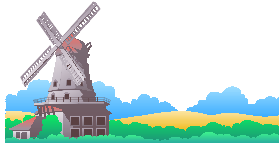


***PSY.D. PROGRAM***  
***IN***  
***SCHOOL-COMMUNITY***  
***PSYCHOLOGY***



**PROCEDURES**  
**TO BE FOLLOWED**  
**FOR THE**  
***PSY.D. DOCTORAL DISSERTATION PROJECT***  
**SPRING SEMESTER, 2004**

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# HOFSTRA UNIVERSITY PSY.D. PROGRAM

## PROCEDURES TO BE FOLLOWED IN PREPARATION OF THE PSY.D. DISSERTATION PROJECT

The doctoral dissertation project is to be an ***ORIGINAL SCHOLARLY WORK***, developed and carried out in close association with a Sponsor, and then with a Committee. ***All WORK ON THE DISSERTATION, INCLUDING DATA ANALYSIS, IS TO BE DONE SOLELY BY THE DOCTORAL CANDIDATE*** under the advisement of the committee. If another person is consulted for help, the student must obtain permission from the Department Chairperson, the Director of the Program, and the Sponsor. The following steps are to be followed:

### DEVELOPING THE IDEA

1. Following completion of the courses in statistics and design, the candidate will develop an *idea* for a dissertation project which is presented in Psychology 601.

**Doctoral candidates are expected to review the research programs/publications of the CORE PROGRAM FACULTY and other DEPARTMENT FACULTY MEMBERS in order to determine who might be a suitable dissertation sponsor. Students are strongly advised to look up faculty publications in Psychological Abstracts, PSYCHLIT, etc. Also, given that Psy.D. programs are practitioner oriented, dissertation projects are expected to have application and relevance to school and/or community settings. Evaluation of intervention programs, development of programs to meet a community need, analyses of large scale data sets from educational or health service programs, and other practitioner oriented studies are acceptable. Despite the pragmatic focus of Psy.D. dissertation projects, these studies are expected to be firmly tied to existing psychological theories and be integrated into existing psychological literature.**

2. All program Candidates enroll in *Psychology 601 in the Spring of the third year*. During this semester each doctoral candidate will develop and/or refine an idea for a dissertation project and will present the idea in class to the Instructor and to his/her peers. Following the presentation, the Candidate considers the feedback which has been given in class and writes the *Outline* which is then to be presented to the course instructor and to the potential Sponsor (See APPENDIX A).

### OUTLINE

3. The Outline includes the following;
- a. Brief review of the **literature**; theory and practical issues.
  - b. Statement of the **problem**.
  - c. Statement of the **hypotheses**.
  - d. Description of proposed **method**.
  - e. Description of proposed **design**
  - f. Proposed method of **data analysis**.
  - g. References done in **appropriate APA Format**

4. Once a Candidate and a Dissertation Sponsor have reached agreement on the Outline, both will sign **FORM 1** (see Appendix B). FORM 1 must be *filed with the Director of the Psy.D. program and with the Chairperson of the Psychology Department*.

### ***Important Deadline***

5. *If, by the end of the Spring Semester, the candidate does not have FORM I signed, no further course work will be allowed.*

### **From Form I to PROPOSAL (Form II)**

6. The **Form I** is then refined and expanded into the Proposal, also referred to as **Form II**. The PROPOSAL includes,

- Cover Page (see Appendix C),
- Table of Contents,
- Chapter I (**INTRODUCTION**, including a full literature review)
- Chapter II (**METHOD**, including the *Informed Consent Form*).

When the Sponsor and Candidate have agreed that the Proposal is in satisfactory form [and this often means that a pilot study has been conducted] two additional psychologists will be asked to read the Proposal with a view toward acting as Members of the candidate's three person Dissertation Committee. *At least two of the three Committee Members must be full-time faculty members in the Psychology Department*. The third Member may be a psychologist who is in another department at Hofstra or a psychologist known from the Candidate's internship or other field experience who might be helpful on the proposed project.

7. Once the two additional persons have agreed to serve on the Committee, the Proposal is discussed with them individually and revisions are made.

