

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.

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  
September 2020

**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  
2021

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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 Dissertation Handbook* answers many questions about submitting the dissertation to the Rackham Graduate School. Please note that the *Handbook* is correctly formatted.

## TABLE OF CONTENTS

DEDICATION	ii
ACKNOWLEDGMENTS	iii
PREFACE	iv
LIST OF TABLES	vii
LIST OF APPENDICES	viii
ABSTRACT	ix
CHAPTER	
<b>I. The Dissertation</b>	1
<b>II. Preparing the Dissertation</b>	2
Format	2
Citations and Acknowledgment of Sources and Contributions of Others	5
Abstract	6
Copyright Permissions and Fair Use	7
Images and Multimedia Materials	8
Dissertations in Languages Other than English	8
<b>III. Completing the Doctoral Degree Requirements</b>	9
Final Dissertation and Degree Requirement Deadlines	9
The Pre-Defense Review	11

Distributing the Dissertation and Abstract	12
Dissertation Evaluations	13
Authorization of the Oral Defense	13
Final Preparations for the Oral Defense	13
Dissertation Committee Representation at the Oral Defense	14
Substitutions at the Oral Defense	14
Responsibilities of Substitute Members of Dissertation Committees	15
Responsibilities of Committee Members Unable to Participate in the Oral Defense	15
The Oral Defense	16
Final Oral Examination Report and Certification of Dissertation Committee Approval	17
Post-Dissertation Defense Submission: Submitting Final Copies of the Dissertation and Other Materials	18
Optional Dissertation Binding	19
Finishing Steps	20
<b>IV. Copyrighting, Distributing and Publishing the Dissertation</b>	<b>22</b>
Registering the Copyright of the Dissertation	22
Publishing and Distributing the Dissertation within the University	22
Dissertation Embargo and Distribution Limitations	23
<b>APPENDICES</b>	<b>25</b>
<b>BIBLIOGRAPHY</b>	<b>35</b>



## LIST OF TABLES

### TABLE

III.1 Doctoral Degree Deadlines for Intended Final Term of Enrollment	11
A.1. Dissertation Formatting Checklist	27
B.1 Reference Chart for Membership on Dissertation Committees	34

## LIST OF APPENDICES

### APPENDIX

A. Doctoral Candidate's Reminders	26
Rackham Workshops	26
Use of Human Subjects in Doctoral Research	26
Dissertation Formatting Checklist	27
Model Format of Title Page	29
B. The Dissertation Committee	30
Changes in Dissertation Committee Membership	33
Reference Chart for Membership on Dissertation Committees	34

## ABSTRACT

The final steps for the completion of the doctoral degree entail preparing the dissertation for the oral defense, the conduct of the oral defense, and the submission of the final copy of the dissertation to the Graduate School. The *Handbook* presents the Graduate School's guidelines for preparing the elements of the dissertation, including format, requirements for citations and acknowledgment of sources and contributions of others, copyright permissions, and the use of images and other digital multimedia materials. The *Handbook* is organized and formatted in accordance to the requirements for the dissertation.

The *Handbook* also provides information about deadlines for conducting the oral defense and final submission of the dissertation. It outlines the steps for organizing the oral defense, the requirements of the composition the dissertation committee, and the responsibilities of its members.

The *Handbook* also includes information about the student's intellectual property rights to the dissertation and the requirements that the dissertation be made publicly available by submitting it to the University Library's digital archive, Deep Blue. It also presents the policy under which a student may postpone the public release of the dissertation

## **CHAPTER I**

### **The Dissertation**

The dissertation is a document in which a student presents his or her research and findings to meet the requirements of the doctorate. It is a substantial scholarly product that represents the student's own work. The content and form of the dissertation are guided by the dissertation committee and the standards of the student's discipline. The dissertation may take a variety of scholarly forms, including a single monograph, or an ensemble of papers, essays, manuscripts or articles, and may incorporate digital media materials.

The student has the primary role in conducting the research and preparing the findings, and in authoring the dissertation. In some disciplines, it is expected that a dissertation will include co-authored papers. In this instance, and in all dissertations that include any collaborative work, the student must be the primary author and must explicitly acknowledge the contributions of others (see Chapter II, "Preparing the Dissertation, Citation and Acknowledgment of Sources.").

