

NYUSteinhardt

Steinhardt School of Culture, Education, and Human Development

HANDBOOK FOR DOCTORAL STUDY

2009-2010

OFFICE OF GRADUATE STUDIES

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OFFICE OF RESEARCH & DOCTORAL STUDIES

Perry N. Halkitis, PhD, MS *Associate Dean*

Dear Doctoral Student:

Welcome to the Steinhardt School of Culture, Education, and Human Development. We welcome you to our school and look forward to working with you as you achieve your doctoral degree.

We are extremely proud of our doctoral students and strive to make your experience with us one that will empower you with the knowledge, skills, and associations necessary to succeed in your field. Experience conducting research that is rigorous, methodologically sound, and meaningful should reside at the center of doctoral study. As a school that embodies the connection between theory and practice we also hope that we will help you conduct research that seeks to improve the human condition.

Our office, in cooperation with the Office of Student Affairs, plans events and holds numerous meetings during the course of the academic year where you will have an opportunity to meet other doctoral students at Steinhardt. Engagement will help you develop a network within the School's doctoral community. Check your email for updates from me and from Nancy Hall.

Make the most of your time with us!

Sincerely,



Perry N. Halkitis, PhD, MS
Associate Dean for Research and Doctoral Studies
Professor of Applied Psychology

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INTRODUCTION

The information included in this handbook pertains to students pursuing Ph.D. and Ed.D. degrees at NYU**Steinhardt**. This publication is meant as a general guide to policies and procedures rather than a complete policy book. In some instances, therefore, you will be referred to other sources such as the NYU**Steinhardt** Graduate Bulletin for more detailed information. D.A., D.P.T., D.P.S., and Psy.D. students may obtain additional information from their departments.

For further information or for clarification of any of the information that follows, please contact the Office of Graduate Studies (212) 998-5044.

MATRICULATION

Matriculation is defined as official enrollment for study leading to a degree.

After you have been formally admitted into a doctoral program, you will receive notification from the Graduate Admissions Office. You will also receive a *statement of requirements* indicating the total number of graduate credits required for completion of the degree. For information regarding application deadlines and procedures, please contact the Office of Graduate Admissions (212) 998-5030.

Full-time doctoral students are required to complete the degree **within eight years** of the date of matriculation (indicated on each student's *statement of requirements*) with a minimum grade point average of 3.0.

Maintaining Matriculation

In order to maintain matriculation, all doctoral students are required to register for a minimum of 3 credits each semester (exclusive of summers). The School's *Leave of Absence* policy does not apply to doctoral students. After the completion of course work, or during a break in course work, doctoral students are required to register for the one-credit Doctoral Advisement Fee (E10.3400), or departmentally approved one-credit substitution, each semester until graduation or each semester until resuming enrollment in courses (see page 8).

Reinstatement of Matriculation

If you fail to maintain continuous matriculation and allow your matriculation to lapse, you must request reinstatement. All requests for reinstatement must be approved by the academic department, as indicated on the required form (see sample in appendix), and are contingent upon satisfactory progress toward completion of the degree and payment of the Doctoral Advisement Fee, retroactively, for any and all semesters when you were not registered for course work (exclusive of summers). Students should note that

reinstatement approvals are not automatic and such requests may be denied at the discretion of the department.

Extension of Matriculation

Doctoral matriculation expires eight years from the date of matriculation for full-time students, and ten years from the date of matriculation for part-time students. In the event you are unable to complete the degree within the matriculation period, your matriculation is automatically terminated without notice.

If extraordinary circumstances prevent you from completing the degree within the matriculation period, you may request an extension of matriculation.

Full-time students who do not complete the degree within eight years should contact their academic advisors regarding the procedure to request an extension of up to two years (ten years from the date of initial matriculation).

The following policies apply to extending doctoral matriculation beyond ten years:

- An extension of matriculation must be requested in writing prior to the end of the ten-year matriculation period. The form for requesting an extension is available from the Office of Graduate Studies, Pless Hall, 2nd Floor, or online at http://steinhardt.nyu.edu/policies_doctoral/forms
- All requests for extension require the approval of the student's dissertation committee chairperson and the chairperson of the department as indicated on the above-mentioned form. Extension requests are also subject to the approval of the Associate Dean for Research and Doctoral Studies.
- Students should also be aware that extensions are approved only if the student is making adequate progress toward the completion of the degree. For example, if by the end of the ten-year matriculation period, the student does not have an approved dissertation proposal, it is unlikely that an extension will be approved.
- No request for extension will be considered if the student has not been admitted to degree candidacy and does not have an approved dissertation committee prior to the end of the ten-year matriculation period.
- All requests for extension must be accompanied by a statement explaining the reasons for the inability to complete the degree within the matriculation period, a student copy of the transcript, a detailed description of remaining work, and a proposed timetable for the completion of that work including a projected date of graduation. This timetable must be considered reasonable by the dissertation committee and must include ample time for review of dissertation drafts prior to the dissertation filing deadline.
- Course work must represent a currency of knowledge in the student's field at the time of graduation; therefore, any course completed more than ten years prior to the anticipated date of graduation, or any course completed within ten years with substantive changes in content, must be evaluated by the appropriate

department chairperson. Any course not considered current in content must be repeated or an appropriate substitution must be completed.