### **FORM II MEETING**

8. The candidate will present the complete Proposal to the three person Committee, and will hold a *formal meeting* in which all parties are present. The candidate is responsible for arranging for a suitable time and place for this presentation. After discussion the committee may:

- a. Accept the Proposal as it is.
- b. Accept the Proposal with revisions.
- c. Reject the Proposal as unsuitable.

If the Proposal is accepted, the Sponsor and Committee Members sign **FORM 2A** (Appendix D), a copy of which must be filed with the Director of the Program *and* the Chairperson of the Psychology Department.

### **THE ABSTRACT**

9. Before the Candidate is permitted to proceed with data collection, he or she is required to place an

Abstract of the Proposal in the mailboxes of all members of the psychology department. Faculty have a two week period from the date of distribution of the abstract (which must be dated) within which to make recommendations for changes. If, after receiving recommendations, the Sponsor and Candidate agree that the suggested changes should be incorporated, a revised Proposal is written and submitted to the Committee members and **FORM 2B** (Appendix E) is signed.

Discretion to reject changes falls within the province of the Candidate, the Sponsor, and the Committee. Following this, **FORM 2B** must be filed. Even if no changes are recommended, **FORM 2B** must be signed and filed.

Once **FORM 2B** has been filed, the Proposal cannot be rejected *in toto* and no major changes in the design or procedure can be instituted by the Candidate or the Committee Members, unless all parties agree. Once Form 2B has been filed the student must enroll in Psychology 604 and conduct the study within the specifications of the Proposal, with the guidance of the Sponsor.

## THE ETHICS REVIEW

10. Before data collection may begin, the Candidate must send to the Chairperson of the Psychology Department Ethics Committee

- a copy of the form for Proposals to be reviewed by the Ethics Committee(Appendix F),
- a copy of the *Informed Consent Form* to be used (Appendix G), and
- a copy of the approved *Method* section (Chapter II).

Once the Department Ethics Committee has acted on the dissertation Proposal, it may or may not be forwarded, as appropriate, for review to the University Ethics Committee. Until permission has been received from either the Department or the University ethics committee the candidate may not begin to collect data.

## ANALYSIS OF THE DATA

11. Following data collection and analysis, the Candidate will write the **Results** section (Chapter III) and present it to the Sponsor. Further data treatment and revisions will be made in accordance with the Proposal and the suggestions of the sponsor. Candidates are expected to have reasonable data analysis skills to process the research findings, either on the University mainframe computer or various available microcomputers, **ON THEIR OWN!** While all candidates have passed the required courses in graduate statistics the faculty are willing to help with difficult or unusual data analysis procedures. *The sponsor has the right to make required suggestions for change until the data are judged to be analyzed properly.*

## DATA PRESENTATION MEETING

12. The Candidate is responsible for arranging a time and place for a Data Presentation Meeting. The Candidate will present the data and the interpretation to the Committee. The Committee cannot reject the dissertation *in toto* at this point unless the Candidate has not followed the specified Method as stated in the proposal. Following this meeting the Candidate will make any necessary revisions and will present them to the Sponsor.

## WRITING UP THE DISSERTATION

13. The Candidate writes the entire dissertation, in consultation with the sponsor. This includes:

- |                      |                                    |
|----------------------|------------------------------------|
| 1- the Title page    | 6- Chapter I (INTRODUCTION)        |
| 2- Abstract          | 7- Chapter II (METHOD)             |
| 3- Table of Contents | 8- Chapter III (RESULTS)           |
| 4- List of Tables    | 9- Chapter IV (DISCUSSION)         |
| 5- List of Figures   | 10-References, and all Appendices. |

14. When the dissertation project is in a form acceptable to the Candidate and the Sponsor, copies will be prepared and distributed to each of the Committee Members. Following their comments, suggestions and criticisms, a final revision will be made and copies will be prepared for the Oral Examination.

