General Regulations Governing the Electronic Submission of a (Digital) Dissertation for Final Approval and Publication in Partial Fulfillment of the Requirements for a Doctoral Degree

Revised June 2019

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 that represents 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 electronic 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 – Submittal Details

Each doctoral candidate is required to submit one electronic (digital) copy of the accepted dissertation and abstract via www.etdadmin.com/sunyalb.

All pages of the dissertation, including title page(s), abstract and appendices must be submitted through this site. The signature/approval page for the dissertation is not considered part of the dissertation itself and therefore should not be submitted electronically but a hard copy bearing all required signatures should be submitted, faxed, mailed or emailed to:
An abstract must be included within the dissertation and paginated, along with other prefatory pages, with lower case Roman numerals.

Attached are sample copies of a dissertation approval/transmittal form and a dissertation title page. 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. The full digital version of the dissertation, after publication by UMI/Proquest, will be available to current University at Albany users (with active/current net ID), via the website of the University Libraries.

Page Size

The page size of the entire document must be 8 ½ by 11 inches.

Spacing

The text of the manuscript including the abstract must be double-spaced. (Quotations of length may be indented five spaces and single-spaced.)

Margins

All pages of the dissertation should have a 1 inch margin from all edges.

Candidates are advised to check pages to insure the margin accuracy of the word processing program used. 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.

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 page 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 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 page, 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 the UAlbany digital submission website www.etdadmin.com/sunyalb

Previous Publications

If your dissertation includes your own previously published materials, permission to include these materials must be obtained from the publication. The following information must be included in the preface of the dissertation:

- Identify which of your studies or articles have been published and where (give full citation);
- Indicate that your studies or articles are included in the dissertation with permission from the publisher;
- Indicate whether your studies or articles are published in their entirety and in the original wording, or whether they have been revised for the dissertation;
- Indicate that your studies or articles are being included because they were part of the programmatic line of research that comprised the dissertation and that including them provides a coherent and appropriately sequenced investigation;
- Indicate that you, the dissertation author, were the lead or primary researcher for the work.

Formal copies of permissions from the publication(s) must be included in the appendix of your dissertation. If the publication offers general permission via a website, the web address can be included as part of the statement in the preface. General guidelines from ProQuest ETD regarding the inclusion of copyrighted information can be found at the following website: http://media2.proquest.com/documents/copyright_dissthesis_ownership.pdf.

Use of Images
Images (tables, figures, maps, photography, etc.) created by the dissertation author do not require additional permissions. If the images are authored by another person or publication and are being reproduced or replicated in the dissertation, then permission to reuse these must be included (in the preface, appendices, or supplemental files). This would include photographs that are reproduced with annotations or markings. If the dissertation author is modifying or adapting images authored by another person or publication, then the dissertation author will need to cite the source and indicate that the image has been adapted. If the image is obtained from an open source please include this information in the citation.

No dissertation incorporating printed materials that have been copyrighted will be accepted without appropriate authorization. It is the dissertation author’s responsibility to resolve any copyright problems arising from the use of published material.

Departmental Consideration Prior to Final Submittal to the Graduate School

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 School 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 transmitted by the student to the Graduate School, or it may come directly from the department to the Graduate School. 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 the UAlbany digital submission website [www.etdadmin.com/sunyalb](http://www.etdadmin.com/sunyalb). ProQuest inserts a copyright page on all electronic submissions automatically. Authors do not need to insert an additional copyright page if selecting the Copyright Application option through ProQuest.

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.

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.
**Restrictions/Embargoes** – In general, it is most desirable to have the results of dissertation research published as soon as possible, to be available to scholars and society without delay. This is one of the reasons the University partners with UMI/Proquest – to facilitate prompt publication regarding the research and findings. In some cases, however, there may be cause to delay the publication of the dissertation slightly, should matters such as patents, book contracts, or related scholarly article publication(s) be pending, such that immediate dissertation publication might compromise or complicate the pending actions. 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 to the Graduate School.

**Costs**

All costs listed in these Guidelines supersede specific amounts listed in the UMI/Proquest Publishing Agreement whenever there are discrepancies.