The above-mentioned requirements are in addition to any eligibility requirements mandated by a student's department, program, or dissertation committee chairperson. Some programs do not approve extensions at all or restrict them to less than one year. Students are advised to discuss this matter with their program faculty well in advance of the expiration of matriculation.

Please note that the eight-year matriculation period is in effect for all full-time students beginning with the fall 2008 semester. Students whose initial date of matriculation was prior to fall 2008 have a ten-year period within which to complete the degree.

Termination of Matriculation/Degree Candidacy

A member of the faculty or dissertation committee may at any time recommend the termination of a student's matriculation (or degree candidacy) to the Dean's office, provided that such recommendation is accompanied by substantiating evidence.

Reasons for recommending termination of matriculation may include, but are not restricted to, poor academic performance, academic misconduct (including plagiarism), and lack of satisfactory progress toward completion of degree requirements.

Matriculation is automatically terminated under the following circumstances:

- Expiration of the matriculation period without an approved extension
- Two outcomes of fail on the departmental candidacy examination
- Two outcomes of fail on the final oral examination

SCHOOL-WIDE COURSE REQUIREMENTS

The following 36 credits in the areas indicated are required of all NYU**Steinhardt** Ph.D. and Ed.D. students and are in addition to the specialization course work required by the specific academic program (the total number of credits is determined by advisement within program guidelines and is indicated on each student's statement of requirements issued by the Office of Graduate Admissions upon approval of matriculation). As is the case with all course work, the courses listed below must be completed according to the recommendation of the student's academic advisor. In order to help students track their academic progress, a degree "check sheet" has been provided in the appendix of this handbook.

Please note that some programs are in the process of establishing requirements that will replace the general course requirements outlined below. Check with your program advisor to determine the appropriate requirements for your degree program. In all

cases, Steinhardt's minimum residence requirement must be fulfilled in addition to specific program requirements.

Foundations

All students are required to complete 6 credits (two courses) of course work in foundations during the first 24 credits of doctoral study. Graduate courses qualify for the foundations requirement when they are upper division courses (NYUSteinhardt 2000 level courses or their equivalent in other schools) and designed to broaden students' access to knowledge outside of the areas of specialization. To this end, courses are considered foundational when they: (1) provide broad basic content, not limited to a single profession, and are outside the student's specialization, and do not require prerequisites; (2) are based on current scholarship in the arts, humanities, sciences and/or social sciences; and (3) have wide applicability to common issues of the student's specialization and profession.

Cognate Study

All students are required to complete 6 credits of cognate course work. Cognate courses are electives closely related to and supportive of the student's area of specialization. This course work must be taken outside of the student's program.

Departmental Seminar

All doctoral students must complete a 3-credit departmental seminar course. Seminars are typically offered by each program or department and concentrate on research and theoretical issues related to the program's specialization.

Research Electives

All students are required to register for 15 credits of research electives specifically addressed to preparing you to design and conduct your research. These courses may include:

- a foundations of research or survey of research methods course offered by the program, department, or School;
- courses identified as prerequisites for the course used to fulfill the student's specialized research methodology course requirement;
- a second semester of departmental seminar focusing on research topics in the field of specialization;
- advanced courses in the areas of research design, data analysis, tests and measurement, and the prerequisites for those courses;

- additional cognate courses specifically relevant to the dissertation research;
- courses designed to provide you with support while conducting field-based qualitative research for the dissertation;
- courses designed to provide you with reading knowledge of modern foreign languages;
- a second semester of dissertation proposal seminar;
- courses designed to provide you with the other skills required to conduct and evaluate research, e.g., statistics.

Research courses are taken to acquaint doctoral students with formal research methods and practices and, in particular, to prepare you for dissertation research. Advanced specialized research courses should be taken after candidacy has been achieved and, preferably, as the dissertation proposal is being shaped, to ensure that selections are relevant to the dissertation.

Specialized Research Methodology

All students are required to complete a 3-credit course in specialized methods of research, e.g., E10.2135 *Historical Research*, E10.2139 *Survey and Correlation Research*, E10.2134 *Experimental and Quasi-Experimental Design and Analysis*, E63.2074 *Research Design & Methodology in Behavioral Sciences*, E10.2141 *Qualitative Field Research* (note: E10.2140 is the required prerequisite to E10.2141), etc. The current NYU**Steinhardt** Graduate Bulletin lists all courses in specialized methods of research along with their course descriptions.

