

**UNIVERSITY AT ALBANY, STATE UNIVERSITY OF NEW YORK**  
**THE GRADUATE OFFICE**

**GENERAL REGULATIONS GOVERNING THE SUBMISSION OF A  
DISSERTATION  
IN PARTIAL FULFILLMENT OF THE REQUIREMENTS FOR A DOCTORAL  
DEGREE**

The dissertation is the culmination of a program of advanced study leading to a doctoral degree and, as such, must attest to the attainment of a high degree of scholarly competence. The dissertation must report in accepted scholarly style the investigation of a problem of significance, if not a unique contribution, in the major field of study. It must demonstrate that the candidate is capable of sophisticated, independent research and analysis, and scholarly reporting in an academic discipline or professional field.

Responsibility for the evaluation and acceptance of a dissertation rests with the major department and the candidate's dissertation or doctoral committee.

The student ordinarily must be admitted to candidacy at least one semester (exclusive of a summer session) before the acceptance of the dissertation.

General regulations and procedures governing the preparation and submission of doctoral dissertation are given below. Full information including detailed procedures and qualifications for undertaking a doctoral dissertation is available in the student's major department or school and should be obtained by the student (and the dissertation adviser) at the beginning of the planning for the research and writing of a dissertation.

1. Each doctoral candidate is required to submit two copies of the accepted dissertation and abstract to the Graduate Studies Office, UAB121. One of these copies, without errors or corrections, must be on 100% cotton or rag bond paper, non-recycled and the other, without errors or corrections, must be on 25% cotton or rag bond paper, non-recycled. Look for the watermark. (Both copies on 100% cotton or rag bond, non-recycled paper is acceptable.) **If you buy your paper at Kinko's, we will need a written statement from them, stating that the paper is cotton or rag paper and free from recycled content** The abstract must be included within the dissertation and paginated with Roman numerals. The abstract must not exceed 350 words.

If either of your volumes are over 3", it will have to be split into two volumes and we will need to have another title page and copyright page and you will need to tell us where you want it split.

NOTE: Dissertations should be submitted in sturdy boxes which are strong enough to protect the work while it is transmitted through various processing stages before being bound. **Do not put rubber bands or use any size binding clips**

**around your original copies of your dissertation, they will damage the paper and render it unacceptable.**

Correction tape or fluid (White-Out) cannot be used on any copy submitted to the Graduate Studies Office.

**Back to back copies are not acceptable.**

2. The paper must be all the same color white (not off-white) and without ruled margin lines.
3. Attached are sample copies of a dissertation transmittal form, a copyright page, and a dissertation title page. (*Student prepares appropriate pages.*)
4. After binding the original, on 100%, is filed in the archives of the University Library. After binding the copy on 25%, is filed in the office of the student's school dean or department chair.
5. Pages of the dissertation should have margins as follows:

Inner margin (left side), 1 ½ inches

Outer margin (right side), 1 inch

Upper margin (top), 1 inch

Lower margin (bottom), 1 inch

**Running Headers or Running Footers are not acceptable.**

**Charts, figures, maps, surveys, tables or other documents to be included as part of the dissertation must have the above listed margins and be consecutively numbered within the dissertation. (If necessary, a reduced copy would be acceptable if print is still large enough for microfilming. The page number, however, should not be reduced, but typed or printed in the same size font as all other pages.) Colored pictures and charts are acceptable.**

6. In numbering the pages of the dissertation **every page should be counted**. Those pages which precede the actual beginning of the first chapter, or introductory chapter, should be numbered in small Roman numerals. The title page (*and copyright page if you are planning to copyright and pay for copyright*) is counted within this preliminary sequence of Roman numerals, but **does not contain a page number**. The abstract is paginated with Roman numerals. Beginning with the first page of the text material of the first, or introductory chapter, pages should be numbered consecutively, with Arabic numerals, starting with Arabic numeral 1 and continuing to the end of all material presented.

The position of the page number is at the bottom of the page, centered between the left and right margins and within the bottom margin area.

**Every page, except for the title and copyright pages, must have a consecutive page number. This includes abstract, all charts, figures, maps, illustrations,**

**surveys, tables appendices or other incorporated documents. The page number must be in the same position as the basic text.**

7. The student should be guided by departmental directions to students for format, style, and general procedures in writing and submitting the dissertation. Directions may be obtained from the major department or school.
8. The student submits, unbound, the required (2) final copies of the dissertation and abstract to the department or school for approval.
9. The chair of the student's doctoral committee or adviser (depending on departmental procedures) arranges for the reading and evaluation of the dissertation.
10. The department chair or dean notifies the student and the Graduate Studies Office as to the official evaluation of the dissertation if it is accepted or not accepted.
11. **COST:** Upon final acceptance of a dissertation, the student makes a pre-payment of charges to "University at Albany", at the circulation desk at the University Library to cover the costs of binding and microfilm publication of the dissertations. **(See Form A attached which must accompany payment).**

This service is open from 9:00 a.m. to 3:00 p.m., Monday through Friday.

