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# I. Contact Information

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II. PhD Degree Program Overview

The mission of KGI’s PhD in Applied Life Sciences is to endow a select group of students with expertise in research areas relevant to applied biosciences with the ability to use interdisciplinary tools and approaches to solve problems, and with the motivation to translate knowledge to beneficial applications to advance new horizons in the applied biosciences. The program is designed to prepare students for research and development positions in a variety of bioscience industrial or academic environments.

Prior to entering the PhD Program, students must complete a Master’s degree program with learning objectives broadly matching the Masters’ of Biosciences (MBS)/Masters’ of Science (MS)/Masters’ of Engineering (MEng) degree programs at KGI; they will therefore be able to draw upon the interdisciplinary and applied educational foundation supplied by such a curriculum as they continue their studies. MS in applied life sciences students were expected to acquire a broad knowledge base in interdisciplinary life sciences (biomedicine, drug discovery and drug translation, systems biology, and bioengineering) and will have an opportunity to focus on coursework in an area of interest to them for more in-depth knowledge. Students in the PhD Program will gain competence in the methods of scientific inquiry by conducting and communicating original research for their dissertations. Through exposure to industry issues and applied problems, the students will become adept in the translation of discoveries in science and engineering into beneficial products and processes.

1. Admissions Criteria

Consideration for admission requires a completed on-line application found at http://www.kgi.edu/admissions/apply-to-kgi/phd-program. The students applying into the PhD Program should meet the following criteria:

- A master’s degree from an accredited institution.
- A minimum of 3.0 (4.00 basis) average GPA in their MBS program or other MS in Applied Life Sciences/Pharmaceutical Sciences or MEng programs.
- Candidates should have coursework in a relevant field with at least 48 credits.
- Financial support approval letter from a KGI Dissertation Advisor: See a list of faculty with their research interests at http://www.kgi.edu/faculty-and-research/faculty-directory; or
- Financial support of a sponsorship company: A letter of support from the company advisor and an executed contract of financial support for three years will need to be in place.
- Candidates may need to take additional courses as recommended by the Admissions Committee to meet KGI PhD Program learning outcomes.
- Dissertation Advisor may also recommend candidates take additional courses.
- Possess good oral and written communication skills.
Relevant Forms:
1. PhD Course Deficiency Documentation Form
2. PhD Course Deficiency Completion Form

2. Program Schedule and Format

Completion of the PhD Program is anticipated to require at least an additional three years of full-time study beyond the Master’s degree with the possibility for extension depending on the particular research project. Students are encouraged to enter the PhD Program in June following graduation from the MBS program or other KGI MS or MEng programs if the student seeks a TA-ship. If the student is funded through a grant or corporate sponsorship, then entry to the program at other times is possible. External applicants: Please follow the online instructions for admission criteria and timelines at http://www.kgi.edu/admissions/apply-to-kgi/phd-program.

3. Online Application

1. Online Application:

The online application will require the following information:

- Personal Statement*
- Resume/CV
- Recommenders’ Contact Information
- Educational Background
- Personal information

* The personal statement gives you an opportunity to describe your academic, career, and personal objectives. Please use the statement to outline the basis of your interest in KGI's program, to demonstrate your potential for making research contributions in the biosciences and to bring to the attention of the Admissions Committee other significant matters. This statement should include your technical skills and touch on your relevant work experiences. Please limit your response to the equivalent of three double-spaced typewritten pages.

2. Unofficial Transcripts

Unofficial transcripts may be submitted for evaluation purposes. If admitted and you choose to matriculate, official transcripts must be submitted from all colleges or universities attended. Translated copies must be submitted for International students.
3. Recommendations

Request a letter of endorsement from your proposed Dissertation Advisor. The letter should specifically address the advisor's ability to provide financial support towards the degree. Please request two additional letters. If you have a sponsorship company, please request a letter from an industry supervisor/sponsor. One letter should be from another person who can comment on your potential to effectively carry out independent research leading to a PhD degree.

Recommenders can submit letters through the online application system or can send letters directly to the KGI Admissions Office by using the KGI Recommendation Form.

