



# ST. JOHN'S UNIVERSITY

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THE SCHOOL OF EDUCATION

Department of Education Specialties

## DOCTORAL HANDBOOK For Literacy 2016-2018

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## **INTRODUCTION**

Welcome to the PhD in Literacy Program!

The PhD in Literacy Program in the Department of Education Specialties within The School of Education requires candidates to: (a) develop a broad understanding of theoretical and policy issues in literacy; (b) develop expertise in specific areas within literacy; and (c) critically analyze published research on educational topics; and (d) independently conduct research.

St. John's University is a Catholic, Vincentian, and global university that since its founding has striven to provide an excellent education for all, especially for those individuals lacking economic, social, or educational advantages. Therefore, we encourage you to pursue a dissertation study that is consistent with this mission. We also hope you will become a strong advocate for equity and social justice.

The various procedural requirements of the PhD in Literacy program are outlined in this Handbook. Additionally, there are other recommendations that will assist students in completing their degree. Among these are:

1. the development of an understanding of critical issues in literacy that will help students identify a suitable dissertation topic;
2. the identification of areas of emerging research interest as early as possible, so that students can focus their course tasks and independent learning activities toward building a background of expertise into one or more areas of study;
3. the selection of appropriate and available cognate courses that will extend content knowledge into an area of specialization.

The PhD in Literacy program is accredited in both face-to-face and online modes, and often operational in a cohort model.

## **GENERAL INFORMATION**

### **Program Description**

This PhD in Literacy program and its focus on urban education and diverse learners prepares individuals with knowledge and skills to be specialized literacy professionals.

There are two program tracks to earn the PhD in Literacy degree:

- 1) Literacy background – This program track serves those individuals who have completed a master's level or certificate program in literacy (or a related field). This track allows students to select from available cognate areas to extend their content knowledge in fields such as Literacy, Educational Leadership, Teaching English to Speakers of Other Languages, and Special Education as available.
- 2) Non-literacy background – This program track is for those who have completed a master's level program in another educational field, but lack prerequisite foundational knowledge in literacy as stipulated in the Standards for Reading Professionals (2010) of the International Literacy Association. Rather than selecting from cognate options, students in this program track will enroll in a literacy cognate area composed of nine hours of course work designed to provide foundational knowledge in the areas of language acquisition, reading foundations, and literacy learning and pedagogies.

The PhD in Literacy requires a minimum of 42 semester hours of doctoral level course work completed at St. John's University. Candidates holding graduate credits beyond an initial Master's degree from another university may transfer up to 6 credits to be applied toward their doctoral degree, based on a review of transcripts and recommendation from the Program Coordinator and Department Chairperson.

Candidates are provided the opportunity to take courses (in addition to doctoral coursework) leading to New York State literacy teacher certification, if they do not already possess these credentials. Note that colleges and universities in New York State do not offer New York State Certification, but instead they may offer courses that lead to state certification. You can obtain certification in the following three ways:

- 1) Completing a state approved master's degree in a literacy program and passing the New York State Content Specialty Test in Literacy;
- 2) Completing a state approved advanced certificate in literacy program and passing the New York State Content Specialty Test in Literacy; or
- 3) Submitting your transcripts to the New York State Department of Higher Education (NYSDHE) for evaluation (if you think you have taken the required literacy credits but do not have a master's degree in literacy) and passing the New York State Content Specialty Test in Literacy.

If you seek New York State Certification in Literacy through this option, it is your responsibility to contact the NYSDHE for the most recent requirements. See the website below for more information: below <http://www.highered.nysed.gov/tcert/certificate/>

## **Recommendations**

Each faculty member has particular expertise and interests in literacy. We encourage you to engage in dialogue with them to collaborate in projects that form the foundation for success in higher education. We urge you to learn more about our literacy faculty members who share your interests (see the literacy faculty profiles of the SJU website). The Program Coordinator can also recommend a faculty member or members with whom you can develop your ideas.

We strongly recommend that you become active members of the academe including the International Literacy Association ([www.literacyworldwide.org](http://www.literacyworldwide.org)) and its Special Interest Groups such as the Specialized Literacy Professionals ([www.literacyprofessional.org](http://www.literacyprofessional.org)), and the Literacy Research Association ([www.literacyresearchassociation.org](http://www.literacyresearchassociation.org)) among others.

### Professional Roles

Using literacy, research, and cognate courses, this one-of-a-kind program positions graduates to serve in teaching roles (teacher educators, literacy coaches, literacy specialists, academic coaches, consultants), administrative roles (district literacy coordinators, school administrators, non-profit and for-profit executives), and researcher roles (professors, fellows, designers) amongst others. We encourage you to consider your career objectives and position yourself accordingly from your studies, research, and dissertation project.

## GENERAL REQUIREMENTS AND REGULATIONS

### Overview and Checklist

Acceptance:	Date: _____
Matriculation:	Date: _____
Coursework Completion:	Date: _____
Residency Completion:	Date: _____
Comprehensive Exam:	Date: _____
Doctoral Seminar Enrollment:	Date: _____
Dissertation Topic Proposal:	Date: _____
IRB Approval:	Date: _____
Dissertation Research Complete:	Date: _____
Final Dissertation Defense:	Date: _____
Revise dissertation (if warranted) based on publication specifications:	Date: _____
Application for Graduation:	Date: _____

### Acceptance & Matriculation

A matriculated student is one who has been accepted for and is actively engaged in a degree program at St. John’s University.

Once accepted, a student must be enrolled continuously in the doctoral program. Students seeking a leave of absence must remain enrolled by maintaining matriculation (EDU 3940 for Literacy). Only two semesters of leave are permitted. Students who do not rejoin the program after two semesters must re-apply for admission. If reinstated, students must pay the appropriate

maintaining matriculation fee for the semesters missed. Reinstatement is not guaranteed. Students may also be asked to re-take coursework if the 8 year limit on courses has expired.

Students who are working on their Doctoral Dissertations for more than the minimum time (i.e., having completed 42 credits) must continuously enroll in dissertation seminar (EDU 3293 for Literacy) for 3 credits per semester until completion. Students must complete their dissertation research within the 8 year limit, or they may be terminated from the program.

## **Calendar**

For most current calendars, please see the School of Education website.

## **Residency Completion**

In addition to matriculation, to be immersed in the scholarship necessary for a doctoral program, there is a residency requirement. The residency requirement applies to work undertaken after the Master's Degree and may be satisfied by any one of the following:

- 1) Completing an Independent or individualized study with a faculty Mentor;
- 2) Completing an Administrative assistantship or fellowship for one semester;
- 3) Completing 24 semester hours within one calendar year (if student is not also working full time)

## **Coursework Completion**

You will take a minimum of two doctoral courses per semester (fall, spring, and summer) if part of a cohort. Coursework is completed in three years, leaving the fourth year and beyond for the dissertation project. SPSS Statistics Package is required for the research methods classes.

