

Dear Candidate,

Congratulations on reaching a major milestone in your pursuit of a doctoral degree! You deserve to take some time now to reflect on your many achievements. As you prepare for the next challenging stage of your degree work, we hope that you will find the *Dissertation Handbook* an essential resource that makes your work easier. Please do not forget to view 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 so that you can access the information readily, even while you're working away from campus.

You are now embarking on the final and, in many ways, the most exciting stage of your degree work, one that will provide you with a strong foundation for the life path you have chosen. We hope the *Dissertation Handbook* will help to make that journey smoother.

Rackham Academic Records and Dissertations
February 2006

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

by

Jane R. Doe

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
2008

Doctoral Committee:

Professor John D. Brown, Co-Chair
Emeritus Professor Ann A. Smith, Co-Chair
Associate Professor Horace H. Rackham
Assistant Professor Charles Z. Jones
Associate Professor Kathleen X. Lee, Yale University

© Jane R. Doe 2008

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

Special thanks are due to the staff of Rackham Academic Records and Dissertations: Ashley Andreae, Donna Huprich, Cindy Sutton, Julia Thiel, LaDonna Walker and Letetia Williams. Elyse Rubin was also helpful with advice and editing.

We also recognize all Rackham staff for their efforts to smooth the way, as much as possible, for graduate students at every level.

PREFACE

The *Handbook* should provide answers to many of your basic questions about submitting your dissertation to the Rackham Graduate School. The *Abstract and Dissertation Format Guidelines*, available on the web at www.rackham.umich.edu/doctoral_students/, should provide the answers to your formatting questions. Please note that this *Dissertation Handbook* is correctly formatted.

For information on achieving candidacy, Required Fee Total, or other Rackham requirements, you should consult the *Rackham Graduate School Academic Policies* handbook. You may view this on-line at www.rackham.umich.edu.

During the course of completing your doctoral degree, you may find the Dissertation Checklist in Grad Tools helpful in navigating the Rackham and departmental requirements. Grad Tools can be found at www.gradtools.umich.edu.

As you look ahead to completing and defending your dissertation, you should also check to make sure that you have fulfilled all registration requirements of the Graduate School, and that you are aware of the doctoral degree deadlines for each term. Be sure to check the Rackham website often for information on these matters and other topics, as well as deadline schedules for each term.

TABLE OF CONTENTS

DEDICATION	ii
ACKNOWLEDGMENTS	iii
PREFACE	iv
LIST OF TABLES	vii
LIST OF APPENDICES	viii
CHAPTER	
I. Information Technology Support for Producing Dissertations	1
Dissertation Format	2
II. Completing the Doctoral Degree Requirements	3
Before the Oral Defense - The Pre-Defense Meeting	3
Distributing Your Dissertation, Abstract and Evaluation Forms	4
Authorization of Your Oral Defense	5
Final Preparations for Your Oral Defense	5
Dissertation Committee Representation at the Oral Defense	6
Guidelines for Substitutions at the Oral Defense	6
Responsibilities of Substitute Members of Dissertation Committees	7
Responsibilities of Committee Members Unable to Participate in the Oral Defense	7
The Oral Defense	7
Post-Dissertation Defense Meeting: Submitting Final Copies of Your Dissertation and Other Materials	9
Binding	10
Finishing Steps	11

III. Copyrighting, Distributing and Publishing Your Dissertation	13
Registering the Copyright of Your Dissertation	13
Use of Copyrighted Materials in Your Dissertation	13
Distributing Your Dissertation Within the University	14
Publishing Your Dissertation	14
APPENDICES	15
BIBLIOGRAPHY	25

LIST OF TABLES

Table

II.1	Sample Deadline Dates for Intended Final Term of Enrollment:	12
B.1	Quick Reference Chart For Membership On Dissertation Committees	24

LIST OF APPENDICES

Appendix

A.	Doctoral Candidate's Checklist	16
B.	Dissertation Committee Service Guidelines	19

CHAPTER I

Information Technology Support for Producing Dissertations

General computing services are coordinated by the Information Technology Central Services (ITCS) for all students, faculty and staff. Sometimes individual schools, colleges and academic units provide additional computing services; you should check with your own department or program to learn what is available.