Dissertation Proposal Seminar

All students are required to complete a 3-credit dissertation proposal seminar course which will assist you in preparing your proposal. In some cases, this course may be offered by the academic department, in others, the academic advisor will recommend that the student register for one of the interdepartmental proposal seminars. The NYU**Steinhardt** faculty recommends that you register for dissertation proposal seminar only after your dissertation committee chairperson has been officially appointed (see page 12).

Substitutions and Exemptions

Course substitutions for any of the above requirements must be approved by the academic advisor, the department chairperson, and the Associate Dean for Research and Doctoral Studies.

Advanced standing (or transfer credit) is not granted at the doctoral level. Appropriate course work, however, may be presented for exemption from specific course

requirements. Exemptions from course requirements (based on course work completed at another university) must be approved by the academic advisor and the Associate Dean for Research and Doctoral Studies. Course work presented for exemption must have been completed at an accredited institution within ten years of the student's matriculation date, and may not have been applied to another degree. The course work must also have been completed with a grade of A, B or Pass.

Minimum Residence Requirement

All Ph.D. and Ed.D. students must complete a minimum of 36 points in residence beyond the master's degree which must be on the 2000 level or above. Those students matriculating for the doctorate directly from the baccalaureate are required to complete a minimum of 54 points in residence which must be on the 2000 level or above. Undergraduate (0-level or 1000 level) courses may not be counted as credit toward a doctoral degree.

With the approval of the academic advisor, appropriate graduate level course work completed at New York University prior to official matriculation (as a non-degree graduate student or taken in excess of a Master's degree) may be counted toward the residence requirement. Please note that no more than 18 credits completed prior to matriculation may be used.

PLAGIARISM

Below is information on plagiarism excerpted from Steinhardt's "Statement on Academic Integrity." Additional information on academic integrity, avoiding academic dishonesty, and disciplinary sanctions can be found online at: www.steinhardt.nyu.edu/policies/academic_integrity

Plagiarism, one of the gravest forms of academic dishonesty in university life, whether intended or not, is academic fraud. In a community of scholars, whose members are teaching, learning and discovering knowledge, plagiarism cannot be tolerated.

Plagiarism is failure to properly assign authorship to a paper, a document, an oral presentation, a musical score and/or other materials, which are not your original work. You plagiarize when, without proper attribution, you do any of the following:

- Copy verbatim from a book, an article or other media;
- Download documents from the Internet;
- Purchase documents;
- Report from other's oral work;
- Paraphrase or restate someone else's facts, analysis and/or conclusions
- Copy directly from a classmate or allow a classmate to copy from you.

Your professors are responsible for helping you to understand other people's ideas, to use resources and conscientiously acknowledge them, and to develop and clarify your own thinking. You should know what constitutes good and honest scholarship, style guide preferences, and formats for assignments for each of your courses. Consult your professors for help with problems related to fulfilling course assignments, including questions related to attribution of sources.

PASS/FAIL OPTION

Students have the option of taking courses on a pass/fail basis. The maximum of such courses is determined by the program and/or the academic advisor, but may not exceed 25 percent of the student's total program (and may not exceed 25 percent of the specialization requirement).

Pass/fail option forms may be obtained from NYU**Steinhardt's** Office of Registration Services (82 Washington Square East, 2nd Floor) and must be filed in the Office of the University Registrar (25 West 4th Street) prior to the end of the fifth week of the semester for fall and spring semester courses. For courses taken during the summer semester, pass/fail option forms must be filed prior to the fifth meeting of the course. All pass/fail option forms must be signed by the academic advisor before they are filed with the Office of the University Registrar. The decision to utilize the pass/fail option cannot be changed after the pass/fail option form has been filed (a letter grade will not be recorded).

INCOMPLETE GRADES

Under exceptional circumstances and at the discretion of the course instructor, an incomplete pass (IP) or an incomplete fail (IF) may be granted, based on the student's performance throughout the course of the semester. The length of the contract period for the completion of the course is fixed by the instructor, but may be no longer than 6 months after the close of the semester (this time limit does not apply to the doctoral *Dissertation Proposal Seminar* course). If outstanding work has not been completed by the end of the agreed upon time, an "IP" becomes an "N" (no credit) and an "IF" becomes an "F" on the student's academic record. If the outstanding requirements for the course have been completed within the specified time period, that work will be considered along with the remainder of the course performance to determine the student's earned grade. No extension will be granted beyond the end of the contract date specified on the *Incomplete Grade Form* obtainable in NYU**Steinhardt's** Office of Registration Services - 82 Washington Square East, 2nd Floor.

