

Southern Connecticut State University

Department of Educational Leadership and Policy Studies

Policies for Doctoral Education

Guidance for doctoral students and faculty

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Introduction

The policy guidelines contained herein direct both faculty and students in the implementation of the doctoral program at SCSU. Approved by the SCSU Graduate Council, the policies are distributed to students in the Ed.D. program in the Department of Educational Leadership and Policy Studies. Policies are adhered to by all faculty in the Department of Educational Leadership and Policy Studies as well as graduate faculty from other departments at SCSU who are involved in the Ed.D. program. The following policies go into effect once a student is admitted to the program.

The program policies below have been developed by the Coordinator of Doctoral Education and the EDL Department Chair in collaboration with the EDL graduate faculty, the Dean of the School of Education, and the Dean of the School of Graduate Studies. These policies *supplement* all policies in the SCSU Graduate Catalogue and the Student Handbook of the Department of Educational Leadership and Policy Studies. As such, they do not act as a substitute for any information contained in those two documents.

Doctoral students are responsible for knowing all information contained in the policy guidelines. At the start of each academic year, the policy guidelines will be updated, and students are required to obtain and review new guidelines in order to remain current.

Matriculation

All students are enrolled on a part-time basis. All students selected for the Ed.D. program are expected to matriculate into the program before their first courses or during their first semester. A student must be approved for continued matriculation after completion of the first 12 credits of the program. Eligibility for continued matriculation is based on the following requirements:

- An overall GPA of 3.2 in the first 12 credits of coursework
- Completion of coursework as deemed by the professors of the first 12 credits as demonstrating the guiding principles of the Ed.D. program -- scholarship, attitudes, integrity, leadership and service.

The student will be approved for continued matriculation when the faculty advisor, the program coordinator, the department chairperson, and the dean of the graduate school approve the student's planned program and Matriculation Form.

To remain in the program, a student must maintain a 3.2 GPA for all course work. If at any point in time a student's GPA falls below 3.2, the student will be placed on academic probation. The student will be required to meet the 3.2 GPA standard by the end of the following semester and maintain that GPA continuously in order to remain in the

program. If a student's GPA falls below 3.2 a second time, that student will be subject to dismissal from the doctoral program.

At the conclusion of each semester, each student will review his/her academic standing in an advisement session with two faculty members to discuss the student's progress and future plans.

Ed.D. Curriculum Map (subject to change as necessary for program coherence)

The following Curriculum Map outlines the program of study necessary for completion of the program in four years. The emphasis in the doctoral program is on quality of work, not speed. Therefore, students may take more than four years to complete the program, sometimes needing to repeat dissertation proposal development courses in the third and fourth years.

Ed.D. Curriculum Map					
YEAR I					
<i>Semester I</i>	<i>Inter-Session</i>	<i>Semester II</i>	<i>Summer A</i>	<i>Summer B</i>	<i>Summer C</i>
EDL 701 EDL 703		EDL 708 EDL 711	Elective	Elective	Elective
YEAR II					
<i>Semester I</i>	<i>Inter-Session</i>	<i>Semester II</i>	<i>Summer A</i>	<i>Summer B</i>	<i>Summer C</i>
EDL 704 EDL 702		EDL 705 Elective	EDL 725 Elective	Elective	Comprehensive Exam
YEAR III					
<i>Semester I</i>	<i>Inter-Session</i>	<i>Semester II</i>			
EDL 730 EDL 722		EDL 731 Elective			
Proposal Hearing ----- >					
YEAR IV					
<i>Semester I</i>	<i>Inter-Session</i>	<i>Semester II</i>			
EDL 799		EDL 800			
Defense ----- >					

Note: Students seeking 092-certification or 093-certification might need to take additional courses to meet certification requirements. Upon entry into the program,

students seeking certification should notify the Coordinator of such to ensure an appropriate plan of study.

Comprehensive Exam

All matriculated doctoral students wishing to become doctoral candidates must pass a written comprehensive examination. Passage of the comprehensive exam is a prerequisite to the dissertation proposal hearing. This exam is designed by the doctoral faculty to rigorously assess the student's mastery and synthesis of knowledge garnered during coursework. Further, it is intended to gauge the student's potential for independent dissertation research. Students should take the exam at the conclusion of their second year, after 39 credits of coursework has been completed.

The comprehensive examination is administered once each year. Examination dates will be published in May of the year of the exam. A student who wishes to take the comprehensive examination must submit an "Application for Comprehensive Doctoral Examination"¹ to the Coordinator of Doctoral Education by July 1st of the year of the exam. Further details regarding the content and format of the comprehensive examination will be made available to doctoral students prior to the exam. The exam will take place in August.

The exam is 4.5 hours long, and students must take it using a computer. Each exam will be read anonymously by two faculty members within the Department of Educational Leadership and Policy Studies. Exams will be awarded points out of a possible total of 100; the final score will be determined by averaging the readers' scores. Students will receive grades of Pass, Fail, or Honors. In the case of a 5+ point score differential by the two readers, for which the average would result in a Fail, the exam will be assessed by a third reader, and the final score will be determined by averaging all three readers' scores.

Students will be notified of the results within one month after taking the exam. Students may re-take the comprehensive exam only once and may not enroll in courses during the semester following exam failure. A make-up date for the August sitting will be during the following Fall semester, at least one month after the release of results. Failure of the comprehensive exam on the second attempt will result in the student's dismissal from the doctoral program.

Guidelines for Using Word Processing Programs

Students must use word processing programs to write their answers to comprehensive examination questions. A computer, required software (MS Word and Excel) and printer will be made available at the examination site. All comprehensive examination answers shall be submitted on a provided floppy disk and in hard copy, which the student prints out at the end of the comprehensive examination session.