### **Literacy (18 credits + 3 credits of supervision per semester until completion)**

EDU 3281: Literacy Inquiry and Professionalism

EDU 3291: Seminar in Literacy for At Risk, Diverse Learners

EDU 3290: Special Topics in Literacy

EDU 3282: Models and Processes of Reading and Writing Acquisition and Competency

EDU 3283: Literacy Leadership

EDU 3290: Special Topics in Literacy

EDU 3292: Dissertation Seminar – Part 1

EDU 3293: Dissertation Seminar – Part 2 (Supervision)

### **Research Methods (15 credits)**

EDU 3285: Research Perspectives in Literacy

EDU 7900: Qualitative Research: Methodology and Analysis

EDU 7211: Educational Research and Data Analysis, II

EDU 7800: Multivariate Data Analysis

EDU 7901: Educational Research and Data Analysis, III

### **Cognate Studies (9 credits in one of the following areas on following page)**

**Literacy**

EDU 3200: Language Acquisition and Literacy Development for General Education and English Language Learners, K-12

EDU 3215: Research and Practice of Teaching Writing in General and Inclusive Education

EDU 3270: Theories of and Strategies for Teaching Literacy in Content Areas

**Educational Leadership**

EDU 5301: Leadership Values, Decision Making and Multicultural Organizations

EDU 7665: Leadership in Technology

EDU 7412: Teaching Creative Thinking and Problem Solving for Gifted Students

**Teaching English to Speakers of Other Languages (TESOL)**

EDU 9001: Foundations of Bilingual and Second Language Education

EDU 9003: Literacy Development for First and Second Language Learners

EDU 9006: Human Development in Cross-Cultural Perspective

**Special Education**

EDU 9711: Education of Individuals with Exceptionalities

EDU 9719: Principles of Applied Behavior Analysis

EDU 9707: Curriculum Adaptation and Modification Planning for Exceptional Students

*Note:* At least 36 doctoral level credits (of the 42 listed above) must be taken at St. John's University. A minimum grade point average of 3.0 is required to maintain academic status. You are allowed only one grade lower than a "B" at the doctoral level. Other courses may be approved by Program Coordinator or Department Chairperson.

**Comprehensive Examination**

At the completion of course work, successful completion of a Comprehensive Examination is required. The Comprehensive Examination may not be completed earlier than the final semester of course work (on completion of at least 36 credits in the program) and must be taken within one year of the completion of all course work. Students must apply to take the Comprehensive Examination. The Literacy Program will review the student's application and records prior to the examination to determine the student's eligibility to move forward to this step. Students with grades of "Incomplete" or other academic deficiencies will not be permitted to take the Comprehensive Examination.

The dates for the Comprehensive Examination are available through the Literacy Program office. Students should contact their Mentor for information regarding the format and requirements for the Comprehensive Examination.

In case of failure, one re-examination may be permitted upon the recommendation of the Program Coordinator or Department Chair. Students with two unsuccessful attempts will be

discontinued from the program. Successful completion of the Comprehensive Examination is a prerequisite for the approval of a topic for a doctoral dissertation.

When there is sufficiently serious reason, students may petition for an extension of one year at a time, not to exceed three additional years.

### **Program Continuation**

If you do not fulfill program requirements, you can be terminated from the program for the following reasons:

- 1) You do not satisfy any conditions to acceptance within the time period stated. This cannot be appealed.
- 2) Earning lower than a “B” as the final grade in a course. You can only appeal this decision for extenuating circumstances beyond the drop date in the semester. The instructor of the course for which you received the second grade below “B” must have been informed in writing (e-mail or other form) immediately, or as soon as possible (but no later than two days) after the occurrence. Documentation of the circumstances must be provided upon request (i.e., medical certification, etc.).
- 3) You demonstrate unprofessional and/or unethical behavior. Examples include but are not limited to: plagiarism, consistent failure to adhere to advisement procedures, consistent inability to control anger, consistent non-factual and disputatious responses in class or in individual meetings, or other behavior deemed unprofessional by the instructor. A formal notification of your derelict of professional and/or ethical behavior will be provided to you. Should you wish to grieve this notification, you have the right to petition to the Department and/or University. Should a hearing be arranged, you have the right to be present and to fully participate personally or through authorized proxy according to the rules of the committee. Should you prevail in the decision, the faculty member cannot be subject to subsequent litigation.
- 4) Failure to successfully pass the comprehensive examination.

## **DISSERTATION TOPIC**

Students will narrow their focus of study into one area suitable for further study in conjunction with a faculty Mentor from the Literacy program who has agreed to work with the student on the dissertation. The topic should be congruent with the student’s interests and experiences.

### **Identifying a Mentor**

Students must obtain a faculty Mentor from the Literacy faculty to provide them with guidance through the dissertation process.

### **Developing a Dissertation Topic Proposal**



The Topic Proposal is typically a 20+ page document that outlines the research proposal. The template for the Dissertation Topic Proposal is provided later in this document.

The Dissertation Proposal is initially developed by the student, working closely with his or her Mentor. A draft is then submitted to the dissertation committee for review and comment. The student incorporates suggestions of the committee prior to arranging for an oral presentation and defense.

### **Identifying a Dissertation Committee**

Students have the responsibility for requesting a Mentor from the literacy core faculty. The students and Mentor work together to choose a committee adhering to the following procedures and guidelines:

- a. The committee shall consist of the Mentor and at least two other members.
- b. The two members plus the Mentor shall come from the department/division.
- c. One additional member of the committee may come from outside St. John's University.
- d. The departmental/divisional Chair, Dean and Mentor must unanimously approve any outside member.
- e. Final approval of the committee composition rests with the Dean.

The student may invite up to two additional members to serve on the Dissertation Committee, depending on the research topic.

All Dissertation Committee members must hold doctoral degrees. The Department Chairperson and Dean of The School of Education must approve each Dissertation Committee.

### **Dissertation Topic Proposal Presentation**

Once the student, Mentor, and Dissertation Committee members are satisfied with the content of the Dissertation Topic Proposal, the student and the student's Mentor schedule an oral presentation of the Dissertation Topic Proposal. Students may be required to make changes or additions in enhance the quality of the study.

After the successful oral presentation of the Dissertation Topic Proposal, the members of the Dissertation Committee sign the form *Committee Approval of Doctoral Dissertation* (Form 1) which is further presented to the Department Chairperson and Dean for approval. The Dissertation Topic Proposal becomes the Dissertation Proposal.

### **Passage to Candidacy**

Students acquire the status of *Doctoral Candidate* after they have successfully completed all course work, taken and passed the Doctoral Comprehensive Examination, and received approval of a dissertation proposal by the Dissertation Committee.

## PROCEDURAL STEPS IN PREPARING THE TOPIC PROPOSAL

### Steps:

### Date Completed:

Identify a Dissertation Mentor

Date: \_\_\_\_\_

Develop an initial draft of a Topic Proposal and submit it to the Dissertation Mentor.

Date: \_\_\_\_\_

Identify potential Faculty Dissertation Committee Members, with the assistance of the Mentor, and obtain their consent to serve on the Dissertation Committee.

