



COLLEGE OF EDUCATION & HUMAN SERVICES
DEPARTMENT OF EDUCATION LEADERSHIP MANAGEMENT & POLICY

ELMP

DOCTORAL DISSERTATION

PROCEDURAL HANDBOOK

Rev. 11/04/16_v5



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DEPARTMENT OF EDUCATION LEADERSHIP MANAGEMENT & POLICY

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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 or email educate@shu.edu. 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, 4th 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. **Please note: candidates are expected to bring their own laptops. Also, the LCD projectors provided by Office of Graduate studies are NOT readily Macintosh compatible.** If you are planning on presenting your dissertation PowerPoint on a Mac computer, **please bring an adapter** (Apple Mini DisplayPort (Thunderbolt) to VGA Adapter) to ensure that your computer is compatible with the LCD projectors. It is also advisable to bring your presentation on a USB drive.
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 Dissertation Orals Form**” on page 19, 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. Please be sure to follow the **Basic Guidelines for Seton Hall Dissertations and Theses** as required by the SHU Library (see p.12).
7. Seton Hall University has implemented an online submission system for electronic theses, dissertations, and final projects to the institutional repository, eRepository. Dissertation submission to UMI ProQuest is also available online. The online submission system is replacing the former practice of depositing print copies in the library. Please submit the **FINAL** electronic version of your thesis or dissertation with the signature sheet to SHU eRepository. See “Dissertation Submission to eRepository” information on page 13.
8. After you successfully defend your dissertation, one of the requirements for graduation, you will need to complete the “**Survey of Earned Doctorates**” conducted by NORC at the University of Chicago. Please follow the link <https://sed.norc.org/survey> and submit a copy of the certificate to educate@shu.edu.



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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 online by the following dates:

Degree Conferred	Application for Graduate Degree Deadline
Fall (December)	March 15 – July 31
Spring (May)	November 1 – January 25
Summer (August)	March 1 – May 25

Applications for Graduation can be obtained online. Login to PirateNet. Click on the Academics tab. Select Application to Graduate in the Student Records module. Enter the most recent term for which you are registered. Click on the program you are completing. Select your Graduation Date. Select the name you want on your diploma. Select an address to which your diploma will be mailed. Review information for accuracy. Press Submit Request.

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)		
Submission to eRepository confirmation		

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 (December)	March 15 – July 31
Spring (May)	November 1 – January 25
Summer (August)	March 1 – May 25



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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 Dean. When the dissertation advisor is in agreement with the candidate that the manuscript reflects all revisions, submit the final electronic version of a thesis or dissertation with the signature sheet to SHU ETD at <http://library.shu.edu/etd-services>. Please utilize the library website and follow **all** instructions and requirements in order to ensure that your theses/dissertation is accepted to the eRepository without complication. There is a \$25.00 processing fee paid via Pirate's Gold. Payment can be made in-person at the Circulation Desk or by phone 973-761-9443.



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Pre- IRB Submission

Complying with Federal Pre-IRB Requirements

Overview and Rationale

Federal regulation for IRB requires substantive scientific review of a research protocol before it goes to the IRB. This process is called “Pre-IRB Scientific Review.”

The purpose of pre-IRB scientific review is to ensure that the research protocol is “scientifically meritorious, well designed, and in keeping with ethical guidelines, program relevance, and public responsibility” (NIH MPA, p. 3).

Drs. Kelchen & Babo have agreed to serve as the pre-IRB scientific reviewer for the Education Leadership, Management and Policy Department.

Process for pre-IRB Scientific Review

Submission of IRB documents for pre-IRB scientific review to Drs. Kelchen & Babo can be done at any time convenient for the student, 1) *once the student’s mentor has read and approved the documents* and if, a dissertation, 2) *the student has successfully passed his/her dissertation proposal defense*. This pre-IRB scientific review in no way removes any input or oversight by the student’s mentor.

Schedule for feedback by Drs. Kelchen and/or Babo for documents submitted will be by email to the student, with a copy to the mentor. Deadline for a Monday morning feedback is submission of the documents on the previous Wednesday at 12 noon. This schedule applies to all months except July and August. There are no submissions in July and August.

Please **plan ahead** by keeping in mind that if documents need revision, they will need to be resubmitted on the same “Wednesday at Noon” timeline, with feedback on the following Monday morning. In operational terms, this means that if revisions are needed and the time is close to the University IRB due date, the student may not be able to submit his/her protocol to IRB for another month. We encourage students to submit to pre-IRB at least two weeks before the final submission is due to the IRB Board in order to allow for required revisions. Please plan ahead.

Procedure for physical submission of the documents:

- (1) Have all sections of the IRB application typed and completed, including forms, letters of solicitation, Informed Consent Form on departmental letterhead stationary, etc.
- (2) Have the sections collated in the order the IRB website requires, and
- (3) Place everything in an envelope labeled “pre-IRB.”

They can then either be:

- (1) Mailed by U.S. mail to:

ELMP Pre-IRB (c/o Ann Rodrigues)
Seton Hall University
Jubilee Hall – 407
400 South Orange Avenue
South Orange, NJ 07079

- (2) ***OR*** - placed in the pre-IRB **drop-off** folder in Ann’s office (room 407 Jubilee Hall)

Once approved, signed pre-IRB forms will be available in the pre-IRB **pickup folder** by the Monday afternoon following a Wednesday submission.