¹ See form: Application for Comprehensive Doctoral Examination

Dissertation Committee

Each dissertation committee must be comprised of three members. Each student is responsible to form his or her own dissertation committee from among the EDL and other faculty. One committee member, serving as the Sponsor, must be a faculty member in the Department of Educational Leadership and Policy Studies and must have Graduate Faculty status in the SCSU Graduate School. This member must be selected prior to the selection of other committee members. A list of faculty members eligible to serve as Sponsors can be obtained from the Coordinator of Doctoral Education in the Department of Educational Leadership and Policy Studies. The Sponsor serves as the advocate for the student, helps identify and recruit other committee members, and provides guidance to the student during the entire dissertation process. The student should select his or her committee Sponsor during the third or fourth year and submit the required "Dissertation Committee Sponsor Agreement"² to the Coordinator of Doctoral Education.

A second committee member must be an SCSU graduate faculty member. The third member may be an SCSU graduate faculty member or may be external to SCSU. In the case of the latter, the committee member may be located at another accredited university or have professional relevance to the program of study *and* hold a Ph.D. or Ed.D. Selected committee members should be provided the opportunity to review the student's Concept Paper (see section entitled Dissertation Concept Paper) prior to agreeing to serve on the student's committee. Committee members must be asked to sit at least four weeks before the dissertation proposal hearing (see section entitled Dissertation Proposal Hearing), at which point, if they agree to participate, the student provides them with the dissertation proposal.

Each committee member who agrees to serve must sign a "Dissertation Committee Approval" form,³ and the student should submit it to the Coordinator of Doctoral Education for approval and signature. The Coordinator will then submit the form to the Chair of the Department of Educational Leadership and Policy Studies and the Dean of the School of Education, then to the Dean of the School of Graduate Studies for final approval and appointment of committee membership. Submission of the form may occur at any time prior to four weeks before the dissertation proposal hearing.

Once the committee has been approved, any change in the composition of the dissertation committee must be accepted by the student, the Sponsor, the Department Chair, the Dean of the School of Education, and the Graduate Dean. To request a change in committee membership, the student must complete the form "Request for Change in Dissertation Committee"⁴ with the required signatures and submit it to the Coordinator of Doctoral Education for approval. If the Coordinator denies the request, the student may need to postpone the dissertation proposal hearing until the dissertation committee is finalized and approved.

² See form: Dissertation Committee Sponsor Agreement

³ See form: Dissertation Committee Approval

⁴ See form: Request for Change in Dissertation Committee

Dissertation Concept Paper

The dissertation concept paper is a 3-4 page overview of the student's ideas for a dissertation proposal. The Concept Paper should provide guidance for the selection of dissertation committee members as well as a basis for further development of the dissertation proposal. Its purpose is to state the problem to be investigated, describe the research question(s), significance and relevance of the topic and questions, present a brief commentary on the literature, and propose an appropriate methodology to conduct the inquiry. Attached to the paper should be a draft time line for completion of the dissertation proposal (first three chapters of the dissertation). Discussing the research concept paper with a potential committee sponsor, other potential committee members, and peers will enable the student to obtain advice early in the dissertation process as to the suitability of the topic as a worthwhile study and as to whether or not the research questions and methodologies are appropriate. The dissertation concept paper is to be developed as a course requirement of the Doctoral Inquiry Seminar (EDL 730).

Dissertation Proposal

The dissertation proposal is a required component of the doctoral program, and must be approved for a student to become a doctoral candidate. Copies of the proposal (and the dissertation, please see Dissertation section) are placed in the University library where they are made available to the public. Therefore, each proposal must meet professional standards of published research. The student, the student's Sponsor, and the Graduate School expect to see evidence of careful attention to style and format in the proposal document. The SCSU Doctoral Policies and Guidelines are derived from standard practices among universities, libraries, and publishers. The student is expected to read and follow the Guidelines throughout the proposal preparation.

The proposal includes the student's statement of a research problem and the chosen method of investigating it. The proposal is the first step toward completion of the dissertation, which is an original contribution to one's field of study. The study may be applied research; it may be experimental, quasi-experimental, or non-experimental in its design; it may include quantitative or qualitative methods, or both. The dissertation proposal is written during the third year, with the hearing held no later than April 30 of the third year, if the student intends to defend his or her dissertation in the Spring of the fourth year. If the proposal hearing is held *after* April 30 of the third year, there is no guarantee that the student will be able to complete data collection and analysis in time to defend his or her dissertation by the Spring of the fourth year. It is essential that the student be capable of defending the theoretical basis of a proposed study and the statements, analytical decision, and analytical methods relevant to successful completion of a high quality dissertation. A detailed proposal (Chapters One, Two, and Three of the dissertation) must be approved by the dissertation committee and Graduate School Dean *before* the student begins any data collection. A proposal, at a minimum, must contain the following elements:

Chapter 1 - Introduction.

Statement of the Problem. This should be a very specific problem statement which lucidly and succinctly presents the main thesis of the study. It may be followed by a series of hypotheses or sub-problem statements.

Justification of Study. This section should explain the purpose and rationale for the study. It should specify reasons as to why the problem is worthy of study, including a statement of the theoretical and practical need for the study.

Chapter 2 - Literature Review. The proposal should include a critical review of literature supporting the study and demonstrating the need for the dissertation (i.e., expose the “gap” in the literature that this study will fill).

Chapter 3 - Research Procedures. This should be summarized in a conceptual model and followed by an expanded narrative. Quantitative studies should include the following, at a minimum: a) population; b) sample; and c) statistical treatment. Qualitative studies should assume a format appropriate to the nature and design of the study and include, at a minimum: a) population; b) sample selection procedures; and c) methods.

References. Every proposal draft should be presented with attached references.

Human Subjects Protocol. Students are responsible for submitting their study packet to the IRB eight weeks prior to the proposal hearing because IRB approval is required to pass the hearing.

