

UNIVERSITY AT ALBANY, STATE UNIVERSITY OF NEW YORK

OFFICE OF GRADUATE STUDIES

**GENERAL REGULATIONS GOVERNING THE SUBMISSION OF A PRINTED
(NON-DIGITAL) DISSERTATION**

**FOR FINAL APPROVAL AND PUBLICATION 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 and publishable 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 substantive evaluation and acceptance of a dissertation rests with the major department and the candidate's dissertation or doctoral committee. Doctoral candidates should become familiar with University requirements toward that end as detailed in the *Graduate Bulletin*
http://www.albany.edu/graduatebulletin/requirements_doctoral_degree.htm
as well as any other program specific approval requirements as specified by the applicable academic department.

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 a final approved doctoral dissertation are given below. Information including 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.

FINAL SUBMITTAL REQUIREMENTS

General Requirements – Paper, Copies and Submittal Details

Each doctoral candidate is required to submit two unbound copies of the accepted dissertation and abstract to the Graduate Studies Office UAB121. One of these copies, without errors or visible correction marks, must be on 100% cotton or rag bond paper, non-recycled, and the second copy, without errors or visible correction marks, must be on 25% cotton or rag bond paper, non-recycled. A visible paper watermark will

typically demonstrate the paper to be of proper content. (Both copies on 100% cotton or rag bond, non-recycled paper is acceptable.) If paper is purchased without an appropriate and visible watermark, the dissertation must be submitted with a written statement from the vendor identifying the paper manufacturer and weight, as well as a certifying statement that the paper is of proper (100%; 25%) cotton or rag content and free from recycled materials.

All pages of the dissertation, including title pages, abstract and appendices must be printed on the required paper(s). The signature/approval page for the dissertation is not considered part of the dissertation itself and therefore does not need to be on special paper.

An abstract must be included within the dissertation and paginated, along with other prefatory pages, with lower case Roman numerals. The abstract should not exceed 350 words.

If either of the dissertation copies measures over 3” thick, it will have to be split for binding into two volumes and must be submitted with an additional title page (and copyright page, if applicable). The author will need to specify the desired split point.

Dissertations should be submitted in sturdy boxes with tops 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 as they might 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 printing is *not* acceptable.

The paper must be all the same color - white (not off-white or cream) and without ruled margin lines.

Attached are sample copies of a dissertation approval/transmittal form, a dissertation title page and a copyright page (the latter for preparation if optional copyright application is selected by the author). It is expected that the student prepares these pages.

The dissertation will be processed for publication and microfilming by the University’s vendor, UMI/Proquest, and then bound. After binding, the original on 100%, is filed in the archives of the University Library. The copy on 25% will be forwarded for filing in the office of the student’s school dean or department chair.

Margins

All pages of the dissertation should have margins as follows, from portrait orientation:

Inner margin (left side), 1 & ½ inches

Outer margin (right side), 1 inch
Upper margin (top), 1 inch
Lower margin (bottom), 1 inch

Candidates are advised to check printed pages with a ruler to insure the margin accuracy of the word processing program used. The extra half-inch on the left edge is to accommodate physical binding. Landscape printed pages are allowable, if necessary, to display a figure, table or image that will not fit as well on the page in portrait orientation. Please note, however, that the margins on the page need to be the same as all others, with 1 & ½ inches on the left from a portrait orientation.

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.

Pagination

In numbering the pages of the dissertation, **every page should be counted** and all except the title and copyright pages must have a printed number appear. The prefatory pages which precede the actual beginning of the first chapter, or introductory chapter, should be numbered in lower case Roman numerals. The title page (*and copyright page if you are planning to authorize and pay UMI/Proquest to apply for copyright on your behalf*) is counted within this preliminary sequence of Roman numerals, but **does not contain a printed page number**. The abstract is paginated within the lower case Roman prefatory pages. 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 to be at the bottom of the page in portrait orientation, 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 the abstract, all charts, figures, maps, illustrations, surveys, tables, appendices or other incorporated documents. The page number must be in the same position on all pages. Landscape printed pages, while permissible, must none-the-less contain the printed page number at the same physical location as all others – bottom centered from a portrait orientation. Microsoft Word users may find it helpful to visit <http://support.microsoft.com/?kbid=211930> for assistance.

Style

The student should be guided by departmental directions to students for dissertation format and style common to the discipline, i.e., APA, MLA, Turabian, etc. Additionally, attention should be directed to “Guide 1: Preparing Your Manuscript for Submission to Proquest/UMI” at <http://www.il.proquest.com/dissertationagree/>. Access to this site is restricted. Enter username = dissertations and password = publish.

Departmental Consideration Prior to Final Submittal to the Office of Graduate Studies

The student should be guided by program and/or departmental procedures and requirements for presenting the final dissertation and obtaining committee and departmental approval. Practices and procedures vary slightly among programs. It is common that the student submits a copy or final draft for reading and review, defense and final faculty evaluation. The Department Chair or Dean notifies the Graduate Studies Office as to the official final evaluation of the final copy of the dissertation by means of the Approval/Transmittal form (see sample A that follows these Guidelines). This form may be delivered by the student along with the final two dissertation copies submitted to the Office of Graduate Studies, or it may come directly from the department to the Office of Graduate Studies. Upon final approval of the work by the Graduate Dean or designee, the last signature “on behalf of the Graduate Academic Council” will be entered onto this form.

Publication Options

Publication of the dissertation is required.

Doctoral candidates should give an early and close read to publication standards, options and Guides as listed by our publisher UMI/Proquest at <http://www.il.proquest.com/dissertationagree/>. Access to this site is restricted. Enter username = dissertations and password = publish.

