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## **Welcome to the Doctoral Program!**

Welcome to the Doctoral Program in the Department of Foundations, Leadership, and Policy Studies. I hope that your time with us will be productive and challenging, and I will do all I can to insure those outcomes. You have entered a department of caring faculty and peers, and you can expect a structure and community that supports your growth.

It is this wish to support you that has prompted the Department to issue a revised Doctoral Manual. It is the Department's intention that the manual will help you think about the program, will answer the questions you have, and will alert you to procedures and deadlines in your doctoral work. We encourage you to use the manual for direction throughout the doctoral program and to consult this guide for procedures and policies.

We also remind you that the doctoral program is a three part learning experience: coursework, dissertation research, and residency requirements. The latter category includes a number of events during the year that provide an opportunity for conversation and intellectual stimulation. During the past years, for example, the department has sponsored informal get-togethers as well as policy forums, doctoral colloquia, and, of course, our annual end of the year doctoral dinner. These activities add an important dimension to your doctoral experience and are as much a part of your program as attending class or completing your dissertation. Don't miss them!

If you need help or have questions about the program, please contact your adviser; Drs. Byrne-Jiménez and Lightfoot, Doctoral Directors; or me. We are here to serve you and to make the difficult job of a doctoral student a little less stressful.

Good luck!

Sincerely,

Karen F. Osterman, Ph.D.  
Chairperson  
Foundations, Leadership, and Policy Studies

## **MISSION STATEMENT**

The Department of Foundations, Leadership and Policy Studies is committed to preparing reflective leaders for complex educational organizations in diverse, multicultural environments. Our programs are structured upon a base of knowledge, informed by philosophy, or a set of beliefs, assumptions and values, and committed to the goals of teaching skills and developing tools for reflective practice.

Programs in Educational Leadership are designed to develop educational leaders and change agents who will accept roles as reflective and effective scholar-practitioners. Through professional education courses, field-based experience, cooperative learning opportunities, and extensive work in the process of reflection, students will learn to articulate their own visions of education and to carry out their own informed and purposeful practice.

The FLPS faculty are committed to creating a different kind of educator: women and men who will lead their educational communities as humane and ethnical social critics. In embracing a broader concept of leadership preparation than simply the training of practitioners, FLPS programs provide the intellectual foundation, opportunity for reflection through both cognitive and aesthetic experience, and the experiential approach that we believe is necessary to prepare creative, flexible, visionary leaders with the skills necessary to conceptualize and analyze, appreciate and construct, interpret and integrate knowledge for the purpose of social transformation.

We seek to develop a learning bond between ourselves and students, consonant with the mission of the School of Education. We deliberately present the diversity of beliefs and epistemologies embedded in the different disciplines that inform FLPS programs, while nurturing the collaboration that unites the individual academic practices of our faculty. Our collective program vision--the preparation of educators for leadership roles as scholar-practitioners--is enriched by the diverse perspectives of individual faculty, committed to the collaborative task of guiding students in the process of articulating their own individual visions.

The philosophical foundation of administrative preparation emphasizes the transformative possibilities of educational leadership. We expect our graduates to have developed educational convictions informed by a broad vision of American education in both local and global communities.

We expect them to have developed habits of critical questioning and the reflective means for evaluating their own performance. This includes the ability to examine educational issues contextually through multiple perspectives; to manipulate organizational structures for the purpose of improving education; and to practice deliberate, informed leadership.

## FACULTY PROFILES

**Dr. Donna Barnes, Professor**, received her Ed.D. from Rutgers University, M.A. from Teachers College, Columbia University, and B.S. from Boston University. Her professional activities and scholarly interests are centered in aesthetic education, museum education, ethnic diversity and multicultural education, as well as art history. Barnes is an expert in 17th century Dutch art and she has begun to study American artists' depictions of children and historic toys and to explore their role in children. She continues to explore the history of children's play and toys in cross-cultural perspectives and the role of toys and games in human learning.

**Dr. Monica Byrne-Jimenez, Assistant Professor**, earned her B.A. in Latin American Studies from Columbia University, an M.A. in Educational Studies from the University of Michigan, and an Ed.D. in Education Leadership from Teachers College, Columbia University. Before joining the faculty, she worked in a number of urban settings, including as a K-6 bilingual teacher, Even Start coordinator, literacy instructional specialist, and as a trainer for the Accelerated Schools Center in New York City. Her scholarly interests are in leadership development among principals and early career superintendents, the role of ethnicity/identity in leadership, professional development as a vehicle for school improvement, and the role of facilitators in fostering adult learning. She is co-author of *Developing Effective Principals Through Collaborative Inquiry* (Teachers College Press).

**Dr. Stephen Caldas, Professor**, who received his Ph.D. in Educational Administration from Louisiana State University, is the author of the book *Raising Bilingual-Biliterate Children in Monolingual Cultures* (published by Multilingual Matters in 2006). He has co-authored three previous books (with Carl L. Bankston III) including *Forced to Fail: The Paradox of School Desegregation* (re-published by Rowman and Littlefield in 2007), and *A Troubled Dream: The Promise and Failure of School Desegregation in Louisiana* (2002, Vanderbilt University Press). Stephen is co-authoring a forthcoming book with Professor Bankston (for Teachers College Press) entitled *The Pedagogy of the Promised Land: Public Education and the American Civil Religion*. Stephen has authored or co-authored more than 50 articles and book chapters. His research interests include education law, desegregation, psycholinguistics, socio/psychometrics, and the social/political contexts of education.

**Dr. Eduardo Duarte, Associate Professor**, earned his Ph.D. and M.A. in Philosophy from the New School for Social Research and his B.A. in Philosophy from Fordham University. His courses include: Philosophy of Education, Ethics for Educators, Power/Knowledge in Education, and The Public Sphere. His publications include "The Eclipse of Thinking: an Arendtian Critique of Cooperative Learning," in *Renewing our Common World: Essays in Hannah Arendt in Education* (Westview Press). "*Conscientizacion y Comunidad: A Dialectical Description of Education as the Struggle for Freedom,*" *Studies in Philosophy and Education*, and "Minima Moralia Redux: reflections from a life of conflict," *Educational Theory*.