It is required that the proposal follows APA publication style guidelines as put forth in the most recent edition of the American Psychological Association Publication Manual, Washington, DC. Close cooperation with the student's Sponsor is essential to develop a proposal. The proposal should address a real problem facing education today and should be applied and practical in nature rather than research-oriented or purely theoretical.

Use of human subjects

By federal law, all research involving human or animal subjects requires prior ethical review and approval by an independent review committee. At SCSU, the relevant committee for research involving human subjects is the Institutional Review Board (IRB). No data or recruitment of subjects may take place without IRB approval. The Institutional Animal Care and Use Committee has jurisdiction over research involving non-human subjects.

If the dissertation involves human participants, the student must follow the SCSU Protection of Human Subjects Protocol, and have all related paperwork submitted *before* the proposal hearing. A copy of the IRB approval form must be included in the proposal for the Proposal Hearing and when it is submitted to the Graduate School. Students are responsible for completing and submitting human subjects approval forms to the

Institutional Review Board (IRB). Procedures and forms related to IRB protocol are available from the SCSU IRB and Human Research Protection Program. Data *may not be collected* for the dissertation before human subjects approval has been granted by the IRB.

In cases where research involving human or animal subjects is being performed at another institution, approval also must be obtained from that institution's appropriate review committee(s). Copies of such approval should be attached to the SCSU forms to expedite the review process.

Copyright Permission

The student has the responsibility to obtain permission to include (or quote) copyrighted material unless the student is the owner of the copyright or unless the material meets the "fair use" criteria. The student is referred to *Copyright Law & Graduate Research: New Media, New Rights and Your New Dissertation* by Dr. Kenneth Crews (1996).

Dissertation proposal hearing

When the Sponsor and student believe the proposal is ready, a hearing of the proposal committee is scheduled at which the student presents and defends the proposal. The three members of the student's dissertation committee must be present at the hearing; the committee members must receive a final copy of the dissertation proposal at least four weeks in advance of the hearing. It is the student's responsibility to schedule the hearing, which should have a duration of one to two hours, with his or her committee. The student and/or the student's Sponsor must notify the Coordinator of Doctoral Education when the proposal hearing is scheduled. Procedures for conducting the proposal hearing are as follows: 1) the Sponsor begins the hearing, keeps time, and is responsible for facilitating the question and answer period; and 2) questions from the Sponsor and other two committee members will be followed by questions from faculty member guests. Should a committee member be unexpectedly unable to attend, participation by teleconference may be possible. If that option either impossible or deemed unacceptable by the other two committee members, then the defense must be rescheduled. There is no guarantee that a student's committee members will be available for hearings scheduled in the summer. No hearings will be held in the first three weeks of August.

The student should bring two copies of the proposal and the forms "Dissertation Prospectus Signature Sheet"⁵ and "Doctoral Admission to Candidacy"⁶ to the hearing. Upon successful defense of the proposal, the student and each committee member signs the form. If changes, adjustments, or edits of the proposal are necessary, the Sponsor withholds his or her signature until the student provides a corrected, acceptable version of the proposal. Once final and approved, the Sponsor submits the *unbound* proposal and Approval form to the Coordinator of Doctoral Education who then provides it to Dean of the School of Education for approval. The Dean will then submit the form and proposal to the Dean of the School of Graduate Studies for final approval. Upon approval by the

⁵ See form: Dissertation Prospectus Signature Sheet

⁶ See form: Doctoral Admission to Candidacy

Graduate School, one bound copy of the finalized proposal should be submitted to the Coordinator of Doctoral Education.

It is important to note that passing the proposal hearing is a course requirement for EDL 731. Should a student not pass the hearing during the semester in which he or she is enrolled in EDL 731, he or she will receive a “Q” grade and will need to re-register for the course until the proposal hearing is satisfactorily passed.

Final dissertation proposal preparation

The reputation and quality of SCSU’s graduate programs are measured in part by the quality of dissertation proposals written by graduate students. These documents provide permanent, tangible evidence of the scholarly achievements of the student and the student’s graduate program. Upon approval, they are placed in the University library. For these reasons, dissertation proposals must be prepared with exceptional care for appearance, for consistency of terminology, and for correctness of citations, grammar, and spelling. It is expected that the dissertation proposal document submitted to the School of Graduate Studies will be in perfect condition and ready for approval by the Graduate Dean.

The Graduate Dean and designated faculty dissertation committee members review each dissertation proposal to ensure that the requirements of style specified in the SCSU Policies and Guidelines have been met. Dissertation proposals that are judged unacceptable are returned to the student through the faculty Sponsor for correction and re-approval by the Sponsor. The dissertation proposal then is resubmitted to the School of Graduate Studies. Ideally, all changes are accomplished in one correction. If new errors are made, however, they are noted, and the dissertation proposal subsequently is returned to the Sponsor.

Doctoral Candidacy

Once the student has successfully passed the Comprehensive Examination and successfully defended the Dissertation Proposal (i.e., approval by the Graduate School Dean), he or she is eligible to apply to be a Doctoral Candidate. The student should submit the form “Doctoral Admission to Candidacy” to the Coordinator of Doctoral Education. This designation will be conveyed to the student by an official letter from the Graduate School and/or the Department of Educational Leadership and Policy Studies.

Doctoral Candidacy allows the student to register for dissertation credits. A student must be a candidate for at least one full semester prior to the granting of the degree. In other words, a student may not, unless he or she has been granted a waiver, defend the dissertation during the semester immediately following the semester during which he or she defended the proposal. The purpose of this requirement is to assure a minimal lapse of time for effective work on the dissertation after acquisition of the basic competence and after delineation and approval of the research problem and methodology. Once students are advanced to candidacy they must be enrolled for graduate credit each

semester (excluding summer sessions) until graduation. If the student is not advanced to candidacy within five years from the time of admission to the doctoral program, the student will be referred by his or her Sponsor to the Doctoral Committee on Standards and Appeals.

