

**ST. JOHN'S UNIVERSITY
GRADUATE DIVISION OF ST. JOHN'S COLLEGE
OF ARTS & SCIENCES**

DOCTORAL DISSERTATION PROCEDURES
(revised July 2002)

The responsibility for a well organized presentation of personal research rests entirely upon the candidate and is in no sense a part of the instructional responsibility of faculty members. These guidelines have been prepared to assist you to successfully complete your doctoral program; questions about any of the procedures should be addressed to the Associate Dean, Graduate Division.

ENROLLMENT

Continuous enrollment is mandatory from the date of matriculation until the degree is awarded.

Doctor of Arts students in the Departments of English and History who have completed all degree requirements except the Research Essay **MUST** register for the appropriate doctoral research essay course (975) until the Essay is completed and the degree is awarded.

Doctor of Philosophy students in Biological Sciences, and Clinical Psychology **MAY** register in the doctoral research course (950) while completing their degree requirements, but when other degree requirements have been completed they **MUST** register in this course until the degree is conferred.

As per the Graduate Bulletin, in conjunction with registration each semester, graduate students enrolling for **ONLY** Doctoral Research (950 or 975) and psychology students enrolling in an internship **must complete appropriate certification regarding full-time status.** The certification forms are available in the Graduate Division Office, Room 135 St. John Hall.

The student should be aware that it is his/her sole responsibility to insure that all of the forms are initiated, properly filled out and returned to the Graduate Division Office. Also, note that **NO RESEARCH WITH HUMAN SUBJECTS MAY BE CONDUCTED UNTIL ALL APPROPRIATE INSTITUTIONAL REVIEW BOARD (IRB) APPROVALS HAVE BEEN RECEIVED.** IRB forms and procedures may be found on the St. John's Internet site via the following links: "Faculty and Research", then "Office of Grants", and then "Human Subjects".

STYLE AND FORMAT OF DISSERTATION

In writing the dissertation, the candidate must follow a standard style approved by the department using the latest edition of the appropriate manual. The following are currently in use by the respective departments:

- **Biological Sciences - Scientific Style & Format: The CBE Manual Edition for Authors, Editors & Publishers, 1994, 6th edition.**
- **English - Modern Language Association Handbook.**
- **History - A Manual for Writers - Kate Turabian.**
- **Psychology - Style Manual of American Psychological Association - 5th edition.**

FORM 1: APPROVAL FOR DOCTORAL DISSERTATION RESEARCH (DAF)

- a) Student prepares a research proposal in accordance with departmental directions...usually with the guidance of a faculty member. Students in the Doctor of Arts programs in English and Modern World History should consult their respective Directors for specific guidelines.
- b) Student consults the chairperson to arrange for a mentor and a committee consisting of two full time department faculty. This committee is submitted to the Dean for approval and may be expanded at the option of the Dean. After the committee has approved the proposal, the chairperson signs FORM 1.
- c) Student submits FORM 1, with a copy of the research proposal attached, to the Graduate Division Office.

FORM 1A: INSTITUTIONAL REVIEW BOARD APPROVAL (IRB) (if applicable)

If the research deals with human subjects, Form 1A along with the CONSENT and RELEASE form (if applicable) must be submitted with FORM 1 to the Graduate Division Office. You may access these IRB forms from the internet. (The Institutional Review Board meets once a month during the academic year, and in order to insure appropriate review time, the proposal should be submitted at least three weeks prior to the meeting date.)

FORM 1B: APPROVAL FOR CONDUCTING RESEARCH OUTSIDE OF THE UNIVERSITY (if applicable) – This form is available in the Dean’s Office.

- a) To be submitted with FORMS 1, and 1A. If research is to be conducted outside of the University, the vita of the person who will help to supervise

the research must also be submitted.

FORM 2: This should be done at least four months prior to the expected date of graduation; specific deadline dates are published in the Graduate Bulletin and regularly posted outside the Graduate Office. Although revisions may be required, these copies must be submitted as if they were final copies, not draft copies.

FORM 4: PROFESSOR'S REPORT TO THE DEAN ON READER'S COPY

- a) After each reader has completed his or her evaluation of the dissertation he or she is to report severally and in writing to the Graduate Division Dean on FORM 4, which is supplied to the reader with the copy of the dissertation.