ITCS provides students, faculty and regular staff on the University's Ann Arbor campus with a Basic Computing Package at no charge. For details on this package see ITCS's Website: www.itd.umich.edu. As a doctoral student, you may incur printing and other costs above and beyond your Basic Computing Package in the preparation of your dissertation.

Help with using services in the Basic Computing Package is available from ITCS consultants by telephone (764-HELP), by e-mail (online.consulting@umich.edu), or you may stop by the Angell Hall Courtyard site. You will find on-line documentation about specific products and services at this website: www.itd.umich.edu/itcsdocs

ITCS also provides and may charge for additional services such as printing, dial-in access, and IFS space. In addition, U-M students can purchase hardware, software and computer supplies at educational prices with the help of knowledgeable sales staff at the U-M Computer Showcase in the lower level of the Michigan Union or on the web at: showcase.itcs.umich.edu

Information on non-credit computing workshops and online tutorials is available at: www.itd.umich.edu/education.

Dissertation Format

Doctoral students at the University of Michigan must write their dissertations in accordance with formatting standards specified by the Rackham Graduate School. These specifications are derived from standards used across institutions of higher education to ensure consistency. The *Abstract and Dissertation Format Guidelines* are available at: **www.rackham.umich.edu/doctoral_students/**.

We strongly recommend that you consult with the staff of the Knowledge Navigation Center in the Graduate Library. They will be able to help you create your own template, and they also offer many helpful workshops. Please visit their website at: **www.lib.umich.edu/knc**.

CHAPTER II

Completing the Doctoral Degree Requirements

Before the Oral Defense – The Pre-Defense Meeting

After your committee has given preliminary approval to the final draft of your dissertation, you should make certain that your dissertation meets Rackham format requirements.

You must register on-line for a group Pre-Defense meeting at: www.rackham.umich.edu/doctoral_students/. Registration must be completed at least 3 working days before the meeting occurs. The Pre-Defense meeting you attend must occur at least 10 working days prior to the oral defense. At this meeting, the Rackham Abstract and Dissertation Format Guidelines will be reviewed along with the requirements for doctoral degree completion. It may be helpful to bring a copy of your dissertation and abstract to mark any corrections or notes for your reference during this meeting. Please note that staff will not check each dissertation and/or abstract individually. However, there will be time allowed at the end of the meeting to address any specific questions and/or concerns.

At the Pre-Defense meeting you will also receive a folder of forms and other instructions. These forms must be completed and returned to OARD by the deadline date determined by your registration. Deadlines are on the OARD website.

If you are not in town, you may have your Pre-Defense meeting by mail. Send one unbound copy of your dissertation and abstract to OARD along with a cover letter providing your: name, program, U of M identification number, date, time and place of the

oral defense, telephone number and email address where you can be reached during normal business hours. Include the names and fax numbers of each of your dissertation committee members and OARD will send the dissertation evaluation forms to them.

You are not required to make the corrections to your dissertation prior to your defense, but you must be certain that they are included with whatever revisions your committee wishes you to make after the oral defense. Most dissertations will need both content and format revisions. Please keep this in mind so that you do not miss the deadline you are working with.

Distributing Your Dissertation, Abstract and Evaluation Forms

You will receive the dissertation evaluation forms at the Pre-Defense meeting. Distribute the evaluation forms with copies of the dissertation and abstract to all committee members at least ten working days before the oral defense. If the student does not supply each committee member with an evaluation form and a copy of the dissertation and abstract at least ten working days before the oral defense, the committee member may ask for a postponement of the defense. Remind all committee members that the completed evaluation form is due in OARD three working days before your oral defense. The evaluations must be submitted directly by the committee member via fax or email. The fax number and email address are listed on the evaluation form as well as the OARD website.