Dissertation Research

In conducting the dissertation research, the candidate works closely with the dissertation committee Sponsor, consulting other committee members as necessary. The candidate takes primary responsibility for collecting data, analyzing data and preparing initial drafts in a timely manner, according to a schedule agreed upon with his or her committee Sponsor.

Dissertation

The doctoral candidate must propose, execute, submit, orally defend and complete a dissertation of high quality and importance, under the supervision of a committee of graduate faculty members. Like the dissertation proposals, copies of the dissertation are placed in the University library. They are also sent to ProQuest, where they are made available to the international community of scholars. Therefore, dissertations must meet rigorous standards of published research.

The purpose of this culminating study are to: provide practical exercise in educational leadership; relate theory and practice in an exercise that informs a current educational issue or problem; and offer the student the opportunity to hone skills of inquiry and analysis gathered during his/her program. The study may take a variety of forms, however the student must adhere to the following criteria:

- The study reflects a theoretical position or model, while translating that theory into a viable course of curricular, instructional, leadership, or policy action.
- The study is reflective, requires a sound research foundation, and has significance beyond a single school or agency.
- The study can be summarized and disseminated in some manner to an audience beyond the student, study participants, and Dissertation Committee.

Dissertation Defense

When the student and his or her dissertation committee Sponsor determine that a final draft of the dissertation is ready for defense, the candidate files a "Request for Approval to Schedule Dissertation Defense" form⁷ to the Coordinator of Doctoral Education. This form includes the date, time and location of the defense, as agreed upon by all dissertation committee members. At least one semester must elapse between passing the

⁷ See form: Request for Approval to Schedule Dissertation Defense

proposal hearing and holding the dissertation defense. Once approved by the Coordinator of Doctoral Education, the defense scheduling may occur and all aspects of the defense are coordinated by the candidate. The candidate is responsible for informing his or her committee of the approved date, time and location.

The candidate must be aware that he or she must complete and submit the “Application for Graduation and Diploma” as well as the “Application for a Graduate Degree” to the Office of the Registrar *in the Fall semester prior to his or her anticipated graduation.*

In preparation for the defense, each committee member must receive a copy of the entire dissertation (including title and copyright pages, preliminary pages, references, and appendices) four weeks prior to the defense date. It is the candidate’s responsibility to ensure that each committee member receives the dissertation. Defenses completed with a score of 1 or 2 (see below) by May 10th of the fourth year will render the student eligible for graduation in May of that year. Defenses completed with a score of 3 are not guaranteed to render the candidate eligible for graduation in May of that year. Defenses may be scheduled in January, February, March, April, and May for graduation in May of that year. Defenses may be scheduled during other months for graduation in May of the year following the defense. There is no guarantee that a candidate’s committee members will be available for defenses scheduled in the summer. No defenses will be held in August.

When the "Request for Approval to Schedule Dissertation Defense" form is approved by the Coordinator of Doctoral Education, the candidate has been admitted to final oral dissertation defense in front of the dissertation committee. Final oral dissertation examinations are open to the public. Notification of the defense to the university community will be disseminated by the Coordinator of Doctoral Education. Any potential guest to the dissertation defense must be approved by the candidate, the Sponsor and the Coordinator of Doctoral Education. All committee members are expected to be present. Should a committee member be unexpectedly unable to attend, participation by teleconference may be possible. If that option either impossible or deemed unacceptable by the other two committee members, then the defense must be rescheduled. The student must bring one extra clean copy of the dissertation to the defense along with the “Notice of Completion of Final Examination and Dissertation Requirements.”⁸ It is highly recommended that the student bring several signature pages (on quality paper) to the defense, in the event that revisions need to be made as a result of the Graduate School review.

At the defense, the candidate will be expected to make a formal 20-30 minute presentation of the dissertation, using the necessary technological tools to convey the materials in a professional manner. The candidate may be asked any questions relevant to the written document, the oral presentation, his or her preparation, or his or her future plans. Questions from the Sponsor will be followed by questions from the other committee members. Questions from guests will not be entertained. Discussion of the candidate’s performance is initiated after the oral presentation and questioning and after

⁸ See form: Notice of Completion of Final Examination and Dissertation Requirements

the candidate and all guests have left the room. The discussion and balloting should result in one of the following four alternatives:

1. Unconditional pass. The committee agrees that the dissertation and defense are acceptable. The committee members then sign the “Notice of Completion of Final Examination and Dissertation Requirements,” indicating "Pass." The dissertation committee chair signs a second time in the appropriate space, certifying the dissertation is satisfactory and has been accepted by the committee.

2. Pass with Minor Dissertation Revision. The committee agrees that the defense is acceptable but that the dissertation still requires revision. The committee members sign the “Notice of Completion of Final Examination and Dissertation Requirements,” indicating "Pass," but the dissertation committee chair withholds the signature certifying approval of the dissertation pending satisfactory revisions and corrections. The committee provides the student with a deadline for making all revisions and corrections. Once approved by the committee chair, the final signature is made.

3. Pass with Major Dissertation Revision. The committee agrees that the defense is acceptable but the dissertation requires substantial revision. The committee members mark "Pass" on the “Notice of Completion of Final Examination and Dissertation Requirements,” but withhold signatures. Such signing may take place only after the committee members have examined and approved the revised dissertation. The committee provides the student with a deadline for re-submitting all revisions and corrections.

4. Failure. If the dissertation and/or its defense is not acceptable, the candidate fails. The “Notice of Completion of Final Examination and Dissertation Requirements” is marked "Fail," and signed by the committee members and the committee chair. If the committee foresees the possibility that the candidate can revise the dissertation in a way that might eventually be acceptable, it may recommend a reexamination. The Dean of the School of Education makes the decision as to whether to allow a second examination.

Once the dissertation defense is completed, follow the instructions for submission specified below, in Final Dissertation Submission.

