



# ST. JOHN'S UNIVERSITY

ST. JOHN'S COLLEGE OF  
LIBERAL ARTS AND SCIENCES

## Doctoral Dissertation Procedure

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. Doctoral students must follow these guidelines to prepare the dissertation for defense and publication. Questions about dissertation procedures should be addressed to the St. John's College of Liberal Arts and Sciences Graduate Division at [sjcgr@stjohns.edu](mailto:sjcgr@stjohns.edu).

### Enrollment during the Dissertation Process

The student is responsible for maintaining continuous enrollment throughout the dissertation process up until the conferral of degree. He/she must register of the appropriate research section for each semester of dissertation preparation, including defense and revision. Graduate students enrolling for only doctoral research (950 and 975) and psychology students enrolling in an internship must also complete full-time certification forms (available on the [School Forms page](#)) each semester.

### Institutional Review Board (IRB)

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 University web site](#).

### Style and Format of Dissertation

Dissertating students must follow the style standards approved for their disciplines (below). Sample dissertations are also available for students to use as an example in formatting their own work:

- Biology: *Scientific Style and Format: The CBE Manual Edition for Authors, Editors and Publishers*
  - Example:  
<http://jerome.stjohns.edu:81/login?url=http://search.proquest.com/docview/849293087?accountid=14068>
- English: *Modern Language Association Handbook*
  - Example:  
<http://jerome.stjohns.edu:81/login?url=http://search.proquest.com/docview/1719282701?accountid=14068>
- History: *A Manual for Writers*– Kate Turabian
  - Example:  
<http://jerome.stjohns.edu:81/login?url=http://search.proquest.com/docview/1702054336?accountid=14068>
- Psychology: *Style Manual of American Psychological Association*
  - Example:  
<http://jerome.stjohns.edu:81/login?url=http://search.proquest.com/docview/1799965486?accountid=14068>

## Dissertation Forms

1. **Approval for Doctoral Dissertation Research:** After selecting a mentor and committee consisting of two full-time department faculty members, the student will submit this form, along with a research proposal, to the Dean's office.
2. **Readers' Copies Receipt:** Four months prior to the student's expected date of graduation, he/she must submit copies of the full dissertation (not a draft) to the mentor and committee members.
3. **Professors' Report to the Dean on Reader's Copy:** After each reader has evaluated the dissertation, he/she must report the findings to the Dean.
4. **Formal Notice of Final Oral Doctoral Defense:** The mentor and committee will propose a date for the final oral defense and note that the student has submitted a separate manuscript for publication review. Deadline dates for oral defenses are included in the Graduate Bulletin and Graduate Calendar.
5. **Final Oral Doctoral Defense Ballot:** At the final oral defense, the committee members will vote and write comments and recommendations. The presiding officer will verbally inform the student of the voting results, i.e.: approved as presented, approved with revisions, or failed.
6. **Report of Oral Doctoral Defense to the Dean:** The presiding officer of the defense committee will notify the Dean of the voting results and committee recommendations using this form. If the dissertation is approved with revisions, the student must comply with all recommendations made by the committee.
7. **Submission of Final Copy of Doctoral Dissertation:** The mentor must certify that the student has made all suggested revisions by signing this form. Then, the student must submit a final copy of the dissertation to the Dean on or before the date specified in the Academic Calendar. After the Dean approves the copy, the student should then submit to the Dean's Office one original copy on bond paper along with \$20 check made out to St. John's University (for microfilming).

The final dissertation copy should be typed on one side only of high quality 20 lb. acid-free, non-erasable bond paper with a minimum of 25 percent rag or cotton content. The paper must have a good opacity (print on one page should not easily show through the page in front of it) and should be watermarked. The dissertation should have a minimum left hand margin of one and one-half inches and a minimum one inch margin on the remaining three sides. If charts have to be printed landscape, the page should be oriented so that the title of the chart is on the left, closest to the binding. (See "Order and Content.") For more information about the formatting of your dissertation, see the [Library Guidelines](#).

*Note: If you are using material under copyright, you must obtain written permission from the author(s) prior to duplication.*

The following must accompany the dissertation (see attached samples):

- a. **Title Page:** The originals must bear the original signatures of the mentor and the candidate. The date used is that of your oral defense.
  - b. **Abstract:** An abstract of the dissertation of not more than 350 words, typed and double-spaced, must also include the title of the dissertation and the name of the candidate.
  - c. **Vita**
8. **ProQuest Publishing Agreement:** All dissertations written at St. John's must be submitted to ProQuest for inclusion in databases. Previously, all Publishing Agreements submitted by St. John's students were done on paper and mailed to ProQuest, but ProQuest has recently moved this process online. Visit the [St. John's Proquest landing page](#) to create a ProQuest account and use [this guide](#) to fill out and submit the Publishing Agreement in accordance with the requirements of the University Libraries. A printed copy of your completed Publishing Agreement must accompany the submission of your final dissertation copy to the Dean's Office and is required to confer your degree.