Date: \_\_\_\_\_

Forward one copy of the draft Topic Proposal, developed with the Mentor, to each of the potential faculty Dissertation Committee Members.

Date: \_\_\_\_\_

Revise the Topic Proposal based on the feedback of the potential faculty Dissertation Committee Members

Date: \_\_\_\_\_

Schedule a Topic Proposal Presentation at a time suitable to the Mentor and Dissertation Committee.

Date: \_\_\_\_\_

Submit the revised Topic Proposal and names of potential faculty Dissertation Committee Members to the Dean for approval.

Date: \_\_\_\_\_

Receive written approval from Chairperson and Dean concerning faculty assignments to the Committee (approval or suggested substitutions)

Date: \_\_\_\_\_

Submit the Proposal to the Institutional Review Board (IRB), using the forms available on the St. John's University Website, to your Mentor from your SJU email account (to be forwarded electronically to the Chairperson, The Associate Dean, and the IRB).

Date: \_\_\_\_\_

Should revisions be recommended by the IRB, make those in consultation with the Mentor, and resubmit the document to the IRB for approval.

Date: \_\_\_\_\_

On receipt of IRB approval, commence your approved research project.

Date: \_\_\_\_\_

# GUIDELINES AND TEMPLATE FOR DISSERTATION PROPOSALS

This section serves as a template that students should use for the creation of a dissertation proposal. The title page of the dissertation proposal should not have a page number on it; nor should it contain an abstract. For both the dissertation proposal and dissertation, the left margin should be 1.5 inches and other margins should be 1 inch. The title page consists of the following elements: (see example in Appendix A)

- A. **The Title:** Provide a descriptive title for the study that includes the topic, population and key aspects of the research focus. The title is in all capital letters.
- B. **The Purpose:** Indicate the purpose of the document, whether it is the proposal or the dissertation, and the degree for which the study is required.
- C. **Personal Identification:** Indicate your name, address, phone number, and e-mail address.
- D. **Submittal and Approval Lines:** Type in submittal and approval date lines, name of candidate and Mentor, and lines for signatures.

The template below lists the major sections of the dissertation proposal and advice on how to create them. Also, see Appendix B, *St John's University Libraries and School of Education Guidelines for Theses and Dissertations*, and your Mentor for additional information relative to formatting.

## SECTIONS OF DISSERTATION PROPOSAL

### Abstract

TITLE OF DISSERTATION (ALL UPPER CASE LETTERS)

Name of Candidate

Present a 350 word summary of the study including (a) the main purpose or problem under investigation, (b) the specific characteristics of the participants (e.g., age/grade, sex, primary language), (c) the essential features of the research methodology (e.g., instruments, procedures, techniques for analyses), and (d) the significance and/or potential implications.

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## **ADVICE ON CREATING DISSERTATION PROPOSAL SECTIONS**

### **Introduction**

The Introduction should be presented in a narrative that includes the components listed below. The narrative should be prepared in accordance with the writing style guidelines described in the APA Publication Manual (most recent edition) with appropriate headings, sub-headings, formats for lists, and references.

Begin with a paragraph that provides context for the study.

### **Purpose of the Study**

Indicate the specific issue to be investigated in the present study, and how it relates to a theoretical framework or social issue.

### **Theoretical/Conceptual Framework**

Provide a brief summary of the theoretical framework in the area of study (with references to published works) that guides this research. Demonstrate how the present research fits within the theoretical framework. Identify how the framework will be used to analyze and interpret the research.

### **Review of Related Research**

Provide a brief review of the research literature (with references to published journal articles) within the area of study that supports the need for the present research. Demonstrate how the present research focus fits within the previous scholarship (supports, extends, questions, or refutes).

For each study cited indicate (a) the purpose of the study; (b) the sample or participants; (c) the measurement instruments and procedures; (d) the data analysis techniques; and (e) the major findings.

### **Significance/Importance of the Study**

State how the present research will extend theory in the area, or resolve inconsistencies in past research, or help address a social issue.

Indicate how the currently existing research is insufficient in terms of theoretical perspectives or methodologies.

State how the study will make a contribution to the student's field or discipline by overcoming theoretical or methodological shortcomings of existing studies.

### **Research Questions**

Indicate the broad research questions that the study will be investigating.

### **Definition of Terms**

Define all terms that are used in a specialized or unique way. Whenever possible, provide operational definitions, and document the particular use of these terms with published references

## **Methods**

### **Hypotheses/Specific Research Questions**

For statistical/inferential studies, state the relationship(s) that is expected between and/or among the variables. The hypotheses may be stated in either the null (nil) or alternate forms, depending on your topic and existing research in the specific area of study. The Hypotheses must be directly related to the Research Questions stated earlier.

For qualitative/narrative studies, state the specific Research Questions that guide the study's purpose and procedures.

### **Research Design and Data Analysis**

Provide a statement of the specific statistical or qualitative research design to be used in the study. Include a statement of the statistical analyses to be used to test each hypothesis, or the type of narrative data analysis to be used to address each research question.

State the processes you will use to assure reliability and validity of the statistical study, or the trustworthiness of the qualitative study. State any assumptions that exist regarding reliability, validity, and trustworthiness.

### **Sample or Participants**

Provide a description of the sample or participants to be included in the study; including sample size, sampling procedures, and any relevant demographic information available for the proposed sample.

## **Instruments**

Provide a description of data collection instruments to be employed, along with information on their reliability and validity. Where appropriate, include copies of the instruments in an appendix.

## **Procedures or Interventions**

Describe the plan for conducting the study, including a description of any experimental interventions to be provided, if relevant. Indicate the reliability and validity of the procedures.

## **Limitations**

Clearly specify any situation, conditions and procedures that limit the internal, external, or statistical conclusion validity of the study (e.g., limitations of instruments used, procedures employed, samples included, or theoretical perspectives examined).

## **References**

Provide all necessary references alphabetically, and in APA style.

# **INSTITUTIONAL REVIEW BOARD GUIDELINES**

## **IRB Certification**

Prior to submitting a research proposal for IRB consideration, all doctoral candidates must complete a certification course. This may be completed on-line through the link <http://phrp.nihtraining.com/users/login.php>

Students must submit a certification of course completion with their IRB application.

## **FEDERAL POLICY FOR THE PROTECTION OF HUMAN SUBJECTS NOTICES AND RULES 45 CFR 46**

*Federal Register/Vol.56 No. 117/Tuesday, June 18, 1991/Rules and Regulations*

116 General requirements for the informed consent.

Except as provided elsewhere in this policy, no investigator may involve a human being as a subject in research covered by this policy unless the investigator has obtained the legally effective informed consent of the subject or the subject's legally authorized representative. An investigator shall seek such consent only under circumstances that provide the prospective subject or the representative sufficient opportunity to consider whether or not to participate and to minimize the possibility of coercion or undue influence. The information that is given to the subject or the representative shall be in language understandable to the subject or the representative. No informed consent, whether oral or written, may include any exculpatory language through which the subject or representative is made to waive or appears to waive any of

the subject's legal rights, or releases or appears to release the investigator, the sponsor, the institution or its agents from liability for negligence.