Final Dissertation Preparation

The reputation and quality of SCSU’s graduate programs are measured in part by the quality of dissertations written by graduate students. These documents provide permanent, tangible evidence of the scholarly achievements of the student and the student's graduate program. For these reasons, dissertations must be prepared with exceptional care for appearance, for consistency of terminology, and for correctness of citations, grammar, and spelling. It is expected that the dissertation document submitted to the School of Graduate Studies will be in perfect condition and ready for approval by the Graduate Dean.

The Graduate Dean and designated faculty dissertation committee members review each dissertation to ensure that the requirements of style specified in the SCSU Policies and Guidelines have been met. Dissertations that are judged unacceptable are returned to the student through the dissertation Sponsor for correction and reapproval by the Sponsor. The dissertation then is resubmitted to the School of Graduate Studies. Ideally, all changes are accomplished in one correction. If new errors are made, however, they are noted, and the dissertation subsequently is returned to the Sponsor.

NOTE: A grade of “I” will be submitted for EDL 800 by a student’s dissertation Sponsor until the dissertation document receives final approval by the Dean of the School of Graduate Studies. While a student will be eligible to walk at Commencement in May after a successful defense, the doctoral degree will not be processed until the document is approved by the Graduate School and the grade of “I” is changed to a “P,” thereby indicating completion of all degree requirements.

Dissertations should follow the guidelines described below, which address preliminary pages, text, reference materials, and mechanics.

Preliminary pages

The preliminary materials consist of the title page, copyright notice (optional), approval page, abstract, dedication (optional), acknowledgement/preface/support (optional), table of contents, list of tables, list of figures, and other lists. Preliminary pages are paginated separately from the rest of the text. The title page is counted, but it is not numbered.

Beginning with the page immediately following the title page, place page numbers in lowercase Roman numerals centered at the bottom of the preliminary pages. The Roman numerals are continued up to the first page of the text.

Proper order of preliminary pages:

1. Title Page

The title of the dissertation should be as concise as possible. It must occur consistently in every respect, including punctuation, capitalization, and hyphenation, on the abstract and approval forms. On the title page, the identical title must appear in all capital letters with each line centered on the page. The degree date should be the month in which the degree is conferred, e.g., May, August, or January. The title page is not numbered, but it is counted.

2. Copyright Notice (optional)

Copyrighting of the dissertation is optional. If included, the copyright page follows the title page and is not numbered. The copyright symbol © should appear with your full legal name and the year centered between the margins on the page, e.g.,

© Copyright by David Akai Carter 2000

If the copyright option is chosen, the student must indicate this choice on the ProQuest contract and submit the copyright fee.

3. Approval Page

The approval page contains the title of the dissertation and the signatures of the Sponsor, committee member(s), department chairperson, and Graduate Dean. The name of each

signing committee member should be typed under the appropriate signature. Signatures should be in black ink. The student must ensure that the form of the student's name is consistent on the manuscript title page, abstract page, and approval page. A lower-case Roman numeral is used on the approval page.

4. Abstract

The abstract should provide a succinct, descriptive account of the dissertation. The abstract should not exceed 150 words, should be double-spaced, and should adhere to the same style manual as the dissertation manuscript. The abstract should include pertinent place names, names of persons, and other proper nouns. These are useful in automated retrieval. A lower-case Roman numeral is used on the abstract page.

5. Dedication (optional)

The dedication is brief, single-spaced, and centered on the page (horizontally and vertically). No heading is used. The word "To" customarily begins the dedication.

6. Epigraph or Frontispiece (optional)

The epigraph is centered on its own page (horizontally and vertically). The text is single-spaced. No heading is used. The frontispiece or illustration is centered on the page (horizontally and vertically). It may be accompanied by a title, which is centered and positioned below the illustration.

7. Acknowledgement/Preface/Support (optional)

This section begins with the title ACKNOWLEDGEMENTS centered in all capital letters two inches from the top of the page. The text begins on the fourth line below the heading and is double-spaced. This page is used to thank those persons who have been instrumental to the student in completing the degree requirements. Acknowledgement of grants and special funding received to support the dissertation research also may be made on this page.

8. Table of Contents

The Table of Contents must include all chapter headings, the bibliography, and appendices. Preliminary pages are not included. Entries are double-spaced. Sub-headings are block-indented by half an inch. The headings of major sections (i.e., chapters, bibliography, appendices) are written in all capital letters. Table of Contents headings must be identical to those in the text. Page numbers listed must be right-justified and connected to the appropriate entry by a line of evenly spaced dot leaders (periods). The words TABLE OF CONTENTS must be centered on the page two inches from the top of the first page only.

9. List of Tables (if tables appear in document)

The heading, LIST OF TABLES, appears centered on the page two inches from the top of the first page only. All table numbers and captions are listed exactly as they appear in the text.

10. List of Figures (if figures appear in document)

The heading, LIST OF FIGURES, appears centered on the page two inches from the top of the first page only. All figure numbers and captions are listed exactly as they appear in the text.

11. Other Lists (e.g., nomenclature, definitions, glossary of terms, etc.)

The appropriate title in all capital letters is centered two inches from the top of the first page only.

Text

The text of the dissertation consists of the substantive chapters. The text must be double-spaced and printed on only one side of each page. The text must be divided into a logical scheme that is followed consistently throughout the document. The larger divisions and more important minor divisions are indicated by suitable, consistent headings. Chapter organization as practiced by the discipline should be followed. The student and the academic department are responsible for the quality and content of the text. Specific requirements for text presentation follow.

1. Headings and Subheadings

The student may use headings and subheadings to subdivide chapters or sections, but a consistent sequence of headings as identified in the style guide selected must be followed. The student may not change the sequence and style of headings from chapter to chapter. Once the sequence is chosen, it must be followed consistently throughout the dissertation. All chapter headings are positioned two inches from the top of the page.