4. Standardized Tests

We require every applicant to submit official scores from ONE of the following standardized tests:

1. Graduate Records Examinations (GRE): GRE scores may be sent to KGI by using school code: 4166. A department code is not necessary.
2. Medical College Admission Test (MCAT): MCAT scores can only be sent to KGI in the form of a printout. This may be sent via e-mail or postal mail. Please be sure that your MCAT score printout includes a verification code as well as your AAMC ID.
3. Graduate Management Admission Test (GMAT): GMAT scores are sent to KGI by specifying the name of our program to test administrators.

Unofficial copies may be submitted for evaluation; however, official scores must be submitted prior to attending KGI.

International Students

We require international students to submit official scores from one of the following tests of English language proficiency:

1. TOEFL (Test of English as a Foreign Language): TOEFL scores may be the same as GRE.
2. PTE (Pearson's Test of English)
3. IELTS (International English Language Testing System)
4. iTEP (International Test of English Proficiency)

Students who have studied at a U.S. institution for more than 2 years and those from a country where English is the primary or official language are exempt from this requirement.
Unofficial copies may be submitted for evaluation; however, official scores must be submitted prior to attending KGI.

**Admission Interviews**

A phone, Skype or on campus interview is a requirement for admission. The Office of Admissions will schedule individual interviews once your application is completed.

**Admissions Committee**

**All admissions decisions are final for the academic year in which they are rendered.**

The Admissions Committee is made up of faculty and senior administrators who will thoroughly and conscientiously review each application. Applications will be considered in the context of the total applicant pool as well as in relationship to our general admissions standards. We do not use arbitrary grade point or test score cutoffs.

Promising applicants lacking adequate academic qualifications in science and/or math may be offered conditional admission contingent upon successful completion of additional academic work specified by the Admissions Committee. All such work must be completed prior to matriculation.

### III. Student Graduation Requirements

#### 1. General Timelines

All graduate students must successfully complete the following requirements at specified timelines below for on time graduation. It is the student’s responsibility to complete any paperwork needed along with required signatures and submit to graduate office.

**First year**

1st Semester:
1. PhD Thesis Committee Recommendation/Revision Form (within 3 months)
2. Literature Mastery Seminar (Thesis related topic)
3. PhD Dissertation Research Contract (within 4 months after admission)
4. PhD Course Deficiency Documentation Form ______ (fill in as NOT applicable and submit if no deficiencies identified)
5. Lab Safety Training __
6. Online Research Ethics Course
7. Courses: 501 (Current Topics and Ethics: 3 Units) __502 (Research: 12 Units ) **Total Number of Units (15): _**
2nd Semester:
1. Research Retreat (Poster presentation)
2. Dissertation Progress Report – due to Committee at least two weeks prior to presentation
3. Dissertation Progress Presentation to the Committee (Qualifier to continue)
4. Courses: 501 (Current Topics and Ethics: 3 Units) 502 (Research: 12 Units) __Total Number of Units (15): _

Second Year

1st Semester:
1. Literature review report with references (minimum 6 pages, Times New Roman, Font 12, single spaced) based on Literature Mastery Seminar _______
2. Current topics seminar
3. Courses: 501 (Current Topics and Ethics: 3 Units) 502 (Research: 12 Units) __Total Number of Units (15): _

2nd Semester:
1. Research Retreat (Required poster presentation)
2. Dissertation Progress Report
3. Dissertation Progress Presentation to the Committee
4. PhD Course Deficiency Completion Form (If applicable)
5. Courses: 501 (Current Topics and Ethics: 3 Units) 502 (Research: 12 Units) __Total Number of Units (15): _

Third Year

1st Semester:
2. Current topics seminar
3. Courses: 501 (Current Topics and Ethics: 3 Units) 502 (Research: 12 Units) __Total Number of Units (15): _

2nd Semester:
1. Research Retreat (oral presentation)
2. Research manuscript published or in final stages of publication where student is the primary author
3. Courses: 501 (Current Topics and Ethics: 3 Units) 502 (Research: 12 Units) __Total Number of Units (15): _
4. Thesis Report due to the Committee at the end of second semester – Submit by April 7th to walk in the commencement for the same year _________
5. Thesis Defense to be scheduled within two weeks of the approval from the Thesis Committee
6. PhD Dissertation Completion Form
7. Certificate of Completion of Requirements for the PhD

Any exceptions above requirements needs approval (a semester in advance) by the student’s thesis advisor and PhD Program Directors. A PhD exception form may be used for such requests.
Relevant Forms:
1. PhD Requirements Checklist
2. PhD Exception Form
3. PhD Milestone Reporting Form

2. PhD Learning Outcomes

A key learning outcome for the PhD Program is that students develop mastery in an area of interdisciplinary science relevant to applied biosciences sufficient for conducting original research.