It is your responsibility to follow up with your committee members and OARD, as many times as needed, to ensure that the evaluation forms have been returned. Committee members may return their evaluations to OARD in person; by fax to (734) 936-1809; or by e-mail to **evaluations@umich.edu**. They are strongly advised not to return them via campus mail. Once all of the evaluations have been received, a member of the OARD staff will check to make certain that everything is in order. To verify that all the evaluation forms have been completed and returned, go to **www.wolverineaccess.umich.edu** and click on “View my Committee.”

If you attend the Pre-Defense meeting less than ten working days before the oral defense, your dissertation committee chair must confirm in writing or email (oard.staff@umich.edu) that: 1) Your committee has agreed to conduct the oral defense on short notice; and 2) The evaluation forms will be returned to OARD by 5:00 p.m. no later than two working days before the oral defense.

Authorization of Your Oral Defense

If your committee members agree in their evaluation of your dissertation and consider it ready to be defended, OARD will authorize your oral defense as scheduled (a need for minor alterations will not affect this authorization). If major revisions are required, Rackham will check with your dissertation committee chair (or co-chairs) to confirm that your oral defense should proceed.

In the event of any disagreement among committee members over the acceptability of your dissertation, the Dean of the Graduate School (or his/her designee) will consult with your committee and will act as final arbiter. Either the oral defense will be authorized as scheduled or your committee will meet with you to discuss the matter further.

You should remember that authorization of your oral defense is only one stage in the process of completing your dissertation requirements. It has no bearing on the outcome of the oral defense or on your committee's final report.

Final Preparations for Your Oral Defense

Once OARD has received evaluations from all of your committee members and has authorized your oral defense, a defense packet will be prepared for you to pick up. You will be informed at the Pre-Defense meeting if you are required to bring proof of registration when you arrive to pick up your defense packet. You will then take your defense packet (containing authorization of your oral defense, each committee member's

confidential evaluation, and a form for the results of the oral defense) and deliver it, unopened, to your dissertation committee chair or co-chair at the defense.

Dissertation Committee Representation at the Oral Defense

At least four members of your dissertation committee including your chair or co-chair and your cognate member, must attend the oral defense. Attendance may be in person or by conference call. The chair must sign in on the Oral Examination Report form for any member that attends by conference call.

Guidelines for Substitutions at the Oral Defense

If your dissertation committee chair cannot attend the oral defense, you must either (a) change the date of your oral defense or (b) formally revise your dissertation committee so that you have two co-chairs rather than a sole chair. If option (b) is selected, your chair will request one of the regular members of your committee to serve as co-chair (this member must be able to attend). You must then complete and submit to OARD the Dissertation Committee Form available on the OARD website. Please note it must be signed by both your committee chair and your program chair, and must indicate the revisions to your committee. The form must be submitted at least two weeks prior to your defense.

If one co-chair cannot attend the oral defense, 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 your committee cannot participate in the oral defense, then you (or the committee member who will be absent) must find a substitute who will qualify as a cognate member in his/her own right.

If you must make a substitution for a regular member of your dissertation committee, you (or the committee member who will be absent) should seek a faculty member in your program who is knowledgeable about your area of research and is of equal or higher qualifications than the member for whom he/she is substituting.

Responsibilities of Substitute Members of Dissertation Committees

While a substitute member who attends the oral defense is not responsible for submitting an individual evaluation of the dissertation before the defense, he/she does participate in the writing and signing of the oral defense report as well as passing on the 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. At least four members of your committee must participate in the defense, including the chair and cognate member, and all members, whether attending or not, must return the evaluation forms before the defense.

Under exceptional circumstances, an absent committee member may request of your chair that a separate oral defense be held. If the chair agrees, he/she must notify OARD in advance of the intention to hold a separate oral defense. Your chair will then incorporate the findings from this separate defense into the final report of your oral defense performance.

The Oral Defense

The oral defense provides you with an excellent opportunity to leave the members of your dissertation committee with the best possible impression of you. Here are some

tips that may help.

First of all, it is useful for you to know what to expect in the course of an oral defense. Since defenses vary considerably from department to department and from committee to committee, be sure to talk to your chair about what you can expect to take place. While there is no set time limit for an oral defense, the average duration is two hours. When the oral defense has concluded, members of your dissertation committee will discuss your performance and agree on the revisions to be made to the dissertation.