2. Pagination

Lower-case Roman numerals are used to number all pages preceding the text. Although the preliminary paging begins with the title page, no number appears on that page. The page immediately following the title page is numbered with a lower-case Roman numeral. Beginning with the first page of the text, all pages are to be numbered with Arabic numerals consecutively throughout the dissertation document, including the appendix and the bibliography or list of references. The Arabic numerals must be positioned at the bottom of the page, centered between the margins. Page headers or running heads may not be used in the dissertation.

3. Tables and Figures

The term “table” refers to a columnar arrangement of information, often data sets, organized to save space and convey relationships at a glance. The term “figure” refers to graphs, drawings, diagrams, charts, maps, or photographs. All such details should be inserted in the text near where they are first mentioned. A table or figure may appear on the same page as the text that refers to it or on a separate page. Each figure or table must be numbered and have a caption. Captions are placed below figures and pictures and above tables. Captions may be single- or double-spaced.

4. Illustrations

Each illustration must be referred to in the text and it must be placed after, and as near as possible to, the first reference to it in the text. All illustrative materials in the dissertation must be prepared on paper that is the same weight (or stronger) and use the same font type as elsewhere in the manuscript. If illustrations are mounted, dry mounting must be used. Illustrations may not be mounted with rubber cement, staples, mucilage, or photo-mounting corners. Illustrative material must be drawn or computer-generated in black. Material may be laser-printed or drawn in waterproof, permanent ink. Color will reproduce in microfilm as shades of grey. Color should be used only if it is essential to the dissertation.

5. Photographs

It is recommended that the student use a high quality, high contrast copying machine to reproduce photographic material for submission in lieu of photographs. If original photographs are used, they should be printed on single-weight, fiber-based paper with a

matte finish. All prints must be processed for nationally established standards for chemical permanence. Black-and-white prints are preferable. Photograph page number placement follows the standard pagination requirements.

6. Oversized Materials

Oversized materials should be reduced to 6"x9" when legibility can be maintained. When reduction is not appropriate, oversized materials may be presented in two ways. A horizontal figure too wide to fit on the manuscript page may be mounted on another sheet of paper at the left-hand margin, and folded like a fan. The folds must be contained within the right-hand margin. A figure too long and too wide may be folded and inserted into a 6.5"x9" envelope that is mounted on another sheet of paper.

7. Reproduced Published Materials

Photocopy reproduction of published material must be legible and conform to the pagination and margin requirements.

8. Widows and Orphans

"Widows" and "orphans" are terms that refer to isolated single lines of paragraphs that appear at the bottom or top of a page. These should be avoided. There should be at least two lines of a paragraph at the top or bottom of each page of the text of the manuscript.

Reference Material

The reference material includes the bibliography and the appendices. These major divisions have pages numbered in Arabic numerals that continue the series begun on the first page of the text.

1. Appendix or Appendices

The appendix (or a series of appendices) immediately follows the main text. The appendix includes material that may be helpful to the reader of the dissertation but may be too long for inclusion in the text or footnotes. The title, APPENDIX, appears only on the first page of the section, in capital letters centered two inches from the top. Examples of such material include questionnaires, letters, original data, sample forms, and vitae. Reference should be made in the text to the inclusion of these materials in the Appendix. Each appendix is a separate subdivision of the text and must begin on a separate page. Each appendix must be listed in the Table of Contents.

2. Bibliography or References

The bibliography lists all sources cited in the text either by direct quotation or by reference. The title, BIBLIOGRAPHY or REFERENCES, appears only on the first page of the section, in capital letters centered two inches from the top. The listing begins four single-spaced lines below. The bibliography or list of references is normally the last item in the dissertation following the appendix. There are several formats for bibliographic entries depending on the discipline and the format style of the discipline. The SCSU School of Graduate Studies requires that the bibliography and referencing system correctly and consistently follow the established practices of a recognized academic style manual. Only one system of referencing is to be used throughout the dissertation, culminating in a single bibliography or reference list. The selection of the academic style manual to be followed rests with the academic department. The Department of Educational Leadership and Policy Studies follows the APA publication style guidelines as put forth in the most recent edition of the American Psychological Association Publication Manual, Washington, DC.

Mechanics

The Graduate School will not accept a dissertation that does not conform throughout the manuscript to the SCSU Doctoral Policies and Guidelines and to the latest edition of a clearly identified style manual. The style manual used in the preparation of the dissertation must be identified at the time the dissertation proposal is submitted to the Graduate School. The requirements stated in the SCSU Doctoral Policies and Guidelines take precedence whenever there is a conflict regarding matters of format. If an item is not addressed in the selected manual of style or the SCSU Doctoral Policies and Guidelines, the Graduate Dean will rule on the format in such instances. Specific mechanics of presentation to which the student should pay careful attention include the following details.

The student should be certain that the typist is familiar with the SCSU Doctoral Policies and Guidelines and with the selected style manual. When using a word processor, the student and the typist should understand how to modify the default settings and other features. The inability of the student to modify software default settings is not a valid reason to alter formatting.

1. Font

Twelve-point Times Roman, Arial, Helvetica, or Century Gothic are the acceptable font styles. The type must be black and uniform in size, face, and color throughout the manuscript. Boldface typing should not be used. Where underlining indicates italics, either underlining or italics may be used as long as the choice is consistent. The student may not change fonts within the document.

2. Line Spacing and Indentation

The dissertation manuscript must be double-spaced. This includes the use of four spaces between paragraphs. Footnotes, bibliographic entries, long quoted passages, items in lists and tables, and captions of figures and tables may be single-spaced. If individual footnote or bibliographic entries are single-spaced, there must be double-spacing between entries. Students are required to use a recognized academic style format appropriate to the student's academic discipline and to be consistent in the application of the style format. Paragraph indentations must be uniform throughout the dissertation.