However the content is organized and presented, whether as a single monograph or as several papers or manuscripts, the dissertation should include an introduction and conclusion in which the student integrates the entire scope of the research that has been undertaken.

## CHAPTER II

### Preparing the 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.

Students are urged to consult with the staff at [ScholarSpace](#) (206 Hatcher Library, 734-647-7406, [scholarspace@umich.edu](mailto:scholarspace@umich.edu)). ScholarSpace makes templates available for Rackham dissertation formatting requirements. ScholarSpace offers tutorials, template assistance, guides, and resources for dissertation and PDF preparation.

Dissertation formatting must follow these guidelines. Students should not use another dissertation or thesis as a model.

- Embedded fonts are required to ensure that all information used to make the document is stored correctly in the PDF file so that the dissertation will appear as it was created when viewed on a reader's computer. The text body should be in a standard professional-looking 12 point font designed for screen legibility. Standard fonts such as Arial, Times, or Times New Roman are recommended.
- Font size for footnotes, endnotes, captions, tables, figures and equations may be smaller than the font for the text body, generally 9 point.

- Font color must be black, although figures, tables, etc., may be in color.
- Line spacing is 1½ or double with the exception of tables, lists, quotations, footnotes/endnotes, figure/table captions or legends, and bibliographic entries, which should be single-line spaced.
- Margins are a minimum of one inch.
- The first page of each section (Acknowledgments, Dedication, Table of Contents, Lists, etc.), chapter, bibliography and appendix should start on a new page and have a two-inch top margin.
- The Bibliography or Reference section(s) may be at the end of each chapter or the end of the dissertation, in the format preferred by the discipline.
- Chapter numbers, chapter titles and the first page number for each are listed in the Table of Contents. The word “Chapter” must appear before each chapter number (or as a heading) in the Table of Contents and on the first page of the chapter.
- Arabic numerals are used consecutively for all pages following the front matter and starting with the first chapter, including appendices, bibliography, etc.
- Tables, figures, illustrations, etc. are uniquely and consecutively numbered throughout.
- If the dissertation includes more than one figure, table, illustration, appendix, etc., these should appear as separate lists following the Table of Contents, with a figure/table number, caption or legend, and the page number on which each begins.
- The title page, frontispiece and identifier page have no page number, but each page of following front matter must be numbered with lowercase Roman

numerals, starting with page ii, at the center bottom of the page. The front matter is in the following order:

- Title page: mandatory; no page number (see Appendix A)
- Frontispiece: optional; no page number
- Identifier/copyright page: required; no page number (copyright optional, recommended)
- Dedication: optional; must have page number (lowercase Roman numerals start here: ii)
- Acknowledgements: optional (see following section); must have page number, lowercase Roman numeral(s)
- Preface: optional; must have page number, lowercase Roman numeral(s)
- Table of Contents: mandatory; must have page number, lowercase Roman numeral(s)
- List of Tables, List of Figures, etc.: mandatory when more than one table, figure, illustration, etc.; must have page number, lowercase Roman numerals
- List of Appendices: mandatory when more than one at the end of the dissertation; must have page number, lowercase Roman numeral(s) (Note: when appendices are included at the end of each chapter, they are a section of the chapter and there should be no List of Appendices)
- List of Abbreviations, List of Acronyms, List of Symbols: optional; must have page number, lowercase Roman numeral(s)

- Abstract: mandatory; 550 word limit must have page number, lowercase Roman numeral(s)

### **Citations and Acknowledgment of Sources and Contributions of Others**

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, including online sources;
- 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.

The work that is the basis of a dissertation may be, either entirely or in part, a collaborative effort to which other graduate students, scholars, investigators or assistants make



substantial contributions. Such contributions must be properly acknowledged. In general, contributions of co-authors must be identified and specifically described for each section of the dissertation to which they have contributed. 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 from [MLibrary](#).

Students who have received funding to support their dissertation work from an agency or foundation outside the University should indicate on the Acknowledgment page the source and form of the grant, e.g., NSF Graduate Research Fellowship, NIH National Research Service Award for Individual Predoctoral Fellows, SSRC International Dissertation Research Fellowship, Fulbright-Hays Doctoral Dissertation Research Abroad Fellowship, etc. Sources of internal funding may also be acknowledged.

