

# Instructions for PhD Dissertation Preparation and Defense

## Preparation

All PhD dissertations are submitted to ProQuest/UMI® Dissertation Publishing and need to be formatted and prepared in a manner that meets their requirements. In addition, Clarkson has specific requirements for the title and signature pages of the dissertation (**Exhibits A and B**).

Details summarizing the preparation of a PhD dissertation can be found at:

[http://www.il.proquest.com/products\\_umi/dissertations/submitted\\_authors.shtml](http://www.il.proquest.com/products_umi/dissertations/submitted_authors.shtml)

[http://www.il.proquest.com/products\\_umi/dissertations/UMI\\_PreparingYourManuscriptGuide.pdf](http://www.il.proquest.com/products_umi/dissertations/UMI_PreparingYourManuscriptGuide.pdf)

These procedures should be reviewed carefully. Please note especially:

- General Format: 8.5 x 11 inch paper with 1.5” margins on the left and 1” margins on top, right and bottom. ALL figures, tables, footers, headers etc. must be contained within these margins. Page numbers must be 0.75” from the edge of the page, but do not need to be included within the margins.
  - Numbers and captions for figures should appear under the figure. Figures bound horizontally should be placed such that the top is at the bound edge of the thesis. Horizontally bound figures should be captioned on the edge opposite the bound edge of the thesis.
  - Table captions should be included above tables
  - Common order of the dissertation contents are
    - Title Page
    - Committee Signature Page
    - Abstract (350 word limit)
    - Acknowledgments
    - Table of Contents
    - List of Tables
    - List of Illustrations
    - Text
    - References
    - Appendices
  - Each page in your thesis should be assigned a number. Page numbering may be done on the top right-hand corner or bottom center; numbering should be consistent throughout the thesis. For the preliminary pages, generally small Roman numerals are used (i, ii, iii). The numbering begins with ii on the second page; the title page counts as page i, but the number does not appear. The remainder of the thesis, including text, illustrations, appendices, and bibliography are numbered in Arabic numerals (1,2,3)
- Double space all except the following, which should be single spaced: quotations as paragraphs, captions, items in tables, lists, graphs, footnotes/endnotes, bibliography.
- Black and white preferred (at least for ProQuest); color images will be reproduced as gray scale in microfiche or prints from microfiche.
- Graphics – at least 600 dpi resolution expected.
- Copyright (see also details below)–

- The author of the dissertation must obtain permission to include any material previously published (including your own work) and adequately cite that permission per the copyright owner's requirements.
- The dissertation author automatically owns the copyright of materials in the dissertation (or has obtained permission to use the material by current copyright holders). However, registering the author's claim as the copyright owner with the U.S. Copyright Office would provide the author with greater legal clout should you have any need to contest the copyright ownership. ProQuest/UMI<sup>®</sup> can complete the required paperwork to register the copyright.
- Open Access publishing - ProQuest/UMI<sup>®</sup> allows the author to make their dissertation freely available to others through the internet, thereby maximizing its potential dissemination and use. This option should be used only very carefully, however, if the results are also planned for publication as a book or through proceedings or journal papers. In that case, the copyright restrictions imposed by the journal generally do not allow internet publication. The author should check with the journals that he/she expects to publish the manuscripts in prior to choosing this option.
- Embargo – If the author is in the process of patenting or publishing material from the dissertation as journal manuscripts, he/she can select to embargo the dissertation for six months to two years, thereby putting the microfiche or open access dissemination of the dissertation on hold for the embargo period. This allows the author time to submit related patent applications or to finalize manuscript submission and acceptance without infringing on journal copyright requirements.

### **Defense of the Dissertation**

Each graduate student is responsible for working with his/her departmental Graduate Coordinator to make arrangements for a room and advertising the thesis defense at least one week before the scheduled date. Committee members should be provided a period of ten working days to examine the dissertation. Questioning during the defense will ascertain that the student has completed sufficient research work to be worthy of a PhD, that the student understands not only the subject matter to a sufficient depth, but also the broader implications and importance of the research, and that the research is original and was completed independently.

### **Submitting the PhD Dissertation**

Once all corrections have been completed and committee, and departmental signatures obtained, two copies of the dissertation (- not originals) are to be submitted in loose form without holes drilled. The student may place folders around each copy for protection. The Department should also receive one copy of the final dissertation to be kept in the departmental library. The dissertation must also be submitted on two CD ROMs to the CSOE Graduate Coordinator. The CD should contain two files: (1) the complete dissertation (title page through appendices), and (2) the title page and abstract only. The title page and abstract will be posted on Clarkson's web site.

