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**SETON HALL UNIVERSITY**

**DOCTORAL DISSERTATION  
PROCEDURAL HANDBOOK**



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The purpose of this handbook is to guide you through the dissertation process. Should you have any questions or require further assistance, please call the College of Education and Human Services (CEHS) Office of Graduate Studies at 973-761-9668. Be sure to read and follow all procedures carefully to ensure a smooth transition from doctoral candidate to doctoral graduate.

### Overview of the Dissertation Process and Requirements

1. Once you begin the dissertation process and select dissertation committee members, the following forms are required to be filed with the CEHS Office of Graduate Studies, Dean's Office, Jubilee Hall, 4<sup>th</sup> floor:
  - a. **Doctoral Student Information Form**
  - b. **Off-Campus Defense Committee Information Form** (If relevant)
2. Work with your mentor on preparing your proposal. When your mentor and all committee members are satisfied with your proposal, they will sign the "**Approval for Dissertation Proposal**" form.
3. Continue working with your mentor and committee until the completion of your research and dissertation. Upon completion, each member of your committee must review your dissertation and sign an "**Approval for Dissertation Orals**" form. Return the signed form to the CEHS Office of Graduate Studies. This form indicates to the College of Education & Human Services that you are ready to defend.
4. Prior to the defense you are responsible for:
  - a. Arranging for the specific date and time of the oral defense with your mentor and committee members.
  - b. Emailing the CEHS Office of Graduate Studies at educate@shu.edu to notify the office of your oral defense date in order to book a room. **Refer to page 7 for the specific information required in your e-mail request.**
  - c. Submitting the "**Approval for Dissertation Orals**" form with original signatures
  - d. Distributing copies of the dissertation to each committee member, which includes the chairperson and, when applicable, external readers prior to the defense date.
  - e. **Ordering any visual aid materials for use during your defense.** Students are permitted to utilize one of the Office of Graduate Studies' LCD projectors for PowerPoint presentations. While coordinating and submitting your final paperwork, be sure to confirm the use of an LCD projector for the day of your defense.

5. When your defense is complete, your committee will inform you of its decision and note any necessary changes to your manuscript. Once you make all necessary revisions and all committee members have signed the “**Approval for Successful Defense**” form, it is your responsibility to submit the manuscript to the proofreader. The current proofreading rate is determined by the proofreader and the student. A list of proofreaders will be given to you on the day of your defense or you can contact the Office of Graduate Studies for the most up-to-date list of proofreaders (educate@shu.edu or 973-761-9668).
6. After the manuscript is returned from the proofreader, make any necessary changes. Any discrepancies should be discussed with your mentor.
7. After you successfully defend your dissertation, you will receive the **Survey of Earned Doctorates**. Please complete and return to the CEHS Office of Graduate Studies.
8. Doctoral students are required to bring a **MINIMUM** of **FOUR** clean copies (three for binding and one for archiving) on cotton paper or 25% rag or 24 lb. linen ledger paper to Walsh Library. When bound copies are ready, they are to be distributed in the following manner: one copy to the student, one copy to the department chair, and one copy to library. **The second page of the bound dissertation should be the original “Approval for Successful Defense” form which is signed after revisions are made and the dissertation is successfully defended.** For the additional dissertation copies, a copy of this form will suffice.
9. Please note that an additional binding fee will be assessed for dissertations that are more than 2-½ inches thick. A signed receipt will be given to the student who is responsible for providing the original to Mary Ellen Farrell, Director of Enrollment Services/University Registrar and a copy of the receipt to the CEHS Office of Graduate Studies. The receipt provides proof that all dissertation steps have been completed within the allotted time period prior to graduation. A student can opt to have his/her dissertation copyrighted; this is not a requirement. Copyrighting carries an additional fee.



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### Oral Defense and Graduation Deadlines

Degree Conferred*	Successful Defense Deadline**
December	November 1
May	March 15
August	June 15

\*Commencement is held only once a year in May.

**\*\* Please note that the oral defense must take place 7 weeks prior to commencement or graduation; post-defense requirements must be completed 4 weeks prior to graduation. Students who do not complete all matters relating to the final disposition of the dissertation within the semester defended will have to register for TCHN 8999 for the following semester.**

An **Application for Graduate Degree** must be filed with Enrollment Services by the following dates:

Degree Conferred	Application for Graduate Degree Deadline
Fall (December)	October 15
Spring (May)	February 15
Summer (August)	June 15

Applications for Graduation can be obtained from the Registrar's Office in Bayley Hall or online at [www.shu.edu/offices/registrar-index.cfm](http://www.shu.edu/offices/registrar-index.cfm) under "Our Forms and Documents".