There are a number of strategies you can pursue that will help you to negotiate the oral defense more smoothly. If possible, you should talk to students in your field who have recently defended their dissertations. Also consider attending a few oral defenses, in your own field if possible and also in related fields. Remember that oral defenses are public events—the date, time and place of every defense is posted in the Graduate School’s lobby as well as on the OARD website: www.rackham.umich.edu/doctoral_students/. Interested faculty, students, members of the public and even family members of the degree candidate are welcome to attend. Attending a number of oral defenses will give you a much better idea of what to anticipate at your own.

Another important strategy is to talk with your committee chair about what exactly will be expected of you at the oral defense. Many disciplines, for example, require the degree candidate to make an opening presentation. If there is a time limit to your presentation, or if you’re expected to follow a specific approach or cover a certain range of topics or issues, then be sure to take careful note of those expectations and follow them to the letter. It can also be helpful for you to practice your presentation by gathering together some of your fellow doctoral students for a trial run. They can provide you with helpful, knowledgeable and supportive critiques.

Situations can arise in the course of an oral defense that you simply cannot control or prepare for in advance. Be sure to talk to your committee chair and to other faculty in your field beforehand about ways in which awkward situations, such as potential disagreements among committee members, can be addressed tactfully while keeping your

oral defense on track. These are important skills to learn and ones that will stand you in good stead when you make presentations at other venues.

One final note: It is extremely rare for a dissertation to be approved without revisions, so be prepared, once your oral defense is finished, to begin work immediately on your revisions. There are still other requirements you will need to meet by specific deadlines before you are finished.

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

The Graduate School requires two final copies of your dissertation (one paper copy to be submitted to Rackham at your post-defense meeting, and one paper copy to be deposited at a Rackham approved bindery or uploaded as a PDF file using the online submission option). Because the final dissertation deadline is inflexible, it is essential that you make the revisions and corrections to your dissertation as soon as possible after your oral defense. Be sure to show the corrections to your committee chair (or one of your co-chairs) so that he/she can certify that all required revisions and corrections have been made and are acceptable.

As soon as your corrections have been approved by your chair, you will need to register online for a post-defense meeting. Go to **www.rackham.umich.edu/doctoral_students/**, fill in the required fields including your first, second and third choices for the meeting time. Meeting times are between 9:00 am and 4:00 pm only and cannot be scheduled any sooner than two business days after registration. At this meeting, an OARD Evaluator will review your dissertation and abstract, page by page, to verify that the documents are in the correct format. Bring with you to this appointment the following that you will leave with OARD:

- One unbound, corrected copy of your dissertation;
- Two corrected copies of your abstract;

- One additional copy of your title page; and
- Your completed paperwork from the Pre-Defense meeting.

It is rare for a dissertation to be approved by OARD without requiring format revisions. Allow enough time before your deadline to make further revisions after having your format checked by an OARD Evaluator at the post-defense meeting.

Once the final format check is completed, you will take another corrected copy of your dissertation to an approved bindery and pay to have it bound for the Graduate School. If you plan to give bound copies to members of your committee or to others, you may wish to make those arrangements at that time. As an alternative to taking a copy to the bindery, you may wish to upload the dissertation as a PDF file using the dissertation online submission option.

Your committee chair is responsible for returning to OARD the evaluation forms, Final Oral Report Examination and Certificate of Dissertation Committee Approval certifying that all requested corrections to your dissertation have been completed. All forms and materials must be turned in to OARD by 5:00 p.m. on the final deadline date. Although it is your Chair's responsibility to return these items, it is your degree requirement, so you may want to volunteer to return them yourself. Remember that it is your responsibility to deal with any delays you may encounter from any source.

Binding

Before you take your dissertation copies to a bindery, be sure that the pages are collated properly and that no pages are upside down, reversed or improperly aligned. The bindery is not responsible for such errors, and later repairs will be very costly.

