DOCTORAL MANUAL
2014

Educational & Policy Leadership

School of Education
Hofstra University
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Welcome to the Doctoral Program!

Welcome to the Educational Policy and Leadership Doctoral Program in the Department of Specialized Programs in Education. Our program proudly houses two strands: one designed for educators in pre-K-12 settings and the other designed for leaders in higher education settings. This new stand in higher education demonstrates our commitment to strengthening the PreK-20 leadership pipeline. We hope that your time with us will be productive and challenging, both professionally and personally. The faculty will do all we can to insure those outcomes. You have entered a program of caring faculty and peers, and you can expect a structure and community that supports your growth.

The Doctoral Manual is part of our effort to support you as you plan your academic experience. The manual will help you think about the program, answer the questions you may have, and alert you to procedures in your doctoral work. In addition, important information, guidelines, and deadlines are included that will help foster your success. We strongly 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. You will be engaging in a rigorous program curriculum for your first few years. The dissertation process will be completed under the careful guidance of the faculty. The latter category includes a number of events during the year that provide an opportunity for conversation and intellectual stimulation. In the past, we have sponsored social events 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. These are also important to the continuation of our community of scholars so your participation is very important. Don’t miss them!

If you need help or have questions about the program, please contact your adviser or either of us. We are here to help you and to make the difficult job of a doctoral student a little less stressful.

Good luck,

Mónica Byrne-Jiménez, Ed.D.
Program Co-Director
Educational Policy and Leadership

Catherine DiMartino, Ph.D.
Program Co-Director
Educational Policy and Leadership
MISSION STATEMENT
The Doctoral Program in Educational Policy and Leadership (EPL) is committed to preparing reflective leaders for complex educational organizations in diverse, multicultural environments. Our program is 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. The program is 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 EPL 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, EPL program provides 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 the faculty 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 the EPL program, while nurturing the collaboration that unites the individual academic practices of our faculty. Our 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. Mónica Byrne-Jiménez, Associate 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. Catherine DiMartino, Assistant Professor, received her B.A. in Anthropology from Haverford College, an M.A. in Social Studies Education from Teachers College, Columbia University and a Ph.D. in Education Leadership from New York University. Her dissertation, entitled: Public-Private Partnerships and the Small Schools Movement: A New Form of Education Management, won the 2008-2009 Politics of Education Associations’ Outstanding Dissertation Award. Prior to joining the Hofstra community, she taught middle and high school social studies, had a fellowship at the Educational Testing Service and, most recently, worked for the RAND Corporation. At RAND, her projects included evaluations of New York City’s promotion policy and New York City’s Schoolwide Bonus Performance Program. Her current research focuses on the politics of public-private partnerships, the implications of marketization and privatization for school leaders and the role of foundations in public education. Most recently, her work appeared in the American Journal of Education and Urban Education.

Dr. Karen Jackson, Assistant Professor, received a BA (French Literature and English Literature) and an MEd (Curriculum and Instruction) from the University of Kansas and a PhD (Educational Policy Studies/Educational Leadership) from Indiana University, Bloomington. Formerly, she was a faculty member in Educational Leadership and Policy at the University of Utah. Karen’s research interests focus primarily on principal leadership, instructional leadership, and principal-teacher relationships. She was a high school French teacher in the Kansas City, Kansas Public Schools. Karen’s research has been published in Educational Administration Quarterly and Journal of School Leadership.

Dr. Sean Fanelli, Dean of the School of Education and Adjunct Professor, holds a Ph.D. in biological sciences from Fordham University. Prior to joining the faculty of the School of Education, Dr. Fanelli served as the president of Nassau Community College for more than 28 years. During his tenure, the college grew to become the largest single-campus community college in New York. He has also held leadership positions at Westchester Community College and has served on a variety of boards and commissions, such as the Middle States Commission on Higher Education (MSCHE), American Council on Education (ACE), the board of directors of the American Association of Community Colleges (AACC), and the National Junior College Athletic Association (NJCAA). Honored for many achievements in education and administration, Dr. Fanelli is also the proud recipient of the American Association of University
Professors’ Alexander Meiklejohn Award for Academic Freedom and the William J. Brennan Award for his protection of free speech and academic freedom in the academy.