No electronic or e-mail submissions will be accepted.

If you have any questions, please contact your mentor for additional information.



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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



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Basic Guidelines for Seton Hall Dissertations and Theses

Some minimum degree of standardization in a Seton Hall dissertation or thesis is required:

- **Standard title page** (see http://library.shu.edu/ld.php?content_id=9390882)
- **Standard signature page** (see http://library.shu.edu/ld.php?content_id=9390894)
- **Correct name of your degree** (see <http://www.shu.edu/academics/masters-degree-programs.cfm>)
- **Standard copyright page** (see http://library.shu.edu/ld.php?content_id=9391024)

Each College or School has produced a dissertation handbook that is made available as a link on the Libraries' dissertations and theses page as a central University location with reference to the guidance provided on the mechanics of final manuscript production and submission on the Libraries' web page. Absent specific school/college guidelines that differ:

12-point Times New Roman is the preferred font. All four margins of the page must be at least one inch, and the left and right margins should be equal. All material, including figures, tables, headers/footers, footnotes/endnotes, and images, must appear within the margins of the manuscript.

The text, is double-spaced. Normally, quotations of eight lines or more are indented and single-spaced. Footnotes, endnotes, and bibliographic entries should be single-spaced with double spacing between each entry.

All prefatory pages are numbered continuously using lower-case Roman numerals (i, ii, iii...) centered at the bottom of the page. All other pages, including the main body of the dissertation, references, bibliographies and appendices, are numbered continuously using Arabic numerals (1, 2, 3...), starting from the number "1". These page numbers should be centered at the bottom of each page.

Guidance for the production of final copy should be centralized in each College or School and not detailed to staff or secretarial-level personnel; that central person should meet annually with designated Library personnel for updated information on processes, copyright issues that arose in the past year with particular reference to the Provost's copyright web pages and guidance (linked to by the Libraries).



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Dissertation Submission to eRepository

Seton Hall University Libraries

<http://library.shu.edu/dissertations-services/dissertations>

Seton Hall University has implemented an online submission system for electronic theses, dissertations, and final projects to eRepository (SHU institutional repository). Dissertation submission to UMI Proquest is also available online and should be submitted once you receive a confirmation email that your dissertation has been **posted** in eRepository. The online submission system is replacing the former practice of depositing print copies in the library. The library no longer accepts print copies.

Please link to the doctoral page: **<http://library.shu.edu/dissertations-services/dissertations>**

For the most current fees and policies pertaining to the online dissertation submission procedure, please refer to the Seton Hall University Library website at <http://library.shu.edu/dissertations-services>. Refer to the “Dissertation, Theses & Final Projects Home” section and then follow the instructions on your particular type of submission.

For questions, please contact:

Sharon Ince, Email: Sharon.Ince@shu.edu; Phone: 973-761-9796

-or-

Martha Loesch, Email: Martha.Loesch@shu.edu; Phone: 973-761-9296

Submission instructions to eRepository:

- Please submit the FINAL electronic version of your dissertation with the signature sheet and copyright page to **SHU eRepository**. It is important to make sure before you submit that all corrections/amendments have been made.
- Once this is converted to pdf format and submitted to the eRepository, the dissertation CANNOT be changed or amended.
- After you receive your confirmation email from eRepository stating that your dissertation is posted, please submit to ProQuest.
- There is a \$25.00 processing fee paid via Pirate's Gold <https://www13.shu.edu/offices/services/pirates-gold.cfm>. Payment can be made in-person at the Circulation Desk or by phone 973-761-9443. For help with your PirateNet account, contact the IT Help Desk: (973) 275-2222 or x2222 or servicedesk@shu.edu. For help with the Pirate's Gold account, contact the Campus ID office: (973) 761-9771 or CampusID@shu.edu.

Again, please utilize the library website (**<http://library.shu.edu/dissertations-services/dissertations>**) and follow **ALL** instructions and requirements in order to ensure that your dissertation is accepted to the eRepository without complication.

October 25, 2016



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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.

Dated: December 10, 2009



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**Department of Education Leadership, Management and Policy
Dissertation Seminar Enrollment Approval Form**

Semester: _____ CWID: _____

This is to certify: _____

Doctoral Degree: Ed.D. K-12 _____ Ed.D. HRED _____ Ph.D. HRED _____

Date Passed Qualifying Doctoral Exam: _____

Date Passed Comprehensive Doctoral Exam/Assessment: _____

Completed all required courses (K-12/HRED Student Handbook) Yes: _____ No _____

If no, reason for waiver to enroll: _____

Graduate Credits Earned:
Seton Hall University _____ # credits

External University _____ # credits

Student Signature: _____ Date: _____
(Student signature certifies above information is correct)

APPROVAL SIGNATURES

*Student completed all ELMP doctoral academic requirements and is approved to enroll in
Dissertation Seminar.*

Academic Advisor: _____ Date: _____

Program Director: _____ Date: _____
(Director's signature required only if waiver is applied)

(Scan approved form to Maureen.hoatson@shu.edu)

v_12/07/2015



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DOCTORAL STUDENT INFORMATION

Please submit this form to the CEHS Office of Graduate Studies with your room request for proposal and dissertation defenses.

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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OFF-CAMPUS DEFENSE COMMITTEE INFORMATION

Please submit this form to your Mentor followed by your Program Director 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



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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: _____

Immediately after the defense, place this form in Marion Dunell's mailbox.

