

## **INFORMATION CONCERNING THE PREPARATION AND SUBMISSION OF DOCTORAL DISSERTATIONS**

***A Note on Deadlines:*** *The deadlines for scheduling the final oral examination, payment of fees and submission of your dissertation are determined on a case-by-case basis by the PhD thesis committee of the student and the Director of PhD Programs. Completion dates cannot be waived or extended without severe extenuating circumstances and must be approved by the Director of PhD Programs or the Dean, in consultation with the thesis advisor. If you have questions regarding institutional requirements for the completion of your degree, please contact the Registrar.*

### **GENERAL**

The Ph.D. degree is conferred by the Keck Graduate Institute primarily in recognition of breadth of scholarship, depth of research, and power to investigate problems independently and efficiently, rather than for the completion of definite courses of study through a stated period of residence. The work for the degree consists of research and systematic studies that advance knowledge. In addition, the candidate must have acquired the power of clear and forceful self-expression in both oral and written English. Therefore, the candidate must describe their work in a thesis and defend it in an oral examination by the faculty.

An electronic copy of the final thesis and three paper copies must be presented to the Institute. The copy should be prepared in accordance with the instructions given here and the copy must be complete and accompanied by all illustrative material. Rewriting and changes may be necessary if the specifications are not met. The degree will not be officially awarded until the thesis is submitted in satisfactory form and approved by the Dean.

A thesis may be organized as a single paper or as a series of relatively independent chapters unified by a summary chapter. The chapters are often papers that have been or will be submitted to journals in the field or have already been published. Where the student is not the only or first author, the student must establish their major contribution, typically through an introductory chapter describing the "theme of the thesis." In addition, there may be certain special requirements that will vary from option to option, particularly in the preparation and presentation of draft copies, format, bibliographical form, number of copies needed for the examining committee, and additional final copies beyond the electronic copy submitted to the ETD database. Candidates should consult the Director of PhD Program concerning these additional requirements.

### **Draft Thesis**

You are advised to submit a final draft of your dissertation to your PhD Thesis committee for approval **prior to the final preparation**. All arrangements for scheduling the final oral examination should be made through the Director of PhD Program in consultation with your PhD advisor(s). Depending on when your committee advises you to defend your thesis, the PhD Program director should be consulted regarding the feasibility of such a plan.

A general reference which may be used to determine the proper form for footnotes and bibliography is *A Manual for the Writers of Term Papers, Theses and Dissertations* by Kate L. Turabian (University of Chicago Press, 1996. ISBN # 0-226-81627-3). However, it should be understood that this reference is **only a general rule**. Consult with your advisor

to determine whether or not there are any special formats or procedures pertaining to your discipline. If your dissertation committee approves a format which differs from the Turabian form, **follow the recommendations of your committee.**

The title page and signature page must conform to the models included in this document. An original (see format) and two copies of the dissertation, with an additional abstract and title page, must be submitted to the Registrar. Along with your dissertation you are required to submit the *Doctoral Dissertation Agreement Form* from University Microfilms International, as well as the *Survey of Earned Doctorates* from the National Science Foundation. These forms are available in the Registrar's Office.

### **Proofreading and Editing**

All manuscripts should be proofread before being submitted to the Registrar's office in KGI. The consistency and accuracy of the spelling, punctuation, capitalization, abbreviations and word divisions are primarily the responsibility of the thesis writer, who should consult a dictionary and a manual of style for correct usage. Students are especially urged to use the "spell-check" feature of the computer software being used and to proofread the manuscript carefully, or to enlist the help of a friend or professional proofreader. The Institute proofreader will return to the student for correction and resubmission any thesis that has obviously not been carefully proofread. Students should also allow a minimum of two weeks for proofreading before the final examination is scheduled. Similarly, the thesis writer is fully responsible for editing the style and grammar of the manuscript. Any student who is unsure of their abilities should seek the help of a friend or professional editor. Up-to-date advice on software packages suitable for manuscript preparation can be obtained from the Information Management Services and Systems (IMSS) organization or from experienced students in the same field. Some academic options provide templates for preparing the manuscript but due to the variation in requirements between options, the Graduate Office does not provide such templates.