**Dr. Jonathan David Lightfoot, Assistant Professor**, graduated from Cornell University with an A.B. in Economics and African and African American Studies. He then spent a number of years trying to connect his academic interests to the "real world" of corporate and entrepreneurial pursuits. Upon realizing that his message of participatory economics which promotes a classless society, human rights, and elimination of oppression via social justice did not mesh well with competitive

market driven American economics, he decided to return to school for graduate study. His first stop was the Graduate School of Education at Harvard University to pick up an Ed.M. in Educational Leadership. He put his new degree to work at the City Colleges of Chicago where he ultimately became Associate Vice Chancellor of Student Services for the 160,000 student district. Academia eventually called and Dr. Lightfoot responded, eager to apply his Ph.D. in Policy Studies from the University of Illinois Chicago. His research interests include antiracist and anti-oppressive school leadership preparation, critical analysis of legal issues in education and their impact on policy, and foundations in education.

**Dr. Karen Osterman, Professor**, received her B.A. in sociology and behavioral sciences from Emmanuel College, an MPIA in economic and social development at the University of Pittsburgh Graduate School of Public and International Affairs, and a Ph.D. in Educational Administration and Policy from Washington University. Her teaching and research focus broadly on motivation in a social context with particular emphasis on organizational structures and processes that affect the workplace behavior of adults and students. Areas of interest include the use of reflective practice for professional development and organizational change, interpersonal and group communication, and student violence.

**Dr. Eustace Thompson, Assistant Professor**, Eustace Thompson earned his B.A. from the City College of New York in political science and secondary education, M.S. from Long Island University in social science, and M.A. and Ph.D. from New York University in Educational Administration. Prior to his faculty appointment, he had 37 years of experience in urban and suburban public schools settings and held the positions of Deputy Superintendent, Assistant Superintendent for Curriculum and Instruction, H.S. Principal, and M.S. Principal. He is a certified curriculum auditor and walk-through supervision trainer. His special interests include curriculum development and organizational leadership. He contributed to over ten publications of Program Evaluation Audits in such diverse areas as Fort Bend, Texas, Oakland and Compton, California, and Baltimore, Maryland. His scholarly interests are in the areas of institutional racism and male subpopulation academic achievement.

## **BEGINNING THE DOCTORAL PROGRAM**

The following sections outline the information you need to negotiate the doctoral degree.

### **Advisement**

A faculty member within the department has been appointed as your academic advisor to assist you as you begin doctoral study. It is important to arrange a meeting promptly following your acceptance. At your first meeting, you will do several things: 1) review your transcripts; 2) make arrangements for transfer of credits and time waivers as appropriate; and 3) plan your course of study.

When you arrive at the dissertation stage, the faculty member you select as your dissertation chairperson will also act as your advisor. Prior to that time, you are free to change advisors for any reason.

### **Doctoral Plan of Studies**

In addition to general advisement, when you meet with your advisor, you will begin the thinking necessary to complete the Doctoral Plan of Studies. This form helps you plan when and how you will complete the course requirements. Within the requirements, you and your advisor will tailor the plan of study to meet your educational background, individual interests and personal schedule. Once the plan is completed, two copies signed by you and your advisor will be forwarded for signatures of the Department Chairperson and the Dean of the School of Education. The department will retain one copy in your file; the other will be returned to you for your own records.

### **Transfer Credits**

All students enter at the post-master's level and some may have completed the requirements for administrative certification. Students who have completed administrative certification or an equivalent post-master's program at institutions other than Hofstra may transfer up to 24 credits to satisfy the requirements for Phase I: Certificate of Advanced Studies in Educational Leadership. Students may also transfer other courses taken at the post-master's level, depending on their appropriateness. No credit will be given for courses graded less than B-. To obtain credit for prior coursework from institutions other than Hofstra you must meet with your advisor to complete the necessary transfer and waiver forms within the first year after your admission. Once completed, your advisor will submit these forms for review and approval by the Chairperson and Dean.

Hofstra University regulations require that course work toward the doctorate have been completed within 10 years prior to transfer. Candidates who can demonstrate mastery of the current knowledge base of courses older than ten years may apply for a waiver to this regulation. Waiver decisions are made by the Provost's office.

### **Admission to the Doctoral Program**

All students are admitted to the doctoral program on a provisional basis. On completion of the first required course of Phase II, *Exploring the Field of Educational Administration: An Introduction to Doctoral Studies*, the faculty will review the student's record of performance and determine if there is ample evidence to suggest that the student will be able to complete the remainder of the doctoral requirements in a satisfactory manner.

## **PROGRAM REQUIREMENTS**

The degree of Doctor of Education in Educational and Policy Leadership emphasizes preparation for advanced professional responsibilities through a program that melds strong components of research, policy, theory and conceptual frames, and personal and organizational leadership development.

The central focus of the program is to incorporate formal knowledge, inquiry, and personal development in leadership so that graduates are enabled and committed to making real and important differences in the education and lives of children and youth. This is a program that through its students and graduates aims to develop, focus, and apply scholarly resources to educational development and improvement.

The minimum course requirement for the doctorate is 79 semester hours beyond completion of a master's degree. Candidates may be required, however, to complete more than 79 hours upon the recommendation of departmental faculty.

The doctoral program consists of three components. Phase I is the sequence of courses leading to the Certificate of Advanced Study in Educational Leadership (CAS). Phase II, the Advanced Professional Studies includes required courses, electives, and satisfactory completion of comprehensive written and oral examinations and qualifies students for the Professional Diploma. Phase III involves preparation and completion of the Dissertation Requirement. All students are also required to satisfy the University's residency requirements. A more complete description of the requirements in each of these areas follows.

