www.rackham.umich.edu/doctoral\\_students](http://www.rackham.umich.edu/doctoral_students)) to their department or program at least six months prior to the defense. Nominations must be signed by the chair of the doctoral candidate's program, and must be approved by the Rackham Graduate School. If committee membership changes, the student must submit a revised form to the department or graduate program before the oral defense.

For dissertation committee purposes, the Graduate Faculty consists of all persons holding a regular or unmodified (i.e., not research scientist, clinical, visiting, adjunct, *emeritus/a* etc.) appointment at the University of Michigan as Professor, Associate Professor, or Assistant Professor. Persons holding appointments as Research Professors, and Research Associate Professors may also serve as members of a dissertation committee without requesting special membership.

A Nomination for Special Membership on the Dissertation Committee form ([www.rackham.umich.edu/doctoral\\_students](http://www.rackham.umich.edu/doctoral_students)) must be submitted to Rackham OARD for qualified persons who have other faculty, research scientist, clinical or staff

appointments at the University of Michigan, as well as qualified people from outside the University of Michigan who may or may not hold academic appointments. Special members should be able to demonstrate that their service on the dissertation committee will be a significant contribution. The nomination should be accompanied by a memo detailing the nominee's expertise in the dissertation topic, curriculum *vitae* or résumé, and the Special Membership on the Dissertation Committee form.

Nominations for dissertation committee service must be approved by Rackham, and are subject to the following guidelines:

- Dissertation committees must have at least four members, including at least three members of the Graduate Faculty.
- At least two of the four members must be from the candidate's home graduate program.
- At least three members must have earned Doctorates and appointments as professor, associate professor, or assistant professor.
- Retired and *emeriti* professors who were affiliated with a Rackham doctoral program may serve on dissertation committees and may also serve as sole chair, co-chair, or cognate member. To serve as sole chair or cognate member, a Nomination for Special Membership on the Dissertation Committee form must be submitted, accompanied by a memo from the retired professor confirming that he/she has:
  - experience serving on, and chairing, dissertation committees (decision-making experience as chair is required)
  - service as a teacher of formal courses or seminars

- served as a counselor or advisor for doctoral students
- Persons who have not earned a doctorate, whether affiliated with a Rackham doctoral program or not, must be approved for dissertation committee service on a case-by-case basis. If approved, they may serve as chair, co-chair, or cognate member.
- No person working toward a doctoral degree may serve on a dissertation committee until all requirements for that degree have been met.
- Subject to review on a case-by-case basis, a committee may include other qualified University faculty and staff, or persons from outside the University who can provide expertise in the candidate's research area.
- Committees must have a cognate member who is familiar with the standards for doctoral research at the University of Michigan. The role of the cognate member is to broaden the scholarly representation of the dissertation committee beyond the candidate's home program and to provide a perspective on the quality of the dissertation from outside the candidate's field of specialization. Except for the committee of a student in an interdepartmental program, the cognate member must hold at least a 0.50 appointment in a Rackham doctoral program other than the student's home department/program, and may not hold an appointment as research or clinical faculty, instructor, or lecturer. For committees formed or revised after July 1, 2007, the cognate member may not serve as chair or co-chair.
- A committee may have a sole chair or two co-chairs. The chair (or each co-chair) is responsible for guiding and encouraging the candidate's design and execution of an original, high quality, doctoral-level research project. Retired faculty

members who were affiliated with a Rackham doctoral program or research professors may serve as sole chairs. Eligibility is outlined in Table B.1.

For more information on the composition of the dissertation committee and roles of the members, see Table B.1 in this publication, Reference Chart for Membership on Dissertation Committees, and the Guidelines for Dissertation Committee Service ([www.rackham.umich.edu/doctoral\\_students](http://www.rackham.umich.edu/doctoral_students)).

### **Changes in Dissertation Committee Membership**

If a member must be added to or removed from a dissertation committee, the candidate must submit to Rackham OARD a revised Dissertation Committee Form reflecting the changes at least two weeks prior to the oral defense. The Dissertation Committee Form can be downloaded from [www.rackham.umich.edu/doctoral\\_students](http://www.rackham.umich.edu/doctoral_students). It is the candidate's responsibility to be sure that all necessary forms have been completed and submitted.

Table B.1 Reference Chart for Membership on Dissertation Committees

Role	Sole Chair	Co-Chair	Cognate	Member
Full, Associate, or Assistant Professor with earned Doctorate and Rackham affiliation	Yes	Yes	Yes*	Yes
Research Professors or Research Associate Professors with earned Doctorate and Rackham affiliation	With Special Membership Form and supporting documents	Yes	No	Yes
Full, Associate, or Assistant Professor without earned Doctorate but with Rackham affiliation**	With Special Membership Form and supporting documents	With Special Membership Form and supporting documents	With Special Membership Form and supporting documents	With Special Membership Form and supporting documents
Clinical Professor with earned Doctorate	No	With regular member	No	Yes
Instructor or Lecturer with earned Doctorate***	No	With regular member	No	Yes
Adjunct Professor with earned Doctorate	No	With Special Membership Form and supporting documents	No	With Special Membership Form and supporting documents
Research Scientists, Associate Research Scientists, Assistant Research Scientists, Research Assistant Professors or Research Investigators with earned Doctorate	No	With Special Membership Form and supporting documents	No	With Special Membership Form and supporting documents
Retired/ <i>Emeritus(a)</i> Professor	With Special Membership Form and supporting documents	Yes	With Special Membership Form and supporting documents	Yes

Non-University of Michigan individuals with or without earned Doctorate	No	With Special Membership Form and supporting documents	No	With Special Membership Form and supporting documents
University of Michigan Non-Regular Faculty with or without earned Doctorate	No	With Special Membership Form and supporting documents	No	With Special Membership Form and supporting documents
Committee member no longer employed at the University of Michigan****	No	With regular member	No	Yes

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