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](#)," such serious misconduct will result in penalties up to and including expulsion and rescinding a degree.

### **Abstract**

The abstract provides an overview of the purpose and focus of the dissertation—the problem, research issues and questions—and a presentation of arguments, methods or procedures used. It should summarize the evidence, results or findings. An abstract of up to 550 words is required as part of the dissertation. At the final dissertation submission, the text of the abstract (with no special characters) is required to be entered into the online submission system.

## **Copyright Permissions and Fair Use**

Copyright law protects original works of authorship. Copyright extends to published or unpublished materials in any medium of expression, including materials found on the internet. Copyright also protects poetry and music lyrics; dialog from a play, screenplay, broadcast, or fiction; music; graphic or pictorial works; and computer software. Once copyright protection has expired, however, original works of authorship may be used without permission. In general, copyright does not protect facts, data or ideas, which are exempt from the exclusive controls and protection of copyright. Similarly, the use of a limited amount of work that is otherwise protected by copyright is acceptable under the principle of “fair use.” For purposes that include research and scholarship, fair use allows limited use of copyrighted material without permission from the copyright holder.

Students are responsible for full compliance with proper use of copyrighted material and should receive written permission from the copyright owner for any material used in the dissertation that falls outside the guidelines of fair use. This includes reprints of a journal article that the student has authored or co-authored and is being submitted as part of the dissertation, for which the authors have transferred copyright to the publisher. Students should keep full documentation of every instance for which they have received permission to use copyrighted material.

For detailed information and answers to questions about copyright and fair use, including how to seek copyright permission, see [University of Michigan Copyright Information](#) and [Copyright and Your Dissertation or Thesis](#) from ProQuest/UMI.

## **Images and Multimedia Materials**

It is recommended that images in GIF (.gif), JPEG (.jpeg) or TIFF (.tif) format that are embedded in the dissertation have a resolution of at least 300 dpi. Higher quality images will make the PDF larger in size and the final file will take longer to upload.

Generally, supplementary audio or video materials should be embedded in the PDF file of the dissertation. Preferred file types for video include Apple Quick Time (.mov); Microsoft Audio Video Interleaved (.avi); or MPEG (.mpg). Preferred file types for audio include AIF (.aif); MIDI (.midi); MPEG-2; SND (.snd); WAV (.wav). If media files are very large, consult with Rackham OARD at [oard.staff@umich.edu](mailto:oard.staff@umich.edu) about how these files should be made available.

## **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.

## **CHAPTER III**

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

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

SPECIAL NOTE: In line with the University's goals to fulfill its educational mission while protecting health and safety by minimizing the potential spread of COVID-19 in the community and broader society, dissertation defenses may be held either wholly online or in person. In-person defenses, as described below, must be held in conformity with the University of Michigan's health protocols and policies regarding limits to the number of in-person participants, social distancing, and other measures to safeguard health.

Doctoral students must be enrolled for eight hours of candidacy during the term in which the defense takes place. The defense should take place no later than the last day of exams in that term to allow time ample time for content and format revisions.

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 the diplomas are distributed by mail. All candidates who complete the degree requirements may choose to participate in commencement ceremonies at a later date. The student's name will appear in the commencement booklet for the term in which the degree is conferred. When a student participates in commencement in a later term, the student's name will not appear in the booklet for that term. Information on commencement appears on the [commencement website](#).

Rackham OARD publishes [annual deadlines by which a candidate must defend a dissertation and complete all degree requirements](#). The deadline for completing requirements so that the degree may be conferred in the same term is usually four to five 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 complete all degree requirements, including final revisions, before the third week 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 hours 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.

Wolverine Access allows students to keep track of their progress through the stages for completing their degree under their Student Center. Candidates have an individualized Doctoral Degree Worksheet page under the Academics section of the Student Center website that displays the completion and receipt statuses of documents submitted to Rackham OARD.

The Doctoral Degree Worksheet available in the student's work center on Wolverine Access includes a Student Information Sheet which lists dates of degree requirements completion including dissertation title and oral exam information.