- (a) Basic elements of informed consent. Except as provided in paragraph (c) or (d) of this section, when seeking informed consent, the following information shall be provided to each subject:
- (1) A statement that the study involves research, an explanation of the purposes of the research and the expected duration of the subject's participation, a description of the procedures to be followed, and identification of any procedures which are experimental;
  - (2) A description of any reasonably foreseeable risks or discomforts to the subject;
  - (3) A description of any benefits to the subject or to others which may reasonably be expected from the research;
  - (4) A disclosure of appropriate alternative procedures or courses of treatment, if any, that might be advantageous to the subject;
  - (5) A statement describing the extent, if any, to which confidentiality of records identifying the subject will be maintained;
  - (6) For research involving more than minimal risk, an explanation as to whether any medical treatments are available if injury occurs and, if so, what they consist of, or where further information may be obtained;
  - (7) An explanation of whom to contact for answers to pertinent questions about the research and research subjects' rights, and whom to contact in the event of a research-related injury to the subject; and
  - (8) A statement that participation is voluntary. Refusal to participate will involve no penalty or loss of benefits to which the subject is otherwise entitled and the subject may discontinue participation at any time without penalty or loss of benefits to which the subject is otherwise entitled.

## **Obtaining Informed Consent**

As per 45 Code of Federal Regulations, Part 46, consent:

- 1) Must be obtained from subject or authorized representative.
- 2) Children in special category – cannot give consent. Parent cannot consent unless the intent of the experiment is to benefit the child. Child may refuse to participate.
- 3) Must be in a language using terminology clear to the subject.
- 4) Must be obtained in circumstances which permit opportunity to consider participation.
- 5) May not include any form of exculpatory language.

## Obtaining Interactive Forms For IRB Approval

The IRB application form is available at the following link:

<http://www.stjohns.edu/about/administrative-offices/provost/grants-and-sponsored-research/human-participants-irb-animal-use-research>

The student must download the form and complete it electronically. **NO hand printed forms will be accepted.** After the student has completed the form, the process is:

1. Student forwards the completed form via St. John's e-mail to his/or her Mentor, including the student's IRB Certification, copies of research instruments, and copies of informed consent documents.
2. Mentor reviews, approves, and forwards the complete package to the Department Chairperson. If the Mentor suggests changes and correction, the student must address them and re-submit.
3. The Chair reviews, approves, and forwards the complete package to the Associate Dean for Graduate Study. If the Chair suggests changes and corrections, the student must address them and re-submit.
4. The Associate Dean reviews, approves, and forwards the complete package to the IRB. If the Associate Dean suggests changes and corrections, the student must address them and re-submit.
5. The IRB reviews the materials. If the IRB requests additional information, or requires changes, these must be made and the application re-submitted.
6. The IRB notifies students and Mentors of approval, and the study may commence.

IRB meeting dates are provided on their website. A candidate must submit their application at least 2 weeks prior to the meeting date for consideration.

## Developing Consent Letters for Participants

Guidelines and sample letters are provided at the following link:

<http://www.stjohns.edu/about/administrative-offices/provost/grants-and-sponsored-research/human-participants-irb-animal-use-research>

## DISSERTATION RESEARCH

Following IRB approval, students may begin data collection and other aspects of the dissertation research. They should remain in frequent contact with the Mentor who will provide guidance and feedback. They also need to collaborate with the Committee members and incorporate their feedback (approximately one year of collection of data and writing dissertation).

The template for the final dissertation is provided later in this document on page 17.



## Procedural Steps in Writing the Dissertation

Data are collected and analyzed.	Date Completed _____
Mentor and Committee approve data analysis and interpretation.	Date Completed _____
The Review of Literature is completed.	Date Completed _____
Mentor and Committee approve literature review.	Date Completed _____
The findings are discussed in relationship to the literature review.	Date Completed _____
Mentor and Committee approve discussion of findings.	Date Completed _____
The student secures an editor through Lily Scarabino in the Dean's office.	Date Completed _____
Committee receives draft of final dissertation.*	Date Completed _____
Committee approves draft of final dissertation; Mentor approves schedule of dissertation defense.	Date Completed _____
Candidate applies for graduation with Dean's office.	Date Completed _____
Dean's Office schedules oral defense.	Date Completed _____
Final recommendations of Committee following the defense are incorporated and approved by Mentor	Date Completed _____
Dissertation is submitted to the Dean's office for approval.	Date Completed _____
Dean approves dissertation and student's graduation application is approved.	Date Completed _____
Final copies are printed for Mentor's signature and binding.	Date Completed _____

\* Certain Faculty Committee Members prefer receiving the document in stages to permit input prior to when it has been completed. Discuss this aspect with your Mentor based on the specific faculty serving, and follow the requirements.

## Guidelines and Template of the Doctoral Dissertation

St. John's University and The School of Education uses formatting standards and rules of manuscript style found in the sixth edition of the *Publication Manual of the American Psychological Association*. **In addition to the section below, students should reference the specific set of required formatting guidelines used by the university that are explained in Appendix B (*St. John's University Libraries and The School of Education Guidelines for Theses & Dissertations*).** Additionally, student may wish to use the link below to access standards for educational research reporting as outlined by the American Educational Research Association (AERA):

[http://www.sagepub.com/upm-data/13127\\_Standards\\_from\\_AERA.pdf](http://www.sagepub.com/upm-data/13127_Standards_from_AERA.pdf)

The following outline provides a brief explanation of each section of the dissertation and things to consider when **converting your dissertation proposal to a dissertation**:

### Title Page

Follow formatting provided in Appendix B.

### Abstract

Develop an Abstract of no more than 350 words that provides a brief summary of the study (purpose, sample, methods, major findings, significance). The Abstract will be revised from the proposal to incorporate information on actual samples, major findings, and relevant implications.

## CHAPTER 1

Please access AERA standards for guidelines in preparing your dissertation using this link

[http://www.sagepub.com/upm-data/13127\\_Standards\\_from\\_AERA.pdf](http://www.sagepub.com/upm-data/13127_Standards_from_AERA.pdf)

A very useful APA style guide is available at:

<https://owl.english.purdue.edu/owl/resource/560/01/>

### **From Topic Proposal to Dissertation:**

Chapter 1: Modify the Purpose, Framework, Significance, and Research Questions from the Topic Proposal to become an appropriate introductory Chapter 1 for your study.

Chapter 2: Expand on the Literature Review from your Topic Proposal for Chapter 2.

Chapter 3: Add specific details and updates on Sample, Instrumentation, and Research Procedures from your Topic Proposal for Chapter 3.

Chapter 4: Include your Results/Findings in Chapter 4

Chapter 5: Expand and update the discussion of Limitations from your Topic Proposal for Chapter 5.

Describe your proposed research methods in future tense for your Topic Proposal, as the study will begin after committee approval.

Change the description of the methods to past tense for the final Dissertation, since your study will have been completed.