In Order to Graduate, PhD students must demonstrate that they can:
1. apply rigorous research methodologies to original, independent, experimental, theoretical, and/or computational work in applied bioscience.
2. integrate the fundamentals of computational and informational science, engineering design and biomolecular technologies to solve problems in applied life science.
3. communicate effectively in an academic as well as in an industry environment composed of students, scientists, engineers, administrators, and business professionals.
4. demonstrate core business analysis and management knowledge needed for the bioscience industry and assume leadership roles in realizing the goals of technical and business projects.
5. develop both a broad understanding of current scientific advances and mastery in an area of interdisciplinary science of relevance to applied bioscience sufficient for conducting original research.
6. understand the translation of basic science and engineering discoveries into products and processes which benefit society.
7. adhere to ethical principles in research, development and business issues inherent in the bioscience industries.

3. PhD Course Work

Students who complete their degrees at KGI (MBS/MEng/MS) do not normally require additional courses during their PhD Program. Students who are accepted from approved external universities may be required to take additional classes or courses that fall under the appropriate topics for the student. The student and his/her primary advisor/Admissions Committee can decide on the number of courses needed.

1. Research Ethics (1.0 cr) including online course which is accessible throughout the year should be completed during first academic year after admission.
2. Current Topics in Applied Life Sciences (1.0 cr) for first two years totaling 2 credits
3. Additional courses (if any as recommended by the Admissions Committee or Dissertation Advisor)

4. Thesis Committee

The Thesis Committee must be established with at least 3 members including Dissertation Advisor, within the first three months of admission by the student:
   1. Dissertation Advisor will be the Committee Chair.
   2. At least one member must be external to KGI.
   3. Students can recommend members and initiate conversations followed by approval of the advisor.
   4. A Committee member is not required to have a PhD if they have fifteen years of relevant experience and expertise in the field.

Students should schedule and meet with their Committee at least once a year (or every nine months). If the Committee prefers to meet more frequently, they may set their own terms for meetings.

Relevant Form:
PhD Thesis Committee Recommendation/Revision Form

5. Literature Mastery Seminar

By the end of first semester of the program, the student is required to present a background overview of their research topic. The presentation should cover the background and in-depth analysis of literature relevant to the dissertation field of study. This presentation should be scheduled by the student to make sure all Committee members can attend either in person or by remote access. An abstract and reference list should be provided for presentation. All presentations content must be approved by the advisor. Thesis Committee must be provided with presentation material at least two weeks in advance.

This public presentation will be followed by a private evaluation by the Thesis Committee. Student will be graded with a pass/fail. If a “Fail” is received, one additional opportunity may be given by the committee. Second time failure will result in the delay of the student progress by at least 6 months. Student is not guaranteed TA/GA assistantship during this time.

Relevant Form:
PhD Literature Review Presentation Rubric
6. Dissertation Progress: Qualifier in First Year

Before the end of first year, each student must do a comprehensive presentation to the Thesis Committee. The presentation should cover but is not limited to the following:

1. Background and significance
2. Discussion of hypothesis or motivation of work
3. Detailed discussion of project aims and experimental design
4. Detailed discussion of results
5. Overview of project timeline (updated with future milestones)
6. Conclusion

Two weeks prior to the presentation, a six page progress report needs to be submitted to the Thesis Committee for a review, outlining topics mentioned above.

This presentation should be scheduled by the student to make sure all Committee members can attend either in person or by remote access. All presentation’s content must be approved by the advisor. The presentation should include 45 minutes of presentation and 15 minutes of general Q&A. This public presentation will be followed by a private examination of the candidate by the Thesis Committee. If any Committee member is not present, student must present report to absent Committee member outside of this presentation on another day. The Committee will recommend a pass/fail. Planned publication goals must also be set by this time and presented to the Committee. If a “Fail” is received, one additional opportunity may be given by the Committee. **Second time failure will result in the delay of the student's progress by at least 6 months or student may be asked to discontinue PhD Program. Student is not guaranteed TA/GA assistantship during this time.**

Relevant Forms:
1. PhD Thesis Committee Feedback Form
2. PhD Dissertation Progress Grading Form
3. PhD Dissertation Progress Report Rubric
4. PhD Dissertation Progress Presentation Rubric

7. Dissertation Progress: Original Data Presentation (Year 2)

Before the end of second year, each student must do a comprehensive presentation to the Thesis Committee. The presentation should cover but is not limited to the following:

1. Background and significance
2. Discussion of hypothesis or motivation of work
3. Detailed discussion of project aims and experimental design
4. Detailed discussion of results
5. Overview of project timeline (updated with future milestones)
6. Conclusion

Two weeks prior to the presentation, a six page progress report needs to be submitted to the Thesis Committee for a review, outlining topics mentioned above.