### **Phase I: Certificate of Advanced Studies in Educational Leadership**

The first step of the program is the 30 credit Certification in Advanced Studies in Educational Leadership. The CAS consists of six credits each semester for five continuous semesters. The completion of the CAS qualifies one to apply for SBL and SDL New York State Certification. During the last semester of the program, students must contact the office of Advisement and Certification Services to file the application for certification. Students enrolled in the 38-credit CAS in School District Business Leadership may apply these credits fully toward the Ed.D.

### **Phase II: Advanced Professional Studies - Professional Diploma**

Requirements here include completion of three two-semester doctoral core courses: Exploring the Field of Educational Administration: An Introduction to Doctoral Studies (EADM 320/321); Applied Research in Educational Settings (EADM 357/358), and a two-semester sequence in naturalistic inquiry in schools. Students must also complete distributed electives in three general areas of study: *Personal and Philosophical Reflections*, *School and Society*, and *Organizational Leadership*. Only certain designated department courses satisfy the requirements for these strands. Students may choose three additional graduate electives offered by any department in the School of Education and Allied Human Services, including FLPS, or Hofstra University as a whole. It is the student's responsibility to seek advisement regarding course selection prior to registration.

### Core Requirements

Introduction to Doctoral Studies (EADM 320-321) 6 credits

Applied Research in Educational Settings (EADM 357/358) 8 credits

Naturalistic Inquiry in Schools 8 credits

### FLPS Doctoral Distributed Electives

9 credits

Select at least one course from each of the three areas:

1) Philosophical and Personal Reflections on Leadership

2) School and Society

3) Organizational Leadership

### Other Electives

9 credits

With advisement, students may choose graduate electives offered by FLPS, other departments in the School of Education and Allied Human Services or Hofstra University as a whole.

Independent Reading/Study. As part of their elective requirements, students may choose no more than two courses in independent reading (EADM 251, 252) or independent study (EADM 351, 352). Students often exercise this option as they begin to develop their dissertation topic, prior to entering the dissertation phase.

### Written Comprehensive Examination Requirements

The doctoral program requires students to demonstrate competency in two areas:

I. Critical Analysis and Synthesis of Scholarly Work and

II. Research Design and Analysis.

The Critical Analysis and Synthesis is a literature review on a topic relevant to educational leadership. While students normally complete requirements for Part I as part of EADM 320-321, *Introduction to Doctoral Studies*, evaluation of the document as the written comprehensive examination is separate from evaluation for the course grade. Students who fail to meet the competency requirement by the completion of the second semester of the course have the opportunity to resubmit the synthesis by the end of August of that year. If a student fails to meet this deadline, or fails to produce an acceptable product, the second and final deadline for submission will be *one academic year* from the first due date. Failure to complete a satisfactory document within the given time period will constitute grounds for dismissal from the program. The student may not register for additional coursework until this requirement is satisfied.

Students normally complete requirements for Part II as part of their work in the sequence of research courses. The requirement involves completion of a research project and preparation of a final report at the end of the research courses.

### Registering for the Professional Diploma

Students who complete course requirements for Phase I and Phase II, the written competency

examination, and the Oral Qualifying Exam (Doctoral Examination A), are eligible to receive the professional diploma. The diploma is conferred at graduation ceremonies in December or May. Filing deadlines for graduation are November 1 and March 1, respectively.

### **Phase III: Doctoral Dissertation**

Phase III is the final part of the doctoral program and consists of the Oral Qualifying Exam, and courses and advisement designed to assist in preparation and completion of the independent research required for the dissertation.

#### Oral Qualifying Exam: Self-Assessment of Personal Learning (Doctoral Exam A)

On satisfactory completion of all the requirements of Phase I and the majority of the requirements in Phase II, including all distributed electives, the student may schedule the oral exam. The Oral Qualifying Exam (Doctoral Exam A) is a pre-requisite for admission to any of the courses in Phase III. After successful completion of the oral examination, candidates begin the final phase of the doctoral program. The examination procedures are described in more detail in a later section of this manual.

#### Course Requirements

Following completion of the Doctoral Oral Exam, candidates begin the final phase of the program, involving a minimum of nine credits. While students may work with faculty and peers to develop a dissertation study or project (EADM 601), typically, they develop the proposal through individual consultation with the dissertation adviser (EADM 602). The effort culminates in a presentation of the proposal (Doctoral Exam B) and, upon its completion, presentation of the dissertation (Doctoral Exam C). In preparing the proposal, students may register for EADM 601 and/or EADM 602, on advisement, for a maximum of four semesters. Once the proposal is accepted, students may apply up to six credits toward dissertation requirements. Failing to complete the dissertation proposal within four semesters is grounds for dismissal.

Following successful defense of the dissertation proposal (Doctoral Exam B), doctoral candidates enroll in EADM 604 on a continuous basis for the fall, spring, and summer (if appropriate) until completion of the degree. Once the dissertation is accepted, students may apply up to six credits toward the dissertation requirements. If the student must interrupt work towards the degree, the student may request a waiver but must maintain matriculation (See University Regulations). Credit for the course is awarded upon successful defense of the dissertation (Doctoral Exam C).

Courses in this area are offered on a Pass/Fail basis.

### Dissertation Examinations

There are two oral examinations required as part of the dissertation process:

Doctoral Examination B: Proposal Examination

Doctoral Examination C: Dissertation Defense

The development of the Dissertation Proposal culminates in the Dissertation Proposal Examination (Doctoral Exam B). The development of the dissertation itself culminates in the Dissertation Defense Examination (Doctoral Exam C). Procedures regarding the development of the dissertation, the examination procedures, and doctoral residency requirements are described in more detail in later sections of this manual.

## **STUDENT LIFE IN THE DOCTORAL PROGRAM**

### **Doctoral Events**

Every year, the doctoral program sponsors a variety of special events planned and organized by students and faculty. While these events carry no course credit, they are a required part of the doctoral program and partially satisfy residency requirements.

Students, faculty, and graduates may gather for an informal dinner and conversation or meet to discuss and debate controversial issues in the Educational Policy Forum. The department may invite special speakers or focus attention on our own faculty or doctoral student research. The highlight of every year is the Doctoral Dinner in May, a fun evening that celebrates the year's accomplishments with special recognition for those students who have completed their course of study to earn the doctorate. Your family and friends are also invited to share these occasions.