### **Tables**

In Doctoral Dissertations, Tables normally are included within the text of the document. Number them sequentially throughout the document and provide appropriate Table headings.

### **Figures**

In Doctoral Dissertations, Figures normally are included within the text of the document. However, the student may decide to place them at the end in Appendix B. If in the document, number them sequentially throughout the document and provide appropriate Figure headings. If in Appendix B, indicate within your narrative where they may be found.

## **Introduction**

Begin with a paragraph that provides context for the study. Where appropriate, provide data from national (e.g., NCES reports) or state sources that supports the need for the study.

### **Purpose of the Study**

- Indicate the specific issue to be investigated in the present study in clear, unambiguous language. State the problem that you will address (e.g., policy or legal changes, student demographic changes, new curriculum or methods) where there is insufficient prior research.
- State how the purpose of the present study relates to a theoretical framework or addresses a social issue.

### **Theoretical/Conceptual Framework**

- Provide a brief summary of the theoretical framework in the area of study (with references to published works) that guides this research.
  - Demonstrate how the present research fits within the theoretical framework.
  - Identify how the framework will be used to analyze and interpret the research.

- Provide a statement or diagram that illustrates the conceptual framework of the study, including the relevant variables/constructs.
  - Provide a brief narrative of how the conceptual framework guides the research design.

### **Significance/Importance of the Study**

- State how the present research is related to National Education Goals, professional standards in the relevant field, or a statement of need by professional or governmental organizations, or advocacy groups.
- Provide any national or state data that supports the need for your study.
- State how the present research will extend theory in the area, or resolve inconsistencies in past research, or help address a social issue.
- Indicate how the currently existing research is insufficient in terms of theoretical perspectives, available data to inform practice, or methodologies.
- State how the study will make a contribution to the student's field or discipline by overcoming theoretical, relevant data, or methodological shortcomings of existing studies.

### **Research Questions**

- Indicate the broad Research Question/Purpose that the study will be investigating.
- If appropriate, state the specific Hypotheses (for a statistical study) or the specific Research Questions (for a qualitative study) to be investigated that emanate from the research purpose.

### **Definition of Terms**

- Define all terms that are used in a specialized or unique way. Whenever possible, provide operational definitions, and document the particular use of these terms with published references

## CHAPTER 2

Conduct a comprehensive, critical review of the theoretical and research literature that pertains to your study. Each of your stated Research Questions should be supported by this review.

The review should be in narrative form and follow the guidelines of the most recent edition of the *APA Publication Manual* for citations within text.

<https://owl.english.purdue.edu/owl/resource/560/01/>

Organize the review into sections corresponding to the major areas reviewed. Use headings and sub-headings as appropriate, following APA guidelines.

When reviewing research articles, include the following areas:

1. the major focus for the study and how it is related to your proposed study;
2. a critical review of the study outlining the following points:
  - a. Sample;
  - b. Instrumentation;
  - c. Design;
  - d. Statistical/qualitative findings;
  - e. Validity and/or reliability of results;
  - f. Limitations of the study sample, procedures, instruments, or analyses.

### Theoretical Framework

- Expand on the Theoretical Framework mentioned in Chapter 1.
- Indicate how your study fits with prior research on the Framework.
- Indicate how the Framework guides the organization of your Literature Review (below)

### Review of Related Literature

#### Research on.....

- Provide a summary of all the research articles within a sub-section, indicating how they relate to your proposed research.
- If appropriate, develop a table (sample below) that graphically summarizes the research cited.

Citation	Purpose	Sample	Instruments	Procedures	Findings

- Discuss how your study will address shortcomings in the extant literature, and how it will contribute to research in the area of study. Demonstrate how the present research focus fits within the previous scholarship (supports, extends, questions, or refutes).

## CHAPTER 3

The methods and procedures used to conduct your study should be explained and described in sufficient detail so that other researchers in the field could replicate the study, or evaluate its internal validity and reliability. Address the following sections in detail (Take sections from the Dissertation Topic Proposal and explain them further).

### Methods and Procedures

#### Research Questions

Restate the Questions and (if appropriate) Hypotheses from Chapter 1.

#### Research Design and Data Analysis

- Describe the research design to be used in this study. Indicate the statistical or qualitative techniques to be employed to address each hypothesis/research question, and the reasons for their selection.
- If using inferential statistics, define the dependent and independent variables and the level of significance for rejection or acceptance of the hypotheses. A diagram may be included to illustrate the design.
- If using qualitative or mixed method design, describe how you will develop themes or frameworks to analyze the data. Describe how you will integrate the various data sources for a coherent interpretation.

#### *Reliability and Validity/Trustworthiness of the Research Design*

- Address issues related to the internal and external reliability, validity, or trustworthiness of the research design, including any specific steps taken to enhance the reliability, validity or trustworthiness.

#### The Sample and Population

**Sample:** Indicate the sample of individuals (size, and relevant demographic characteristics) who will participate in your study. State the rationale for the sample selection and the procedures followed in obtaining the sample. In many cases, it is helpful to construct a Table (sample below) that describes the relevant demographic characteristics of the sample/participants.

Table xx

*Description of Participants.*

Category	Number	%
Grade Level		
5		
6		

Gender

Male

Female

Primary Language

English

Spanish

Mandarin

---

***Population:*** Define the population and the setting to which the results will be generalized. Describe how you have assured that the sample represents the target population.

### **Instruments**

- Describe each of the materials and instruments (use subheadings when necessary) to be employed in conducting the study.
- If you are using instruments that have been published previously, provide any available information on the reliability and the validity of the instrument, including reviews in published sources, and/or prior use in research, Indicate how the materials and/or instruments will assist in the exploration of the problem and why this instrument is suitable for this population
- If developing an instrument for use in this study, include the procedures for instrument development, including steps taken to establish the validity and reliability of the instrument for your study.

### **Treatment/Intervention**

- If a treatment or intervention is a part of your study, describe the treatment in detail, outlining each phase step-by-step.
- Describe any materials to be used for treatment or intervention, and provide information on how the intervention will be implemented and by whom (treatment validity).
- Describe the measures that will be taken to ensure that the treatment is implemented in the intended manner (treatment fidelity/reliability).
- If the treatment or intervention has been validated through use in previous research, provide citations of such research.

### **Procedures for Collecting Data**

- Give a step-by-step plan for data collection. Indicate when, where, and under what conditions this study will be conducted, and who is responsible for each type of data collection.

## CHAPTER 4

For each Research Question and/or Hypothesis, provide the findings from the relevant data analysis. Tables may be useful to summarize numeric or narrative data, or provide the results of multiple statistical tests. Figures may be useful to illustrate sample responses, provide diagrammatic representations of relationships within the data, or provide theoretical models to aid the narrative.

Use the formats for Tables and Figures specified in the APA Publication Manual. It is not acceptable to “cut and paste” output from statistical software into the dissertation. See below for an example of an APA style Table.

### Results

Table xx

*Means and Standard Deviations of Group Scores on the Measurement Instrument.*

---

Variable	Group 1		Group 2	
	Pretest	Posttest	Pretest	Posttest

---

Variable 1 Name

Variable 2 Name

Etc.