This presentation should be scheduled by the student to make sure all Committee members can attend either in person or by remote access. The presentation should include 45 minutes of presentation and 15 minutes of general Q&A. The content must be approved by the advisor. This presentation should provide updates on project progression. This public presentation will be followed by a private examination of the candidate by the Thesis Committee. If any Committee member is not present, student must present report to absent Committee member outside of this presentation on another day. The Committee will recommend a pass/fail. Planned publication goals must also be set by this time and presented to the Committee. Because of the unpredictable nature of research, the Thesis Committee may recommend extension of PhD training beyond three years.

All students will be required to execute an original research project under the mentorship of a faculty advisor. The research advisor and the Thesis Committee members will play a central role in monitoring student progress and preventing an unnecessarily taking long time to degree completion; they will also decide when the student has amassed a sufficient body of work to start writing the dissertation. Because of the unpredictable nature of research, the Thesis Committee may recommend extension of PhD training beyond three years. Research will be conducted predominantly on site at KGI, but certain portions of the work may be carried out at another institution within the framework of an ongoing collaboration. For externally sponsored PhD students, most or all of the research may be done off-site from KGI. In such cases, an approval letter from the off-site advisor as well as executed financial support agreement must be on file.

Relevant Forms:
1. PhD Thesis Committee Feedback Form
2. PhD Dissertation Progress Grading Form
3. PhD Dissertation Progress Report Rubric
4. PhD Dissertation Progress Presentation Rubric

8. Thesis Report and Defense

The conferral of the PhD is dependent upon successful completion of an oral exam and dissertation submission, along with completion of all other requirements during the entire tenure as a PhD Student. The oral exam is a public seminar followed by a closed session with the student’s Thesis Committee. At least one month before the oral exam, a substantial final draft of the thesis must be turned in to the student’s Thesis Committee. At least two weeks
before the Thesis Defense, the student should check in with the Committee and incorporate any changes by the time of the exam. The Defense cannot be formally scheduled or publicly announced until the student receives approval from the Thesis Committee. The student should, however, start scheduling a date and time with the Committee earlier than that to ensure that everyone is available on the projected date. The dissertation presented at the Defense is expected to be in the final form that will be submitted to the university barring any changes suggested by the Thesis Committee at the Defense. All Committee members must be present (remote participation is acceptable). The schedule is 45 minutes of presentation and 15 minutes of general Q&A. Public presentation is followed by a private examination, sign offs and written dissertation completion by the Committee.

For PhD Thesis that are based primarily on patent submissions (as some industry-sponsored projects might be), the thesis submission should not be delayed beyond a reasonable period for the purpose of patenting. The Dissertation Advisor should provide adequate guidance for patent/disclosures in a timely manner such that thesis defense can progress with the program time line.

Relevant Forms:
1. PhD Dissertation Defense Evaluation Form
2. PhD Dissertation Completion Form
3. Certificate of Completion of Requirements for the PhD

**IV. Transferable Skills**

1. Research Proposal (RP)/Business Plan (BP)/TMP

Students, upon approval from their Thesis Committee during the third year before the end of summer quarter, may choose between the options of several activities that demonstrate development of transferable skills that aid towards career development. Options include writing an original fellowship proposal, writing a formal business plan or serving as a mentor for junior researchers within their organization (TMP, independent study, Internship program).

A written research proposal or business plan must be crafted and submitted to the Thesis Committee. An abstract, the research proposal or business plan (with substantial technical component), and reference list should be provided for evaluation. The topic of the RP/BP must not have a substantial overlap with the dissertation.

Students must have prior approval from the PhD Program Committee at the beginning of the semester for anything that differs from that stated above.