### ***FORMAT AND PAPER***

Dissertations (both original and copy) must be produced on white bond paper, 8 1/2 x 11 inches, of not less than 20 lb. weight. All paper in the dissertation must be the same size and weight. Exceptions may be made in the case of over-sized charts or non-text materials which have been duplicated for inclusion. Pages should be printed on one side only. The print should be letter quality with dark black characters that are consistently clear and dense. Use of color font is not permitted except when these occur in figures. If you are including your previously published papers, then use the word version (or Latex version formatted as below), not the final printed copy from the publisher.

*A one and one-half inch margin* is required on the left-hand binding edge, and a margin of at least *one inch* is required at the top, right and bottom of each page. Any pages which exceed the standard size must be assembled according to binding specifications. *Any and all materials included with the body of the dissertation such as appendices, etc. must conform to the margin requirements.*

It is assumed that authors preparing a dissertation will be doing so using word processing or other electronic means. All textual materials must be double-spaced. Footnotes and long

quotations may be single-spaced. Footnotes should be avoided as much as possible, and all abbreviations must be collected and expanded on a separate page following the table of content pages. The page of the list of abbreviations must be included in the table of content. Any standard type is acceptable and the same type must be used throughout the dissertation. Italics and/or bold face type may be used for emphasis, and non-English words or phrases should also be italicized. Type size should be 12 point or larger for Times New Roman font, or 10 points or larger for Arial, or its equivalent, as the document will be reduced in size on microfilm reproductions. Type which resembles written script, as well as ‘novelty’ typefaces are not acceptable. The print should be clean and even in quality and the print should be letter quality with consistently clear and dense black characters.

**ABSTRACT**

The abstract heading must conform to the model included in this document. The title of the dissertation, your name, Keck Graduate Institute of Applied Life Sciences, and the *year the degree will be awarded* must appear on the first page of the abstract. The abstract must be double spaced and may *not* be more than 775 words (*text only*). It should explain in narrative form the nature and scope of the problem or topic, the method employed in developing the dissertation, and a summary of the conclusions. Prepare your abstract carefully, as it will be published by University Microfilms International in *Dissertation Abstracts*. Publication is automatic when your dissertation is sent for microfilming.

**ORDER AND PAGINATION**

Dissertations typically have three main parts: preliminaries, text and references. All pages of your dissertation, including any blank pages, must be counted in the numbering. The preliminary part of the dissertation is numbered with *small Roman numerals (i, ii, iii, etc.)*. The first page of the introduction or chapter one would start with *Arabic* number one (1, 2, 3, etc.). The first page of each chapter is to be numbered at the bottom center of the page, with all other pages numbered in the upper right hand corner. *Beginning with chapter one, page one, all pages of the dissertation must be numbered, and there should be no breaks in the numbering sequence.* Here is a summary of the proper sequence for counting and numbering:

<i>Sequence</i>	<i>Page</i>	<i>Count?</i>	<i>Print Page Number?</i>	<i>Number Type</i>
(1)	Title Page	Yes	No	N/A
(2)	Copyright Page (optional)	Yes	No	N/A
(3)	Signature Page	Yes	No	N/A
(4)	Abstract (double spaced)	Yes	No	N/A
(5)	Dedication (optional, double spaced)	Yes	No	N/A
(6)	Acknowledgments (optional, dbl space)	Yes	Yes	Small Roman
(7)	Preface (optional)	Yes	Yes	Small Roman
(8)	Table of contents (include appendices & bibliography)	Yes	Yes	Small Roman
(9)	List of Abbreviations	Yes	Yes	Small Roman
(10)	Table of Figures (or Plates) (opt)	Yes	Yes	Small Roman
(11)	Introduction (optional)	Yes	Yes	Arabic page 1
(12)	Chapter One	Yes	Yes	Arabic (page 1 if no Intro)

## ***APPENDICES***

Appendices are sometimes necessary for recording detail mathematical derivations, or additional methods, especially when the thesis is a compilation of published research papers where detail methods or mathematical derivations were not included due a variety of reasons. These relevant materials should be collected in a series of Appendices at the end of the final concluding chapter but before the Bibliography.