---

**Research Question/Hypothesis 1**

**Research Question/Hypothesis 2**

**Etc.**



## CHAPTER 5

### Discussion

#### Implications of Findings

- Discuss the implications of each of the major findings, relating them to the theoretical and research literature presented in Chapter 2.

#### Relationship to Prior Research

- Link the findings of your study to the literature reviewed in Chapter 2, indicated places where your research supports, extends, questions, or refutes prior research.

#### Limitations of the Study

- Provide a discussion of the limitations of this study (threats to statistical conclusion, internal, and external validity for a quantitative study; threats to trustworthiness for a qualitative study).

#### Recommendations for Future Research

- If appropriate, provide recommendations or suggestions to researchers in the field that emanate from the data.

#### Recommendations for Future Practice

- If appropriate, provide recommendations or suggestions to practitioners and policy-makers in the field that emanate from the data.

(Each Appendix Begins on a New Page)

#### Appendix A

Signed form of IRB approval to conduct the study within the involved institution(s).

#### Appendix B

Copies of instruments (if not copyrighted), questionnaires, and other materials.  
If appropriate, samples of responses may be included in this appendix, with all identifying information removed to preserve participants' confidentiality.

#### Appendix C

#### References

(in the format described in the current *APA Publication Manual*.)

<https://owl.english.purdue.edu/owl/resource/560/01/>

# DISSERTATION FORMATTING

## General Instructions

**Electronic Copy:** Before a defense is scheduled, the dissertation must be in proper University and APA format. During the final stages of preparation of the dissertation an editor should be secured by contacting Mrs. Scarabino ([scarabil@stjohns.edu](mailto:scarabil@stjohns.edu)).

**Running head:** Do not use a running head for pages of a dissertation.

**Margins:** The left margin must be **one and one half inches**, and the top, right and bottom margins must be **one inch**. This requirement also applies to the Appendices. Do not justify the right margin.

**Spacing:** Double spacing is required throughout the manuscript. When single-spacing would improve readability, however, it usually is encouraged. Single-spacing can be used for Table titles and content, Figure captions, References (*but double spacing is required between references*), footnotes, and long quotations. Long quotations also may be indented five spaces.

**Headings:** see APA manual and Appendix B. Headings function as an outline in the organization of the manuscript. A section can have subsection headings only if the section is divided into at least two subsections. Consider the divisions of the paper and choose the level(s) of heading(s) and subheadings(s) needed. This organization should correspond to the Table of Contents.

**Pagination:** Follow the guidelines in Appendix B.

The first page of the first Chapter/Introduction is page 1. All subsequent pages, including Tables and Figures, are marked consecutively with Arabic numerals. Use the *Header* feature of the writing software for consecutive numbering in the upper right-hand corner, consistent with APA style. Page numbers are placed at the one inch right margin between the top of the page and the first line of text.

## DISSERTATION DEFENSE

When students have approval of their Dissertation from the Mentor and Committee members, students confer with all Committee members and the Mentor to determine a suitable time for an oral defense of the Dissertation. Final defense deadlines for graduation within each semester are presented in the Calendar link provided in the forms section of the School of Education website. The defense is organized through the office of the Dean of The School of Education. Each Committee member will be notified of the time and place and will be asked to confirm the same in writing. The Mentor, Committee members, or the candidate are welcome to invite other colleagues or students to attend the oral dissertation defense.

At the Defense, further suggestions for changes may be made by the Committee. Any changes made to the dissertation must be submitted to, and approved by, the members and the Mentor. The manuscript is considered to be in *draft* form until final submission to the Dean's office following the Dissertation Defense.

## Scheduling Doctoral Defenses

- At least 2 weeks before the dissertation defense, the Mentor informs Ms. Lily Scarabino ([scarabil@stjohns.edu](mailto:scarabil@stjohns.edu)) in the Dean's office of the following: A) Committee members attending the defense, B) the title of the dissertation, and C) the preferred date and time of the defense. Ms. Scarabino will then secure a room and forward defense meeting information to the Mentor.
- Ms. Scarabino will also A) post a public notice of the defense, B) prepare a folder for the Mentor containing the signatures form and defense ballot.
- The student is requested to bring an extra copy of the dissertation Title Page to the defense. The student and Mentor will sign the title page and ballot.
- After the defense, the student is responsible for providing Ms. Scarabino the signed ballot for filing. A copy of that ballot is then given to the student for his or her records.
- Upon successful completion of the defense, the student is responsible for providing the Dean's office with hard copy of the dissertation for Dean's review and signature on the dissertation defense ballot.
- When the dissertation is given approval from the Dean's office, the student is then given instructions for submitting final copies to the university for binding and copyright.

## Editing the Dissertation

As January 1, 2017 the Dissertation must be prepared in accordance with the guidelines provided in the *Procedural Steps in Writing the Dissertation* section of this Handbook before the candidate goes to oral defense. The writing style, organization, and format of the Dissertation must follow the guidelines of the most current edition of the *American Psychological Association (APA) Publication Manual* and incorporate *guidelines outlined in the St. John's University Libraries and School of Education Guidelines for Theses and Dissertations* included in this handbook in Appendix B. The template for doctoral dissertations is provided later in this handbook on page 17.

Students are strongly encouraged to submit their dissertations for editing to the Dean's office prior to final defense, in order to facilitate the meeting of deadlines. Please contact Ms. Lily Scarabino [scarabil@stjohns.edu](mailto:scarabil@stjohns.edu) . Editorial assistance is provided by trained editors. There is a fee for editing.

After successful defense of the dissertation, the student is responsible for turning in a printed copy of the dissertation to the office of the Associate Dean for Research and Graduate Studies for final review and approval from the School of Education. Once the dissertation has been signed off by the Dean (or Dean's designee), the student is placed on the graduation list for the School of Education. ***It is important to note that a successful defense of the dissertation only partially meets the requirements for graduation. Students are cleared for graduation after the dissertation is approved by the Dean.*** Upon approval, the dissertation is forwarded to the St. John's University library and an electronic copy to ProQuest (UMI). Please note there is a fee for both services.

## **Printing the Dissertation**

All doctoral students will have to pay for the editing of their dissertation. The fee for this service is presently \$250 and must be paid via check or money order. The editor will return the dissertation to the Dean's office, and the student will be notified to come pick it up.

The original and one copy of the dissertation will then be sent to the Serials Department of the University Library (see Form 5 for more information). The Library retains one paper copy of each doctoral dissertation. The paper for all library copies must be of high quality – 20 lb., acid-free, non-corrosive bond paper with a minimum of 25% rag or cotton content and must show a watermark.

The margins for all copies must be one and one half inches on the left side of each page and one inch on each of the other three sides. Note that these margins also must be left on pages containing graphs, illustration, appendices, etc. The original abstract of each dissertation see Appendix B and two copies thereof must accompany the dissertation. The original dissertation and abstract will be sent to UMI technology for microfilming. The paper original and microfilm will be returned to the Library, whereas the abstract remains at UMI.