The signature of the respective Department Chair is required on the form. Approval at this point signifies that all requirements leading to the degree have been met, as may be determined by each department in consultation with the Registrar's Office and the CEHS Office of Graduate Studies.

Be sure to obtain confirmation of receipt or when submitting your application for graduation.



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### Checklist for Doctoral Dissertation Requirements

Form	Date Completed	Date Submitted to CEHS Office of Graduate Studies
Doctoral Student Information Form		
Off-Campus Defense Committee Information		
Approval for Dissertation Proposal Form		
IRB Approval (Copy)		
Approval for Dissertation Orals Form		
E-mail educate@shu.edu to schedule location and media for oral defense		
Approval for Successful Defense (from Mentor)		
Survey of Earned Doctorates		
Proof of Passing Comprehensive Exam (ELMP)		
Binding Receipt (Copy)		

**All forms, except the IRB Approval, must have original signatures.**

Except for the “**Approval for Successful Defense**”, you may make copies of blank forms to distribute separately to each committee member. Return all forms with the original signature to the CEHS Office of Graduate Studies.

Graduation Semester	Application for Graduate Degree Deadline
Fall	October 15
Spring	February 15
Summer	June 15



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### Procedures Leading to Oral Defense

Before the Oral Defense process begins, the appropriate paperwork must be filed with the CEHS Office of Graduate Studies. Please refer to the “Checklist for Doctoral Dissertation Requirements” on page 6.

#### Prerequisites to Defend:

Candidates will be deemed ready to defend their dissertation when they have:

- Completed all required course work
- Passed the comprehensive exam and submitted proof of passing
- Submitted the following to the CEHS Office of Graduate Studies:
  - **Doctoral Student Information Form**
  - **Off-Campus Defense Committee Information Form** (If relevant)
- Obtained signatures from each member of their dissertation committee on the following forms and returned them to the CEHS Office of Graduate Studies:
  - **Approval for Dissertation Proposal** form
  - **Approval for Dissertation Orals** form
- In addition, candidates should:
  - Ensure that each committee member has an updated and clean copy of the dissertation in a binder or other bound form. (These initial copies may be on regular copy paper. Select faculty in PFFT will accept an e-copy. Students should ask faculty members for their preference.)
  - Confirm the date and time of the oral defense with the mentor & committee members.

#### Scheduling:

Oral defenses can be scheduled during the fall, spring, and summer semesters as long as committee members are available. The CEHS Office of Graduate Studies requests 30 days advanced notice for booking the oral defense location in order to ensure room availability. It is the candidate’s responsibility to coordinate a date and time that fits the committee members’ calendars before e-mailing\* the CEHS Office of Graduate Studies at educate@shu.edu to schedule a room for the oral defense. **\*The candidate’s e-mail should include the following:** Full Name, Address, Phone #, Preferred E-mail Address, Degree Sought (Ph.D., Ed.D.), Dissertation Title, Committee Members including Mentor, Defense Date & Time.

After receiving the above information, the CEHS Office of Graduate Studies will email the candidate with a confirmation when the room has been booked. A *Notice of Defense* will also be posted on the bulletin board outside of the CEHS Dean’s Suite (next to Office 416).

## Oral Defense Procedures

### Attendance:

The Oral Defense includes all members of the candidate's dissertation committee, who will act as signatories. A member of the dissertation committee, or someone external to the committee, may chair the oral defense. The defense may be attended by a Seton Hall faculty member who elects to attend or any other person who secures permission from the candidate, the dissertation mentor, and the designated chairperson. At the opening of the orals, the chair will establish the ground rules for the meeting. Unless otherwise stipulated, the dissertation mentor will be responsible for keeping a written record of all the substantive elements of the discussion. The chair and committee members may question the candidate on all matters about the dissertation. Others who might be in attendance may address questions to the candidate only upon invitation by the chairperson. When all questions and discussions have been exhausted, the members will excuse the candidate and reach a decision on the outcome of the defense. Immediately after the committee has reached a decision, it will inform the candidate of the decision and the essential reasons it has been made.