Table III.1. Doctoral Degree Deadlines for Intended Final Term of Enrollment

Doctoral Defense Term (expected term of final enrollment)	Deadline All Requirements Must Be Completed to Receive Degree for Degree Conferral Date	Degree Conferral Date	<u>Commencement</u> Eligibility	Name Will Appear in Commencement Booklet
Winter 2020 (Grace Period)	August 18, 2020	August 21, 2020	<ul style="list-style-type: none"> <li>• May 2021 Rackham Graduate Exercises</li> <li>• May 2021 Spring Commencement (does not include hooding)</li> </ul>	To be determined
Spring/Summer 2020	August 18, 2020	August 21, 2020	<ul style="list-style-type: none"> <li>• May 2021 Rackham Graduate Exercises</li> <li>• May 2021 Spring Commencement (does not include hooding)</li> </ul>	To be determined
Spring/Summer 2020 (Grace Period)	Sept 21, 2020	December 20, 2020	<ul style="list-style-type: none"> <li>• May 2021 Rackham Graduate Exercises</li> <li>• May 2021 Spring Commencement (does not include hooding)</li> </ul>	To be determined
Fall 2020	Nov 20, 2020	December 20, 2020	<ul style="list-style-type: none"> <li>• May 2021 Rackham Graduate Exercises</li> <li>• May 2021 Spring Commencement (does not include hooding)</li> </ul>	To be determined
Fall 2020 (Grace Period)	February 8, 2021	April 30, 2021	<ul style="list-style-type: none"> <li>• May 2021 Rackham Graduate Exercises</li> <li>• May 2021 Spring Commencement (does not include hooding)</li> </ul>	May 2021 Rackham Graduate Exercises
Winter 2021	April 2, 2021	April 30, 2021	<ul style="list-style-type: none"> <li>• May 2021 Rackham Graduate Exercises</li> <li>• May 2021 Spring Commencement (does not include hooding)</li> </ul>	May 2021 Rackham Graduate Exercises
Winter 2021 (Grace Period)	May 24, 2021	August 20, 2021	<ul style="list-style-type: none"> <li>• December 2021 Winter Commencement</li> <li>• May 2022 Rackham Graduate Exercises</li> <li>• May 2022 Spring Commencement (does not include hooding)</li> </ul>	December 2021 Winter Commencement
Spring/Summer 2021	July 30, 2021	August 20, 2021	<ul style="list-style-type: none"> <li>• December 2021 Winter Commencement</li> <li>• May 2022 Rackham Graduate Exercises</li> <li>• May 2022 Spring Commencement (does not include hooding)</li> </ul>	December 2021 Winter Commencement

### The Pre-Defense Review

A candidate must [register online for a pre-defense review](#) with Rackham OARD. To register, the candidate must provide the defense date, time, and location; and information about committee members, including email addresses. This review must take place at least ten working

days before the oral defense. Students may email a PDF of the dissertation draft to [rackham.dissertations@umich.edu](mailto:rackham.dissertations@umich.edu) for format review at least one week before the oral defense.

During the COVID emergency it is recommended that only the candidate and committee members be physically present for in-person defenses. Others should have the option to participate via teleconferencing. As oral defenses must be public events, Rackham OARD and your program will announce the defense so others may choose to view it via BlueJeans or Zoom. If using Zoom, the candidate should consult instructions from U-M ITS for [setting up and registering an online meeting](#), and for [securing the meeting from possible disruption](#). Candidates must provide Rackham OARD in advance with the date, time, location, and teleconference URL. Requirements for the Doctor of Musical Arts include at least three remote public recital programs in addition to the defense.

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

### **Distributing the Dissertation and Abstract**

At least 10 business days before the oral defense, a candidate should distribute copies of the dissertation and abstract to each dissertation committee member. A committee member who does not receive a copy of the dissertation and abstract at least ten working days before the defense may ask for a postponement.

## **Dissertation Evaluations**

When the candidate registers for the pre-defense review, committee members will receive an email with a link to the online dissertation evaluation and instructions for completing this. Committee members are expected to submit the dissertation evaluation at least three working days before the defense. Candidates should verify through Wolverine Access that all evaluations have been completed. Once all are submitted, these will be made available online to all members of the committee.