The microfilm will be kept permanently at the Library. The original with the abstract, as well as the copy and its abstract, will be bound and returned to the Library. The original will remain at Circulation/Reserve and the second bound copy will be sent to the appropriate graduate school. Dissertations which are accepted for publication by commercial publishing houses should indicate that they were originally submitted as a doctoral degree requirement at St. John's University. Candidates be assessed a fee, per bound copy, for this binding service. Each candidate for the doctoral degree is required to complete a special contract (obtainable in the Dean's office) for UMI. If extra copies of the dissertation are desired, students may submit the extra copies at the same time they submit the original. Printing is at the candidate's expense.

## **APPLICATION FOR GRADUATION**

Graduate degrees are conferred by the Board of Trustees at the University at the spring Commencement ceremony. Students must file an application for the degree in the Office of the Registrar at the beginning of the semester in which they expect to complete the requirements for the degree, but no later than the date indicated in the Academic Calendar. Degrees will not be awarded until the final dissertation is submitted to the library for binding.

# Appendix A

## Proposal Title Page Sample

YOUR DISSERTATION TITLE IN ALL UPPERCASE LETTERS

A dissertation proposal submitted in partial fulfillment

of the requirements

for the degree of

DOCTOR OF PHILOSOPHY

to the faculty of the Department of

EDUCATION SPECIALTIES

of

THE SCHOOL OF EDUCATION

ST. JOHN'S UNIVERSITY

New York

by

Your Name

Submitted Date \_\_\_\_\_

Approved Date \_\_\_\_\_

Student's Signature \_\_\_\_\_

Mentor's Signature \_\_\_\_\_

(Type student's name)

(Type Mentor's name)

# Appendix B

*St. John's University Libraries and The School of Education  
Guidelines for Theses & Dissertations  
October 11, 2016 - September 1, 2017*

## *Arrangement of Material*

### **Preliminary Section of Dissertation (Arabic numbers are NOT used)**

- Title Page (required). Title page is understood as **lower case Roman numeral i, but the number does not appear on the page**
- Copyright Page (required for dissertations; registration is optional and has a fee). Not counted as page and not numbered
- Abstract (required). Not counted as a page/pages and not numbered
- Dedication (optional). Counted as a page but not numbered
- Acknowledgments (optional). **If author chooses to include this section it begins with lower case Roman numeral ii if no dedication is present, and iii if a dedication is present because this section is counted and numbered with lower case Roman numeral(s).**
- Table of Contents (required; **see example on page 10**). Counted and numbered with lower case Roman numeral(s). **(This section follows the numeration from previous section. For example, if the Acknowledgements section end with Roman numeral IV, The Table of Contents begins with v.)**
- List of Tables (and/or) List of Figures (when present in the thesis/dissertation). Counted and numbered with lower case Roman numeral(s)

### **Main Text (Arabic numbers ARE used)**

Organization of the text (as outlined below), along with alignment and level of headings, **should follow format guidelines as presented in the 6<sup>th</sup> Edition of the Publication Manual of the American Psychological Association Manual of Style.**

- Introduction (The first page of the Introduction is ALWAYS Page 1)
- Main Body
- Appendices
- References
  
- **The author's vita is also included (do not paginate the vita)**

## *Format and Style Specifications*

### **Title Page**

- Original copies must bear ORIGINAL SIGNATURES of the Mentor & candidate

- Title should be in CAPITAL LETTERS
- Title page must follow the format of **example on page 6**

### Copyright Page

- Filing for copyright is available for dissertations only and it is optional
- If the candidate wishes to file for copyright and extra unnumbered page must be included following the title page (**see example page 28**)
- Graduating year must be the same as on Proquest Doctoral Form
- The copyright fee is **\$55.00** and must be paid by certified check or money order payable to **Proquest** along with Proquest Forms Page 4, 5 & 6.

### Abstract

- An abstract may not be more than 350 words
- It must include title and candidate's name (**see example page 33**)

### Vita

- Vita is the last page and is unnumbered (**see example page 38**)

### Paper Quality

- Original copy must be on good quality paper (20 lb) with at least 25% cotton content and have a watermark

### Margins

- Margins on the **left side of all pages must be at least 1 ½ inches** and a minimum of 1 inch margin on the remaining 3 sides
- All charts, tables, photos, graphs, etc, must fit within these specified margins

### Pagination

- Title page, title page is understood to be Roman number i, but the number does not appear on the page
- Copyright, abstract and vita **should not be numbered** and are not counted in pagination
- Use small **Roman numerals** for **Preliminary pages** (i, ii, iii, iv etc.)
- Preliminary page numbering begins with ii; Copyright, Abstract and Vita **are not paginated** nor are they listed in the table of contents
- **Arabic Numerals** (1, 2, 3, 4, etc.) are used for the remainder of the dissertation or thesis (text, illustrations, graphs references etc.)
- Each of the remaining pages must be numbered and there should be **no blank pages**

## **Dissertations**

- All doctoral students must fill out a “Doctoral Dissertation Agreement Form”. This form is sent to Proquest for microfilming
- If copyright is chosen, that section (the copyright) on the form, must be filled out
- A certified check or money order for **\$55.00** is to be made payable to Proquest
- A copyright page should be included in the dissertation
- Graduating year on the form and copyright page must be the same



YOUR DISSERTATION TITLE IN ALL UPPERCASE LETTERS

A dissertation submitted in partial fulfillment

of the requirements

for the degree of

DOCTOR OF PHILOSOPHY

to the faculty of the Department of

EDUCATION SPECIALTIES

of

THE SCHOOL OF EDUCATION

ST. JOHN'S UNIVERSITY

New York

by

Your Name

Submitted Date \_\_\_\_\_

Approved Date \_\_\_\_\_

(student's signature) \_\_\_\_\_

(Mentor's signature) \_\_\_\_\_

Type Student's Name

Type Mentor's Name

**© Copyright by (Student's Name) (Year)**  
**All Rights Reserved**

## **ABSTRACT**

TITLE OF DISSERTATION IN ALL UPPERCASE LETTERS

Name of Candidate

Present a maximum 350 word summary of the study including (a) the main purpose or problem under investigation, (b) the specific characteristics of the participants (e.g., age/grade, sex, primary language), (c) the essential features of the research methodology (e.g., instruments, procedures, techniques for analyses), and (d) the significance and/or potential implications.