The dissertation must be accompanied by a \$110 fee (subject to change) to cover the costs of ProQuest/UMI microfiche and binding.

In addition to the dissertation, the following completed items obtained from the Department Secretary must be submitted to the Graduate School:

- A degree completion notice
- ProQuest/UMI<sup>®</sup> Dissertation Submission Form and Optional order form for bound copies ([http://www.il.proquest.com/dissertationagree/dissertation\\_publishing\\_agreement.pdf](http://www.il.proquest.com/dissertationagree/dissertation_publishing_agreement.pdf))
- Survey of Earned Doctorates

- Final Degree Program form
- Withdrawal form

### **Responsibilities of the Student in Preparing a Dissertation:**

The content of the dissertation should follow all ethical guidelines and represent original work as required by the university. This includes the following

- **Code of Student Conduct**, which prohibits all forms of academic dishonesty, including cheating, fabrication, plagiarism and aiding and abetting of a dishonest act. (<http://www.clarkson.edu/studentaffairs/regulations/v.html>)
- **Intellectual Property Policy**, which applies to graduate students and the work produced by graduate students. Details of the IP policy are included on the University's web site ([http://www.clarkson.edu/dor/documents/IP\\_Policy\\_092505.pdf](http://www.clarkson.edu/dor/documents/IP_Policy_092505.pdf))
- **Copyright Laws**, which pertain to how to avoid infringing on someone else's copyright and how to protect the student's own copyright. The book by Kenneth Crew<sup>1</sup> thoroughly addresses copyright law and should be consulted for detailed explanations. Some general guidelines include:
  - The dissertation may include quotations, pictures, charts, standard tests, or other materials created by other authors. Permission to use such materials from the copyright owner is often required before borrowing the "expression" of other works. Giving full credit and citations **does not** exempt the dissertation author from the obligations of copyright law. Copyright law provides a right of "fair use" that allows limited copying-such as short quotations-without consent. However, **the student is required to obtain proper permission from the copyright owner for the following materials** that might be included in a thesis or dissertation<sup>2</sup>:
    - Long quotations from pre-existing materials that extend for more than one and one-half single-spaced pages.
    - Reproduced publications. Examples include copies of standard survey instruments or questionnaires, and the student's OWN journal articles already published.
    - Unpublished materials. Extensive reference to unpublished works raises a variety of issues about copyright and about privacy and access to collections.
    - Graphic or pictorial works. For example, copies of graphs or schematic diagrams included in your dissertation from previously published works.
    - Computer Software. Dissertations embodied in new media, such as on a website or on CD-ROM, may incorporate reader programs or other application software to make the new work accessible or useful. Reproducing such programs to accompany your dissertation will almost invariably require permission. Consult any license agreement, including those for "Shareware," that may apply to the programs, and prepare to seek permission from the copyright owner.
    - Sources located on the Internet. Easy availability does not change copyright status. Materials on the Web are protected by copyright just as if they appeared in

<sup>1</sup> Crew, K.D., Copyright Law and Graduate Research: New Media, New Rights and Your Dissertation, ProQuest Information and Learning, Ann Arbor MI, 2002. Available for free download [http://www.proquest.com/products\\_umi/dissertations/copyright/](http://www.proquest.com/products_umi/dissertations/copyright/)

<sup>2</sup> From PQ/UMI® GradWorks Guide F2006. [http://www.il.proquest.com/products\\_umi/dissertations/submitted\\_authors.shtml](http://www.il.proquest.com/products_umi/dissertations/submitted_authors.shtml)

a book or on tape.

- Copyright permissions are generally given readily for student's use of their own works. However fees are sometimes charged for permission to use materials originally generated by a different author. See **Exhibit C** for a sample letter requesting permission to use copyrighted material.
- Receipt of permission to use copyrighted materials needs to be noted in the thesis or dissertation. For example, a footnote stating: "Reproduced (or "Reproduced in part") with permission from [FULL REFERENCE CITATION]. Copyright [YEAR] [COPYRIGHT OWNER]."
- Materials on the internet are automatically copyrighted by the person posting the materials. Care should be taken in posting research results prior to their publication elsewhere since some journals consider materials posted on the web to be "prior publication" and will not consider the manuscript for journal publication. Consult the author guide for the journals pertinent for publication of the student's research prior to posting information on the web. This includes conference publications or presentations that conference organizers might post on the web as well.
- Copyright laws pertain to MS theses as well as PhD dissertations. The rules are enforced for PhD dissertations when they are submitted to ProQuest/UMI®. In addition to complying with the laws, enforcing this requirement also helps to teach our students about the appropriate use of intellectual property.
- The dissertation author automatically and immediately owns the copyright of materials in the thesis (or has obtained permission to use the material by current copyright holders). However, students can include a copyright notice in their thesis/dissertation. The notice, which can be included on the page just after the title page should state: "Copyright [YEAR], [STUDENT NAME]", OR "© [YEAR], [STUDENT NAME]." Registering the copyright with the Library of Congress is technically optional. However, you have limited rights to protect your copyright (e.g., to file an infringement lawsuit) unless it was registered before the infringement occurred.