*The University Library no longer binds personal copies. The Barnes & Noble Bookstore, at the University, has a list of websites to get information about binding personal copies.*

12. Following departmental approval, the two copies of the dissertation must be submitted to the Graduate Studies Office along with the following filled out forms:
  - (a) The (Departmental Approval/Transmittal Form) Student is to generate this **original** form and have it signed by the readers and department chair. **The title on this form and on your dissertation must be the same.** The **original** form is placed in the students records folder. **This form will not be bound as part of your dissertation.** (see SAMPLE A)
  - (b) The "Recommendation for Conferral of the Doctoral Degree" form. The original is prepared by the department and submitted either by department or student. (see SAMPLE B)
  - (c) a library receipt from the student for the prepayment of binding and microfilming charges, (see **FORM A** for prices)

(NOTE: If copyrighting, please include a copyright page after the title page see SAMPLE C for format).

- (d) "Doctoral Dissertation Agreement" of the UMI brochure (folded insert).

Attach a copy of dissertation title page and abstract to the agreement form and include the name of dissertation advisor. (The UMI brochure may be obtained from the Graduate Office or it is available online at: <http://www.il.proquest.com/dissertationagree>. **Note:** This website will ask for an Userid and password. Enter dissertations for Userid and publish for password-be sure all letters are lower case)

(e) N.S.F. Survey of Earned Doctorates. (May be obtained from the Graduate Office or available online at: <http://www.grad.uiuc.edu/forms/SurveyOfEarnedDoctorates.pdf>)

(f) Information/Checklist for Doctoral Students (*filled out by student*)

13. Dissertations approved must be transmitted to the Graduate Studies Office, UAB121: by May 1 for degrees to be conferred in May, by August 1 for degrees to be conferred in August, by December 1 for degrees to be conferred in December.

The Director of Graduate Studies, UAB121, subsequently notifies the Registrar of the acceptance of the dissertation and transmits the dissertation to the University Library for binding, microfilming, distribution, and filing.

14. No grade or academic credit is assigned to a doctoral dissertation. The title of the accepted dissertation appears on the student's transcript and in the commencement bulletin.

15. Any questions regarding these general regulations should be addressed to: Office of Graduate Studies in, UAB121, Phone (518) 442-3980. Office hours during the academic year are from 8:30 a.m. - 5:00 p.m.

NOTE: Each student completing a doctoral program must submit a completed Degree Application to the Registrar's Office early in the semester during which s/he completes all degree requirements. If the student does not complete the degree as scheduled, s/he must reapply for the degree each semester until s/he actually graduates. No degree application will be automatically carried forth to the next semester.

University at Albany, State University of New York

COLLEGE OF ARTS & SCIENCES

The dissertation submitted by

Barbara A. Smith

under the title

The Comparative Effects of Simulation-  
Modeling-Behavior Learning, Traditional Learning,  
and Control Group Treatments Upon the  
Acquisition of Interviewee Skills by  
High School Students

has been read by the undersigned. It is hereby recommended for acceptance to the Faculty of the University in partial fulfillment of the requirement for the degree of Doctor of Philosophy.

\_\_\_\_\_  
(Signed)

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Signed)

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Signed)

\_\_\_\_\_  
(Date)

Recommended by the Department of \_\_\_\_\_

\_\_\_\_\_, Chair.

(Signed)

Recommendation accepted on behalf of the Graduate Academic Council.

\_\_\_\_\_  
(Signed)

\_\_\_\_\_  
(Date)

THE UNIVERSITY AT ALBANY

**Recommendation for Conferral of Doctoral Degree**

**TO:** Dean of Graduate Studies

**NAME OF STUDENT:** \_\_\_\_\_ **STUDENT NUMBER:** \_\_\_\_\_

**ADDRESS:** \_\_\_\_\_ **TELEPHONE NO.:** \_\_\_\_\_

**DEGREE:** \_\_\_\_\_ **DEPT. OR MAJOR FIELD:** \_\_\_\_\_

**Date Study begun for doctoral degree at The University at Albany:** \_\_\_\_\_

The above student has fulfilled requirements for the doctorate as of the dates indicated:

1. Admitted to candidacy \_\_\_\_\_  
(date)
2. Satisfactory completion of internship (if required) \_\_\_\_\_  
(date completed)
3. Approval of dissertation topic \_\_\_\_\_  
(date)
4. Dissertation submitted, read and approved \_\_\_\_\_  
(date approved)
5. Satisfactory defense of dissertation \_\_\_\_\_  
(date completed)
6. Dissertation and abstract transmitted to Office of Graduate Studies (along with required certifications)  
\_\_\_\_\_  
(date)
7. Dissertation title \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

The above student has completed all program requirements for the Doctor of \_\_\_\_\_,  
in \_\_\_\_\_, and is hereby recommended for award of the degree.