These events emphasize the importance of working together in a community to share ideas and resources and to celebrate one another's successes. They provide a valuable opportunity for students and faculty to get to know one another in an informal setting and to establish relationships that are personally and professionally enriching. These events are as important in their own way as class attendance, and students are expected to participate in these activities throughout the doctoral program. A calendar listing the majority of these events is included in the Doctoral Directory.

Doctoral students also attend and participate in national, state, and regional professional meetings. Every year, the University Council for Educational Administration (UCEA) and the American Educational Research Association (AERA) sponsor a National Graduate Student Seminar where doctoral candidates meet and talk with university faculty members about their own research and other topics of interest. Participation in these events is limited, and Hofstra is honored that our students are regularly selected. Doctoral students also present their research in national and regional conferences.

### **Financial Aid**

Limited financial aid is available to students in the form of scholarships (tuition remission), fellowships (tuition remission), and graduate assistantships (available only to full-time students). Information about financial aid can be located online at:

[http://www.hofstra.edu/Academics/Colleges/SOEAHS/FLPS/flps\\_fa.html](http://www.hofstra.edu/Academics/Colleges/SOEAHS/FLPS/flps_fa.html)

Applications for financial aid must be submitted by April 15 for consideration for the following academic year.

Students who receive financial support are expected to provide service to the doctoral community through participation on one of several committees. Committees, for example, organize events, participate in student recruitment activities, and develop the department newsletter. Students are also encouraged to apply for fellowships and financial incentives awarded by professional organizations such as the American Association of School Administrators (AASA).

### **Students with Disabilities**

Students with any documented disability-related concerns that may have an impact upon their performance in the program may contact the department chairperson, the doctoral director, and/or

the individual instructors to arrange appropriate accommodations. Accommodations are provided on an individualized, as-needed basis after the appropriate office on campus has evaluated needs. For more information on services provided by Hofstra, and for submission of documentation of your disability, please contact Robyn Weiss, Director of Services for Students with Disabilities at [Robyn.Weiss@hofstra.edu](mailto:Robyn.Weiss@hofstra.edu) or 516-463-4999. All disability-related information will be kept confidential.

## **Dealing with Problems**

### Program Concerns

Students are always welcome to raise concerns with the doctoral directors, faculty members, or the department chairperson. In some instances, however, students may have concerns that they are reluctant to raise. To respond to that situation, the department designates one advanced doctoral student to serve as an **ombudsperson**. The ombudsperson is available to consult with doctoral students who have sensitive personal or programmatic concerns relating to the doctoral program. The ombudsperson is then responsible for bringing the student's interests to the attention of the department chairperson or appropriate faculty member(s), while preserving the anonymity of the student. The person serving in this position is identified in the Doctoral Directory.

### Counseling Services

Personal and family counseling services are available to graduate students through the Saltzman Center. For individual counseling, the first three sessions are offered at no charge. Additional sessions are available for a minimal charge. Marriage or family counseling is also available for individuals, couples, and families for a minimal charge. For information about personal counseling, contact the Saltzman Community Services Center at 463-6791; for marriage and family counseling, call 463-5234.

### Grade Appeal Policy

The SOEAHS has established a policy and procedures for students who wish to appeal an instructor's final grade. The Grade Appeal Policy is included as Appendix A.

### Academic Conduct

Students are required to adhere to the policy on academic honesty. The policy and procedures for dealing with infractions are explained in the Hofstra Graduate Studies Bulletin and Faculty Policy Series #11G (found on the University Senate website [www.hofstra.edu/senate/senate\\_fps\\_toc.cfm](http://www.hofstra.edu/senate/senate_fps_toc.cfm)).

## **UNIVERSITY REGULATIONS GOVERNING THE DOCTORAL PROGRAM**

All graduate students are governed by the regulations and requirements specified in the University Bulletin in effect at the time of acceptance into the doctoral program. It is important that you obtain a copy of the Bulletin and read it carefully. The following is a brief summary of some of the important regulations that affect your success in the doctoral program.

### **Doctoral Residency Requirements**

The University establishes doctoral residency requirements. The minimum residency requirement is defined as completing thirty (30) semester hours within a period of two consecutive years (which may include three summers). You will indicate on the Doctoral Plan of Studies form how you intend to satisfy this requirement.

Those who are unable to satisfy the residency requirement in this way must complete the Unencumbered Time Commitment form. Unencumbered time is time that is free from other obligations and during which you are able to give full attention to doctoral work. Students must demonstrate their availability for full time doctoral study for 210 days or thirty weeks in blocks of seven days or longer.

### **Maintaining Matriculation**

The University requires that students who are unable to register for courses in a given semester or students whose progress toward completion of the dissertation has been interrupted temporarily maintain their matriculation by paying a matriculation fee.

### **Leave of Absence**

Students who must withdraw from the program temporarily must submit a written request to the doctoral director or department chairperson for a leave of absence.

### **Time Limitations**

The University requires that all degree requirements be completed within ten years from admission as a matriculated doctoral student. If a doctoral candidate's work extends beyond this time limit students who are making steady progress toward completion of the degree may apply for a waiver.

### **Academic Standing**

The department regularly reviews academic standing. It is necessary for graduate students to maintain a 3.0 average (based on courses in their degree program) to be considered in good standing. A student who fails to maintain a 2.5 grade point average, or better, will be dropped immediately. Failure to maintain a 3.0 average will result in review by the chairperson of the department and the dean. If the chairperson and dean determine that the student has failed to demonstrate adequate competence in the major area, she or he will be dropped from the University. Students may apply for readmission no sooner than the following year.

Students who have completed all but the dissertation requirements are expected to make steady progress. Students who do not demonstrate progress toward preparation of the proposal and dissertation are eligible for dismissal.