**The checklist below will help you to record your progress:**

<u>Form</u>	<u>Title</u>	<u>Date Submitted</u>
1	Approval for Doctoral Dissertation Research	_____
2	Readers' Copies Receipt	_____
3	Professor's Report to the Dean on Reader's Copy	_____
4	Formal Notice of Final Oral Defense	_____
5	Ballot – Final Oral Doctoral Defense	_____
6	Report of Oral Doctoral Defense to the Dean	_____
7	Submission of Final Copy of Doctoral Dissertation	_____
8	ProQuest Publishing Agreement	_____

### **Dissertation Fees**

1. Microfilming: \$20
2. All other fees will be paid directly to ProQuest.

### **Order and Content**

1. Preliminaries
  - a. Title Page: Both the original and the copies must bear the signature of the mentor and the candidate (see sample). This page is not numbered.
  - b. Abstract: An abstract of the thesis of not more than 350 words, typed and double-spaced, must also include the title of thesis (in all capitals) and the name of the candidate. This page is not numbered.
  - c. Preface/Acknowledgments (start lower-case Roman numbering ii, iii, iv, v, etc.)
  - d. Table of Contents
  - e. List of Tables
  - f. List of Illustrations
2. Text
  - a. Introduction
  - b. Main Body
3. References
4. Appendices
5. Vita: This page is not numbered (see sample).

**Sample Title Page**

[DISSERTATION TITLE (IN ALL CAPITALS)]

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

[DEGREE TITLE]

to the faculty of the department of

[DEPARTMENT]

at

ST. JOHN'S UNIVERSITY

New York

by

[CANDIDATE NAME]

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

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

YOUR SIGNATURE HERE

MENTOR SIGNATURE HERE

TYPE YOUR NAME HERE

TYPE MENTOR NAME HERE

**ABSTRACT**

TITLE OF DISSERTATION (IN ALL CAPITALS)

Name of Candidate

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

## Sample Vita

### VITA

Name: *Jane Doe*

Baccalaureate Degree: *Bachelor of Science/Arts, Name  
of College or University, City  
Major: xxxx*

Date Graduated: *Month, Year*

Other Degrees and Certificates\* *Master of Science, Name of  
University, City, Major: xxxx*

Date Graduated: *Month, Year*

\*Note: The current degree is not included in the Vita.

\*\*Avoid listing any personal information as this will be published online.



# ST. JOHN'S UNIVERSITY

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## Approval Form for Doctoral Dissertation Research

Form 1

Name and X Number: \_\_\_\_\_ Date: \_\_\_\_\_

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

Area of Specialization: \_\_\_\_\_

Topic: \_\_\_\_\_

(Please attach approved prospectus or research proposal.)

### Thesis Committee:

The mentor will distribute this form to all committee members for their signatures.

_____	_____	_____
Name	Signature	Date
_____	_____	_____
Name	Signature	Date
_____	_____	_____
Name	Signature	Date
_____	_____	_____
Name	Signature	Date

### Topic and Committee Approval:

_____	_____	_____
Mentor Name	Mentor Signature	Date
_____	_____	_____
Chair Name	Chair Signature	Date
_____	_____	_____
Associate Dean Name	Associate Dean Signature	Date

### Comments:

\_\_\_\_\_  
\_\_\_\_\_

Please return to the Graduate Division, St. John's College of Liberal Arts and Sciences, St. John Hall, Room 145 or sjcgr@stjohns.edu.



# ST. JOHN'S UNIVERSITY

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## Doctoral Reader's Copy Receipt

Form 2

Candidate Name: \_\_\_\_\_ X Number: \_\_\_\_\_

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

A copy of this form must be distributed to each member of the Thesis Committee for a signature confirming receipt of the reader's dissertation copy.

\_\_\_\_\_  
Signature of Thesis Committee Member

\_\_\_\_\_  
Date

Please return to the Graduate Division, St. John's College of Liberal Arts and Sciences, St. John Hall, Room 145 or [sjcgr@stjohns.edu](mailto:sjcgr@stjohns.edu).



# ST. JOHN'S UNIVERSITY

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## Professor's Report to the Dean on Reader's Copy

Form 3

*Please note: This form is confidential and should be transmitted to the Dean by each reader. It should not be given to the student. The University requires the Committee of Readers report separately and in writing to the Dean the result of their findings (see Graduate Bulletin).*

Name of Reader: \_\_\_\_\_ Department: \_\_\_\_\_

Candidate (Name and X Number): \_\_\_\_\_

Title of Dissertation:

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Please check appropriate line:

- I have read and approved this reader's copy.
- I have read but do not approve this reader's copy.