Signature of Department Chair \_\_\_\_\_

Date \_\_\_\_\_

cc: Dean  
Adviser  
Student

**REMINDER:** Each student who is eligible for conferral of a degree must file a Degree Application with the Registrar early in the semester during which he completes all degree requirements.

SAMPLE D (prepared by student)  
TITLE PAGE FOR DISSERTATION

PROPERTIES OF SOME FREE RADICALS  
GENERATED IN THE REDUCTION OF  
ALKYL HALIDES BY ORGANIC HYDRIDES

by

Barbara A. Smith

A Dissertation

Submitted to the University at Albany, State University of New York

in Partial Fulfillment of

the Requirements for the Degree of

Doctor of Philosophy

College of Arts & Sciences

Department of Chemistry

2006

SAMPLE C (prepared by student)  
COPYRIGHT PAGE

The Comparative Effects of Simulation-  
Modeling-Behavior Learning, Traditional Learning,  
and Control Group Treatments Upon the  
Acquisition of Interviewee Skills by  
High School Students

by

Barbara A. Smith

COPYRIGHT 2006

FORM A

OFFICE OF GRADUATE STUDIES

REQUIRED FEES FOR THESES AND DISSERTATIONS

1.	<u>MASTER THESIS</u> : Bindery Fee		INDICATE SELECTIONS
	Original and One Copy (required)	\$21.00*	_____
2.	<u>DOCTORAL DISSERTATION</u> : Bindery, Microfilm, and Copyright Fees		
	Microfilming and Binding (required)	\$80.00*	
	Copyright (optional)	\$52.00*	
	TOTAL (not including copyright)	\$80.00*	_____
	TOTAL (including copyright)	\$132.00*	_____
	TOTAL FEES TO BE PAID		\$_____

\*RATES SUBJECT TO CHANGE.

\*\*\*\*\*

All fees should be paid at the Library Circulation Desk of the University Library between 9 a.m. and 3 p.m. Monday through Friday before coming to the Graduate Studies Office. Payments in check or money order should be made payable to The University at Albany.

\*\*\*\*\*

**THESIS & DISSERTATION BINDING - PERSONAL COPIES**

The University Library arranges (only) for binding of the required two copies of your thesis or dissertation.

The Barnes & Noble Bookstore, at the University, has a list of websites about personal binding.

Barnes & Noble Bookstore - (518) 442-5690

*and*

We are also aware that the following firm offers reasonably priced binding services:

Long's-Roullet Bookbinders, Inc.  
http://www.longs-roullet.com bookdr@ix.netcom.com  
ph 757/623-4244 fx 757/627-1404

DINSTR.DOC (Revised 9/11/06)

**INFORMATION/CHECKLIST FOR DOCTORAL STUDENTS**

Please *print neatly* or *type* the information requested on this form and return it to the Office of Graduate Studies UAB 121 when you hand in your dissertation.

YOUR NAME: \_\_\_\_\_ I.D. # \_\_\_\_\_

TODAY'S DATE: \_\_\_\_\_

**HOW CAN WE REACH YOU:**

**Current Address:** \_\_\_\_\_  
\_\_\_\_\_

**Current Phone # (Work):** \_\_\_\_\_ **Current E-Mail Address:** \_\_\_\_\_

**Current Phone # (Home):** \_\_\_\_\_

**Future Address :** \_\_\_\_\_  
\_\_\_\_\_

**Future Phone # (Work):** \_\_\_\_\_ **Future E-Mail Address:** \_\_\_\_\_

**Future Phone # (Home):** \_\_\_\_\_ **Effective E-Mail Date:** \_\_\_\_\_  
**Effective Date:** \_\_\_\_\_

Do you plan to attend Commencement?  Yes  No

If you do plan to attend Commencement, where should we send your invitation?

**ADDRESS:** \_\_\_\_\_  
\_\_\_\_\_

**Dissertation Committee Chairperson:** \_\_\_\_\_

Have you submitted your "Degree Application" to the Registrar's Office for the semester you anticipate to graduate?  
 YES  NO

*If you have not yet submitted your "Degree Application", and you do plan to graduate this semester, please do so immediately!* This can be done on MyUAlbany

**The following is a summary of items to be submitted to the Graduate Office in UAB 121:**

- \_\_\_ One original copy of your Dissertation on 100% cotton or rag bond paper, non-recycled
- \_\_\_ One original copy of your Dissertation on 25% cotton or rag bond paper, non-recycled
- \_\_\_ UMI Doctoral Dissertation Agreement Form filled out and signed with Title Page, Abstract Pages (and Copyright if applicable)
- \_\_\_ NSF Survey of Earned Doctorates
- \_\_\_ Recommendation for Conferral from Department (*prepared by department*)
- \_\_\_ Departmental Approval/Transmittal Form - with signatures - (*prepared by student*)
- \_\_\_ Receipt from Library for Binding, Filming & Copyright (optional)