## **Academic Honesty**

Academic honesty requires carefully distinguishing one's own work from that of others (Faculty Policy Series #11G). Plagiarism is the presentation of someone else's work--published or unpublished ideas or facts, direct quotations or paraphrases-- as your own without recognizing these contributions or identifying the source. According to the Hofstra Writer's Guide, plagiarism takes many forms: submitting work prepared by, or with the assistance of, someone else; using the exact, word-for-word language of someone else without using quotation marks and without indicating the source of the material; paraphrasing or summarizing ideas or opinions without acknowledging the source; appropriating someone else's sequence of ideas; or using the same paper in two or more courses without written permission from all teachers involved. Any violation of these principles constitutes academic dishonesty, a major infraction with serious penalties including a failing grade on an assignment, examination, or course.

## THE DISSERTATION

### **Oral Qualifying Exam (Doctoral Exam A)**

The Oral Qualifying Examination marks the beginning of the dissertation phase of the doctoral program. When students have completed all, or a majority, of the requirements of Phase I and Phase II, they may contact their advisor to schedule the oral exam.

#### Purpose

For the exam, you will meet with two faculty members from the department. In this meeting, your objective is to offer a reflective analysis of your learning in the program: what you have learned through formal course work, related reading, and projects; and how that learning has affected you as an educational leader and as a person. As a result of your participation in the doctoral program, have you developed new ideas, new ways of thinking, or new ways of doing? Have those ideas changed what you think or the way you think about schooling and more broadly about education? Further, has your involvement in the doctoral program influenced your professional practice as educators or perhaps even your personal life? For these questions, we are first concerned with the content of the program and the way that you have internalized and applied theories, concepts, and research from the formal knowledge base. We are also interested in your assessment of how the program has contributed to your learning.

Each of these components is important. In terms of your formal learning, the examiners will be interested to hear in detail about theoretical perspectives and research that seem most salient to you as well as ideas that you may have rejected or put “on hold.” Don’t assume that the examiners are conversant with the information that you intend to share: provide clear explanations in language that other educators can easily understand. For those ideas that you view as powerful, you might continue by explaining if and how you incorporate them in your own practice and how that practice has changed as a result of your learning. We are also interested in your thoughts on the program itself. For example, are there dimensions of your learning experience that have affected the quality of your learning?

#### Preparation

To prepare, we encourage you to review course work, identifying important concepts or ideas that have influenced your thinking, and also to assess the meaning of those ideas and concepts in your own work. While this is a personal activity, it is very important to demonstrate a clear, accurate, and deep understanding of the formal knowledge that you have gained. In terms of your evolution as an educational leader, you may want to develop a portfolio, integrating your personal platform as well as samples of your work that illustrate your theory-in-practice and demonstrate your ability to apply these important ideas in the context of your own work.

There is no set format for presentation: you may approach this in any way that you choose. Remember that this is designed as an oral examination. You may develop supportive materials (an outline, documents, etc.) but the primary concern is a thoughtful review, analysis, and oral presentation. We are interested in learning whether your involvement in this course of study has made a difference in your lives.

## Procedures

The exam itself lasts an hour. You will begin with your presentation and the two faculty examiners will ask questions as appropriate to develop a deeper understanding of your presentation. After both faculty have completed their questioning and have enough information to make a judgment, they will ask you to leave the room while they deliberate. When the faculty have reached consensus, they will inform you of their decision. **If the examiners conclude that you have demonstrated sufficient understanding and analytic capability, you will be authorized to progress to the dissertation phase.** If they conclude that you have not developed sufficient mastery to continue to the dissertation phase, they will inform you of identified weaknesses and recommend that you meet with your adviser to develop a plan to address problems. Students may register for the examination only one more time.

## **The Dissertation Proposal**

### Choosing a Topic

The choice of a topic for the dissertation is the student's. Although development of the proposal technically does not begin until Phase III, students are advised to identify areas of interest and possible research questions as soon as they begin doctoral study. Before entering Phase III, students should have begun to explore specific topics in detail with different faculty members and through independent study.

### Selecting the Dissertation Chairperson

The first step in developing your proposal is the selection of a chairperson. The chair assumes major responsibility for directing the dissertation process and for providing continuing liaison with other committee members to ensure the necessary assistance required by the doctoral candidate. The chairperson also assumes the role of faculty advisor for Phase III. The decision to select the chair is solely that of the doctoral student. Students are advised to share their ideas regarding proposed topics with various members of the faculty. Through this process, students will be able to develop their ideas further as well as identify one or more faculty members who share their interest and are willing and able to support the proposed dissertation. Three criteria should influence the selection of a chair: expertise, interest in the specific question, and compatibility.

### Forming the Dissertation and Examining Committees

The **Dissertation Committee** works closely with the student in the development of the proposal, the subsequent research, and the completion of the dissertation.

The Dissertation committee normally consists of three persons. Two of the members, including the chairperson, must be faculty members from the Department of Foundations, Leadership, and Policy Studies. The third member of the committee is a faculty member selected from outside the FLPS department. Qualified individuals from other institutions may participate on the committee with the approval of the Department Chairperson. In some cases, with prior approval of the doctoral director, the committee can be expanded to include one additional person whose participation may be warranted given the particular topic.

The **Examining Committee** consists of two additional faculty members: one from within the FLPS Department and one from another department within Hofstra University. Qualified individuals from other institutions may participate on the committee with the approval of the Department

Chairperson. Unless the Dean has given prior approval, all dissertation and examining committee members will hold an earned doctorate from an accredited university.

The Examining Committee reviews the dissertation proposal after it has been tentatively approved by the dissertation committee and participates in the proposal and dissertation examinations. The role of the “outside” examiner, that is the faculty member from outside the student’s department, is particularly important since acceptance of the dissertation proposal and dissertation requires her/his approval.

The selection of the members of the dissertation and examining committees is normally determined by the student in consultation with the Dissertation Chairperson within the guidelines outlined above.

### Protection of Human Subjects

Research involving human participants, must adhere to established University and department guidelines to insure protection of human participants. Prior to conducting any research, students must obtain approval from the department and the Hofstra University Human Subjects Review Committee.

