



SCHOOL OF  
GRADUATE STUDIES

CASE WESTERN RESERVE  
UNIVERSITY

## Notification for Scheduling the Final Oral Exam for the PhD

### Academic Regulations for Doctoral Examination

The composition of each student's dissertation defense committee must have formal approval by the Dean or Senior Associate Dean of Graduate Studies on recommendation of the chair of the department, division or curricular program committee. **The dissertation committee must consist of a minimum of four members of the University faculty** (any tenured or tenure-track Case Western Reserve University faculty member, and any CWRU full-time faculty member whose primary duties include research who is authorized to serve on a PhD dissertation committee by the school or college through which they are affiliated with the university). **At least one of these CWRU faculty members must hold a primary appointment that is outside of the student's department, program or school.**

**The chair of the committee must be a CWRU tenured or tenure-track faculty member in the student's program.** The student's dissertation/research advisor **MUST** be a member of the committee and may serve as chair if consistent with departmental policy.

Persons who are not members of the University faculty may serve as *additional optional* members of the examining committee, subject to approval by the Graduate Dean. A petition with the rationale for the request must be submitted to the dean along with the proposed member's curriculum vitae.

Under special conditions, a former faculty member whose time of leaving the university has not exceeded 18 months may be approved as a committee member by the Dean of Graduate Studies.

The student must provide to each member of the committee a copy of the completed dissertation at least two weeks prior to the examination so that all members have an opportunity to read and discuss the manuscript. The time and place of the Final Oral Examination must be announced to the University community at least three weeks in advance. Please note that all final examinations must be located in spaces considered public (seminar spaces, classrooms, conference rooms, etc. unless otherwise approved; this excludes faculty office space). Any member of the University community may be present at an examination. Others may be present by invitation of the chair of the examining committee.

Return this form to the School of Graduate Studies office for approval no later than three weeks prior to the date of your defense. Students must be registered for dissertation credit when the examination is held.

***Please Note: All members of the committee must be present for the exam. Any dissertation defense conducted without submission of this notification form is invalid.***

Name \_\_\_\_\_ SIS ID Number \_\_\_\_\_

Department/Program \_\_\_\_\_ CWRU Email \_\_\_\_\_

IRB Approval Date (if applicable) \_\_\_\_\_

Dissertation Title (please type or print legibly):  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(over)

revised 08/09/17

Exam Date \_\_\_\_\_ Time \_\_\_\_\_ Building \_\_\_\_\_ Room No. \_\_\_\_\_

Dissertation Advisor \_\_\_\_\_

THIS PERSON MUST BE LISTED AS A VOTING MEMBER BELOW.

List the members of your Defense Committee (please type or print legibly):

Committee	Name	Title*	Primary Department/ Program
Committee Chair			
Member			
Member			
Outside Department Member (CWRU Faculty)			
Additional Member			
Additional Member			
Additional Member			

### Approval Signatures

Committee Chair \_\_\_\_\_ Date \_\_\_\_\_

Department Chair/Program Director \_\_\_\_\_ Date \_\_\_\_\_

\*Title should indicate the committee member's faculty position (Ex: Professor, Associate Professor, or Assistant Professor). If a committee member is an Adjunct Professor, Instructor, or any other non-CWRU tenured or tenure-track professor, students should contact the School of Graduate Studies for information on how to petition for this member's inclusion.



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## Final Certification for the PhD Degree

### Oral Dissertation Examination

The first set of signatures is obtained at the end of the student's successful dissertation defense. All committee members who sign must be present at the defense. The research advisor is the person who determines when the student is ready to defend.

The undersigned certify that the following student has successfully passed the final oral examination for the degree of Doctor of Philosophy. They also certify that written approval has been obtained for any proprietary material contained therein.

Name \_\_\_\_\_ SID \_\_\_\_\_

Department/Program \_\_\_\_\_ Date of Defense \_\_\_\_\_

Number of coursework hours required for the degree \_\_\_\_\_

\_\_\_\_\_  
Committee Chair Name (Please print legibly)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
CWRU Faculty Member Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
CWRU Faculty Member Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
CWRU Faculty Member Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
CWRU Faculty Member Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
CWRU Faculty Member Name

\_\_\_\_\_  
Signature

### Submission of Dissertation

When all corrections to the dissertation manuscript have been completed, the research committee chair will sign for the entire committee.