**SPECIAL NOTE: Dissertation Projects are complex productions and at all stages require *adequate time* for the faculty to review. Although we will attempt to work quickly, faculty members may require *at least three weeks* to review your materials. This time frame may be even longer during the midterm or final examination periods. Do not expect that because another project was reviewed quickly, that yours will be handled the same way. Each project and Committee operates differently, with variability the rule. Develop your plans accordingly.**

#### ORAL EXAMINATION

15a. The Candidate and Sponsor will arrange a time for the examination and will choose two additional persons to serve on the Committee along with the Sponsor and the two original Committee Members. The five person *Orals Committee must include at least 3 full-time Psychology Department Faculty members*, one of whom will Chair the Oral Examination.

The Candidate will provide each of the five Committee Members with copies of the dissertation *at least three weeks before the date of the Oral Examination*.

In addition, the Candidate is required to *deposit a copy of the dissertation in the office of the Department Chairperson*.

15b. Sufficient copies of a **Dissertation Abstract** (Appendix H) are to be prepared for each member of the faculty of the Psychology Department. These are to be distributed in their mailboxes three weeks prior to the Oral Examination.

15c. At the Oral Examination the five Committee Members, after a short presentation by the Candidate, conduct an examination of the Candidate's project. The Sponsor is typically the last to examine the Candidate. The presentation and examination take approximately two hours.

15d. The Oral Examination is open to all faculty members. The Chairperson of the Oral Examination is empowered to accept questions from any faculty member who has indicated that the dissertation has been read in advance.

15e. Following the Oral Examination the five Committee Members, in the absence of the candidate, may vote for any of the following:

1. Acceptance “as is.”
2. Acceptance with minor revisions,
3. Acceptance with major revisions,
4. A second and Final Oral Examination,

### **AFTER SUCCESSFULLY COMPLETING THE ORAL EXAMINATION**

16a. If the vote has been for minor revisions, the Candidate will make the suggested refinements and presents the completed dissertation to the Sponsor for approval and final signature.

16b. If the vote has been for major revisions, the Candidate presents the revised dissertation to all three of the original dissertation Committee Members for their approval.

16c. If the Candidate does not successfully defend the dissertation, a second and final Oral Examination is scheduled.

### **THE LIBRARY, PUBLISHING, AND FINAL DETAILS**

17. Following acceptance and signing, the Candidate will make arrangements with the library to prepare the dissertation for binding and microfilming (Appendix I). The latter is done through University Microfilming and the Candidate will bear the cost. University Microfilms requires that the name of the Sponsor of the dissertation be included on the dissertation abstract. Copyright and other decisions regarding publication of the dissertation are decided upon by the Candidate and the Sponsor (See Appendix J for APA Statement on Dissertation Publication). When preparing the final manuscript, the candidate should have sufficient copies to distribute to the Library, University Microfilming and for presentation to the dissertation Sponsor - a minimum of four. Most students prepare additional personal copies (Appendix K).

18. In order to receive credit for Psychology 604, and with it the clearance to receive the doctoral degree, the library staff must inform the Administrative Assistant to the Psychology Department Chairperson that a copy of the Dissertation ready for binding has been received by the Library.

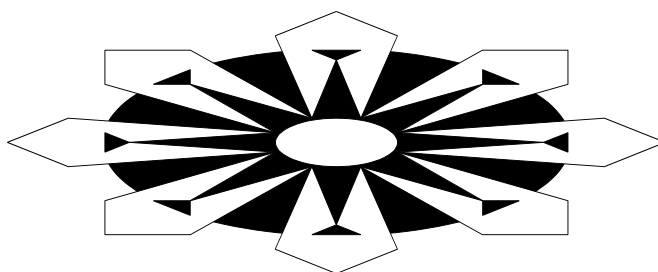
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**YOU ARE STRONGLY URGED TO WORK WITH YOUR SPONSOR TO  
PREPARE YOUR FINDINGS FOR PUBLICATION. THE  
DISTRIBUTION OF KNOWLEDGE TO THE PROFESSIONAL AND  
SCIENTIFIC COMMUNITY IS IMPORTANT FOR SOCIETY, THE  
FIELD, AND FOR YOUR PROFESSIONAL DEVELOPMENT.**