## **Charts, Graphs, Tables, Photographs, and Oversized Maps**

Please keep in mind:

- Illustrative material in black will reproduce satisfactorily, while colors will appear as slightly varying shades of gray. Labels or symbols rather than colors should identify lines on a graph.
- Shaded areas--such as countries on a map--will have better contrast if cross-hatching is used instead of color.
- Photographs should be professional-quality black and white or color. Most color photographs will reproduce acceptably on positive microfilm or microfiche as shades of gray but will lack clarity on xerographic copies made from the microfilm.
- Charts, graphs, and maps that are larger than the standard 8 1/2" x 11" page size may be used in your manuscripts but are best avoided.

## ***BIBLIOGRAPHY***

Include Bibliography in the Table of content and paginate. Use any of the standard formats of bibliography used in leading science journals for original research articles, such as Nature, Cell, PLOS Biology. All citations should be complete in terms of all authors names (do not use *et al.* in the Bibliography, but you are free to do so in the text) and use standard journal abbreviations. You are encouraged to use standard bibliographic software, such as EndNote or ReferenceManager.

## ***ADDITIONAL DATA***

Increasingly these days, large amounts of data are collected and analyzed for the conduct of research that leads to a PhD dissertation. In cases that such data are used for the dissertation, the final data must be organized in an appropriate format standard to the field, for example, the MIAME format for microarray data, and must be submitted in an electronic format on an acceptable data storage medium, such as CD, in two copies; one copy will be held by the Registrar's office and the second copy will be held by the chair of the dissertation committee (usually the advisor).

## **Use of Published Material**

Published articles of which the candidate is author or joint author may be included as part of the thesis, with due regard to copyright regulations (see next section). For the "original copy" of the manuscript, such printed pages must follow the same requirements, maintaining margins, type size (at least 8 point), and page number sequencing.

## **Use of Copyrighted Material**

As the author of the dissertation manuscript, you will be asked to certify that any previously copyrighted material used in your work, beyond "fair use," is with written permission of the copyright owner, and that KGI will not be held responsible for any damages, which may

arise from copyright violations. By signing the Copyright Agreement Form, you agree to the above terms.

Often no problem will arise if the use of the copyrighted material is for nonprofit educational use and the amount and substantiality of the portion used is small enough. Some definitions of "small enough" seem to be a complete article of 2500 words or less, or an excerpt from prose work of not more than 1000 words or 10% of the total work, whichever is less. If the thesis itself is copyrighted and some profit is to be derived from its use, then this exception probably will no longer apply. However, for each published article included in the thesis copies of permission letters from copyright owners must be attached to the Agreement Form. These permission letters must state that the copyright owner is aware of that UMI may supply single copies on demand.

### ***MICROFILMING AND COPYRIGHT***

You are required to sign an agreement authorizing the Institute to reproduce your dissertation in microfilm, and pay a special fee to cover the cost of microfilming. A copy of your title page and abstract must be included with the agreement form. Your dissertation is microfilmed by Proquest and the negative is deposited with that organization. Copies may be ordered through Proquest. Microfilming does not deprive you of the right to publish your dissertation in book or other forms. If you wish to copyright your dissertation through Proquest, a fee of \$65.00 (updated yearly, check with Registrar) is required. A certified check or money order, payable to Proquest, must be submitted with your dissertation. The microfilm contract and copyright contract are included in the agreement form, which must accompany your dissertation. If you choose not to copyright your dissertation through Proquest, you still retain the rights to your work.

If you have obtained permission to use copyrighted material from another source in your dissertation, you must submit with your dissertation permission from the source(s) for Proquest to reproduce the material upon request as part of your dissertation. This is generally not a problem, but should be planned for in advance.