Completed dissertation approved on \_\_\_\_\_

Committee Chair \_\_\_\_\_

### Chair's Certification for Degree Completion

When all appropriate course work has been taken, the dissertation defended, all corrections made, and the final manuscript completed, the Department Chair or Program Director will sign and recommend certification for the student to graduate.

The undersigned certifies that the aforementioned student has satisfied all departmental requirements and is recommended for the degree of Doctor of Philosophy.

Department Chair/Program Director \_\_\_\_\_ Date \_\_\_\_\_





## Final Certification for the PhD Degree

### Oral Dissertation Examination

The first set of signatures is obtained at the end of the student's successful dissertation defense. All committee members who sign must be present at the defense. The research advisor is the person who determines when the student is ready to defend.

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Name \_\_\_\_\_ SID \_\_\_\_\_

Department/Program \_\_\_\_\_ Date of Defense \_\_\_\_\_

Number of coursework hours required for the degree \_\_\_\_\_

\_\_\_\_\_  
Committee Chair Name (Please print legibly)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
CWRU Faculty Member Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
CWRU Faculty Member Name

\_\_\_\_\_  
Signature

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CWRU Faculty Member Name

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Signature

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CWRU Faculty Member Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
CWRU Faculty Member Name

\_\_\_\_\_  
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Completed dissertation approved on \_\_\_\_\_

Committee Chair \_\_\_\_\_

### Chair's Certification for Degree Completion

When all appropriate course work has been taken, the dissertation defended, all corrections made, and the final manuscript completed, the Department Chair or Program Director will sign and recommend certification for the student to graduate.

The undersigned certifies that the aforementioned student has satisfied all departmental requirements and is recommended for the degree of Doctor of Philosophy.

Department Chair/Program Director \_\_\_\_\_ Date \_\_\_\_\_



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## Waiver of Registration

Name \_\_\_\_\_ SIS ID Number \_\_\_\_\_

CWRU Email \_\_\_\_\_ Phone \_\_\_\_\_

Department/Program \_\_\_\_\_ Degree \_\_\_\_\_

Based on completion and submission of all required materials for my degree before the last day of the Add/Drop period, I request a Waiver of Registration and permission to graduate in:

☐ Fall of \_\_\_\_\_ ☐ Spring of \_\_\_\_\_ ☐ Summer of \_\_\_\_\_

☐ I have completed the Application for Graduation in SIS for the above semester/session.

\_\_\_\_\_  
Student Signature Date \_\_\_\_\_

\_\_\_\_\_  
International Student Services Signature (International Students Only) Date \_\_\_\_\_

### Eligibility Criteria for Waiver of Registration

The School of Graduate Studies requires all students to be registered in the semester in which they graduate. If a student will not be able to meet the degree requirements to graduate in one semester, but will finish before the next semester begins, the student can petition to waive registration for the following semester.

The following criteria must be met to be eligible for the Waiver of Registration:

- The student must be registered for at least one credit hour in the semester (or summer session) immediately preceding the semester of graduation.
- The student must complete and submit the Waiver form. International students must obtain the signature of an International Student Services representative before submitting the form to the School of Graduate Studies.
- The student must apply for graduation in the Student Information System for the next scheduled graduation.
- The student must complete all degree requirements and submit all required materials to the School of Graduate Studies by the last day of the Add/Drop period of the graduating semester. This includes the thesis or dissertation, certification forms and surveys.

Students must submit the Waiver of Registration form and all required documents no later than the final day of the Add/Drop period. The deadline date to submit materials is firm. If a student misses the deadline, the student will be required to register for at least one credit hour, or more if necessary.

Please be aware of the following when applying for the Waiver of Registration: CWRUNet services, student loans and health services may be terminated during the semester for which the Waiver is effective.

If you have any questions, contact the School of Graduate Studies office at 216.368.4390.



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***Electronic Theses and Dissertations (ETD)  
Submission Checklist***

This checklist will help you ensure that you are completing all necessary steps.