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**Please note the following REGULATIONS regarding course registration**

- i) Each student **must maintain *continuous* enrollment in the psychology 600 course sequence.**
- ii) A student may register for Psychology 602 only twice, and receives only three credits toward the degree for this course.
- iii) If a student still has not developed an acceptable proposal, after registering for Psychology 602 twice, the student must enroll in Psychology 603a. **If, after taking Psychology 603a once (the maximum allowed), the student still has not had Form II signed, he/she will be dropped from the program.** This course (Psy. 603) may not be taken on a Pass/Fail basis and no credit is given toward the degree.
- iv) Once Form II has been signed, the student must enroll in Psychology 604 the following semester. A student receives only three credits towards the degree for Psychology 604.
- v) If, after registering for Psychology 604 three times (the maximum allowed), a student still has not completed the dissertation the student must enroll in Psychology 605a. **If, after taking Psychology 605a once, the student still has not completed the dissertation and passed the final oral examination, the student will be dropped from the program.** This course may only be taken once (may not be taken pass/fail). No credit is given toward the degree.

**THE DISSERTATION SEQUENCE IS AS FOLLOWS:**

Third Year		SPRING Psychology 601
Fourth Year	FALL Psychology 602	SPRING Psychology 602
Fifth Year	FALL Psychology 604	SPRING Psychology 604
Sixth Year	FALL Psychology 604	

If a student has Orals between January 1 and the date of the first day of classes for the Spring Semester, the student will be able to graduate in the Spring Semester by *maintaining matriculation* in the Spring Semester. If a student is to graduate in the Summer Semester, the student need only maintain matriculation during the Summer Semester.

*Note that such students are not considered fully matriculated and this may mean that personal and bank loans will come due. A student who has passed the Oral Examination but fails to place the dissertation in the library by the deadline must maintain matriculation until the dissertation is in the library. Again, loans may come due since maintenance of matriculation is not the same as being a full-time student, which is the usual criterion used for the delay of loan repayment.*

## APPENDIX A

## SELECTION OF A DISSERTATION SPONSOR

Any full-time member of the department of psychology, and other psychologists in the university, may serve as a Sponsor and students may work in any content area of psychology. Since you are in a program in School-Community Psychology, **it is naturally likely that you will do a dissertation in an area in school and/or community psychology**, and are likely to work with a member of the faculty with experience in these areas. However, you may work with any member of the faculty.

**Also, please note that faculty members are limited with regard to the number of dissertations they can sponsor. Thus, before approaching a faculty member, students may check with Dr. Motta or Dr. Kassinove about the availability of a potential sponsor.**

*Full-Time Faculty Members  
in the Psychology Department*

Barnes, Dr. Michael  
Blaine, Dr. Bruce  
Brown, Dr. Vincent  
Carter, Dr. Marc  
Chaiken, Dr. Martha Leah  
Cox, Dr. Brian  
Dill, Dr. Charles  
Guarnaccia, Dr. Vincent  
Johnson, Dr. Craig  
Kaplan, Dr. Ira  
Kassinove, Dr. Howard  
Levinthal, Dr. Charles  
Masnick, Fr. Amy  
Meller, Dr. Paul  
Metlay, Dr. William  
Motta, Dr. Robert  
O'Brien, Dr. Richard  
Ohr, Dr. Phyllis  
Sanderson, Dr. William  
Scardapane, Dr. Joseph  
Schare, Dr. Mitchell  
Schmelkin, Dr. Liora  
Serper, Dr. Mark  
Shapiro, Dr. Terri  
Shahani, Dr. Comila  
Theodore, Dr. Lea  
Tsytsarev, Dr. Sergei  
Valenti, Dr. Stavros

*Full-Time in the University\*\**

Guthman, Dr. John  
Wright, Dr. M. Joann

*Faculty Research & Professional Associates*

Cammenzuli, Dr. Cheryl  
Capone, Dr. Thomas  
Demaria, Dr. Thomas  
Gorman, Dr. Bernard  
Meier, Dr. Marie (emeritus)  
Miller, Dr. Norman  
Neziroglu, Dr. Fugen  
Nouryan, Dr. Lola  
Summers, Dr. Marc  
Vaccaro, Dr. Frank