A detailed description of these procedures is included in Appendix B and can be found at [www.hofstra.edu/pdf/ORSP\\_IRB\\_Procedures.pdf](http://www.hofstra.edu/pdf/ORSP_IRB_Procedures.pdf). In addition, through the research sequence students must demonstrate that they have read the *Belmont Report* (available at <http://ohsr.od.nih.gov/mpa/belmont.php3>) and provide a certificate of completion of the on-line *NIH Tutorial* (available at <http://cme.cancer.gov/clinicaltrials/learning/humanparticipant-protections.asp>). In the event that the research takes longer than originally approved, students must submit a progress report to the department and the Review Board.

Research in school settings must also comply with the district’s review procedures. In some cases, the student may be able to complete the Human Subjects review prior to completion of the dissertation proposal. In other cases, the review may follow approval of the dissertation proposal but in no instance may research proceed before the review process has been completed and formally approved.

### **Dissertation Proposal Examination (Doctoral Exam B)**

#### Scheduling the Proposal Defense

When all of the professors comprising the dissertation committee have reviewed the document and agreed in writing that the completed proposal is ready for examination, the designated chairperson will authorize the student to arrange for the Dissertation Proposal Examination. Note: The department office will provide you with a form to obtain written consent from your chair and committee members.

The student will then contact the members of the Dissertation Committee and Examining Committee to select an acceptable date for the defense. The date must allow distribution of the completed proposal to all members of the committee a minimum of two full weeks (10 working days) prior to

the scheduled defense. Exams are normally scheduled at a time when the University is in regular session (i.e. excluding final exam periods, vacations, inter-sessions, etc.) The student will then notify the Department Office, complete necessary forms, and make arrangements to reserve a room.

The student is also responsible for the production of 6 copies of the proposal and delivery of them to the Department Office for appropriate distribution 10 working days prior to the defense. Copies are distributed to all committee members; one additional copy remains in the department office for review by other interested parties.

### Announcing the Defense

An announcement of the examination will be publicly posted two weeks (10 working days) prior to the scheduled date. The notice will include the time, place, student, topic, and committee members.

### Conducting the Proposal Defense

The defense is normally scheduled for two hours, including deliberation of the committee and examiners.

Following introductions, the student provides a brief review of the proposed research. The chairperson of the student's Dissertation Committee acts as chairperson of the Dissertation Proposal Examination and invites the Examiners and members of the Dissertation Committee to present questions, comments, and suggestions relative to the proposed study. During the ensuing discussion, the chairperson will take careful note of all evaluative comments and questions for inclusion in the final considerations and evaluations of the proposed study.

Fellow students, other faculty, public observers, and other interested parties may be present at the examination of the dissertation proposal and the dissertation, but will participate in the examination only on the invitation of the chairperson. While these sessions are open to students, as a courtesy, please contact the candidate if you would like to attend.

At the completion of the defense, the student and guests leave the room while the committee members deliberate. Every effort is made to reach a consensus decision. Where there is disagreement, majority rules, on the condition that the "outside" examiner must be included in the majority. When the committee reaches a decision, the members sign forms indicating their specific decision. They then notify the student in person.

There are three decisions available to this body:

- 1) The proposal is acceptable with revisions as noted.
- 2) The proposal requires major revisions.
- 3) The proposal is not acceptable.

In the event that the proposal requires major revisions, the committee will determine if revisions will

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**Note:** Faculty members recognize that students' desire to proceed with all possible speed and are responsive to student requests to read and critique drafts at all stages of the process. Faculty have a number of responsibilities and may not be able to give their immediate attention to students' work. Accepted etiquette is to allow a full two weeks for responses. This allows a thorough and thoughtful review and prevents undue pressure.

be accepted subject to approval of the chair or if the committee will reconvene to review prior to final approval.

Whatever the decision, it is the responsibility of the Dissertation Chairperson to communicate (in writing) the specific concerns of the committee members. Depending on the concerns, the committee has a variety of options. The committee may authorize the student to begin research immediately, addressing concerns in the conduct of the research and in the preparation of the dissertation itself. In other cases, the committee may require that the student rewrite the proposal or develop a written addendum before beginning research. Where revisions are necessary, the committee may authorize the Dissertation Chairperson to review and approve final drafts that include the necessary revisions or request that the chairperson reconvene the committee for a formal review. When the committee is unable to accept the proposal, the student must rewrite and resubmit the proposal or direct his/her efforts to another topic.

## **Preparing the Dissertation**

### Data Analysis

All data analysis is to be done by the student under the advisement of the committee. Before another person is consulted for help, the student must obtain permission from the dissertation chairperson. Failure to obtain advance permission for outside help with the research is cause for dismissal from the program.

### Style and Format Requirements

Doctoral students are expected to follow rules for style and format adopted by the American Psychological Association and presented in the most recent edition of the *Publication Manual of the American Psychological Association*. The dissertation proposal and the dissertation itself must strictly conform to APA guidelines. Students should also adhere to these guidelines in preparing all written reports throughout their course of study in the doctoral program.

In addition, dissertations must conform to University requirements regarding the title page, abstract, paper and print, margins, typing, spine title, and copyrighting. A copy of the title page is included as Appendix D.

## **Doctoral Dissertation Defense Examination (Doctoral Exam C)**

The dissertation defense follows the same procedures as the proposal defense.

### Scheduling the Dissertation Defense

When all of the professors comprising the dissertation committee have reviewed the document and agreed in writing that the dissertation is ready for examination, the designated chairperson will authorize the student to arrange for the Dissertation Defense Examination. This approval form is also available in the department office.

The student will contact the members of the Dissertation Committee and Examining Committee to select an acceptable date for the defense. The date must allow distribution of the completed dissertation to all members of the committee a minimum of two full weeks (10 working days) prior to the scheduled defense. Exams are normally scheduled at a time when the University is in regular session (i.e. excluding final exam periods, vacations, inter-sessions, etc.) The student will then notify the Department Office, complete necessary forms, and make arrangements to reserve a room.