One copy of your dissertation must be bound in a hard cover of plain black material for the Graduate School. The approved binderies below are aware of the Rackham binding requirements. Your full legal name with the University, the title of your dissertation, and

the year your degree will be conferred should be stamped in gold on the spine of the bound copy, from top to bottom. If your dissertation consists of more than one volume, be sure that the volume number is 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

Finishing Steps

The final dissertation deadline is a firm, inflexible date, and extensions are not permissible. By 5:00 p.m. on this date you must have completed all degree requirements including all format revisions. If you fail to meet the final deadline, you cannot be listed among the degree recipients for that particular term, nor can you participate in commencement. If you are using the grace period deadline, you will also have to register (and pay) for another full term of candidacy tuition.

If you have indicated to OARD that you plan to attend commencement, you will be informed by email about commencement. For the most detailed and up-to-date

commencement information, see www.umich.edu/~gradinfo. You may pick up your diploma from the Diploma Office the week before until the week after commencement. If you attend commencement in the term in which your degree is conferred, you will receive your diploma as you cross the stage. Otherwise, your diploma will be mailed to you approximately three weeks after commencement.

It is also important to be certain that all of your debts to the University are paid before the end of the term. The University will not issue your diploma or your official transcript until your account has been settled.

Table II.1 Sample Deadline Dates for Intended Final Term of Enrollment: Fall 2007

Degree Conferral Date	Dec. 16, 2007
Last Day to Defend with a Fall Registration	Oct. 23, 2007
All Requirements Must be Completed	Oct. 23, 2007
Degree Conferral Date	Apr. 25, 2008
Last Day to Defend with a Fall Registration	Dec. 20, 2007
All Requirements Must be Completed	Feb. 4, 2008

CHAPTER III

Copyrighting, Distributing and Publishing Your Dissertation

Registering the Copyright of Your Dissertation

Registering the copyright of your dissertation is not a requirement of the Graduate School. Because the decision to register the copyright varies considerably among departments and individuals, it is important to discuss the advantages and disadvantages of copyright registration with members of your dissertation committee. It is recommended that you insert an unnumbered copyright page after the Title Page (and Frontispiece, if included) of your dissertation. If you choose to register the copyright, you must submit a certified check or money order (with no expiration date), made out to PQIL at your post-defense meeting to pay for your copyright registration.

Use of Copyrighted Materials in Your Dissertation

It is important to give careful attention to any copyrighted material that you use in your dissertation. Whenever you quote copyrighted material, it is important to abide by the “fair use” doctrine or obtain written permission from the copyright owner to reproduce the material. More information on copyright can be found at:

U.S. Copyright Office
www.loc.gov/copyright

University of Michigan Copyright Information
www.copyright.umich.edu

If you require permission from the copyright owner, remember to ask for permission for yourself and for your publisher (e.g., ProQuest/UMI or others). Be sure you retain complete documentation of every instance for which you have received permission to use copyrighted material in your dissertation. Also remember that, as the author, you are the one responsible for obtaining permission and that you are also responsible for any damages arising from copyright violation.

Distributing Your Dissertation Within the University

The unbound copy of your dissertation that you submit to OARD at your Post-Defense meeting will be microfilmed, bound, and forwarded to your department/program office. The bound copy from the bindery (or PDF copy if using the online submission option) will be placed within the University's Graduate Library. You will need to make additional copies of your bound dissertation if your department asks you to provide them an extra copy, or if you decide to distribute copies to your committee, family, or friends.

Publishing Your Dissertation

It is a requirement of the Rackham School of Graduate Studies that every doctoral dissertation and abstract be published. Candidates meet this requirement through Publication by ProQuest/UMI. You will need to sign an agreement with ProQuest/UMI to make your dissertation available on microfilm. ProQuest/UMI will, in turn, make the necessary arrangements for (a) publishing the abstract in *Dissertation Abstracts International* www.umi.com ; (b) preparing a negative microfilm copy of the dissertation; and (c) depositing positive microfilm copies in the University Graduate Library. This arrangement does not prevent you from later publishing your dissertation in parts or in its entirety. You may also file a request with ProQuest/UMI to register the copyright for the dissertation in your name and at your expense. This optional copyright registration request is included in the publication agreement form. Once your dissertation has been microfilmed, it will be bound and sent to your department.