## Procedures Following Oral Defense

Preceding the oral defense, the mentor will have received two copies of the “**Approval of Successful Defense**” form from the CEHS Office of Graduate Studies. This form will be signed by all the committee members after all of the revisions have been made. One signed form is forwarded to the CEHS Office of Graduate Studies and placed in the student's file. The other is bound as page two of the dissertation.

A letter from the mentor to the candidate will be sent within seven working days of the oral defense, giving specific details regarding revisions that arose at the defense. This letter will stipulate any changes required in the final copy of the dissertation manuscript. The letter will also stipulate which committee members need to be consulted during and after the revision process. When all required changes have been made to the satisfaction of the committee chairperson, one clean copy of the manuscript that reflects all revisions is submitted to a proofreader. Each student will engage a university proofreader from a list available at the CEHS Office of Graduate Studies. You may select whichever proofreader suits you best.

The proofreader will follow the Publication Manual of the American Psychological Association, latest edition. Manuscripts will be checked for spelling, punctuation, and adherence to style. Length and quality of copy will have a direct impact upon the fee. (For example, it takes approximately six to nine hours to review a 150-page dissertation.)

Changes that result from the proofreading may be done in consultation with the dissertation advisor, and in cases of dispute, the Associate Dean. When the dissertation advisor is in agreement with the candidate that the manuscript reflects all revisions, a minimum of four clean copies on high quality paper (24 lb. weight or 25% rag, and 8 ½” x 11” in size) must be submitted to Walsh Library for binding and archiving. It is important to note that clean copies of the dissertation must not be on three-hole punch paper as they cannot be bound.



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**Institutional Review Board**

According to federal regulations, all research with human subjects must be submitted to the Institutional Review Board (IRB).

For information on the IRB process, please visit the IRB website at  
<http://www.shu.edu/offices/institutional-review-board-index.cfm>

or contact:

Mary F. Ruzicka, Ph.D.  
Professor  
Director, Institutional Review Board  
973-313-6314  
[irb@shu.edu](mailto:irb@shu.edu)



### **Binding Information**

Seton Hall University Libraries  
Office of the Dean  
973-761-9005

For the current fees and policies pertaining to the binding procedure, please refer to the Seton Hall University Library website at [www.shu.edu/academics/libraries](http://www.shu.edu/academics/libraries). Refer to the “Forms” link under “Library Services” and click on “Dissertation/Theses Forms”.

Doctoral students are required to bring a **MINIMUM** of **FOUR** clean copies (three for binding and one for archiving) to Walsh Library. When bound copies are ready, they are to be distributed in the following manner: one copy to the student, one copy to the department chair, and one copy to library.

Also note, an additional binding fee will be assessed for dissertations that are more than 2-½ inches thick. A signed receipt will be given to the student who is responsible for providing the original to Mary Ellen Farrell, Director of Enrollment Services/University Registrar, and a copy of the receipt to the CEHS Office of Graduate Studies. The receipt provides proof that all dissertation steps have been completed within the allotted time period prior to graduation. A student can opt to have his/her dissertation copyrighted; this is not a requirement. Copyrighting carries an additional fee.

If the student would like to purchase additional bound copies, the appropriate number of additional clean copies of the dissertation must be provided to the library and the appropriate fees paid.

### **ELMP Department Policy on Obtaining Outside Assistance for Data Analyses in a Doctoral Dissertation**

The ELMP Department's policy is anchored in two basic values or interests: (1) the interest in encouraging doctoral students to further develop their capabilities in selecting and performing analytical techniques—be they quantitative or qualitative --- that are most appropriate to the research questions in their doctoral dissertation work; and (2) the interest in upholding the highest standards of academic integrity in the conduct and reporting of dissertation research.

In the interests of preserving these values, the ELMP Department recommends that:

- (1) students explore employing the most appropriate analytical techniques as defined by prevailing and even pioneering practice in the academic field of educational or higher educational administration;
- (2) students seek assistance, within the department faculty and within the College of Education and Human Services in learning and employing new analytical techniques in their dissertation research; and
- (3) When such assistance is not readily available within the department or college, students are permitted to seek analytical assistance from experts outside the university.

The decision of a student to seek outside analytical assistance should be made **ONLY** with the advice and consent of the dissertation mentor and the assistance must be provided under the mentor's supervision. It is expected that the mentor will initially consult directly with those departmental faculty who provide advanced instruction in research methods and data analysis to make a preliminary determination of the appropriateness of a particular student undertaking such analytical work. Once such a determination is made, the mentor must approve in writing the nature and scope of the assistance to include advice on specific challenges in employing a particular technique, typical approaches to data reporting and display, and typical issues of interpretation. In no case would such assistance include running the actual analyses, constructing tables and charts, or writing interpretive narratives that are imported verbatim into the dissertation document. The "outside" analytical consultant must agree in writing to the terms outlined by the mentor. It is expected that the mentor will consult with those colleagues teaching advanced research methods in ensuring contract compliance.