- ☐ **APPLY to Graduate by the posted deadline.** You will not be allowed to graduate if you miss this step.
- ☐ **DEFEND** successfully and **COMPLETE** all revisions as directed by your dissertation committee.
- ☐ **REVIEW** the Graduation information on the School of Graduate Studies website.
- ☐ **FOLLOW** the website's **ETD Guidelines** carefully.
- ☐ **ENSURE** the title page lists the date of your graduation (month, year), NOT the date of your defense.
- ☐ **INCLUDE** a Committee Approval Sheet as the 2<sup>nd</sup> page of your ETD. The sample page can be found in the instructions on the ETD Guidelines page.
- ☐ **CONVERT** your ETD to a PDF file using Adobe Acrobat.
- ☐ **SUBMIT** a copy of the file to the School of Graduate Studies for a format check *prior to uploading to OhioLink*. Email the .pdf file to [etdsubmit@case.edu](mailto:etdsubmit@case.edu). Include your department/program name and the words "format check" in the subject line. Notice will be sent from Graduate Studies with corrections to be made or approval of your document. Any ETD uploaded to OhioLink without prior approval will be deleted.
- ☐ **UPLOAD** your **approved** .pdf file to the OhioLink ETD website at <http://etdadmin.ohiolink.edu>. *If there is a problem with the uploading of the ETD, contact Graduate Studies.*

**Final Materials to Submit to Graduate Studies for a Doctoral Degree**

Final Certification of the PhD Degree form

Printed copy of Title Page

ETD Document Approval Form

Online Survey of Earned Doctorates at <https://sed-ncses.org/>





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## **Electronic Thesis and Dissertation (ETD) Document Approval and Certification**

The School of Graduate Studies partners with OhioLINK to electronically publish master's theses and doctoral dissertations through their ETD Center--a free, online database of Ohio's ETDs from participating OhioLINK member schools. It contains the abstract and full-text for all theses and dissertations giving researchers immediate access to the most current research occurring on Ohio's campuses.

The ETD Center is freely accessible worldwide to anyone interested in searching, viewing, and downloading the theses and dissertations published in Ohio. Using a standard Web browser, users can search the database using basic keyword searching. Authors, university affiliation, and abstracts are all indexed.

When you submit your ETD to OhioLINK, you are giving OhioLINK and CWRU permission to make your ETD available for open access on the Internet, including access through major Internet search engines.

The OhioLINK publication agreement can be found at <http://etd.ohiolink.edu/publication-agreement.html>. Please take a moment to read and understand it before submitting your ETD. The publication agreement outlines what OhioLINK and CWRU may do with the copy of the ETD published in the ETD Center.

### **Points to Consider Prior to Submitting Your ETD:**

All copyrighted material (e.g. previously published in a journal, monograph or chapter) must have permission from the journal, monograph or chapter publisher for reproduction/inclusion in the ETD. If students have already published part of their ETD in a journal or monograph, and have not retained/negotiated the right to include it again in the completed ETD, students must obtain copyright permission for their own published work. Students cannot alter published figures from themselves or others without copyright release.

Inclusion of any intellectual property as imposed by Material Transfer Agreements or participation of collaborators must appropriately consider legal, collegial and ethical obligations. In particular, any unpublished data from collaborators should not be included in the ETD unless written consent is demonstrated and appended to the ETD.

All information in the ETD will be published when the ETD is submitted to OhioLINK. If there are near future plans to publish a portion of the ETD in a journal or monograph, submitting the ETD might compromise such future publication(s), unless you have first discussed this with the journal or monograph publisher, or intend to embargo the ETD to allow for future publication. If you have chosen a publisher and plan to publish a portion of your ETD, check the publisher's policy. Since 2004, Elsevier (major publisher of academic and professional journals) has allowed their authors to retain rights for pre- and post-publication of articles. If you publish with Elsevier in a journal, you can later include the work in your ETD without asking permission from Elsevier.

The ETD may be embargoed (held without release) *after submission* for up to two years. Petition forms are available on the School of Graduate Studies website. An embargoed ETD is still considered to be a completed work, and may not undergo any modification before release by OhioLINK.