## **Authorization of the Oral Defense**

When all authorization forms have been received, 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, the dissertation committee chair (or co-chairs) will 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 authorized the oral defense, the Final Oral Examination Report will be available to the chair or co-chairs.



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's program must submit the revised dissertation committee nomination to Rackham OARD. All committee changes must be approved by the graduate program chair, the committee chair or co-chairs, and Rackham. It must 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 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 the substitution is being made.

### **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 who is being represented.

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

A committee member unable to participate in the oral defense may choose to 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**

Because of concerns for health and safety during the COVID-19 emergency, the oral defense may be either held remotely via videoconferencing or in person. In-person oral defenses must conform to the University's guidelines for health and safety and be held in rooms that allow a minimum of 6 feet of distancing between persons, or a minimum of 36 square feet of space for the each individual. All persons in attendance must wear face masks. Given the need for additional space, in-person defenses may require use of larger rooms and necessitate scheduling outside of regular business hours. It is recommended that only the candidate and committee be present for an in-person defense and that arrangements be made for an audience to attend remotely via videoconferencing.

Candidates may defend the dissertation remotely using BlueJeans or Zoom. BlueJeans is U-M's cloud-based conferencing service. It allows Kaltura Capture audio and video recording software, available through Canvas for Windows and Mac, to be used to make a record of the defense that can be shared later. Zoom also offers an option to record the defense. To use Zoom videoconferencing for the defense, candidates should [set up registration for the committee and other attendees](#), and [take other measures to secure the meeting](#).

[Further information about arranging online the oral defense during the COVID emergency is available here.](#)

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. Candidates may also choose to prepare by attending a few oral defenses in their own or related fields. While no time limit is set for an oral defense, the average defense takes about two hours.

All oral defenses are public events. Candidates should notify their program and Rackham OARD ([oard.staff@umich.edu](mailto:oard.staff@umich.edu)) with the date, time, and remote invitation address of the defense. The program and Rackham will announce this information online so others may view it remotely.

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

During the COVID emergency, committee members may sign the digital PDF of the Final Oral Examination Report securely or non-securely. Some members may prefer to print the form, sign it physically and scan or take a photo to submit it via email. The committee chair is responsible for emailing the form with signatures to Rackham OARD: [oard.staff@umich.edu](mailto:oard.staff@umich.edu). The Final Oral Report Examination must be returned to Rackham OARD 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, which can be verified by checking the Candidate Management page in the Student Center in Wolverine Access.

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 Submission:  
Submitting Final Copies of the Dissertation and Other Materials**

Because 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 one of the co-chairs will complete the online 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 the post-defense submission](#).

The candidate must complete a post-defense submission and all the materials listed below must be submitted and approved by 5:00 p.m. on the published doctoral degree deadline. At this time, a Rackham OARD evaluator will review the final digital copy of the dissertation to verify that it is in the correct format. Additional format revisions are often required before the final copy of the dissertation can be approved. Candidates should allow enough time to make these revisions before the submission deadline. No changes can be made to the dissertation after it has been submitted and approved by Rackham OARD.

A candidate who fails to submit these materials and have them approved by 5:00 pm on the day of 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 and remain enrolled each fall and winter term in which revisions are being completed. A candidate who fails to submit revisions by this deadline will be

required to remain registered until the final corrections are submitted and to defend the revised dissertation.

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

- a complete, final, correctly formatted, PDF of the dissertation which will be the official copy of record and submitted electronically to the University Library's Deep Blue digital archive
- application for graduation via Wolverine Access
- online NSF Survey of Earned Doctorates

Students are strongly encouraged to complete Rackham's online exit survey of doctoral recipients.

The candidate will be instructed about how to upload a PDF of the final corrected and completed dissertation, and asked to provide bibliographic keywords, or tags, that describe the content of the dissertation, including subject, concepts, theory and methods. Rackham OARD will transfer the final dissertation copy of record to the University Library's Deep Blue digital archive when the degree is conferred. When submitting the dissertation to Deep Blue, students may choose the option of also submitting it to ProQuest/UMI, the world's largest permanent archive of doctoral dissertations. Abstracts of dissertations submitted to ProQuest are listed with the Library of Congress collections and are published in Dissertation Abstracts International.