Relevant Forms:
1. Research Proposal Grading Rubric
2. Current Topics in the Applied Life Sciences

During their first two years in the PhD Program, all students are required to attend colloquia on current topics in the applied life sciences. The colloquia are designed to encourage in-depth reading of primary literature related to the student’s dissertation research and to increase knowledge of topics of high general interest. At least 90% attendance is required. At the end of each academic year, students will have an exam on the topics presented for the successful completion of the course.

3. Ethics/Responsible Conduct of Research Course

All students are required to take an online Ethics training module with quizzes. Training in Responsible Conduct of Research (RCR) is not just important and the right thing to do; it is a federal requirement for funded research. The national ethics center (Ethics Core) offers online training modules that cover required RCR content. This course is required and should be completed in the first semester of the program. (https://nationalethicscenter.org/cmditr-rcr-modules/how-to-use-these-rcr-modules).

Students also need to participate and present topics related to research ethics and responsible conduct during monthly PhD meetings.

V. Communication Skills

1. Conference Presentations

Each PhD student is encouraged to present his/her research to at least one national or international conference. Oral presentations are encouraged over poster presentations. All presentations will receive approval from Dissertation Advisor. In the case of externally funded students, sponsoring company reserves the right to review all material presented.

2. Research Retreat: Poster Presentation

Each year PhD students are required to participate in the KGI Research Retreat. Students in the first PhD year are required to attend, while students in their second and third PhD years are required to participate in poster/podium presentations. The research retreats will foster communication among students and faculty, aid the development of interdisciplinary ties and
create a strong research community. Students must display and present a poster at annual Research Retreat. Poster should outline dissertation status.

Relevant Form:
Research Retreat Poster Presentation Rubric

3. Publishable Manuscript

In order to graduate, students must have at least one publishable manuscript or paper to which they have been the major contributor. Students are not required to have a manuscript already published in order to graduate; however, the paper must be ready or in the final stages for submission to a journal.

VI. After the Final Dissertation Examination

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

2. Exit Survey - KGI PhD graduating students are expected to complete the student exit survey with the Program Directors or another faculty member specifically assigned by the Dean’s Office to conduct the exit interview.

3. International Student Checkout - All international students should notify the Student 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 Office of Student Services.

VII. Submission of Dissertation and Final Checklist for the PhD Degree

- Proofread dissertation and forward to Thesis Committee Members for their review and approval, sending them the signature page and Abstract. (See draft forms at the end of this section.) Include these pages in your dissertation document.
- After approval by Thesis Committee Members, an electronic copy of the dissertation in PDF format is to be submitted to the Registrar along with a database if applicable. No hard copies are required by Registrar.
- Submit an electronic copy to your Faculty Advisor and the PhD Program Director with a cc to the Administrative Assistant.
Submit an electronic copy of your Dissertation to the Honnold Mudd Library at the following link: scholarship.claremont.edu. Follow instructions on this link to make your electronic submission. If you need to contact them for any further information, please contact scholarship@cuc.claremont.edu.

The Survey of Earned Doctorates link will be sent to you by the Administrative Assistant for the PhD Program. Once completed, please let the Administrative Assistant know you have completed this survey along with proof of completion.

Proof that you have informed the Office of Student Services of your completion and have provided them with your forwarding address (can be done by email).

Send Current and/or Forwarding Address to the Registrar. This address should be one in which you can be reached for at least the next three months. This is for Diploma and final transcript mailing.

Exit interview with Financial Aid Office needs to be completed.

### VIII. Expectations and Guidelines for Mentoring PhD Students

#### Role of PhD Mentors in Student Success & Advocacy

Student success can be defined as comprehensive training (psychological, intellectual and professional development). This includes students’ field of study and their professional arenas. The following points should be considered for students to be successfully prepared for graduation and employment.

KGI’s PhD Program in Applied Life Sciences is uniquely structured to encourage and enable the student to pursue professional employment opportunities upon graduation. A critical mechanism of the PhD Program to facilitate student career development is to provide, wherever possible, a formal PhD Mentor as part of the Dissertation Committee. Ideally, the PhD Mentor should be someone who has or is closely associated with a direct knowledge of the life science industry.

The PhD Mentor should have an initial meeting to discuss his/her advising style. Establish who will schedule meetings, what should be prepared for meetings and who should prepare it. You may also address how your student’s progress will be assessed.