**Case Western Reserve University  
School of Graduate Studies**

**ETD Document Approval Form**

Complete and Submit This Page to Graduate Studies with Final Materials for Graduation

- \_\_\_\_\_ Permission has been demonstrated for all copyrighted materials in ETD.
- \_\_\_\_\_ Permission to include collaborators' unpublished data in the ETD has been demonstrated.
- \_\_\_\_\_ No data bound by publication restrictions is included without meeting required legal or ethical obligations (e.g. relating to an MTA, intellectual property of collaborators).
- \_\_\_\_\_ Student and Advisor have discussed inclusion of any unpublished data, in light of future publication plans.
- \_\_\_\_\_ Student and Advisor have discussed embargo to delay online posting of the ETD (if relevant).
- \_\_\_\_\_ Collaborators are appropriately acknowledged, including full citation of any published papers, and inclusion of all named contributors

**STUDENT:** I certify that I understand these points and have satisfied all of the requirements. I understand that the ETD, as submitted to OhioLINK ETD, is a completed work and that once submitted, no changes or revisions can be made, even if a portion of the ETD is later published in a journal or monograph.

\_\_\_\_\_ I am not requesting a delay of release for my ETD.

\_\_\_\_\_ I am requesting a delay of release for my ETD for a period of \_\_\_\_\_ 6 mos. \_\_\_\_\_ 1 yr. \_\_\_\_\_ 2 yrs.

\_\_\_\_\_  
Signature of Student

\_\_\_\_\_  
Printed Name of Student

\_\_\_\_\_  
Date

**ADVISOR:** I have reviewed the ETD and advised the student on issues concerning the use of copyrighted and/or unpublished data therein, as well as publication plans.

I certify that I understand these points and have satisfied all of my obligations.

\_\_\_\_\_  
Signature of Thesis/Dissertation Advisor

\_\_\_\_\_  
Printed Name of Advisor

\_\_\_\_\_  
Date



## **Spacing [+]**

Double space all text. Long quotations, captions, footnotes, and endnotes may be single-spaced.

## **Pagination [+]**

The numbering of pages should, at the very latest, begin with the Table of Contents: Roman numerals (iii, iv, v...) are acceptable for the front pages. However, Arabic numbers (3, 4, 5...) should begin no later than the first page of regular text. You should number consistently throughout the document; for example, page numbers should be all at the top or all at the bottom.

## **Title Page [+]**

The title page must contain the following information: Title, Name, Degree, Department, University Name, Month and Year of Graduation. The month of graduation will either be January, May or August

A Committee Approval Sheet must be included as the second page of your PDF document. This form should only have the typed names of your committee, not signatures. See the sample Committee Approval Sheet (PDF).

## **Tables and Figures [+]**

If you use tables, figures, and/or illustrations, you must include an itemized/numbered list of each. Please separate these lists on different pages.

## **Abstract [+]**

Dissertation abstracts must not exceed 350 words, thesis abstracts 150. See the **sample abstract**.

## **References/Bibliography [+]**

You must include a complete bibliography at the end of the ETD that includes all works cited. Please follow the format most commonly used by your department.

## **Proofing [+]**

You must have the format of your thesis/dissertation checked and approved by the School of Graduate Studies before you upload to OhioLink. You can do this by emailing a copy of the entire PDF file to [etdsubmit@case.edu](mailto:etdsubmit@case.edu). Include your department or program name and the words "format check" in the subject line. Notice of approval or corrections will be returned via email. Any ETD uploaded to OhioLink without prior approval will be deleted.

## **Publishing [+]**

It is a requirement of Case Western Reserve University to publish all doctoral dissertations through UMI/ProQuest. Please note that electronic dissertations will be submitted to

UMI/ProQuest on behalf of CWRU by OhioLink. The doctoral graduation packet contains a form with detailed information about electronic publishing.

### **Copyrights [+]**

Authorship automatically and implicitly confers a copyright to the author, without any additional fee. However, a copyright can be registered with the U.S. Copyright Office, which will provide additional legal protections for your rights regarding your dissertation, for an additional fee. The School of Graduate Studies is no longer processing these requests. If you choose to formally copyright, please insert a "copyright page" into your document. If you are not copyrighting, then leave out this page.