### **Optional Dissertation Binding**

The student's program or committee may ask for a bound paper copy of the dissertation. The following binderies are aware of binding standards for dissertations. The candidate's full legal name as it appears on the University transcript, 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**  
7300 West Joy Rd.  
Dexter, MI 48130  
(734) 726-1747

Bohemio Bookbindery  
**Bohemio.Bookbindery.com**  
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### **Finishing Steps**

Candidates who indicated to Rackham OARD that they plan to attend commencement will receive information by email and should check the University's [Commencement webpage](#) for detailed and up-to-date information. Diplomas may be picked up from the diploma area of the

Registrar's Office until the week after commencement. 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 IV**

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

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

The student retains all intellectual property rights to the dissertation. It is strongly recommended that copyright information be included on the mandatory Identifier page at the front of the dissertation. While the Graduate School does not require registering the copyright of the dissertation, the student may choose to do so. Because the decision to register the copyright varies among departments and individuals, candidates should discuss this with members of the dissertation committee. Students who submit their dissertation to ProQuest/UMI may request ProQuest/UMI to register the copyright in their name.

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

With limited exceptions for dissertations that are embargoed (see next section), the Rackham Graduate School requires that every doctoral dissertation and abstract be made publicly available upon degree conferral. Candidates meet this by submitting the dissertation to Deep Blue, the University Library's digital archive, which makes dissertations available via the Library's online catalog and Google Scholar. This arrangement does not prevent the candidate from publishing the dissertation later in parts or in its entirety.

## Dissertation Embargo and Distribution Limitations

Doctoral dissertations and abstracts are normally made publicly available upon degree conferral when they are deposited electronically in Deep Blue, the permanent digital repository of the University Library. In limited circumstances, a doctoral student may wish to delay, or embargo, the public release of the final dissertation that is deposited in Deep Blue.

A student who is considering a dissertation embargo should discuss this option with the faculty advisor and the dissertation committee. The student is responsible for requesting a dissertation embargo. The request must have the approval of the dissertation committee chair (and co-chair, if any). Embargo requests must be submitted before the final dissertation submission deadline with which the student is working.

Students may choose to delay public release of the dissertation for a period of two years, renewable, to protect intellectual property during the patent application process; to maintain confidentiality agreements protecting third-party proprietary information; to provide sufficient time to publish their dissertation in book form or as journal articles; or to protect informants at risk of identity exposure. At the request of the student, public release may be delayed for another two years.

The embargo may be extended for a fifth and final year only for purposes of protecting the ability to publish the dissertation in book form. This request must be made in writing and must be approved by the Graduate School.

Students may choose one of two levels for restricting accessibility to the dissertation in Deep Blue during the first two years in which public release is delayed:

- *Complete restriction*: the author, title, abstract, and dissertation will not be listed or accessible to anyone.

- *Partial restriction, limited to those with U-M Kerberos access:* the author, title, and abstract will be listed; the dissertation will be accessible only with permission of the student.

Only partial restrictions are allowed for extensions of the embargo beyond the initial two years. Students will be contacted via email at least one month before the expiration of the embargo period. The dissertation will be publicly released if the student does not request an extension and provide a reason for this request.

Students may lift an embargo and make their dissertation publicly accessible at any time.

A student may independently choose among several levels of embargo for the copy of the dissertation that is deposited electronically with UMI/ProQuest.

## **APPENDICES**

## **APPENDIX A**

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

#### **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 contact the U-M Office of Research’s [Human Research Protection Program \(HRPP\)](#) 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.