Comments:

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Please check appropriate line:

- I recommend the oral defense be scheduled.
- I recommend the oral defense be deferred.

Comments:

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\_\_\_\_\_  
Signature of Reader

\_\_\_\_\_  
Date

Please return to the Graduate Division, St. John's College of Liberal Arts and Sciences, St. John Hall, Room 145 or [sjcgr@stjohns.edu](mailto:sjcgr@stjohns.edu).



# ST. JOHN'S UNIVERSITY

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## Formal Notice of Final Oral Doctoral Defense

Form 4

Candidate Name: \_\_\_\_\_ X Number: \_\_\_\_\_

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

Date of Defense: \_\_\_\_\_ Time: \_\_\_\_\_ Place: \_\_\_\_\_

Title of Dissertation:

\_\_\_\_\_

The signature of each member of the Thesis Committee signifies approval of the reader's copy and agreement to serve as an examiner on the stated date at the oral defense. The mentor will distribute this form to the committee for signatures and then forward it to the department Chair.

Thesis Committee Members:

Date:

- |          |       |
|----------|-------|
| 1. _____ | _____ |
| 2. _____ | _____ |
| 3. _____ | _____ |
| 4. _____ | _____ |
| 5. _____ | _____ |

*Manuscript prepared for publication review submitted to mentor.*

\_\_\_\_\_  
Signature of Mentor

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Department Chair

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Associate Dean, Graduate Division,  
St. John's College of Liberal Arts and Sciences

\_\_\_\_\_  
Date

copies: Department Chair, Mentor, Candidate, Examiners

Please return to the Graduate Division, St. John's College of Liberal Arts and Sciences, St. John Hall, Room 145 or sjcgr@stjohns.edu.



# ST. JOHN'S UNIVERSITY

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## Final Oral Doctoral Defense Ballot

Form 5

Candidate Name: \_\_\_\_\_ X Number: \_\_\_\_\_

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

Title of Dissertation:

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The examiner shall indicate whether candidate has passed or failed the oral defense:

Passed

Failed

Comments or recommendations for revisions or written text of dissertation:

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\_\_\_\_\_  
Signature of Examiner

\_\_\_\_\_  
Date

Please return to the Graduate Division, St. John's College of Liberal Arts and Sciences, St. John Hall, Room 145 or [sjcgr@stjohns.edu](mailto:sjcgr@stjohns.edu).



# ST. JOHN'S UNIVERSITY

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## Report of Oral Defense to the Dean

Form 6

Candidate: \_\_\_\_\_ X Number: \_\_\_\_\_

Title of Dissertation:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Results of Voting:     Passed     Failed

Dissertation approved as presented

Dissertation approved with the following revisions:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Additional Comments:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
Signature of Chair

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Associate Dean, Graduate Division  
of St. John's College of Liberal Arts & Sciences

\_\_\_\_\_  
Date

Please return to the Graduate Division, St. John's College of Liberal Arts and Sciences, St. John Hall, Room 145 or [sjcgr@stjohns.edu](mailto:sjcgr@stjohns.edu).



# ST. JOHN'S UNIVERSITY

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## Submission of Final Copy of Doctoral Dissertation

Form 7

Candidate's X Number: \_\_\_\_\_ Date: \_\_\_\_\_

This is to certify that \_\_\_\_\_, a candidate for the degree of Doctor of Philosophy / Doctor of Psychology / Doctor of Arts in the Department of \_\_\_\_\_, has revised his/her doctoral dissertation / research essay in accordance with the recommendations of the Thesis Committee and **in accordance with University policy for formatting of dissertations.**

The mentor will distribute this form to members of the Thesis Committee to sign below certifying that the recommended revisions have been made by the candidate.

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_
- 4. \_\_\_\_\_
- 5. \_\_\_\_\_

Approval of final dissertation copy:

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

\_\_\_\_\_  
Date

Please return to the Graduate Division, St. John's College of Liberal Arts and Sciences, St. John Hall, Room 145 or sjcgr@stjohns.edu.



# ST. JOHN'S UNIVERSITY

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## Request to Change Mentor/Thesis Committee Member

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

X Number: \_\_\_\_\_ Department: \_\_\_\_\_

Topic or Title: \_\_\_\_\_

### Former Mentor

### New Mentor

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Signature

### Former Thesis Committee Member

### New Thesis Committee Member

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Signature

### Rationale for Change

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

### Approval Signatures

\_\_\_\_\_  
Chair Name

\_\_\_\_\_  
Chair Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Associate Dean Name

\_\_\_\_\_  
Associate Dean Signature

\_\_\_\_\_  
Date