FORM 5: FORMAL NOTICE OF FINAL ORAL DOCTORAL DEFENSE

- a) When the Dean has reviewed the reader's evaluation forms, he will notify the mentor as to whether or not the final oral defense may be scheduled.
NO DEFENSE MAY BE HELD WITHOUT DEAN'S APPROVAL.
- b) The mentor and committee propose a date for the final oral defense to the Dean using FORM 5. With the Dean's approval, this date becomes official. N.B.: The mentor must indicate on FORM 5 that the student has submitted a separate manuscript prepared for publication review, based on the dissertation research; no defense will be scheduled unless this submission is made.
- c) An additional notice of defense or an invitation will also be sent to faculty and guests. This should be done at the departmental level. Deadline dates for each semester are printed in the Graduate Bulletin and regularly posted outside the Graduate Division Office.

FORM 6: BALLOT - FINAL ORAL DOCTORAL DEFENSE

- a) The Dean's office will forward to the Chairperson of the defense a sufficient number of ballots (FORM 6). At the final oral defense, the presiding officer will ascertain that all members of the committee are present and then distribute FORM 6 on which they will vote and write comments, suggestions, and recommendations. The presiding officer will verbally inform the candidate the results of the voting, i.e.,
 - 1) approved as presented
 - 2) approved with revisions
 - 3) failed

FORM 7: REPORT OF ORAL DOCTORAL DEFENSE TO THE DEAN

- a) The presiding officer of the Oral Defense Committee must notify the Dean of the results of the voting and recommendations of the committee using FORM 7. (This form is sent at the same time as the FORM 6).
- b) The Dean, in turn, will provide copies of this report to the candidate, the mentor, and the chairperson of the department.
- c) A candidate who passes the final oral defense "approved with revisions" must comply with all of the recommendations made by the Oral Defense Committee.

FORM 8: SUBMISSION OF EDITORIAL COPY OF DOCTORAL DISSERTATION

- a) The mentor and any examiner requesting revisions must certify that all suggested revisions have been made by signing FORM 8.
- b) After securing final approval of the mentor, the candidate must submit an editorial copy to the Dean on or before the date specified in the Academic Calendar. All doctoral students are required to pay for the editing of their dissertation. The editor will return the dissertation to the Dean's office, and the student will be notified to pick it up. The candidate should make any corrections suggested by the editor and after approval of their mentor, should submit **TWO ORIGINAL COPIES** to the Dean's office *along with the editorial copy*. If the candidate wishes to have extra copies bound, they must be submitted at this time.
- c) The original should be prepared (typed, by computer, etc.) on good quality (20% OR BETTER BOND PAPER not the erasable type), with a minimum of 25% COTTON CONTENT. The dissertation should have a minimum left hand margin of 1½ inches and a minimum 1 inch margin on the remaining three sides.
- d) Dissertations may be prepared on word processors or computers but the paper requirements stated in "c" above, **MUST** be adhered to. The print for all copies should be dark and even. Dissertations produced on word processors should be produced using a letter quality printer. If a dot matrix machine is used it must have a resolution of at least 200 dots per inch.
- e) If charts have to be prepared "sideways", the page should be placed in the dissertation so that the title of the chart is on the left (closest to the binding). (see sample)
- f) See Appendix for usual order and content and numbering of the pages.
- g) Approval of the final copy should not be presumed until it has been read and

approved in the Graduate Division Office and accepted by the Dean.

NOTE: If the student is using material which is under copyright, written permission must be granted from the author(s) prior to duplication. Without this permission the student will be unable to include copyrighted material in the two final copies they submit to the Library for binding. They may, however, use the material in their personal bound copies.

FORM 9: RECEIPT OF FINAL COPIES OF DOCTORAL DISSERTATION

- a) **The following must accompany the dissertation:**

Title Page. The originals must bear the original signatures of the mentor and the candidate. The date used is that of your oral defense. (See sample).

Abstract. An abstract of the dissertation of not more than 350 words, typed double space, must also include the title of the dissertation and the name of the candidate. (See sample)

Vita. (See sample)

Contract for ProQuest. See Appendix.