**Dr. Karen Osterman, Professor Emeritus,** 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. Holly Seirup, Associate Professor,** earned her doctorate degree in Educational Administration from Hofstra University in 1995. Before joining the faculty in 2006, Dr. Seirup held various positions in Student Affairs being progressively promoted from positions in Residential Life to serving as Vice President of Campus Life for over a decade. Her teaching interest and experience are in the areas of College Student Development, and Higher Education Leadership. She serves as the faculty advisor to the Higher Education Graduate Student Association, as well as serving as a faculty mentor for Hofstra’s Honors College. She has presented at numerous regional, national, and international conferences and has authored/coauthored articles on topics ranging from the impact of Hope on academic success, the transition from high school to college, mental health issues on the college campus, college persistence, and online pedagogy. She recently authored a book on Academic Success published by Kendall-Hunt. Dr. Seirup was named the School of Health Sciences and Human Services 2013-14 Teacher of the Year, earned the Robert S. Guttchen Memorial Distinguished Faculty Service Award in 2011-2012, and the Hofstra University Award for Alumni Achievement in September 2002.

**Dr. Eustace Thompson, Associate 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 begin 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, 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, a copy 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 a copy in your file; and a copy will be sent to you for your 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 30 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 coursework used toward the doctorate has 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 Leadership: An Introduction to Doctoral Studies (EADM320/321), 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 Policy and Leadership emphasizes research, policy, theory and conceptual frames, and personal and organizational leadership development. This preparation develops both leadership and scholarship for advanced professional responsibilities.

The central focus of the program incorporates formal knowledge, inquiry, and personal development in leadership. Our 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 develops, focuses, and applies scholarly resources to educational development and improvement. Our current students and alumni are leaders in educational improvement across the region.

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/Professional Studies, leads to the Certificate of Advanced Study in Educational Leadership (CAS). Phase II/Advanced Professional Studies, includes required courses, electives. Students also present a critical literature synthesis, a research competency, and an oral examination for faculty approval. Completion of all requirements qualifies students for the Professional Diploma. Phase III/Dissertation, involves development, design and implementation of an original research project by students. 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. Students who complete the CAS at another university are eligible to transfer up to 30 credits.

Phase II: Advanced Professional Studies - Professional Diploma

Requirements here include completion of three two-semester doctoral core courses: Exploring the Field of Educational Leadership: An Introduction to Doctoral Studies (EADM 320/321); Applied Research in Educational Settings (EADM 357/358), and Naturalistic Inquiry in School Leadership (EADM359/360). Students must also complete 9 credits in Advanced Educational Leadership. Only certain designated department courses satisfy the requirements for this strand and must be approved by your faculty advisor. Students may choose three additional graduate electives from other EADM courses or other doctoral courses, including those offered as part of the Ed.D. programs in Learning and Teaching or Literacy. It is the student’s responsibility to
seek advisement and approval 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 School Leadership (EADM359/360) 8 credits

**Advanced Educational Leadership Electives** 9 credits
Students may choose from among the following courses, or other EADM courses with advisement. Check offerings every semester for specific course information.
  - EADM236: Race, Ethnicity, and Gender in American Education
  - EADM256: Curriculum Management and Evaluation for Leaders
  - EADM280-289A-Z: Special Topics in Leadership
  - EADM 280E: Survey Methods in School and Instructional Leadership
  - EADM 284A: Leadership for English Language Learner Success.
  - EADM290: Facilitating Professional Growth
  - EADM291: Building and Sustaining Effective School-Community Partnerships
  - EADM292: Current Policy Issues in Education

**Other Electives** 9 credits
With advisement, candidates may select graduate courses in educational leadership, or other doctoral courses, including those offered as part of the Ed.D. programs in Learning and Teaching or Literacy Studies.

**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. These courses may only be taken in consultation with your advisor or dissertation chair.