\*\* Other *research active* psychologists in the university may be eligible to sponsor dissertations. Please see Dr., Motta, Dr. Meller, Dr. Theodore, or Dr. Tsytsarev for advice. **A list of faculty research interests is available in Professor Motta's office.**

## APPENDIX B

# STUDENT-SPONSOR DISSERTATION AGREEMENT

## FORM I

### STUDENT SECTION:

Name \_\_\_\_\_

Date \_\_\_\_\_ Address \_\_\_\_\_ Phone \_\_\_\_\_

The topic for my proposed dissertation project is,

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

I have submitted a copy of my Outline to Dr. \_\_\_\_\_

*I certify that this will be an original project, and that I will carry out all work, **including data analysis**, on my own.*

Signature \_\_\_\_\_ Date \_\_\_\_\_

### SPONSOR SECTION:

I have received the Outline as described above and have agreed to act as the Sponsor for this dissertation.

Signature \_\_\_\_\_ Date \_\_\_\_\_

File a copy of this form with the Director of the Doctoral Program *and* with the Chairperson of the Psychology Department immediately after it has been signed. The student is expected to keep a copy for his/her personal records.

## APPENDIX C

**Correct Form for Cover Page to PROPOSAL****DISSERTATION PROPOSAL**

An Evaluation of Inclusion Programming Versus  
Traditional Special Education Programming for Emigrant Students

by

Susan A. Smith

Dissertation Committee

Sergei Tsytsarev, Ph.D., Sponsor  
Lea Theodore, Ph.D.  
Paul Meller, Ph.D.

Submitted in Partial Fulfillment of the Requirements for the Degree of Doctor of Psychology  
Hofstra University  
Hempstead, N.Y. 11549  
Month Day, Year

Note: This dissertation proposal is submitted to the faculty for review. Please send any comments you may have to Dr. \_\_\_\_\_, my dissertation sponsor.

**APPENDIX D**



# Application for Approval of the Doctoral Dissertation Proposal

## FORM 2B

Name of Candidate \_\_\_\_\_ Date \_\_\_\_\_

Title of Dissertation \_\_\_\_\_

---

1. I agree to pursue my dissertation in accordance with the attached proposal and state that it is an original study.
- 2a. I have incorporated into the proposal recommended changes made by \_\_\_\_\_
- 2b. \_\_\_\_\_ In conference with my sponsor and the committee, I have considered changes recommended by \_\_\_\_\_ and it was agreed that these changes were not acceptable.
3. \_\_\_\_\_ There have been no recommended changes made by the Faculty.

\_\_\_\_\_  
Candidate's Signature Date

I accept the candidate's dissertation proposal, as attached, and am in agreement with the foregoing statements, and agree that the candidate should proceed with the data collection and writing of the dissertation.

\_\_\_\_\_  
Committee Chairperson's Signature Date

\_\_\_\_\_  
Committee Member's Signature Date

\_\_\_\_\_  
Committee Member's Signature Date

A copy of this form and a copy of the approved proposal must be filed with the Director of the Psy.D. Program, immediately after it has been signed. Student should keep this, the original form, and have a photocopy made for filing. Also, one copy should be delivered to the Office of the Department Chairperson.

## Form to be Attached to Proposals For Review by Ethics Committee

(Please PRINT or TYPE all Information)

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

Home Phone #: \_\_\_\_\_

Business Phone #: \_\_\_\_\_

Purpose of Research: Dissertation Project: \_\_\_\_\_ Course Requirement: \_\_\_\_\_ Other: \_\_\_\_\_

Dissertation or Project Sponsor: \_\_\_\_\_

Title \_\_\_\_\_

Program: \_\_\_\_\_

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

Please Note: The University Ethics Review Board Requires:

- 1) a complete method section
- 2) a copy of the **Informed Consent Form** to be used

**DO NOT include a review of the literature**

APPENDIX G

## SAMPLE INFORMED CONSENT FORM

**Hofstra University**  
**Hempstead, N.Y. 11549**  
**Department of Psychology**

The following research study about posttraumatic stress disorder (PTSD) is being conducted at the Hofstra University Department of Psychology by Susan A. Smith, M.S., under the supervision of Robert Motta Ph.D.