- Strongly encourage students to focus and define their research topic as early as possible. Achieving this will help students stay on track. Establishment and proper development of the research topic and a measurable research plan will help you assess student progress.
Throughout your student’s PhD Program, keep their sense and level of focus in mind. It is the responsibility of the PhD mentor to prevent drifting from focus and/or isolation. Both of these outcomes can intensify stress, loneliness, etc.

Above all, graduate mentors should create structure and clarify expectations. Make deadlines, timelines and milestones as clear as possible. Regular meetings and Committee steering and coordination can make the difference between student success and failure. Do not hesitate to ask for administrative assistance when it comes to meetings or materials.

If you are the primary graduate mentor (advisor/Committee Chair), conflict management among Committee members falls to you. Student success is KGI’s priority. If a situation arises where two Committee members are at an impasse of opinion, the primary graduate mentor must resolve it. If the primary graduate mentor does not feel equipped to make a decision in the case of a conflict, they should seek the counsel of the Dean of Research to resolve the situation.

Explicit Requirements

Program requirements and milestones should be successfully accomplished on time. To reach this goal, proper preparation is required.

Orientation sessions - new PhD students will meet with the Program Directors and administrative personnel to discuss program requirements.

Milestones and Explanations - written guidelines pertaining to milestones and explanations of requirements contained in this handbook are posted on the PhD Program Sakai course page.

Program Quality Assurance

The PhD Program Committee will convene as needed for learning outcomes, fairness, accuracy, and other items. This Committee consists of the PhD Program Directors, Dean of Research and faculty member representation. Other faculty and administrators may be consulted.

Students should be aware of the following field norms. It is the duty of the PhD Mentor for advice on these norms.

- Appropriate use of animal or human subjects
- Appropriate citation of source material and prior research
- Ethical submission and review of publications
- Recognition and avoidance of conflicts of interest
- Ethical use of research funds
- Responsible generation, recording and use of data.
IX. Administrative Information

Satisfactory Degree Progress

Students not making satisfactory degree progress are subject to PhD Program Committee and Dissertation Advisor review and/or dismissal.

Leave of Absence

If a break in continuous formal study is needed, graduate students must request a formal leave of absence from their advisor and the PhD Program Directors. The maximum period of leave granted is one year, and the Leave of Absence petition is required. Graduate students on a leave of absence do not receive any financial support from the department. Students should consult with student services staff if considering this option; staff will discuss administrative resources, impacts, etc.

If the student is not able to resume studies by the quarter originally approved by the Program Directors, a one-time extension may be requested. If he/she wishes to return after an approved leave of absence has expired, the student must apply for reinstatement. Renewed financial support from the Department cannot be guaranteed in the event of an extended leave of absence; and there are no guarantees that the Registrar’s Office will approve a second year.

Honor Code and Fundamental Standard

The Honor Code, KGI's statement on academic integrity, can be found in the Student Handbook. It articulates KGI’s expectations of students and faculty in establishing and maintaining the highest standards in academic work. Some of the principles inherent in this Code are:

- Students shall treat all members of the community with respect and without malicious intent to ensure that all students share equal opportunities.
- Students shall conduct themselves in a manner that upholds their reputation of honesty and integrity in order to promote an environment of trust.
- It is the obligation of the students to participate in making the honor system viable by reporting violations of potential academic and professional misconduct.

The Fundamental Standard sets the standard of conduct for KGI students. KGI students are expected to show, both within and without the school, such respect for order, morality, personal honor, and the rights of others as is demanded of good citizens. Failure to do this will be sufficient cause for removal from KGI.
Scientific or Research Misconduct

Scientific or research misconduct is defined as fabrication, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the academic and scientific community for proposing, conducting or reporting research, and does not include honest error or honest differences in interpretation or judgments of data. (Further information can be obtained from the U.S. Office of Research Integrity, Department of Health and Human Services. Possible incidences of misconduct are to be reported immediately to the Deans of the respective schools who will initiate the appropriate procedures.

Dismissal from the Program

Students not meeting satisfactory degree requirements are subject to Thesis Committee review and/or dismissal. In cases where a student is subject to dismissal, the Department will follow the Guidelines for Dismissal of Graduate Students for Academic Reasons.

For more information consult the Student Handbook.

X. Financial Aid

General Policy

Students receive funding from a variety of sources (teaching assistantship, research assistantship, graduate fellowships, etc.) for a maximum of 3 years. Students in the PhD Program are provided with a stipend/salary, tuition and health insurance for four academic quarters each year.