<table>
<thead>
<tr>
<th>Publishing Type</th>
<th>Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Traditional Publishing</td>
<td>$26</td>
</tr>
<tr>
<td>Traditional Publishing with Copyright Application</td>
<td>$81</td>
</tr>
<tr>
<td>Open Access Publishing</td>
<td>$121</td>
</tr>
<tr>
<td>Open Access Publishing with Copyright Application</td>
<td>$176</td>
</tr>
</tbody>
</table>

**Documents to be submitted in addition to the digital dissertation:**

1. **The Dissertation Approval/Transmittal Form.** Submit to the Graduate School, UAB 121. (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 must be exactly the same. The original form will eventually be filed/scanned into the student’s official record.

2. **The Recommendation for Conferral of the Doctoral Degree form.** Submit to the Graduate School, UAB 121. (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 Graduate School either by the department or by the student along with other documents listed and described in this section.

3. **N.S.F. Survey of Earned Doctorates.** Submit online via [https://sed-ncses.org](https://sed-ncses.org). Upon completion, a notice will be emailed to the Graduate School advising that the survey submission has been completed.
4. Information/Checklist for Doctoral Students (filled out by student) - last page of this packet/file. Submit to the Graduate School, UAB 121.

Deadlines

University policy specifies that approved dissertations must be **completely** submitted online and additional paperwork submitted to the Graduate School:

- by the end of the Winter Session term in January for degrees to be conferred in January,
- 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. 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.

It is especially important during the process of submitting the degree application via MyUAlbany that the candidate verify the name and mailing address that will be used to produce and mail the diploma. The diploma will be printed using the “Primary Name” on MyUAlbany unless a legitimate alternate name is entered via MyUAlbany for the “Degree Name” such as James A. Doe instead of James Albert Doe. Similarly, the diploma will be mailed directly from the University’s diploma vendor to the candidate’s “Permanent Address” on MyUAlbany unless an alternate “Degree Address” is entered via MyUAlbany. If you previously received a degree from the University, you should check the “Degree Address” to verify it is blank (defaulting to permanent) or accurate/current.

Questions

Any questions regarding these general regulations should be addressed to:

The Graduate School in UAB121  
Phone: (518) 442-3980  
Email: [graduate@albany.edu](mailto:graduate@albany.edu)

Office hours during the academic year are from 8:30 a.m. to 5:00 p.m. (8 a.m. to 4 p.m. during summer months).
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.

Chair: ____________________________ (Printed Name) _______________________________ (Signature) _______________________________ (Date)

Committee Member: ____________________________ (Printed Name) _______________________________ (Signature) _______________________________ (Date)

Committee Member: ____________________________ (Printed Name) _______________________________ (Signature) _______________________________ (Date)

Committee Member: ____________________________ (Printed Name) _______________________________ (Signature) _______________________________ (Date)

Recommended by the Department of ________________________________

_________________________________, Chair.

(Signed)

__________________________________ (Printed Name)

Recommendation accepted on behalf of the Graduate Academic Council.

__________________________________ (Signed)

__________________________________ (Date)
THE UNIVERSITY AT ALBANY

Recommendation for Conferral of Doctoral Degree

TO: Dean of the Graduate School

NAME OF STUDENT: ____________________________ STUDENT NUMBER: ______________

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 the Graduate School (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: ______________________

Printed Name: ______________________

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.
PROPERTIES OF SOME FREE RADICALS
GENERATED IN THE REDUCTION OF
ALKYL HALIDES BY ORGANTIN 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
2012
ETD Submittal Information/Checklist for Doctoral Students

Please type the information requested on this form and return it to the Graduate School (UAB121, graduate@albany.edu) by the submission deadline.

Student Name: ____________________________________________________________

Albany I.D. #_______________________________________

Today’s Date: ________________ Date of Electronic Dissertation Submission:_____________

Contact Information:

Phone # (Primary): ______________________________

Email Address: _________________________________

Please log into MyUAlbany to confirm your name and permanent address for accuracy. Contact information such as address and phone number will need to be updated in MyUAlbany. Name changes will need to be updated by the Registrar’s Office (CC B52, registrar@albany.edu).

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. Please note, you will need to update your contact information in MyUAlbany separately.

The following is to be submitted via www.etdadmin.com/sunyalb:

☐ One digital copy of your dissertation. You must complete the entire submission process including payment of the required fees.

The following is to be submitted via https://sed-ncses.org:

☐ NSF Survey of Earned Doctorates

The following documents are to be submitted to the Graduate School in UAB 121:

☐ Recommendation for Conferral from Department (prepared by department)

☐ Departmental Dissertation Approval/Transmittal Form - with signatures - (prepared by student)

☐ This Checklist

(Revised 6/19)