**Exhibit A – Title page for PhD dissertation**

**CLARKSON UNIVERSITY**

**<TITLE>**

A Dissertation

By

**<Name>**

Department of <XXX>\*

Submitted in partial fulfillment of the requirements

for the degree of

Doctor of Philosophy, <XXX>\*\*

**Date**

Accepted by the Graduate School

\_\_\_\_\_, \_\_\_\_\_  
Date, Dean

\*Chemical and Biomolecular Engineering, Civil and Environmental Engineering, Electrical and Computer Engineering, Mechanical and Aeronautical Engineering or replace “Department of \_\_\_\_” with “Center for the Environment” for ESE or “Coulter School of Engineering” for Engineering Science.

\*\*Chemical Engineering, Civil and Environmental Engineering, Electrical and Computer Engineering, Mechanical Engineering, Engineering Science, Environmental Science and Engineering.

**Exhibit B – Signature page**

The undersigned have examined the thesis/dissertation entitled "**Thesis Title**" presented by **Name**, a candidate for the degree of **Doctor of Philosophy (Degree\*\*)**, and hereby certify that it is worthy of acceptance.

\_\_\_\_\_  
Date

\_\_\_\_\_  
Advisor

\_\_\_\_\_  
Examining Committee\*

\_\_\_\_\_  
Examining Committee

\_\_\_\_\_  
Examining Committee\*

\_\_\_\_\_  
Examining Committee

\*Please type each Committee Member's name under their signature line.

## Exhibit C: Sample Letter requesting permission to use copyrighted materials<sup>3</sup>

[letterhead stationery or return address]

[Date]

[Name and address of addressee]

Dear \_\_\_\_\_:

[Optional beginning sentence: This letter will confirm our recent telephone conversation.] I am completing a doctoral dissertation at \_\_\_\_\_ University entitled "\_\_\_\_\_." I would like your permission to reprint in my dissertation excerpts from the following:

[Insert full citation and description of the original work.]

The excerpts to be reproduced are: [insert detailed explanation or attach copy].

The requested permission extends to any future revisions and editions of my dissertation, including non-exclusive world rights in all languages, and to the prospective publication of my dissertation by UMI. These rights will in no way restrict republication of the material in any other form by you or by others authorized by you. Your signing of this letter will also confirm that you own [or your company owns] the copyright to the above-described material.

If these arrangements meet with your approval, please sign this letter where indicated below and return it to me in the enclosed return envelope. Thank you very much.

Sincerely,

[Your name and signature]

PERMISSION GRANTED FOR THE  
USE REQUESTED ABOVE:

\_\_\_\_\_

[Type name of addressee below signature line]

\_\_\_\_\_

Date \_\_\_\_\_

### Instructions for permission letters:

- Be sure to include your return address, telephone and fax numbers, and date at the top of the letter.
- Spare no effort in confirming the exact name and address of the addressee. Call the person to confirm the copyright ownership.
- State clearly the name of your university and your dissertation's title.
- Describe precisely the proposed use of the copyrighted material. If necessary or appropriate, attach a copy of the quotations, diagrams, pictures, and other materials. If the proposed use is extensive, such as the general use of an archival or manuscript collection, describe it in broad and sweeping terms. Your objectives are to eliminate any ambiguities and to be sure the permission encompasses the full scope of your needs.
- The sample signature form at the end of the sample letter is appropriate when an individual grants the permission. When a company, such as a publishing house, is granting permission, use the following signature format:

PERMISSION GRANTED FOR THE USE REQUESTED ABOVE:

[Type name of company]

By: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

<sup>3</sup> From: Crew, K.D., Copyright Law and Graduate Research: New Media, New Rights and Your Dissertation, ProQuest Information and Learning, Ann Arbor MI, 2002. [http://www.proquest.com/products\\_umi/dissertations/copyright/](http://www.proquest.com/products_umi/dissertations/copyright/)