The student is responsible for the production of 6 copies of the dissertation and delivery of them to the Department Office for appropriate distribution 10 working days prior to the defense. Copies are distributed to all committee members; one additional copy will remain in the department office for review by other interested parties.

### Announcing the Dissertation Defense

An announcement of the examination will be publicly posted two weeks (10 working days) prior to the scheduled date. The notice will include the time, place, student, topic, and committee members.

### Conducting the Dissertation Defense

Following introductions by the Dissertation Chairperson, the student provides a brief review of the research. The Outside Examiner then assumes responsibility for chairing the defense. Typically, the examiner begins with his/her own questions, comments, and suggestions relative to the study and then invites the other examiner and members of the Dissertation Committee to share theirs as well. During the ensuing discussion, the Dissertation Chairperson will take careful note of all evaluative comments and questions for inclusion in the final considerations and evaluations of the dissertation.

Fellow students, other faculty, public observers, and other interested parties may be present at the defense of the dissertation, but will participate in the examination only on the invitation of the chairperson. Again, as a courtesy, if you would like to attend an examination, please request permission from the doctoral candidate.

At the completion of the defense, the candidate and guests leave the room while the committee members deliberate. Every effort is made to reach a consensus decision. Where there is disagreement, majority rules, on the condition that the “outside” examiner must be included in the majority. When the committee reaches a decision, the members sign forms indicating their specific decision. The committee then notifies the student in person.

There are three decisions available to this body:

- 1) The dissertation is acceptable with revisions as noted.
- 2) The dissertation requires major revisions.
- 3) The dissertation is not acceptable.

In the event that the dissertation requires major revisions, the committee will determine if revisions will be accepted subject to approval of the chair or if the committee will reconvene to review prior to final approval.

Following the defense, it is the responsibility of the candidate's Dissertation Chairperson to communicate specific concerns to the candidate (in writing). The student must then make appropriate revisions. Where revisions are necessary, the committee may authorize the Dissertation Chairperson to review and approve final drafts that include the necessary revisions. The committee may also request that final drafts be distributed for review of the entire committee or request that the chairperson reconvene the entire committee for a formal review.

If the committee finds the dissertation acceptable with minor revisions, the student may use the title of Doctor but the doctorate is not formally conferred until the student has completed all requirements for graduation including submission of the approved dissertation to the library. *If these additional requirements are not completed in time to meet deadlines for graduation that semester, this right is withdrawn until all graduation requirements are met.* Students will be eligible for graduation from the program when the following conditions are met:

- 1) All program requirements have been satisfied;
- 2) All required changes are made to the dissertation and approved by the Chairperson;
- 3) The dissertation is submitted to and accepted by the library for publication.

If the dissertation requires major revisions or is unacceptable, the Chairperson of the Dissertation Committee will communicate in writing to the student the specific recommendations or reasons for disapproval. Under the direction of the Dissertation Chairperson, the student will continue to work with the Dissertation Committee and the Examiners to make necessary revisions.

## **Publishing the Dissertation**

### Preparing the Dissertation Manuscript

In general, follow APA guidelines for preparation of the dissertation. Before preparing the final copy of your dissertation for submission, contact the library (463-6426) for additional information and requirements.

### Submitting the Completed Document for Publication

Degree candidates must submit the original plus three copies of the dissertation to the Library Serials Department. The library retains one copy and forwards the original to UMI Dissertation Services for publication. UMI includes your research in the UMI dissertation database, described as one of the largest and most widely used bibliographic information files. The abstract is included in their monthly publication, Dissertation Abstracts International. (Full information on UMI services is available from the Hofstra Library Serials Department). The two remaining copies are returned to the Administration and Policy Studies Department for the department library. Students may also include additional copies to be bound for their personal use.

### Binding and Publication Fees

Flat fees are established to cover the costs of microfilming, copyrighting, publication through UMI, and binding. The flat fee covers the cost of binding for the required copies. Additional copies may be bound for a small per copy fee. (Contact the Hofstra Library Serials Department for current fee structure).

### **Graduation**

Graduation ceremonies are held twice a year, in December and in May. To graduate, the student must file a diploma application at the Student Administrative Complex. A doctoral candidate who has completed all program requirements, including successful defense of the dissertation, may participate in graduation, but the degree itself will not be conferred until the required revisions are completed and final approved copies are delivered to the library. The time requirements for each semester are listed below. Note also that students must be registered in the semester in which they graduate.

#### May Graduation

To be eligible for graduation in May, the following deadlines must be met:

March 1	Diploma Application completed
May 1	Dissertation successfully defended
June 7	Dissertation submitted to Library

#### December Graduation

October 2	Diploma Application completed
December 1	Dissertation successfully defended
January 7	Dissertation submitted to Library

**APPENDIX A:  
Grade Appeal Policy**

According to Faculty Policy Series #42, students have the right to appeal a grade when they believe that the grade was based on factors other than the student's academic performance in the course.

The stages of the appeal process are as follows:

**1) Appeal to the Instructor**

As soon as possible following the assignment of the grade, the student must communicate with the instructor and explain concerns about the grade, seeking a resolution.

**2) Appeal to the Chair**

If the problem is not resolved, the student may submit a written statement to the Chair of the Department, detailing the argument for a change of grade, specifically identifying and documenting those factors (other than academic performance) which the student believes affected the grade. The student must submit this written statement within 15 days following the start of the fall or spring semester immediately following the semester in which the disputed grade was assigned. The Chair will forward a copy of this statement to the instructor. The Chair will meet with the instructor and student in an effort to mediate a resolution and respond, in writing, to the student within 15 days from receipt of appeal.

**3) Appeal to the Dean**

If the problem is not resolved, the student may appeal to the Dean by submitting a written statement. The Dean will meet with the Chair, the instructor and the student, in an effort to mediate a resolution and respond in writing to the student within 15 days from receipt of appeal.

**4) Appeal to an Ad Hoc Committee**

If the problem is not resolved and the student wishes to continue the appeal, the Dean, in consultation with the department chairperson, will establish an Ad Hoc Appeal Committee. The committee will include three faculty and a non-voting representative from the Dean's office.