APPENDICES

APPENDIX A

Doctoral Candidate's Checklist

Getting Started

Earning your doctoral degree is a complex process. There are innumerable details to deal with as you try to complete your coursework, carry out your research, and commence writing your dissertation. You can avoid a lot of problems if you take time to inform yourself of all degree requirements and review them periodically. The following is designed to alert you to useful sources of information about degree requirements and to remind you of various procedures and tasks that you may need to take care of along the way.

Appreciation

Before you do anything else, take a moment to reflect on how much you have already accomplished. Make a point of doing this regularly so that you can keep the dissertation process in perspective.

Staying Informed

Dealing with the complexities of the doctoral degree process is easier if you avoid a backlog of annoying little tasks that will have to be dealt with sooner or later. To this end, staying informed of what is expected and required of you is essential. Therefore, it is suggested that you visit the OARD website often!

www.rackham.umich.edu/doctoral_students/ This site contains a wealth of material that is readily accessible to you even when you are away from campus, and it receives periodic and timely updates and expansions.

Rackham Graduate School Academic Policies

This volume contains all the rules, regulations and guidelines that you need to know about as a graduate student, and it has been put on the OARD website for easy reference.

Workshops

ITCS (www.itcs.umich.edu/workshops) and the University of Michigan Library (www.lib.umich.edu/exploratory/digworkshops.php) offer a variety of workshops ranging from basic word processing to highly technical applications that can be of great help to you. Be sure to check them out.

The Graduate School also offers workshops that focus on various aspects of the dissertation process. Upcoming sessions will also address other relevant aspects of “doctoral life” such as forming your 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 of these workshops are sent via e-mail to all graduate students as part of Rackham’s monthly e-mail newsletter. You will also find announcements and workshop materials on the Rackham website: www.rackham.umich.edu/student_life/workshops

Changes in Dissertation Committee Membership

The individual composition of your dissertation committee must be approved by the Graduate School. If you need to add or remove a committee member, be sure you complete and submit to OARD a Dissertation Committee Form reflecting the changes. The Dissertation Committee Form can be downloaded from the Rackham Academic Records and Dissertations website: www.rackham.umich.edu/doctoral_students/. The complete guidelines for Dissertation Committee formation are also located on the Rackham OARD website:

A Timetable for Completing Your Research and Your Dissertation

You should plan to meet with your dissertation committee chair (or co-chairs) to draft a reasonable timetable for completing your degree requirements. Be sure to incorporate into your plan any anticipated faculty leaves or absences. Also plan to meet periodically with committee members to review your progress and to revise the timetable or plan next steps, as necessary. As you develop and revise your timetable, be sure to stay informed of any doctoral deadlines that may apply to or affect that timetable. Deadlines for each term are posted on the OARD 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) at (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.

Financial Obligations

Students who have not met their financial obligations to the University will have a financial “hold” placed on their account. Even a small library fine or an unpaid housing fee can result in a “hold.” A financial “hold” can prevent you from receiving your official transcript and diploma. Stay abreast of your financial obligations and try to deal with them in a timely fashion so that they don’t cause problems and distractions for you as you’re trying to complete your degree work.

APPENDIX B

Dissertation Committee Service Guidelines

The selection of dissertation committee members is of critical importance to the success of your doctoral degree work. Committee members are expected to have specific and complementary knowledge of your area of research and to provide you with guidance and support throughout the research and writing process. Give careful thought to the people you are considering for your committee and begin assembling the committee as early in your doctoral program as feasible. To assist you in this process, we are pleased to provide the following guidelines.

Guidelines for Dissertation Committee Service

IMPORTANT TO REMEMBER: It is recommended that the membership of the dissertation committee be submitted to the Graduate School for approval at least 6 months prior to your oral defense.