3. Margins

The left margin must be one and one-half inch. Margins on the top, right, and bottom must be one inch. All images must fit within these margins, including the page numbers. These margin specifications apply to all text, figures, charts, illustrations, graphs, and appendices. Any pages submitted with less than the minimum margins will be returned. Inadequate margins can result in part of your materials being lost after the combination of copying and binding; even if all the materials remains, insufficient margins can certainly affect the readability and the appearance of your work. These margin requirements apply to all materials included in the dissertation, including figures, tables, maps, plates, the abstract (if you decide to have it bound with the rest of your work), and any preliminary material you choose to include.

4. Reproduction Quality

The work must be typewritten or word-processed with a letter-quality printer. Generally laser and ink jet printers produce such copy. Dot-matrix printers are not acceptable. The

dissertation document must be clean and free of spots or smudges. Faint, streaked, or uneven copies will be returned to the student through the student's major advisor. Computer printouts or other documents with small and indistinct print may be illegible in microform and should be avoided.

5. Paper Stock Requirements

The dissertation submitted to the School of Graduate Studies must be prepared on 8.5 inch by 11 inch, 100 percent cotton rag, unpunched, white bond paper of at least 20-pound weight. I.U. Bond is not 100% cotton and is not acceptable. The University will not accept corrasable bond since it tends to smear and produce blurry copies. The same brand of paper must be used throughout the dissertation manuscript and for the preliminary pages. Erasable paper is unacceptable.

6. Facing Pages

All pages should be single-sided. If the student and his or her committee agrees that it is absolutely necessary to include facing material on the left-hand page as well, be sure to leave 1 ½ inches on the right-hand side of the facing page.

7. Footnotes

Footnotes must appear either on the page where the annotation occurs, at the end of each chapter, or at the end of the dissertation. The Department of Educational Leadership and Policy Studies directs students to follow the style of the American Psychological Association (APA).

8. Title and Abstract

The way most people will learn about doctoral dissertations is through Dissertation Abstracts International, published by University Microfilms. The students should, therefore, spend a good bit of effort in the composition of both the abstract and the title of your work. Make sure the abstract does not exceed 150 words for publication in Dissertation Abstracts International. The student should also work to phrase the title so that it truly describes the contents and will be easily found in the index of Dissertation Abstracts. The index is based on key words, so be as specific as possible about the subject. At the same time, remember that the title will have to fit along the spine of the bound dissertation, so keep the title as short possible without loss of clarity.

9. Binding

The Department of Educational Leadership and Policy Studies, the School of Education and the SCSU Graduate School accept only the oversewn method of binding. Velo binding available from some photocopying businesses is not acceptable. The bindery should be asked to put the dissertation title and the student's full name on the front cover and title and student's last name on the spine of the bound copy.

Final Dissertation Submission

After the successful defense, the candidate should make any final revisions and send the document to a professional editor. The document should be accompanied by these Guidelines. The editor should be directed to follow APA style (5th Edition) and these Guidelines; where there is a discrepancy, the Southern guidelines trump the APA style guide.

Once the document is in final form, submit a copy of the entire document (on normal paper, informally bound) to the Coordinator of Doctoral Education along with the “Notice of Completion of Final Examination and Dissertation Requirements.” This form will be forwarded to the Deans of the School of Education and the School of Graduate Studies for approval.

Meanwhile, prepare the following for submission directly to the School of Graduate Studies:

1. Copy the entire document onto the quality paper specified above (in Paper Stock Requirements).
2. Obtain original signatures on the approval page (it is recommended that you have your committee sign several copies on quality paper), and insert the page immediately after the copyright page, which is inserted immediately after the Title Page.
3. Consult and complete the form in the UMI booklet for ProQuest to microfilm and copyright your work. The booklet is available in the Office of Graduate Studies; be sure to obtain the booklet for *dissertations*, not Master’s theses.
4. You must submit a certified bank check for the following items, along with the completed booklet form⁹:
 - a. Publishing of dissertation = \$55.00
 - b. Binding = \$16.50
 - c. Copyright = \$65.00
5. If you want to order additional copies of the bound dissertation, each one will cost \$29.00 (soft bound) or \$35.00 (hard bound) and may be purchased with a credit card. ProQuest will make as many bound copies as you want but you must request them all at the same time. Please keep in mind that the Graduate School requires one, the Department requires one, it is customary to give one to your Sponsor, and you may want one or more for yourself. The Graduate School will assist you with calculating the total cost.

The dissertation and additional items should be submitted to the Office of Graduate Studies loose, in a fitting box.

The Department of Educational Leadership and Policy Studies and the SCSU Graduate School encourage, but do not require, that each student copyrights the Ed.D. dissertation in his or her own name. In that way, choices about the future use of the student’s materials will be up to him or her; if the student does not copyright the work at the time of publication, it becomes part of the public domain and the student will not be able to copyright it afterward. Whether or not a student decides to copyright his or her Ed.D. dissertation, the School of Education and the University Graduate School insist that, except under extraordinary circumstances, he or she allows ProQuest to act as his or her agent with the Library of Congress Copyright Office.

⁹ Prices subject to change. Please consult with the Office of Graduate Studies regarding all aspects of UMI/ProQuest dissertation publication and reproduction.

APPENDIX I: Example Pages

A COMPARISON OF THE INTELLIGIBILITY
OF ESOPHAGEAL, ELECTROLARYNGEAL AND
NORMAL SPEECH IN QUIET AND IN NOISE

BY

DAVID AKAI CARTER

A Dissertation Submitted to the School of Graduate Studies
in Partial Fulfillment of the Requirement for the Degree of
Doctor of Education

Southern Connecticut State University
New Haven, Connecticut
May 2004

EXAMPLE OF TITLE PAGE FOR DISSERTATION

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EXAMPLE OF COPYRIGHT NOTIFICATION

A COMPARISON OF THE INTELLIGIBILITY
OF ESOPHAGEAL, ELECTROLARYNGEAL AND
NORMAL SPEECH IN QUIET AND IN NOISE
BY
DAVID AKAI CARTER

This doctoral dissertation was prepared under the direction of the candidate's dissertation Sponsor, Dr. Marie Johnson, Department of Communication Disorders, and it has been approved by the members of the candidate's dissertation committee. It was submitted to the School of Graduate Studies and was accepted in partial fulfillment of the requirements for the degree of Doctor of Education.