As a participant you will be asked to complete questionnaires describing your experiences with PTSD. You will also be asked to answer some questions about your personal and family background. The results of the study will add to our knowledge about some of PTSD and provide information that can help with treatment.

All of your answers will be held in confidence. None of your personal responses will be released to anyone and you may withdraw from the project at any time. It will take about 45 minutes to complete the questionnaires.

I am very appreciative of your help and will be happy to answer any questions you may have. In addition, if you would like, I would be happy to share the findings of the study with you. Thank you for your cooperation.

Sincerely,

Susan A Smith, M.S.

---

I have read and understand the information given above and agree to participate in this project.

Signed \_\_\_\_\_

Date \_\_\_\_\_

Cover Page for  
**ABSTRACT**  
 of  
**Completed Dissertation Project**  
*(prior to final oral examination)*

**DISSERTATION ABSTRACT**

An Evaluation of Inclusion Programming  
 Versus Traditional Special Education for Emigrant Students

by

Susan A. Smith

Dissertation Committee

Sergei Tsytsarev, Ph.D.

Lea Theodore, Ph.D.

Paul Meller, Ph.D.

Brian Cox, Ph.D., Orals Chairperson

Marc Summers, Ph.D., Reader

Submitted in Partial Fulfillment of the Requirements for the Degree of Doctor of Psychology  
 Hofstra University  
 Hempstead, N.Y. 11549  
 Month Day, Year

Note: The oral examination is scheduled for Month, Day, Year in Room \_\_\_\_ of Hauser Hall. It will be held from 9:00 AM to 11:00 AM.

**APPENDIX I**

Cover Page of  
**COMPLETED DISSERTATION**  
*(for deposit in library)*

An Evaluation of Inclusion Programming  
Versus Traditional Special education for Emigrant Students

by

Susan A. Smith

Dissertation Committee

Sponsor signs here----->>>

Sergei Tsytsarev, Ph.D., Sponsor  
Lea Theodore, Ph.D.  
Paul Meller, Ph.D.  
Brian Cox, Ph.D., Orals Chairperson  
Marc Summers, Ph.D., Reader

Submitted in Partial fulfillment of the Requirements for the Degree of Doctor of Psychology  
Hofstra University  
Hempstead, N.Y. 11549  
Month Day, Year

**APPENDIX J**

Received from Ethics Office

American Psychological Association  
(June, 1984)

**AUTHORSHIP GUIDELINES FOR  
DISSERTATION SUPERVISION**

The Ethics Committee was asked for Authorship Guidelines for the Dissertation Supervision. The following were agreed upon by the Committee:

1. Only second authorship is acceptable for the Dissertation Supervisor.
2. Second authorship may be considered obligatory if the supervisor designates the primary variables or makes major interpretative contributions or provides the data base.
3. Second authorship is a courtesy if the supervisor designates the general area of concern or is substantially involved in the development of the design and measurement procedures or substantially contributes to the write up of the published report.
4. Second authorship is not acceptable if the supervisor only provides encouragement, physical facilities, financial support, critiques or editorial contributions.
5. In all instances, agreements should be reviewed before the writing for publication is undertaken and at the time of submission. If disagreements arise they should be resolved by a third party using these guidelines.

(Drafted by Wilse B. Weeb, Ph.D.)

## Appendix K

**LIBRARY REQUIREMENTS FOR THE DISSERTATION**

Hofstra University  
Hempstead, NY

-----  
**Joan and Donald E. Axinn Library**  
-----

**DISSERTATION REQUIREMENTS**

The *University requires that everyone submit the original to the Library.* In addition:

Any personal copies candidates want to have bound, can also be submitted. The binding fee is \$11.00 per copy over the flat charge.