Graduate Fellowship Application

It is optional, but recommended, that applicants seek extramural funding for their PhD Program of study. Section X. of this handbook on Financial Aid provides more information on various graduate fellowship programs that are available, such as the NSF Pre-Doctoral Fellowship.

Teaching Assistantship

Teaching assistantships (TAships) provide balance between teaching and research. KGI covers half of the stipend and all of the tuition and associated fees. The other half of the stipend must be covered from the research funds of the advisor accepting the student. Due to the limited number of TA positions, the preference order for TAship allocation is directly proportional to the year of study of the PhD student, i.e. highest priority given to 1st year PhD students and lowest priority to the 3rd year students. Stipends from TAships will begin in the fall semester independent of whether
the student starts their research earlier, in June, or in the fall. An advisor can optionally cover the stipend for those summer months, if they choose, from their RDA funds; but there is no requirement that this will occur. If a TAship is not awarded, the PhD student stipend is covered by a research assistantship through the advisor or a graduate fellowship.

Teaching responsibilities should be clearly understood before a student accepts a teaching position. Typical teaching responsibilities include the following:

- Assist in the preparation and grading of exams, problem sets, etc.;
- Hold regular office hours;
- Assist in preparation and distribution of course handouts;
- Attend lectures;
- Provide student course feedback to instructor;
- Initiate and plan discussion sections;
- For lab courses: set up experiments, check equipment and supervise clean up.

Research Assistantship

- Awarded through externally funded project grant written by faculty advisor and covers stipend, tuition and associated fees.
- Awarded through dissertation advisor in charge of writing grant and is project-focused.

Graduate Fellowships

- Individual fellowship – awarded fellowship application written by student that covers stipend, tuition, and fees.
- All eligible first and second year PhD students are encouraged to apply for a National Science Foundation (NSF) Graduate Research Fellowship Program. The application deadline is in late October. See the NSF website for deadlines: https://www.fastlane.nsf.gov/grfp/Login.do;
- All students are encouraged to apply for any/all fellowships for which they are eligible. Students are encouraged to consult their faculty advisors when preparing fellowship applications.

Relevant Forms:
1. Human Resources Personnel Action Form
2. Human Resources New Hire Checklist
3. TA/GA Application Form

Externally Sponsored PhD Students

KGI accepts PhD students who are sponsored by external companies. The sponsored PhD fellowship terms are covered by properly executed contracts between KGI and the external
companies. Please contact PhD Program Directors or your prospective advisor before applying to the program when considering a sponsored PhD Program.

XI. Laboratory Safety Training

Safety

Keck Graduate Institute is fully committed to maintaining safe conditions in all its teaching and research labs as well as in its classrooms, offices and support facilities. KGI’s Safety Compliance Officer has expertise in these areas: biological safety, chemical safety, environmental affairs (including hazardous waste management), fire safety, occupational safety and health, risk management, and shipping and receiving of hazardous material. The Safety Compliance Officer is KGI’s primary resource for information on state and federal safety and training requirements and maintains training records organized so that it can be easily searched by regulating bodies. For any questions related to the topics listed above, please contact the Safety Compliance Officer (see Contact Information section of the manual). Additionally, the Safety Compliance Officer is responsible for the distribution of safety information between the laboratories and the campus; serves as a contact for initiatives (hazardous waste management, laboratory labeling, safety training, environmental and lab safety audits, etc.); ensures that training requirements for faculty, students and staff are met; and assists during regulatory agency interactions.

Training

All incoming graduate students are required to complete safety training based upon the types of research that will be performed during the course of their PhD Program. Specific training requirements are based on particular responsibilities and differ across various laboratories. Students should consult the advising faculty to specifically identify those required courses. Once identified, the students must send an email to the Safety Compliance Officer (see Contact Information section of the manual) to register for courses. All courses are web-based and can be completed at the student’s convenience.