Marie L. Johnson, Ph.D.
Sponsor

Ron Howard, Ph.D.
Second Reader

Joe Smith, Ph.D.
Third Reader

Linda Martin, Ph.D.
Department Chairperson

Sandra C. Holley, Ph.D.
Dean, School of Graduate Studies

Date

EXAMPLE OF APPROVAL PAGE

ABSTRACT

Author: David Akai Carter

Title: A COMPARISON OF THE INTELLIGIBILITY OF
ESOPHAGEAL, ELECTROLARYNGEAL AND NORMAL
SPEECH IN QUIET AND IN NOISE

Dissertation Sponsor: Dr. Marie L. Johnson

Institution: Southern Connecticut State University

Year: 2005

The abstract should be a succinct, descriptive account of the thesis. It should not exceed 150 words, should be double-spaced, and should adhere to the same style manual as the thesis manuscript. The abstract should include pertinent place names, names of persons, and other proper nouns. These are useful in automated retrieval. A lower-case Roman numeral is used on the abstract page.

EXAMPLE OF ABSTRACT PAGE

APPENDIX II: Forms

***SOUTHERN CONNECTICUT STATE UNIVERSITY
SCHOOL OF GRADUATE STUDIES***

Dissertation Prospectus Signature Sheet

Name _____ Student ID # _____

Address _____

City _____ State _____ Zip Code _____

Phone _____ Email _____ Number of Credits Completed _____

Dissertation Sponsor: _____

Title of Dissertation _____

Anticipated date of completion of dissertation _____

The editorial style manual to be used in writing the dissertation is: _____

Student's Statement: I recognize that once the dissertation proposal is accepted by the Graduate Dean, I am expected to complete the scholarly work described in the proposal in accordance with all the departmental and Graduate School requirements. I have consulted with my advisor regarding the procedure for obtaining appropriate ethical review and IRB approval of my research if required. If my research involves human participants, I have attached a copy of my IRB approval or exemption letter.

Student's Signature _____ Date _____

Sponsor/Committee Members' Statement: I have reviewed the enclosed proposal and find it meets the standards of the discipline and the department for a doctoral dissertation prospectus.

Signature of Dissertation Sponsor _____ Date _____

Signature of Dissertation Committee Member _____ Date _____

Signature of Dissertation Committee Member _____ Date _____

Signature of Chair, Dept. of Educational Leadership & Policy Studies _____ Date _____

Signature of Dean, School of Education _____ Date _____

For Graduate Office Use Only

Comments:

Approved by Graduate Dean _____ Date of Approval _____

REQUEST FOR APPROVAL TO SCHEDULE DISSERTATION DEFENSE
Southern Connecticut State University
Department of Educational Leadership and Policy Studies

Date: _____

The student's committee below has previously been approved. All members have received draft copies of the dissertation, and scheduling of the final examination is requested below:

STUDENT NAME: _____ STUDENT ID NUMBER: _____

EMAIL ADDRESS: _____ PHONE #: _____

AREA(S) OF EMPHASIS: _____

EXAMINATION DATE: _____

TIME: _____ **PLACE-BLDG:** _____

TITLE OF DISSERTATION:

COMMITTEE: (Names Typed)

SIGNATURES OF AGREEMENT TO ABOVE

_____	_____
_____	_____
_____	_____
_____	_____

NOTE: No doctoral examinations are to be given without all committee members present.

*STUDENT MUST COMPLETE FORM-APPLICATION FOR GRADUATION AND DIPLOMA

*STUDENT MUST BE REGISTERED IN THE SEMESTER HE/SHE IS TO GRADUATE

*PUBLICITY NOTIFICATION BY OFFICE OF DOCTORAL PROGRAMS

 Coordinator of Doctoral Education

cc: Chair, Dept. of Educational Leadership
 Dean, School of Education
 Dean, School of Graduate Studies

DOCTORAL COMMITTEE SPONSOR AGREEMENT
Southern Connecticut State University
Department of Educational Leadership and Policy Studies

Date: _____

Student ID Number: _____

Doctoral Student's Name: _____

Email Address: _____ Phone: _____

Mailing Address: _____
Street City State Zip

The above named student has been matriculated into the doctoral program in Educational Leadership. As such the student is entitled to the assistance of a faculty member in the Department of Educational Leadership as he/she develops his/her proposal and dissertation. The Doctoral Committee Sponsor agrees to provide academic support and guidance to the student throughout the proposal and dissertation development process.

The following member of the graduate faculty has agreed to serve as Doctoral Committee Sponsor for the above-mentioned student:

Typed Name**Signature****Date**_____
Sponsor

Student

Coordinator of Doctoral Education

**NOTICE OF COMPLETION OF FINAL DEFENSE AND DISSERTATION
REQUIREMENTS**

*Southern Connecticut State University
Department of Educational Leadership and Policy Studies*

Date: _____

Student ID Number: _____

Doctoral Candidate's Name: _____

The signatures below indicate that the above-named doctoral candidate has defended his or her dissertation in front of the dissertation committee. The committee hereby recommends to the Dean of the School of Graduate Studies that the candidate should receive the following:

_____ **Unconditional pass**

_____ **Pass with Minor Dissertation Revision**
Revisions must be completed by: _____
(date)

_____ **Pass with Major Dissertation Revision**
Revisions must be completed by: _____
(date)

_____ **Failure**

SIGNATURES OF AGREEMENT TO ABOVE

(Sponsor)

(Member)

(Member)

APPROVAL

Dean, School of Education

Dean, School of Graduate Studies

cc: Coordinator of Doctoral Education