Traditional Publishing provides UMI/Proquest the right to sell copies of the published dissertation and to provide the author with royalties from such sales.

Open Access Publishing provides the broadest means of free and complete access of the dissertation research study, results and analysis to students and scholars worldwide. As doctoral education is intended to enrich the worldwide collective body of knowledge, it is consistent with this intent for authors to choose this option to provide for maximum dissemination of the dissertation research results and findings. *Open access publishing requires an additional fee of \$95 payable by check to UMI/Proquest.* If this publishing option is chosen, such payment should be submitted to the Office of Graduate Studies when submitting the final approved copies of the dissertation.

Copyright Application on behalf of the author by UMI/Proquest is an additional option (at additional cost) available to authors choosing either Traditional or Open Access publishing. If you opt for copyright application, you should include a copyright page in your manuscript, immediately after the title page. See Sample D that follows.

Restrictions – As stated above, it is consistent with the purpose of doctoral education to enhance the worldwide knowledge base. Accordingly, prompt publication and distribution of the dissertation research should be facilitated. The Office of Graduate Studies, therefore, does not endorse the use of embargos to delay the publication of dissertations. Should an author seek to opt for such an embargo as cautiously allowed for on the UMI/Proquest publication option form (traditional or open access), it is requested that a written statement/rationale for the proposed embargo, endorsed by the dissertation committee chairperson, be submitted by the author along with the dissertation to the Office of Graduate Studies.

Costs

All costs listed in these Guidelines supersede specific amounts listed in the UMI/Proquest Publishing Agreement whenever there are discrepancies. The pricing listed below includes additional charges the University bears for microfilming, binding and administrative processing beyond the basic UMI/Proquest fees.

Traditional Publishing:	\$115
Traditional Publishing with Copyright Application:	\$190
Open Access Publishing:	\$115 plus \$95 payable via separate check to UMI/Proquest and submitted with the dissertation. (total cost \$210.)
Open Access Publishing with Copyright Application	\$190 plus \$95 payable via separate check to UMI/Proquest and submitted with the dissertation. (total cost \$285.)

Aside from the optional \$95 Open Access additional charge, payment of the basic publishing charge of \$115 or \$190 must be submitted to the Circulation Desk at the University Library. The receipt for payment should then be submitted along with the dissertation and forms to the Office of Graduate Studies. Candidates out-of-town may call the Circulation Desk at 518-442-3601 and make payment for the charges by phone using a credit card. The Library should be requested to send the receipt to the Office of Graduate Studies (UAB121) via campus mail.

Documents to be submitted to the Office of Graduate Studies, UAB 121

1. Two copies of the final approved dissertation as specified previously within these Guidelines
2. The Dissertation Approval/Transmittal Form. (see SAMPLE A)

The Candidate is to generate this original form and have it signed by the dissertation committee members and department chair. The title on this form and the title on the dissertation copies must be exactly the same. The original form will eventually be placed in the student's official record. This form will not be bound as part of the dissertation.

3. The Recommendation for Conferral of the Doctoral Degree form. (see SAMPLE B)

This form is the official recommendation from the program faculty to the Graduate Dean for formal award of the doctoral degree. This original is prepared by the department and submitted to the Office of Graduate Studies either by the department or by the student along with other documents listed and described in this section.

4. A Library receipt from the student for the prepayment of binding and microfilming charges.
5. UMI Publishing Agreement/Forms

From the UMI Publishing Brochure online at <http://www.il.proquest.com/dissertationagree/>, printed/completed/signed pages 3, 4 and 5 are required, plus page 6 if opting for copyright application. Page 7 is optional. Access to this site is restricted. Enter username = dissertations and password = publish. Clip a copy of the dissertation title page and abstract (plain paper is fine for these copies) to the agreement forms.

6. N.S.F. Survey of Earned Doctorates. Available online at <http://www.grad.uiuc.edu/forms/SurveyOfEarnedDoctorates.pdf>
7. Information/Checklist for Doctoral Students (filled out by student) - last page of this packet/file

Deadlines

University policy specifies that approved dissertations must be submitted and received in 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.

Records and Grades

The Registrar will be notified upon final approval of the dissertation and the submitted manuscripts will be transmitted to the University Library for publication transmittal to UMI /Proquest, microfilming, binding, distribution, and filing.

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 program for the term of graduation.

NOTE: Each student completing a doctoral program must submit a completed Degree Application via MyUAlbany early in the semester during which s/he anticipates completing all degree requirements. If the student does not complete the degree as anticipated, s/he must re-apply for the degree in the next term. No degree application will be automatically carried forth to the next semester/term.

Questions

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. to 5:00 p.m.

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: 000 _____

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 via MyUALbany early in the semester during which s/he completes all degree requirements.

SAMPLE C (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

2008

SAMPLE D (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 2008

HARD COPY DISSERTATION SUBMITTAL 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. # 000 _____

TODAY'S DATE: _____

HOW CAN WE REACH YOU:

Current Address: _____

Current Phone # (Primary): _____ Current E-Mail Address: _____

Current Phone # (Secondary): _____

Future Address : _____

Future Phone # (Primary): _____ Future E-Mail Address: _____

Future Phone # (Secondary): _____ Effective New E-Mail Date: _____

Effective New Phone # Date: _____

Do you plan to attend Commencement? Yes No

Dissertation Committee Chairperson: _____

Have you submitted your "Degree Application" via MyUAlbany 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!

The following is a summary of items to be submitted to the Office of Graduate Studies 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 and Abstract Page copies
(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)

___ This checklist.