## Dissertation Formatting Checklist

Table A.1 Dissertation Formatting Checklist

<b>TITLE PAGE (see model in Appendix A)</b>	
Is dissertation title correct and in title case?	
Does your name match your name as it appears in Wolverine Access ( <i>note: middle initial may be used instead of middle name</i> )?	
Is the name of your program name correct and in parentheses (see example)?	
Is the year of degree conferral correct ( <i>Note: MSTP students use year dissertation completed</i> )?	
Are members of the committee listed with complete and correct names and titles?	
Are the chairs/co-chairs of your committee identified and listed first in alpha order by last name?	
Are other committee members listed in alpha order by last name?	
Are committee members from outside U-M properly identified?	
Is the committee listed single-spaced?	
Is the top margin 2 ½ inches?	
<b>FRONT MATTER</b>	
Frontispiece: optional; no page number	
Identifier/copyright page/ORCID iD: required (copyright optional, recommended)	
Dedication: optional; lowercase Roman numerals start here: ii There is no page I in the dissertation.	
Acknowledgments: optional — sequential lowercase Roman numeral(s )	
Preface: optional — sequential lowercase Roman numeral(s )	
Table of Contents: required — sequential lowercase Roman numeral(s )	
List of Tables: required when more than one table - sequential lowercase Roman numeral(s)	
List of Figures: required when more than one figure - sequential lowercase Roman numeral(s)	
List of Illustrations: required when more than one illustration - sequential lowercase Roman numeral(s)	
List of Appendices: required when more than one -sequential lowercase Roman numeral(s)	
Abstract: required, maximum 550 words	
Are pages in the front matter following the title page (dedication, acknowledgements, preface, table of contents, list of tables, figures, etc.) numbered with Roman numerals?	

<b>MAIN BODY, APPENDICES, BIBLIOGRAPHY</b>	
Is 12 point embedded font used in the main text?	
Is the font style standard and legible?	
Are tables, figures, illustrations, etc. clear, legible and labeled?	
Are lines in the front matter and main text 1 1/2 or double spaced?	
Are lines in the footnotes/endnotes, references or bibliography single-spaced, with a line inserted between each citation or entry?	
Are labels/captions of tables, figures, illustrations, etc. single-spaced?	
Does each section--front matter, chapters, appendices and bibliography--start on a new page?	
Does the front page of each section--front matter, chapters, appendices and bibliography--have a 2-inch margin?	
Are margins of body text at least one inch on the left, right, and bottom?	
Are all page numbers positioned consistently throughout the document?	
Are pages in the body text, appendices and bibliography numbered with Arabic numbers, starting with 1, from the first page of the first chapter?	
Are chapters, tables, figures, illustrations, etc. uniquely and consecutively numbered (i.e., Table 1, Table 2; Figure 1, Figure 2, etc.)?	
Are citations, references and bibliography complete, and are they formatted in the preference of your program or discipline?	
Do chapter titles and numbers match the Table of Contents, both in content and format? Are they in title case?	
Do label/legend on tables, figures, illustrations, etc. match the List in the front matter?	