**Examination Requirements**
As part of the course requirements, students are expected to submit two written competencies – one literature synthesis and one research - and present an oral examination:

1. **Critical Analysis and Synthesis of Scholarly Work**
   The Critical Analysis and Synthesis is a literature review on a topic relevant to educational leadership. While students normally complete requirements for the synthesis 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.

II. Research Competency
Students complete requirements for the competency as part of their work in either of the research courses. As part of either research course, students design and implement (data collection and analysis) a research study. The requirement involves completion of the research project and preparation of a final report at the end of the research courses. Students must meet the competency in one of the two research courses. Failure to complete a satisfactory document in either of the research courses will constitute grounds for dismissal from the program.

III. 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 Exam is usually scheduled at the end of August and on a case-by-case basis. The Oral Qualifying Exam (Doctoral Exam A) is a pre-requisite for registration in 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 (p. 16).

Registering for the Professional Diploma
Students who complete all course requirements, 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.

Course Requirements
Following completion of the Oral Qualifying Exam, doctoral candidates begin the final phase of the program, involving a minimum of nine credits. Candidates typically develop the proposal through individual consultation with the dissertation chair (EADM602: Dissertation Advisement). Candidates are given a “PR” grade, indicating that the candidate is in progress in the development of the proposal. The effort culminates in a presentation of the proposal (Doctoral Exam B). In preparing the proposal, students may register for EADM602, on advisement, for a maximum of four semesters. Failing to complete the dissertation proposal within four (4) semesters is grounds for dismissal and will affect students’ financial aid.

Following successful defense of the dissertation proposal (Doctoral Exam B), doctoral candidates enroll in EADM604 on a continuous basis for a minimum of two sessions during the
academic year (fall, spring, and/or summer) until completion of the dissertation. Candidates are
given a “PR” grade, indicating that the candidate is in progress in completion of the dissertation.
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.

In order to receive financial aid in EADM 602 and EADM 604, students must demonstrate
consistent progress on their dissertation proposals or dissertations. Failure to make
progress will result in the loss of funding. Students will only receive funding for 18 credits
of combined proposal (EADM 602) and dissertation (EADM 604) advisement.

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 (pp. 17-22).
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 Clark Seminar where doctoral candidates meet and talk with university faculty members about their own research and other topics of interest. UCEA also sponsors the Jackson Scholar Seminar which strengthens the pipeline of under-represented groups into academia. Hofstra faculty nominate students for consideration in these developmental opportunities. Participation in these events is limited, and Hofstra is honored that our students are regularly selected. Doctoral students also regularly 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/sfs/FinancialAid/index.html#

Financial aid forms are distributed every spring and must be submitted by April 15 for consideration for the following academic year. Student loans are also available for doctoral students. Student loan applications must be submitted through the Hofstra Financial Aid Office.

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 (i.e. American Association of School Administrators).

**Student Loans**
To qualify for a student loan, students need half-time status. Doctoral course (not the electives) qualify for half-time status (4.5 credits). To request half-time status, contact Darlene Allen at 516-463-5751.

**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 contact the Services for Students with Disabilities, 040 Memorial Hall at 516-463-7075.

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 SOE 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 on the Hofstra website:  http://www.hofstra.edu/Academics/Colleges/HUHC/integrity/index.html
UNIVERSITY REGULATIONS GOVERNING THE DOCTORAL PROGRAM

All graduate students are governed by the regulations and requirements specified in the University Graduate Bulletin in effect at the time of acceptance into the doctoral program (http://bulletin.hofstra.edu/index.php?catoid=72). The bulletin is available on-line. The following is a brief summary of some of the important regulations that affect your success in the doctoral program.

**Fulfillment of “Incomplete” Grade**

In some extreme circumstances, faculty may give students an “incomplete” grade for a course. The grade of "I" indicates that unforeseen circumstances have prevented the student from completing course work on time. The student should have completed a substantial portion of the course and the course work should be of passing quality.