Seeking and using the products of "outside" analytical consultation without the advice and consent in writing of the mentor, or seeking and using advice beyond the scope authorized, will serve as a basis for dismissal from the program.

December 10, 2009



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## DOCTORAL STUDENT INFORMATION

**Student's Name:** \_\_\_\_\_

**Student ID #:** \_\_\_\_\_

**Address:** \_\_\_\_\_

\_\_\_\_\_

**Phone (Home/Cell):** \_\_\_\_\_ **Work Phone:** \_\_\_\_\_

**E-Mail Address:** \_\_\_\_\_

**Academic Department:** \_\_\_\_\_

**Degree Sought:** \_\_\_\_\_

**Title of Dissertation:** \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Dissertation Committee Members (Including Mentor):**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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\_\_\_\_\_

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**OFF-CAMPUS DEFENSE COMMITTEE INFORMATION**

Please complete this form and submit it to your Mentor for approval.

**Student's Name:** \_\_\_\_\_

**Student ID #:** \_\_\_\_\_

**Committee Member's Name:** \_\_\_\_\_

**Street Address:** \_\_\_\_\_

**City/State/Zip:** \_\_\_\_\_

**Phone (daytime/evening):** \_\_\_\_\_

**E-mail:** \_\_\_\_\_

**Vita Attached**



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**APPROVAL FOR DISSERTATION PROPOSAL**

Candidate, \_\_\_\_\_, has successfully completed all requisite requirements. This candidate’s proposal has been reviewed and the candidate may proceed to collect data according to the approved proposal for dissertation under the direction of the mentor and the candidate’s dissertation committee.

If there are substantive differences between what has been approved and the actual study, the final dissertation should indicate, on separate pages in the Appendix, the approval of the committee for those changes.

**Title of Proposed Dissertation:**

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

**Dissertation Committee:**

\_\_\_\_\_  
**Mentor (Print Name)**

\_\_\_\_\_  
**Signature/Date**

\_\_\_\_\_  
**Committee Member (Print Name)**

\_\_\_\_\_  
**Signature/Date**

\_\_\_\_\_  
**Committee Member (Print Name)**

\_\_\_\_\_  
**Signature/Date**

\_\_\_\_\_  
**Committee Member (Print Name)**

\_\_\_\_\_  
**Signature/Date**

\_\_\_\_\_  
**Committee Member (Print Name)**

\_\_\_\_\_  
**Signature/Date**

**Approved by Seton Hall University Institutional Review Board on:** \_\_\_\_\_

\_\_\_\_\_  
**Department Chairperson**

\_\_\_\_\_  
**Signature/Date**

Waived by IRB by: \_\_\_\_\_ on this date \_\_\_\_\_



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**APPROVAL FOR DISSERTATION ORALS**

**Candidate:** \_\_\_\_\_

**Dissertation Title:**  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Academic Department:** \_\_\_\_\_

**Degree:** \_\_\_\_\_

**Committee (Please PRINT and SIGN your name):**

\_\_\_\_\_  
**Mentor** Signature/Date

\_\_\_\_\_  
**Committee Member** Signature/Date

\_\_\_\_\_  
**Committee Member** Signature/Date

\_\_\_\_\_  
**Committee Member** Signature/Date

\_\_\_\_\_  
**Committee Member** Signature/Date

\_\_\_\_\_  
**Date Approved by Committee** **Date Received by Graduate Studies Office**



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**DISSERTATION DEFENSE RESULT**

**Candidate Name:** \_\_\_\_\_

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

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

**Program:**

- Traditional Ed.D.
- Executive Ed.D. (Cohort # \_\_\_\_\_ )
- Higher Education

**Dissertation Title:** \_\_\_\_\_

\_\_\_\_\_

**Mentor:** \_\_\_\_\_

**Defense Result:**

- Pass
- Pass with Minor Revisions
- Pass with Major Revisions
- Did not Pass

**Mentor Signature:** \_\_\_\_\_

Please return this form immediately after the defense to Associate Dean Grace May's mailbox.  
Thank you.