### ***PRIVACY OF THESIS MATERIAL***

Note that your dissertation is a public document, and KGI is under legal obligation to make available all portions of the thesis, but not necessarily all original data that produced the thesis, to any outside entity, and will do so through microfilming of your entire dissertation or photocopy or by transmission of the electronic archival copy. If you are concerned about the privacy of any information, you must first protect this information according to legally acceptable practices or you have the freedom to not include such information in the thesis. Note, however, that it is up to the thesis committee to determine whether or not your dissertation can be properly evaluated for intellectual criteria satisfying the PhD degree requirements, and if you opt not to include such data on ground of privacy you should discuss this with your PhD advisory committee on the prudence of such an action.

### ***COSTS***

Two fees are assessed by the University and passed on to outside vendors. These fees are for microfilming and binding your dissertation. The fees are subject to change each academic year. For the 2002-2003 academic year, the fees were:

Microfilming	\$65.00
Binding	\$30.00
Total	\$95.00

These fees may be paid in Student Accounts. Please contact the Registrar for current fees.

### ***SUBMISSION AND FINAL CHECK***

The original and one copy of the dissertation are to be submitted to the Registrar's Office after your final oral examination. Pages should be clean on both sides with no slanted or missing pages. Do **not** submit bound copies; they will not be accepted. Once your dissertation has been submitted to and accepted by the Registrar it may not be removed. Any corrections and/or additions to the dissertation must have the approval of the dissertation committee. Such corrections and/or additions are approved only in the most unusual circumstances; thus it is important that the submitted copies be checked for accuracy of content. The original and one copy will be deposited in Honnold Library after microfilming and binding. One copy will remain with the advisor, and the remaining copy will remain with the Director of PhD Programs.

## ***SAMPLE PAGES: THE PRELIMINARIES***

The following pages provide samples of the preliminary pages of a dissertation. Some pages have been abbreviated into text boxes and combined into one page. An actual dissertation would not follow these practices. All printing is to be on one side of the page, and each item identified as being a separate page should be set up as such.

***The italicized sections are instructions or places where you would insert the pertinent information for your dissertation.***

## ***THE TITLE PAGE***

A sample title page for a Ph.D. student is shown on the next page. Please note that there is one circumstance where the wording on the title page would be different from that shown. This will be the case of a joint doctorate program. In this case, the wording would be:

A Dissertation submitted to the Faculty of Keck Graduate Institute of Applied Life Sciences and (*Name of Joint Institution*) in partial fulfillment of the requirements for the degree of Doctor of Philosophy in Applied Life Sciences (or in Computational Systems Biology).

Claremont and (*City of Joint Institution*)  
2008

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(*Name of Joint Institution Co-Chair*), Co-Chair

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(*Name of KGI Co-Chair*), Co-Chair

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(*Name of KGI Program Director*), PhD Program Director)

*This and the following pages provide samples formatting of the preliminary pages of a dissertation.*

***(TITLE OF DISSERTATION)***

BY

***(YOUR NAME)***

A Dissertation submitted to the Faculty of Keck Graduate Institute of Applied Life Sciences in partial fulfillment of the requirements for the degree of Doctor of Philosophy in Applied Life Sciences (*Or, Computational Systems Biology*)

Claremont, California  
20xx<sup>1</sup>

Approved by:

*(Signature of Dissertation Chair)*  
*(Typed name of Dissertation Chair)*

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<sup>1</sup>The date inserted here should be the calendar year in which the degree will be awarded, not the year in which the dissertation is submitted - particularly for January degrees. You would not have a footnote associated with the year on your actual title page.

Copyright by *(Your Name)* 20xx  
All rights Reserved

We, the undersigned, certify that we have read this dissertation of *(your name)* and approve it as adequate in scope and quality for the degree of Doctor of Philosophy.

Dissertation Committee:

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*(Typed name of Chair)*, Chair

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*(Typed name)*, Member

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*(Typed name)*, Member

---

*(Typed name)*, Visiting Examiner *(a visiting examiner is optional, upon approval of your Dissertation Chair)*

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*(Typed name)*, PhD Program Director

## Abstract of the Dissertation

*(Title)*

By

*(Your Name)*

Keck Graduate Institute of Applied Life Sciences: 20xx

*(The abstract must be double spaced **and not more than 350 words**. It should explain in narrative form the nature and scope of the problem or topic, the method employed in developing the dissertation, and the conclusions reached in summary form. This abstract will be published by University Microfilms International in Dissertation Abstracts, so you should prepare it with care. Please note that Dissertation Abstracts will truncate any abstract over 350 words, even if it is in the middle of a sentence.*