Flat Charges are:	
Psychology Department	\$150.00 [approx]
Reading Department	150.00
CPRE Department	150.00
Ed. Admin. Department	150.00

These fees cover: microfilming, copyrighting, putting the abstract into Dissertation Abstracts, and binding the required copies. As for the Dissertation itself, it should be on good quality paper (20 lb. rag or comparable quality) such that when you are reading one page the print from the following page does not show through.

Margins must be at least 1 ½ inches on the left hand side of the page, and at least 1 inch on the other sides.

Title page of the original must be signed by candidate's advisor. (Other copies may be signed or not, but the original must be.)

Candidate should bring an extra copy of the title page and abstract.

Abstract cannot be more than 350 words.

Candidate should write a shortened title to be printed on the spine of the book such that the title plus the candidate's last name, including all spaces and punctuation, does not exceed 66 characters.

To insure candidate meets Department deadline, it is advisable to call for an appointment ahead of time.

Please check the pagination of the copies, and, that each page is right side up.  
Bring your checkbook -- They cannot accept cash.

1. Title Page. The title page must contain the signature of the chairperson of the dissertation committee.
2. Abstract. One copy of the abstract is needed for each copy of the dissertation. The abstract must not exceed 350 words; University Microfilms will not publish longer abstracts in Dissertation Abstracts International. The University Library takes no responsibility for shortening abstracts. To determine abstract length: (1) Count the number of characters (including spaces) in an average line and divide by 7 to get the average words per line. (2) Multiply this figure (words per line) by the number of lines in the abstract, to obtain the total number of words.
3. Mandatory Copies. Doctoral candidates in each of the Psychology Programs must provide an original; Educational Research requires an original plus two photocopies; while Reading and Educational Administration require three photocopies plus an original. Carbon copies are not acceptable. All copies, however, can be letter-quality done on a printer. When candidates hand in their dissertations to the Library, they may also bring in any personal photocopies for binding at an additional fee. The Library does not provide a photocopying service.
  - 3a. One extra copy of (1) the title page, (2) the abstract and (3) any required letters of permission for use of copyrighted material must be submitted.
4. Paper and Print. Paper must be 8 1/2" by 11" and twenty pound white bond of rag or cotton content; corrassible paper must not be used. Use an electric typewriter or word processor. Use a plain face type rather than script, italic or some other unusual style. If a word processor is used, be sure the printing is done on a quality printer (Daisy wheel or DOT matrix if near-letter quality). Be sure the paper has clean edges. Black India ink should be used for symbols which must be inserted by hand.
5. Margins. The left margin of all pages, without exception, must be 1 1/2 inches to provide ample space for binding. Margins at the top, right, and bottom of each page must be 1 inch.
6. Typing. Clean and accurate professional-quality typing is required. The few errors may be corrected with correction fluid, not tape. The dissertation must be double spaced. A black ribbon must be used; carbon ribbon produces clearer copy than cloth.
7. Spine Title. For the spine only, the title of the dissertation must be reduced to sixty-six characters including spaces and author's last name. The Library will expect the candidate to prepare this shortened title for the spine.
8. Copyrighting. All doctoral candidates are required to copyright their dissertations. The copyright page is to appear after the title page of the dissertation.
9. Overall Fees. Binding, microfilming, copyrighting, and Dissertation Abstracts fees (at present time) are available from the staff of the Axin Library.
10. Library Processing. Completed copies of the dissertation should be delivered to the Library by the candidate. An appointment should be made in advance by calling (516) 463-6426. The Library must sign a form accepting the dissertation before a student is eligible for graduation. One copy of the acceptance is to be sent to the Registrar and one copy is sent to the Doctoral Coordinator.