The Graduate Faculty

For dissertation committee purposes, “The Graduate Faculty” consists of all persons holding a regular or “unmodified” (i.e., not visiting, adjunct, etc.) appointment at the University of Michigan as Professor, Associate Professor, or Assistant Professor with an earned Doctorate from an accredited institution.

Composition of the Dissertation Committee

Dissertation committees must have at least **four** members, three of whom are regular members of the Graduate Faculty (see definition above), and two of whom are from the doctoral candidate’s home program. Furthermore, each committee

- Must have a sole chair or two co-chairs;

- Must have a cognate member who is familiar with the standards for doctoral research and holds at least a .50 appointment in a Rackham doctoral program, other than the student's home department/program (except IDP programs.)
- May include a University faculty member who is not a regular member of the Graduate Faculty, a University staff member, or a qualified individual outside the University to provide expertise in the candidate's discipline.

Roles of the Chair (or Co-chairs) and Cognate Member

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. The end result of this effort is expected to be a dissertation that makes a substantive contribution to the candidate's discipline.

The cognate member's role is to broaden the scholarly representation of the dissertation committee beyond the candidate's home program. The cognate member also serves the Graduate School and its Faculty by providing a non-specialist's perspective on the quality of the dissertation.

Eligibility for Service on Dissertation Committees

Nominations for dissertation committee service are made by means of the Dissertation Committee form found on the Rackham OARD website, which must be signed by the chair of the doctoral candidate's program. All nominations must be approved by the Graduate School and are subject to the following guidelines:

1. Regular members of the Graduate Faculty—i.e., Professors, Associate Professors, and Assistant Professors—affiliated with a Rackham doctoral program and who hold an earned Doctorate from an accredited institution may serve as a member of the committee, or as sole chair, co-chair, or cognate member.
2. Regular members of the Graduate Faculty not affiliated with a Rackham doctoral program may serve on dissertation committees. They may also serve as co-chair

with a regular member of the Graduate Faculty affiliated with a Rackham doctoral program, but not as sole chair or cognate member.

3. Instructors and Lecturers who have no appointment as members of the regular Graduate Faculty may serve on dissertation committees if they hold an earned Doctorate from an accredited institution. They may also serve as co-chair with a regular member of the Graduate Faculty affiliated with a Rackham doctoral program, but not as sole chair or cognate member.
4. Retired and *emeriti* Professors who were affiliated with a Rackham doctoral program may serve on dissertation committees. They may also serve as co-chair or, by special arrangement (see Special Membership form), as sole chair or cognate member.
5. Research Professors (RP, i.e., Research Professors and Research Associate Professors) who are affiliated with a Rackham doctoral program may serve on dissertation committees if they hold an earned Doctorate from an accredited institution. They may serve as a Co-Chair, regular member or by special arrangement as a sole Chair.
6. Research Scientists (RS, i.e., Research Scientists, Associate Research Scientists, Assistant Research Scientists, Research Assistant Professors, and Research Investigators) who are affiliated with a Rackham doctoral program may serve on dissertation committees if they hold an earned Doctorate from an accredited institution (see Special Membership form). They may not serve as sole Chair or Cognate member.
7. All those who do not have an earned 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 a member of the committee, as the sole chair, co-chair, or cognate member.

8. University faculty and staff not included in the preceding categories and qualified individuals outside the University whose service is desirable may serve on dissertation committees, subject to review on a case by case basis. They may also serve as co-chair with a regular member of the Graduate Faculty affiliated with a Rackham doctoral program, but not as sole chair or cognate member.

N.B. No person working toward a doctoral degree may serve on a dissertation committee until all requirements for the degree have been met.

N.B. University faculty who were approved to serve as sole chair or cognate member but who are no longer affiliated with the University may not continue to serve as the sole chair or as the cognate member. The faculty member may serve as a co-chair or as a regular member based upon the eligibility guidelines for dissertation committee service.