Copyright. The copyright is optional. If the candidate wishes to own the copyright, an extra, unnumbered, page must be included immediately behind the title page which bears the copyright notice as follows:

©Copyright by John Arthur Brown 19____
All rights reserved

If graduating in September, copyright should reflect the following year's date. (This depends whether there is a September graduation date and whether the dissertations are sent to ProQuest in September or October. In that case the present year is used.) Primary responsibility for the preparation of the text of the dissertation rests solely with the candidate. Because the dissertation is a contribution to existing knowledge, it should reflect clarity of thought and excellence of exposition. In order to preclude delays in processing, it is incumbent on the candidate to make certain the final copy is free from error in grammar and format.

The check list below will help you to record your progress.

FORM

TITLE

DATE SUBMITTED

1	Approval for Doctoral Dissertation Research	_____
1A	Institutional Review Board Approval and Consent and Release	_____ _____
1B	Approval for Research Outside the University	_____
2	Reader's Copies Receipt	_____
4	Professor's Report to the Dean on Reader's Copy	_____
5	Formal Notice of Final Oral Defense	_____
6	Ballot - Final Oral Doctoral Defense	_____
7	Report of Oral Doctoral Defense to the Dean	_____
*8	Submission of Editorial Copy of Doctoral Dissertation	_____
9	Receipt of Final Copies	_____

DISSERTATION FEES:

1. Editorial Review.....	\$150.00
2. Microfilming.....	100.00
3. Binding Fee (per copy).....	10.00
**4. Copyright Fee.....	45.00

***Must be signed by the mentor and any examiner who requested revisions.**

****Must be paid by Certified check or money order payable to ProQuest.**

ABSTRACT

TITLE OF DISSERTATION (IN ALL CAPITALS)

Name of Candidate

Abstract Length

Please remember that regardless of degree date, doctoral dissertation abstracts submitted to ProQuest must not exceed 350 words.

CONTRACT FOR PROQUEST(formerly Bell & Howell)

All students must submit **TWO ORIGINAL COPIES** of the dissertation together with the signed ProQuest contract. One original is retained in the Library and the other goes to the department.

If additional bound copies are desired, the student must submit them at this time. The fee of \$10.00 per copy should be included in the binding fee check. (see Binding Procedures attached)

FORMAT

With the exception of Title Page, Abstract, Copyright, Vitae, each page in a dissertation should be assigned a number.

For the preliminaries, use small Roman numerals (i, ii, iii, iv, etc.). The numbering begins with ii, (the title page counts as page i, but the number does not appear.)

The abstract, while placed directly behind the title page is not paginated in the preliminaries nor is it listed in the Table of Contents.

For the remainder of the dissertation--including the text, illustrations, appendices and bibliography--use Arabic numerals (1, 2, 3, 4, etc.). Each page must be numbered. Try to avoid the use of letter suffixes such as 10a, 10b. Follow style manual for location of page number!

Usual Order and Content

1. **Preliminaries**
 - a. Title page
 - b. Copyright page (not paginated)
 - c. Abstract (not paginated)
 - d. Preface/Acknowledgment
 - e. Table of Contents
 - f. List of Tables
 - g. List of Illustrations
2. **Text:**
 - a. Introduction
 - b. Main body
3. **References***
4. **Appendices**
5. **Vita** (not paginated)

***APA Manual specifies reverse order, i.e., references followed by appendices, for dissertations in psychology.**

**EFFECT OF ETHIDIUM BROMIDE
ON THE
MAMMALIAN CELL IN CULTURE**

**A dissertation* submitted in partial
fulfillment of the requirements
for the degree of**

DOCTOR OF PHILOSOPHY

to the faculty of the department

BIOLOGICAL SCIENCES

at

**St. John's University
New York**

by

Katherine Griffin

Date Submitted: _____

Date Approved: _____

(Student's Signature)

(Mentor's Signature)

***for a Doctor of Arts this should read: A research essay submitted in partial....**

SAMPLE VITA PAGE

VITA

Name:

Jane Doe

Date of Birth:

January 1, 1950

Elementary School:

**St. Patrick's
Huntington, New York**

Date Graduated:	June, 1962
High School:	Our Lady of Mercy Academy Syosset, New York
Date Graduated:	June, 1996
Baccalaureate Degree:	Bachelor of Science St. John's University Jamaica, New York
Date Graduated:	June, 1970
Other Degrees:	Master of Science St. John's University Jamaica, New York
Date Graduated:	June, 1973

N.B. The Ph.D.\D.A. degree is not included in the VITA.