## Dedication

*(A dedication is not required, although many people choose to honor someone of particular importance in their lives by dedicating their dissertation to them. Dissertations are frequently dedicated to parents, spouses/life partners or mentors. The dedication should be brief.)*

*(no page number)*

## Acknowledgments

*(This page is also not required, but is frequently used This is where you would acknowledge the assistance of those who were significant contributors to the process of writing your dissertation: committee members, outside readers, someone who helped you formulate your proposal, someone who helped with computer work or statistical analysis. Funding sources which supported your research would be acknowledged here as well. Please note that **page numbering** begins with this page, with small roman numerals as noted below*

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*Following the Acknowledgments, you may include a **Preface**. If included, it should be a separate page, with a small Roman numeral numbering.*

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*The next page should be the*

## TABLE OF CONTENTS

*Listing the page numbers of significant headings and subheadings of the dissertation. If necessary, the Table of Contents would be followed by a Table of Figures and/or a Table of Plates.*

*Small Roman numeral page numbering continues through these sections.*

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## INTRODUCTION (*OPTIONAL*)

or

## CHAPTER ONE

*Should begin page numbering for the body of the dissertation, beginning with page 1 and continuing throughout the document. Numbering must be consistent, and all pages must be numbered, including figures, graphs, charts and plates. Numbering continues through to the end of the reference section.*

*1*

### **Some Common Errors**

1. Reversed punctuation of quotations. Periods and commas always precede final quotation marks, even if the quotation consists of a single letter.

For example:

We shall call the shear stiffness "K."

2. Incorrect punctuation of abbreviations. The Latin abbreviation for "and others" contains only one period "et al." The abbreviations "i.e." and "e.g." are punctuated with two periods and set off by commas from the sentences in which they appear.

For example:

Analysis of long and narrow buildings, e.g., the Jet Propulsion Laboratory, must take into account the shear stiffness, i.e., K in our equation.

3. Names of authors spelled differently in the text and in the bibliography; reference numbers or dates in the text that do not agree with the bibliography.

4. Unnumbered pages, especially those containing figures or captions to figures.

5. Inconsistent hyphenation of compound words, such as "ray-tracing," "ray tracing," and "raytracing."

6. Inconsistent capitalization of proper names used as adjectives, such as "Boolean" and "Hamiltonian."

7. Inconsistent presentation of bibliographic information.

## **AFTER THE FINAL THESIS EXAMINATION**

**Library Clearance** - Contact the main circulation desk of the Library to make sure that all items have been returned before you leave campus.

**Exit Survey** -KGI PhD graduating students are expected to complete the student exit survey with the Program Director or another faculty member specifically assigned by the Dean's office to conduct the exit interview.

**International Student Checkout:** All international students should notify the Student's Affairs Office of upcoming graduation dates. To apply for practical training, students should provide at least two to three months notice prior to the beginning of employment. Forms and instruction for practical training can be obtained from the Student Services office.

**Thesis** - Submit to the Registrar an electronic copy of the final thesis, including all relevant databases in an acceptable media. The Library will generate an archival copy of the thesis from the electronic thesis, and both the electronic copy and the archival copy will be kept on permanent file available for reference or reproduction.

### **Final Checklist for the Ph.D. Degree**

- An electronic copy of the thesis submitted to the registrar along with database if applicable.
- University Microfilms, Inc. Agreement Form along with permission letters for previously published articles. Attach one extra abstract and one title page. Submit to the Registrar's Office.
- The appropriate fees.
- Survey of *Earned Doctorates* form to the Registrar's Office.
- Two extra title pages to the Registrar's Office.
- Proofread copy of the thesis with proofreader corrections to the Graduate Office.
- Proof that you have informed the Student Service's Office of your completion and have provided them with your forwarding address. Submit to the Registrar's Office.
- Forwarding Address Form include the address at which you can be reached for the next three months to the Registrar's Office.
- Exit interview