The faculty member and the student must jointly determine fulfillment the conditions for completing outstanding coursework. The assigning of an “incomplete” is at the sole discretion of the faculty member.

Completion of course requirements may not exceed one calendar year from the close of the semester or session in which the course was taken.

**Doctoral Residency Requirements**

The University establishes doctoral residency requirements defined as thirty (30) semester hours on campus within a period of two consecutive years (which may include three summers). Part-time doctoral students satisfy this requirement by completion of course requirements in a timely fashion and active involvement in the doctoral community through program events and activities.

**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. Contact the program director(s) directly to receive the necessary instructions.

**Leave of Absence**

Students who must withdraw from the program temporarily must first submit a written request to the doctoral director for a leave of absence. Upon program approval, students must

- Access their portal account through my.hofstra.edu.
- Click the “Hofstra Online” tab, select “Academic Leave/Withdrawal from the University” from the registration menu.
- Complete the required fields.

A student whose request for leave has been approved must pay the matriculation fee each fall and spring semester.

**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 and have full faculty support 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 PROCESS

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 and leader, 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 their 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 made mutually between the student and program faculty based on student preference and program needs. 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 Educational Policy and Leadership program. The third member of the committee is a faculty member selected from another program or 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 EPL and one from another program or department within Hofstra University. Qualified individuals
from other institutions may participate on the committee with the approval of the Doctoral Director. 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 selection of the members of the dissertation and examining committees is determined by the student in consultation with the Dissertation Chairperson within the guidelines outlined above.

**Protection of Human Participants**

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 program and the Hofstra University Institutional Review Board. See Appendices B and C (pp. 25-27) for directions and appropriate forms.

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://www.hhs.gov/ohrp/humansubjects/guidance/belmont.html](http://www.hhs.gov/ohrp/humansubjects/guidance/belmont.html)) and provide a certificate of completion of the on-line *NIH Tutorial* (available at [https://phrp.nihtraining.com/users/login.php](https://phrp.nihtraining.com/users/login.php)). 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 Hearing**

All the members of the dissertation committee must approve the proposal before a hearing can be scheduled. Once all of the professors have reviewed the document and agreed that the completed proposal is ready for examination, the chairperson will authorize the student to arrange for the Dissertation Proposal Examination.

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

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*Note:* Faculty members recognize that students’ desire to proceed with all possible speed and are responsive to
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 1 copy of the proposal and delivery of it to the department office 10 working days prior to the defense. Make sure this hard copy is printed on paper punched with holes for a three-ring binder. In addition, the student distributes copies to all committee members.

Before bringing in any hard copies of your proposal or dissertation, send an email to the department office: Dissertation title, the names of 1) Chair, 2) the two additional members of the Dissertation Committee, and 3) the two Examiners. Also state the date, place, and time of the defense.

Finally on the day of the defense – most students provide refreshments for those involved with the hearing, although this certainly is not mandatory.

**Announcing the Proposal Hearing**

Once the information and the hard copy of the Proposal or Dissertation are received, official notice of the Oral Examination will be disseminated by the department office. This will include notification of all departments in SOE and a posting on the wall in Hagedorn Hall near the department office. Both the notification and posting will indicate that the Proposal or Dissertation is available for review in department office, and they will specify 1) the date and time of the Oral Examination, 2) your name and the title of your Dissertation, and 3) the names of the Adviser, members of the Dissertation Committee, and Examiners.

**Conducting the Proposal Hearing**

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.

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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.
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 the Committee:
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 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 the most recent 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 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 to be addressed prior to the final submission 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 the Committee:
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 (463-6439) for additional information and requirements or see the library website for more on-line information [http://www.hofstra.edu/library/library_libaxn_td_submit.html](http://www.hofstra.edu/library/library_libaxn_td_submit.html)

**Submitting the Completed Document for Publication**
Degree candidates must submit the final version of the dissertation on-line to the Library Serials Department. An extensive must be completed on-line before the library will accept the final dissertation. [http://www.etdadmin.com/cgi-bin/school?siteId=19](http://www.etdadmin.com/cgi-bin/school?siteId=19)
The on-line system will save all your information, in the event that the student must stop the process. Students will not need to start all over again. A microfilm of the dissertation is required by Hofstra and it will automatically show up in your online cart (it costs $20). Also, copyright registration is required for dissertation students ($55). The total cost is payable by credit card in the electronic system. The student will receive a confirmation email when the process is completed.