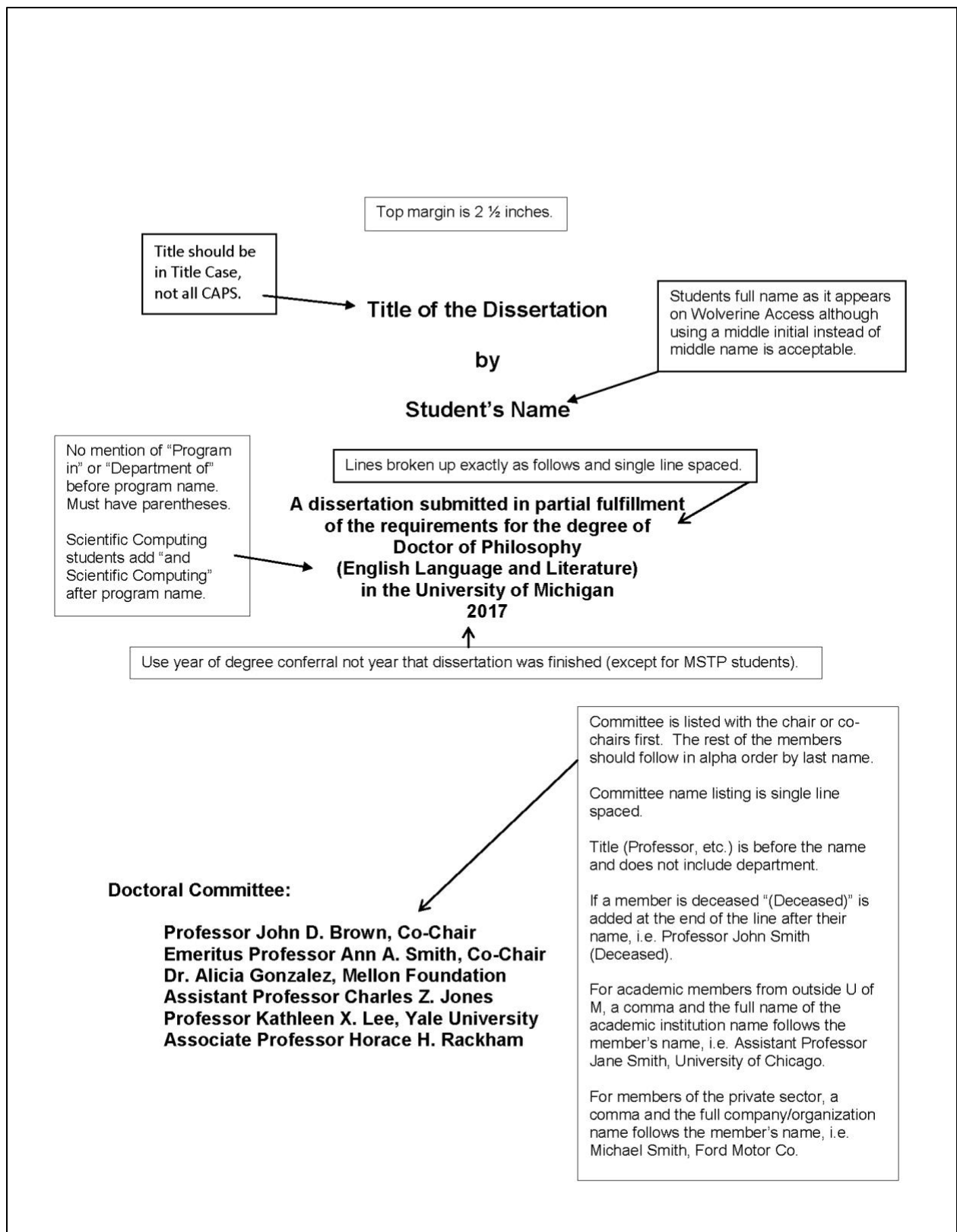


Figure 1 Model Format of the Title Page



## 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. The graduate chair or director approves nominations for dissertation committee service. The chair/co-chairs of the proposed dissertation committee and the student verify nominations, and the Graduate School gives final approval for dissertation committee service. The graduate program should send the Graduate School [nominations for committee membership](#) at least six months before the defense date. If the committee membership changes, the program must submit a revised form to Rackham OARD 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.

Special membership requests for the dissertation committee are submitted with the [Dissertation Committee Form](#). Special members may include 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 and a curriculum vitae or résumé.

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, the [Dissertation Committee Form](#) must be submitted together with confirmation that the individual 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. 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. With submission of a [nomination for special membership](#), 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](#).

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

If a member must be added to or removed from a dissertation committee, the candidate's program must submit to Rackham OARD a revised [Dissertation Committee Form](#) reflecting the changes at least two weeks prior to the oral defense. 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 supporting documents	Yes	No	Yes
Full, associate, or assistant professor without earned doctorate but with Rackham affiliation**	With supporting documents	With supporting documents	With supporting documents	With supporting documents
Clinical professor with earned doctorate	With supporting documents	With regular member	With supporting documents	Yes
Instructor or lecturer with earned doctorate***	No	With regular member	No	Yes
Adjunct professor with earned doctorate	No	With supporting documents	No	With supporting documents
Research scientists, associate research scientists, assistant research scientists, research assistant professors or research investigators with earned doctorate	No	With supporting documents	No	With supporting documents
Retired/ <i>emeritus(a)</i> professor	With supporting documents	Yes	With supporting documents	Yes
Non-University of Michigan individuals with or without earned doctorate	No	With supporting documents	No	With supporting documents
University of Michigan non-regular faculty with or without earned doctorate	No	With supporting documents	No	With supporting documents
Committee member no longer employed at the University of Michigan****	No	With regular member	No	Yes

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