# Appendix C-Forms

**Form 1: (To be distributed at Topic Proposal Presentation]**

**ST. JOHN'S UNIVERSITY**

**THE SCHOOL OF EDUCATION**

**COMMITTEE APPROVAL**

**OF**

**DOCTORAL DISSERTATION PROPOSAL**

Name: \_\_\_\_\_ Date: \_\_\_\_\_

Department: \_\_\_\_\_ Degree: \_\_\_\_\_

Title of Approved Proposal:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Doctoral Committee:

\_\_\_\_\_  
Mentor (*please print or type the name*) Signature

\_\_\_\_\_  
Committee Member (*please print or type the name*) Signature

\_\_\_\_\_  
Committee Member (*please print or type the name*) Signature

\_\_\_\_\_  
Committee Member (*please print or type the name*) Signature

\_\_\_\_\_  
Approved By Department Chairperson Date

\_\_\_\_\_  
Approved By Dean Date

**N.B Any change in the committee must be approved by the Dean**

**c.c. Dean's Office, Mentor, Department Chairman, Student**

**Form 2. LETTER ON SJU LETTERHEAD, INCORPORATING THE FOLLOWING ELEMENTS:**

Elements of Informed Consent	Consent to Participate in a Research Study
<b>Who</b> is doing <b>what</b> and <b>why</b> ?	You have been invited to take part in a research study to learn more about <u>[purpose of study]</u> . This study will be conducted by <u>[Principal Investigator (PI)]</u> , <u>[PI's SJU department &amp; school]</u> , St. John's University.
<b>If</b> the investigator is a <b>student or not an SJU faculty member</b> :	. . . as part of <u>[his/her] [doctoral dissertation/master's thesis work/etc.]</u> <u>[His/Her]</u> faculty sponsor is <u>[name of faculty sponsor]</u> , <u>[SJU school/department/]</u> .
<b>What</b> will the subject be asked to do ( <b>description of procedures</b> )?	If you agree to be in this study, you will be asked to do the following: <ol style="list-style-type: none"> <li><u>[1. complete a questionnaire about your background (age, gender, education, etc.);</u></li> <li><u>2. take part in two interviews concerning [subject matter of interviews]; and</u></li> <li><u>3. [continue description of procedures, if necessary. _____,]</u></li> </ol>
<b>If audio-</b> or <b>videotaping</b> will occur:	Your interviews will be <u>audio- or video-taped.</u> . You may review these tapes and request that all or any portion of the tapes be destroyed. [In a group situation, add "that includes your participation."]
<b>How much time</b> will participation involve ( <i>total number/approximate length of sessions</i> )?	Participation in this study will involve <u>[two hours of your time: 30 minutes to complete the questionnaire and approximately 45 minutes for each of the two interviews. The interviews will be held two weeks apart.]</u>
<b>Risks</b> reasonably to be expected & <b>assistance available</b> , if needed	<p><u>[There are no known risks associated with your participation in this research beyond those of everyday life;.]</u></p> <p style="text-align: center;"><i>Or</i></p> <p><u>[Although every effort will be made to prevent it, you may find the sensitive nature of some of the questions upsetting. In that event, the investigator will provide you with a referral to a counselor with whom you may discuss your feelings.]</u></p> <p style="text-align: center;"><i>Or</i></p> <p><u>[There is a risk that you may have some muscle soreness for about four days.]</u></p>

<p><b>If there is more than minimal risk and there is any possibility of physical injury:</b></p>	<p>Federal regulations require that all subjects be informed of the availability of medical treatment or financial compensation in the event of physical injury resulting from participation in the research. St. John’s University cannot provide either medical treatment or financial compensation for any physical injury resulting from your participation in this research project.</p> <p>Inquiries regarding this policy may be made to the principal investigator or, alternatively, the Human Subjects Review Board (718-990-1440).</p>
<p><b>Benefits</b> reasonably to be expected</p>	<p>Although you will receive no direct benefits, this research may help the investigator understand [<u>refer to purpose of study</u>] better.</p> <p><i>(Please note: Incentives are not a benefit and should not be included as such.)</i></p>
<p><b>Fees</b> or incentives, if any:</p>	<p>[You will be paid \$ _____ for completing both interview sessions; if you withdraw before the end of the study, [<u>no payment/only partial payment of (amount)</u>] will be given.] <b>or</b> [You will receive 1 hour of credit towards your course requirement for completing both the surveys; if you withdraw before the end of the study, [<u>no credit/partial credit of (amount)</u>] will be given.]</p>
<p>Extent to which subject’s <b>confidentiality</b> will be maintained <b>AND</b></p> <p><b>If</b> minors (&lt; 18 years of age) are involved, <b>mandated reporting</b></p> <p><b>If</b> applicable, for <b>focus groups or group interviews</b></p>	<p>Confidentiality of your research records will be strictly maintained by [<u>describe the specific ways to be used to protect subjects’ confidentiality (such as using codes or keeping consent forms separate from data to make sure that the subject’s name and identity will not become known or linked with any information they have provided)</u>].</p> <p>Your responses will be kept confidential with the following exception: the researcher is required by law to report to the appropriate authorities, suspicion of harm to yourself, to children, or to others.</p> <p>Your responses will be kept confidential by the researcher, but the researcher cannot guarantee that others in the group will do the same.</p>
<p><b>Voluntary nature</b> of participation/ <b>right to withdraw or not to answer questions</b></p>	<p>Participation in this study is voluntary. You may refuse to participate or withdraw at any time without penalty. For interviews, questionnaires or surveys, you have the right to skip or not answer any questions you prefer not to answer.</p>
<p><b>If</b> subjects are <b>students, patients, clients</b>, etc.</p>	<p>[<u>Nonparticipation or withdrawal. . .</u> <u>will not affect your grades or academic standing. or</u> <u>will not affect the services you receive at [name of agency, clinic, program, etc.]. or</u> <u>will result in no loss of services to which you are otherwise entitled.</u></p>

<b>Explanation &amp; offer to answer questions</b>	If there is anything about the study or your participation that is unclear or that you do not understand, if you have questions or wish to report a research-related problem, you may contact [investigator name] at [PI's phone number, e-mail, University address] or the faculty sponsor, [faculty sponsor name] at [faculty sponsor phone number, e-mail, University address].
<b>For questions about subjects' rights</b>	For questions about your rights as a research participant, you may contact the University's Human Subjects Review Board, St. John's University, 718-990-1440.
<b>If subjects' statements may be quoted, include an attribution statement.</b>	<p>___ Yes, I give the investigator permission to use my name when quoting material from our interview in his/her [dissertation, presentations, or publications].</p> <p>___ No, I would prefer that my name not be used.</p>
<b>Copy of consent</b> given to subject	You have received a copy of this consent document to keep.
<b>Subject's agreement to participate</b>	<u>Agreement to Participate</u>
<b>Subject's Signature &amp; date</b>	Signature _____ Date _____

## Form 3 [Sample Vita]

### Vita

Name	<i>Jane Doe</i>
Date of Birth	<i>Month, Day, Year</i>
Current Professional Occupation	<i>Assistant Principal, Eleanor Roosevelt Middle School</i>
High School	<i>Name of High School</i>
Date Graduated	<i>Month, Year</i>
Baccalaureate Degree	<i>Bachelor of Science/Arts, Name of College or University, City Major: xxx</i>
Date Graduated	<i>Month, Year</i>
Other Degrees and Certificates*	<i>Master of Science, Name of University, City, Major: xxx</i>  <i>Professional Diploma in Educational Administration (1998)</i>
Date Graduated	<i>Month, Year</i>

\*Note: The Ph.D. degree is not included in the VITA