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 copies are sent to the Doctoral Office of the Teaching, Literacy, and Leadership Department for the doctoral library.

**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.

A paper copy still must be submitted to the Serials Office here at the library. This is what we need:

1. Complete paper copy of Dissertation including the title page with original signature.
2. Note detailing spine title to be. The title on the spine of the bound copy can only accommodate 70 characters, including spaces, a dash, and your last name.
3. Check or money order made out to Hofstra University. Bound copies are $12 each. The library only requires one.
4. Two additional printed copies for the department of education (Departmental requirement)
5. If the student wants additional bound copies for their personal use, additional printed copies are required.

While the dissertation is submitted online, an original print copy with original signatures must also be submitted to the Serials Department in Axinn Library. Students may contact the Serials Department at (516)-463-6439.

**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.
All requirements applicable toward the degree must be completed and on record in the Office of Academic Records by the end of the first week of June for May degrees, the end of the first week of January for December degrees, the end of the first week of September for August degrees. Check the Academic Calendar at the beginning of every semester to confirm dates.

May Graduation
To be eligible for graduation in May, the following approximate 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:  
Typical Program of Study

<table>
<thead>
<tr>
<th>Year</th>
<th>Fall</th>
<th>Spring</th>
<th>Summer</th>
<th>Competency/Exams</th>
</tr>
</thead>
<tbody>
<tr>
<td>Year One</td>
<td>EADM 320</td>
<td>EADM321</td>
<td>2 Electives</td>
<td>Literature Synthesis</td>
</tr>
<tr>
<td>Year Two</td>
<td>EADM357</td>
<td>EADM358</td>
<td>2 Electives</td>
<td>Research Competency</td>
</tr>
<tr>
<td>Year Three</td>
<td>EADM359</td>
<td>EADM360</td>
<td>2 Electives</td>
<td>Oral Exam</td>
</tr>
<tr>
<td>Year Four</td>
<td>EADM602</td>
<td>EADM602</td>
<td>None</td>
<td>Proposal Hearing</td>
</tr>
<tr>
<td>Year Five</td>
<td>EADM604</td>
<td>EADM604</td>
<td>None</td>
<td>Dissertation Defense</td>
</tr>
</tbody>
</table>
APPENDIX B: 
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 C:
Protection of Human Participants in Educational Research

Background

Hofstra University's official policy governing the use of humans as research participants 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.hhs.gov/ohrp/policy/consentckls.html

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://phrp.nihtraining.com/index.php);

(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.
APPENDIX D:
IRB Review Application

Application for IRB Review
Coversheet for all Proposals

Name:
Department:

Telephone Numbers: Hofstra Home

E-mail Address:

Purpose of Research: Course ☐ Dissertation ☐ Other Research ☐

Dissertation Chairperson or Course Instructor:

Title of Research:

If you have a proposal for the research, attach it. If not, complete page 2 of this application.

I certify that I have read the Belmont Report on Ethical Principles and Guidelines for the Protection of Human Subjects of Research:
http://www.hhs.gov/ohrp/humansubjects/guidance/belmont.htm
and viewed the Protection of Human Subjects Videotape. For more information, go to
http://www.hofstra.edu/Administration/Provost/ORSP/index_ORSP.cfm

Signed:

Date Submitted:

Please note: The University IRB requires a complete methods section and a copy of the informed consent form to be used.
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 E:  
Dissertation Title Page

TITLE OF DISSERTATION.

By
Student Name

A Dissertation
Submitted in Partial Fulfillment of the
Requirement for the Degree of
Doctor of Education
In
Educational Policy and Leadership
Hofstra University, Hempstead, New York
Month, Year

Approved as to style and content by:

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