**(THIS IS THE USUAL ORDER OF PAGES)**

TITLE PAGE (This is page i, but it is not typed in)

Page	ii	<b>COPYRIGHT PAGE</b>
	iii	<b>ABSTRACT</b>
	iv	<b>PREFACE (including ACKNOWLEDGMENTS)</b>
	v	<b>TABLE OF CONTENTS</b>
	vi	<b>LIST OF TABLES</b>
	vii	<b>LIST OF FIGURES OR ILLUSTRATIONS</b>

TEXT:

1 to.. **Chapter 1. INTRODUCTION**

**Chapter 2. METHOD**

**Chapter 3. RESULTS**

**Chapter 4. DISCUSSION**

**REFERENCES**

**APPENDICES**

**BIBLIOGRAPHY**

# PROTECTION OF HUMAN SUBJECTS IN RESEARCH

## I. BACKGROUND

### HISTORY

In 1965, the National Advisory Council sent to the Surgeon General of the United States Public Service the following resolution:

Be it resolved the National Advisory Health Council believes that Public Health Service Support of Clinical research and investigation involving human beings should be provided only if the judgment of the investigator is subject to prior review by his institutional associates to assure an independent determination of the protection of the rights and welfare of the individual involved, of the appropriateness of the methods used to secure informed consent, and of the risks and potential medical benefits of the investigation.

In response, the Surgeon General in 1966 and again in 1969 established policies and procedures governing the use of human subjects for all recipients of contracts and grants from the U.S. Public Health Service. University of California President Charles J. Hitch extended these regulations to all University experiments involving human subjects regardless of funding source.

In 1971, the Department of Health, Education and Welfare (HEW), in effect, extended the U.S. Public Health Service policies and regulations to all grants, awards and contracts funded by HEW. Again the University issued a directive which made HEW regulations apply regardless of the source of funds.

As this report is written, Congress and Federal Agencies are discussing additions and modifications to the requirements. The principles and issues discussed in this report are relevant to these proposed changes. The dollar impact analysis is based on the 1971 HEW requirements.

#### Summary of HEW Human Subject Requirements\*

##### Responsibility for Protecting Human Subjects

Safeguarding the rights and welfare of human subjects is the responsibility of the institution receiving HEW funds. No grant or contract involving human subjects at risk will be made to an individual unless he is affiliated with or sponsored by an institution which assumes responsibility for the protection of the subjects involved.

##### Institutional Review Committee

Each institution must have an appropriate institutional review committee. No grant or contract involving human subjects shall be made unless the application for such support has been reviewed and approved by the institutional committee.

The institutional committee review shall determine that the rights and welfare of the subject involved are adequately protected, that the risks to an individual are outweighed by the potential benefits to him or by

the importance of the knowledge to be gained, and that informed consent is to be obtained by methods that are adequate and appropriate.

### Definition of Risk

A human subject is considered to be "at risk" if he may be exposed to the possibility of harm-physical, psychological, sociological, or other. The determination of risk is a matter of the application of common sense and sound professional judgment to the circumstances of the activity in question.

### \*\*Informed Consent

Informed consent is to be obtained from each subject. The basic elements of informed consent are:

1. A fair explanation of the procedures to be followed, including an identification of those which are experimental;
2. A description of the attendant discomforts and risks;
3. A description of the benefits to be expected
4. A disclosure of appropriate alternative procedures that would be advantageous for the subject;
5. An offer to answer any inquiries concerning the procedures;
6. An instruction that the subject is free to withdraw his consent and to discontinue participation in the project or activity at any time.

Informed consent is customarily obtained in writing. If strong cause exists, waiver of written consent or modification of the six basic elements above may be permitted by the Committee, but the reasons must be individually and specifically documented in the Committee minutes and signed by the Chairman. Granting of permission to use modified consent procedures imposes additional responsibility upon the review committee to establish that the risk to any subject is minimum, that use of either of the primary procedures for obtaining informed consent would surely invalidate objectives of considerable immediate importance, and that any reasonable alternative means for attaining these objectives would be less advantageous to the subject.

### Documentation of Committee Activities

Committee activities must be documented. Files must include copies of all documents presented or required for initial and continuing review, and all transmittals on Committee actions. Meeting minutes, including records of discussions of substantive issues and their resolutions, are to be retained by the institution and be made available upon request to representatives of the HEW.

### Assurance of Compliance

Each institution performing HEW funded human subject experimentation must provide written assurance that it will abide by HEW policy. The assurance shall embody a statement of compliance with HEW requirements.