The committee shall begin with the presumption that the course grade was assigned correctly and the burden of proof shall lie with the student. The committee shall have the authority to investigate the appeal fully. Within 15 days after the appointment, the Ad Hoc Committee will issue its decision. If the committee determines that the course grade was based on factors other than the student's academic performance in the course, the faculty members of the committee may determine a new grade and submit a change of grade.

**5) Appeal to the Provost**

If the problem is not resolved, the student may appeal to the Provost. In all appeals to the Provost, the Provost shall begin with the presumption that the Appeal Committee's determination is correct. If the Provost determines that there is cause for reconsideration, the Provost (or designee) shall reconvene and chair (without vote) the Ad Hoc Grade Appeal Committee to review the case. The Committee's final determination upon reconsideration shall be forwarded to the President.

Approved December 6, 2002

## **APPENDIX B: PROTECTION OF HUMAN SUBJECTS IN EDUCATIONAL RESEARCH**

### **Background**

Hofstra University's official policy governing the use of humans as research subjects is published as Faculty Policy Series # 36. In addition, FPS # 36 Implementation Procedures have been developed to provide additional guidance to researchers seeking approval of study protocols which involve humans as subjects.

All research involving humans as subjects conducted under the aegis of Hofstra University (including research conducted by faculty, students and others) will be guided by the principles of the Belmont Report. Additionally, all externally sponsored research involving humans as subjects, both Federal and non-Federal, shall be conducted in full compliance with Federal Policy, published as Code of Federal Regulations Title 45, Part 46 (published June 18, 1991), a document often referred to as the "Common Rule."

### **In Brief**

Activities that involve humans as subjects of study are subject to review and approval by a University committee known as the Institutional Review Board or IRB.

### Exempt from Review

In some cases, the proposed research may pose no real risk to individuals and, therefore, may be considered exempt from IRB review.

The Federal government has identified six categories of research that are exempt from review by an Institutional Review Board [Ref: 45 CFR 46.101(b) (1)-(6)]. Categories of exempt research include:

- (1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (i) research on regular and special education instructional strategies, or (ii) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.
- (2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (i) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (ii) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation.
- (3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior that is not exempt under paragraph (b)(2) of this section, if: (i) the human subjects are elected or appointed public officials or candidates for public office; or (ii) Federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of Department or Agency heads, and which are designed to study, evaluate, or otherwise examine: (i) Public benefit or service programs; (ii) procedures for obtaining benefits or services under those programs; (iii) possible changes in or alternatives to those programs or procedures; or (iv) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (i) if wholesome foods without additives are consumed or (ii) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

In many other cases, the proposed research may pose minimal risk to subjects and, consequently, may qualify for expedited review. Under an expedited review, research can commence upon receipt of written authorization from the IRB administrator based upon the review of a single IRB representative, i.e., without the review of the full IRB committee.

For further guidance in preparing your application to use humans as research subjects, investigators are urged to consult an IRB representative and the documents referenced above.

In many cases, researchers will be required to prepare an Informed Consent form. The Informed Consent form serves to advise prospective subjects and participants about the proposed study and any known benefits or risks associated with participating in the study. For guidance in preparing an "Informed Consent Form" see: [http://www.hofstra.edu/Administration/Provost/ORSP/ORSP\\_irb.cfm](http://www.hofstra.edu/Administration/Provost/ORSP/ORSP_irb.cfm)

## **Education Activity**

All persons conducting human subjects research funded in whole or in part by a grant (contract or subcontract) must participate in a formal education/training program before project approval may be granted. In addition, persons conducting research without grant (contract or subcontract) support shall also participate in a training program unless their research has been ruled exempt.

Several education/training options have been identified for investigators including:

- (1) an online tutorial developed by the National Institutes of Health (located at <http://cme.nci.nih.gov/>);
- (2) the viewing of a videotape entitled "Protecting Human Subjects," published by the Office of Human Research Protections, and.
- (3) the signing of a statement attesting to the fact that the investigator has read a full copy of the Belmont Report or the APA (American Psychological Association) publication, *Ethics in Research With Human Participants* .
- (4) Alternative education/training programs may be developed or overseen by the IRB representatives of the different academic units for their respective disciplines (Biology,

Education and Psychology) and may include professional ethics/research courses that cover professional standards in respect to research with human subjects; however, such programs are subject to the review and approval of the IRB.



**To be completed if there is no formal proposal attached to application.**

**Purpose of Research:**

**Sample:**

- How selected
- Description: Demographics, etc.
- If getting a sample from an organization (school, health organization, etc.), letter of permission from the organization
- Remuneration for participants
- Steps that will be taken to safeguard confidentiality
- Steps in parental consent, if necessary

**Data Collection Procedures:**

- Surveys: Paper and pencil, web, telephone
- Interviews
- Observations
- Documents

**Questions to answer:**

1. Will participants/subjects come into contact with mechanical or electrical equipment that may present a physical danger?
2. What benefits are anticipated for the sample participants?
3. What risks or discomforts are anticipated for the sample participants, including physical, psychological, social or legal risks? If there are risks, what attempts to minimize these risks are harmed?
4. Does the project use deception? If so, why is it necessary to accomplish the research goals?
5. What benefits are anticipated for the sample participants?

**Attachments**

- Copies of surveys, instruments, interview protocols
- Information to be given to sample participants
- Copy of informed consent form

**APPENDIX D:  
DISSERTATION TITLE PAGE**

TITLE.

**A Dissertation  
By  
Student Name**

**Submitted to the Foundations, Leadership, and Policy Studies Department of  
Hofstra University  
In partial fulfillment of the requirement for the degree of  
Doctor of Education  
Month, Year**

Approved as to style and content by:

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Dr. XXXX XXXXXXXX, Dissertation Chair

Dissertation Committee  
Dr. XXXX XXXXXXXX, Chair  
Dr. XXXX XXXXXXXX  
Dr. XXXX XXXXXXXX

Examination Committee  
Dr. XXXX XXXXXXXX, Chair  
Dr. XXXX XXXXXXXX