All lab training must be completed prior to conducting any research in KGI laboratories. Advisors can and may require additional training. Please note that any student who will be working with Blood borne Pathogens will be required by state law to take an annual refresher training on the topic. Contact Safety Compliance Officer for the refresher training. All students conducting research in KGI labs are required to read the Chemical Hygiene Plan, the Biological Safety Manual and Afterhours Laboratory Access Policy and follow the procedures contained in the documents. All documents mentioned above can be found in every lab at KGI. Please ask the advisor or lab manager to locate those materials for you.
Each PhD advisor or lab manager is required to provide laboratory specific training to all students, including location of Personal Protective Equipment (PPE), eyewash and shower stations, Standard Operating Procedures (SOP’s) detailing safety procedure to include but not limited to chemical spill response, fire extinguisher location, safe evacuation procedures from the lab, emergency contact information, and waste management. Finally, each lab must maintain updated MSDS sheets and direct the new students to the location. It is the student’s responsibility to read, understand and follow the safety aspects of any chemical or biological sample with which they will be working.

XII. Dissertation Preparation and Submission

Note on Deadlines

The deadlines for scheduling the final oral examination, payment of fees and submission of the dissertation are determined on a case-by-case basis by the Thesis Committee of the student and the Director of the PhD Program. Completion dates cannot be waived or extended without severe extenuating circumstances and must be approved by the Directors of the PhD Program or the Research Dean in consultation with the dissertation advisor. If there are questions regarding institutional requirements for the completion of your degree, please contact the Registrar.

General

The PhD degree is conferred by the Keck Graduate Institute primarily in recognition of breadth of scholarship, depth of original 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 original 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 his/her work in a dissertation and defend it in an oral examination to the faculty. For more information, consult the Student Handbook.

An electronic copy of the final dissertation must be presented to the Institute. The electronic copy should be prepared in accordance with the instructions given here, and the electronic copy must be completed 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 dissertation is submitted in satisfactory form to the Thesis Committee and approved by the Dean of Research and Program Director.
A dissertation 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 dissertation.” 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 Thesis Committee, and additional final copies beyond the electronic copy submitted to the ETD database. Candidates should consult the Directors of PhD Program concerning these additional requirements.

**Dissertation Draft**

You are advised to submit a final draft of your dissertation to your PhD Dissertation 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 dissertation, the PhD Program Directors should be consulted regarding the feasibility of such a plan.

A general reference is *How to Write a Better Thesis* by David Evans, Paul Gruba and Justin Zobel (Springer, 2014. ISBN# 978-3-319-04285-5). 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.

The title page and signature page must conform to the models included in this document in original format. 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 dissertation 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 dissertation 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 dissertation writer is fully responsible for editing the style and grammar of the manuscript. Any student who is unsure of his/her 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, 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 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 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.*

Below is a summary of the proper sequence for counting and numbering:

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

**Appendices**

Appendices are sometimes necessary for recording detail mathematical derivations or additional methods, especially when the dissertation is a compilation of published research papers where detail methods or mathematical derivations were not included due to 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, and Photographs

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 Reference Manager.

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/Flash drive, 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 dissertation 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 dissertation 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 dissertation, 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 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) 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 Dissertation Material

Note that your dissertation is a public document, and KGI is under legal obligation to make available all portions of the dissertation, but not necessarily all original data that produced the dissertation, 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 dissertation.

Note, however, that it is up to the Dissertation 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 grounds of privacy, the prudence of such an action should first be discussed with your Thesis Committee.

XIII. 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 PhD Dissertation 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.

Claremont and [City of Joint Institution]
2018

[Name of Joint Institution Co-Chair], Co-Chair

[Name of KGI Co-Chair], Co-Chair

[Name of KGI Program Director], PhD Program Director

This and the following pages provide sample 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

Claremont, California
20xx

Approved by:

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

1The 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:

(Typed name of Chair), Chair

(Typed name), Member

(Typed name), Member

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

(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 775 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 thesis 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 thesis: Committee Members, outside readers, someone who helped you formulate your prospectus, 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.

vi

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

TABLE OF CONTENTS

listing the page numbers of significant headings and subheadings of the thesis. 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.

viii

INTRODUCTION (OPTIONAL)

or

CHAPTER ONE

should begin the page numbering for the body of the thesis, starting 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 to the end of the reference section.

1
Common Errors

- 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."
- 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.
- 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.
- Unnumbered pages, especially those containing figures or captions to figures.
- Inconsistent hyphenation of compound words, such as "ray-tracing," "ray tracing," and "raytracing."
- Inconsistent capitalization of proper names used as adjectives, such as "Boolean" and "Hamiltonian."
- Inconsistent presentation of bibliographic information.

XIV. Forms