Additional Documentation Required

The Dissertation Committee form must always be accompanied by the Special Membership form, available online at www.rackham.umich.edu/doctoral_students/, and by additional documentation when the following nominations are being made:

1) Nomination for special assignment on the dissertation committee:

University faculty and staff who are not regular faculty, and qualified people from outside the University of Michigan who may or may not hold academic appointments and whose service on the Dissertation Committee would contribute significantly, may be nominated for special membership by submitting:

Special Membership form with appropriate signature, a memo detailing the nominee's expertise in the dissertation topic, a Vita or resume, and the Dissertation Committee form.

2) Nomination to have a retired professor serve as chair or cognate on a dissertation committee:

A retired Professor may be nominated to serve as a chair or cognate* on a dissertation committee by submitting: Special Membership form with appropriate signature, the Dissertation Committee form, and a memo signed by the retired professor confirming that he/she has:

- experience in 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

* Previous experience as a cognate is not required for nomination as cognate (cognate criteria must be met---see committee formation guidelines).

Table B.1 Quick 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 <u>Special Membership Form</u> and Supporting Documents	Yes	No	Yes
Full, Associate, or Assistant Professor without earned Doctorate but with Rackham affiliation**	With <u>Special Membership Form</u> and Supporting Documents	With <u>Special Membership Form</u> and Supporting Documents	With <u>Special Membership Form</u> and Supporting Documents	With <u>Special Membership Form</u> 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 <u>Special Membership Form</u> and Supporting Documents	No	With <u>Special Membership Form</u> and Supporting Documents
Research Scientists, Associate Research Scientists, Assistant Research Scientists, Research Assistant Professors or Research Investigators, all with earned Doctorate	No	With <u>Special Membership Form</u> and Supporting Documents	No	With <u>Special Membership Form</u> and Supporting Documents
Retired/Emeritus Professor	With <u>Special Membership Form</u> and Supporting Documents	Yes	With <u>Special Membership Form</u> and Supporting Documents	Yes
Non-University of Michigan with or without earned Doctorate	No	With <u>Special Membership Form</u> and Supporting Documents	No	With <u>Special Membership Form</u> and Supporting Documents
University of Michigan Non-Regular Faculty with or without earned Doctorate	No	With <u>Special Membership Form</u> and Supporting Documents	No	With <u>Special Membership Form</u> and Supporting Documents
Committee Member no longer employed at University of Michigan****	No	With Regular Member	No	Yes

* Professors with less than a 50% appointment must have special approval from the Director of OARD (or designee) to serve as cognate.

** Must be approved on a case by case basis by the Director of OARD (or designee).

*** No Rackham affiliation required.

**** University faculty who were approved to serve as sole Chair or Cognate member but who are no longer affiliated with the University may not continue to serve as the sole Chair or Cognate member. The faculty member may serve as a Co-Chair or as a regular member based upon the eligibility guidelines for dissertation committee service.

Updated
4.08

- A committee must have a minimum of four members.
- Of the four, three members must be from a Rackham Doctoral Program.
- Of the four, two members must be from the student's home department or program.
- Of the four, one member must have a 50% appointment in a Rackham doctoral program, other than the student's home department/program (except IDP programs).
- Three members must have an appointment as professor, associate professor, or assistant professor with an earned Doctorate.

BIBLIOGRAPHY

BIBLIOGRAPHY

Miller, Joan I. and Taylor, Bruce J. *The Thesis Writer's Handbook*. Oregon: Alcove Publishing Co., 1987.

Modern Language Association of America. *MLA Handbook for Writers of Research Papers, Theses, and Dissertations*. 3rd ed. New York: Modern Language Association, 1988.

Turabian, Kate L., Grossman, John, and Bennett, Alice. *A Manual for Writers of Term Papers, Theses, and Dissertations: Chicago Guides to Writing, Editing, and Publishing*. 6th rev. ed. Chicago: University of Chicago Press, 1996.

University of Chicago Press. *The Chicago Manual of Style: The Essential Guide for Writers, Editors, and Publishers*. 14th ed. Chicago: University of Chicago Press, 1993.

van Leunen, Mary-Claire. *A Handbook for Scholars*. 2nd ed. New York: Alfred A. Knopf, Inc., 1992.