Please note that students with 12 credits or more of IP, IF, or N on their transcripts at any one time will be placed on academic probation. (Consult the NYU**Steinhardt** Bulletin for complete information on the academic probation policies.)

STUDENT COMPLAINT PROCEDURE

A. Students whose complaints relate to academic or nonacademic matters and who seek a review of their complaints should follow the procedures outlined below within six months from the time the action occurred and/or the grade was posted. If a student has exhausted the School's procedures for student complaints and believes that the School's procedure and/or process for receiving the complaint were not implemented as set forth in NYU**Steinhardt**'s Student Complaint Procedure, he/she may also seek consultation through the ombudsperson. The ombudsperson, a tenured professor who is elected by students, attempts to achieve equitable resolutions to student complaints by ensuring that processes and procedures are followed.

1. It is recommended that student complaints begin with the person against whom the complaint is being made. If the issue involves the instructor of a course, the complaint is with the instructor. The student shall first contact the instructor and attempt to resolve the complaint. Pertinent documentation should accompany the complaint.
2. If the complaint is not resolved at the level of the instructor, the student should schedule an appointment with the program director, the next level for the review of complaints.
3. If the complaint is not resolved at the level of the program director, the next level of appeal is the department chair. The department chair, at his or her discretion, may call a meeting of the instructor, the program director, and the student. If resolution of the complaint is achieved at either stage 2 or 3, the program director or department chair, respectively, will send a confirmatory memo to all those who have been involved.

B. If there is no satisfactory resolution of the student complaint at the departmental level in the judgment of the student or if the nature of the complaint involves a personal or confidential matter, the student may proceed as follows:

1. The student may bring the complaint to the attention of the Associate Dean for Student Affairs. The Associate Dean is responsible for administering the student complaint procedure and may, when appropriate, make recommendations for the resolution of student complaints.
2. As a final level of appeal, the student may request a review of the complaint by the Associate Dean for Academic Affairs, who may then refer it to the Dean of NYU**Steinhardt**.

DOCTORAL ADVISEMENT – MAINTAINING MATRICULATION

All doctoral students are required to maintain continuous matriculation by registering each semester (exclusive of summers) for E10.3400 *Doctoral Advisement* (1 credit), when not registered for at least three credits of course work. Some departments have a one-point departmental or program seminar that substitutes for E10.3400 *Doctoral*

Advisement. Consult with your advisor for the appropriate course number if you are using a departmental substitute for E10.3400.

As is the case when registering for program and school-wide course requirements, you must consult with your academic advisor prior to registering for E10.3400 *Doctoral Advisement*. Registration for *Doctoral Advisement* should be completed using New York University's online registration system (Albert) during designated registration periods. Please be advised that although the course identification number (E10.3400) will remain constant, the five-digit course call number needed for online registration will change each semester. Consult the appropriate semester's class schedule for the correct call number. Registering for *Doctoral Advisement* serves to maintain doctoral matriculation and entitles students to advisement and to the use of all University facilities normally associated with registration in course work, e.g., the libraries, computer labs, etc.

Please note that the *Leave of Absence* policy for undergraduate and master's degree students does not apply to doctoral students. Doctoral students must register for *Doctoral Advisement* (or departmentally approved substitution) after the completion of course work, or during a break in course work, each semester until graduation (including the semester in which the final oral examination and graduation occur) or each semester until resuming enrollment in at least three credits of course work. This policy applies to students even if they are not on campus or using University facilities. Students may, however, request a waiver of the fee associated with *Doctoral Advisement* for a semester for maternity leave or for medical reasons. All such requests must be made in writing to the Office of Graduate Studies and must be accompanied by a doctor's note.

You are expected to meet regularly with your academic advisor and/or dissertation committee while registered for *Doctoral Advisement* and should show steady progress toward the completion of degree requirements (including the proposal and dissertation). Students who are not making adequate progress may not be permitted to continually register for *Doctoral Advisement* and may be asked to withdraw from the doctoral program.

Credits accumulated by registration in *Doctoral Advisement* do not count toward your total graduate point requirement specified in your statement of requirements.

FULL- AND HALF-TIME EQUIVALENCY STATUS

A student is considered full-time by the University when registered each semester for a minimum of 12 credits of course work, and half-time when registered for 6 credits.

Eligible students should apply for equivalency if they must maintain full- or half-time status to obtain student loans, defer repayment of student loans, or satisfy student visa requirements.

In order to be eligible for full-time equivalency status, you are expected to spend no less than 40 hours per week on a combination of course work and/or the relevant items which appear below; half-time students, a minimum of 20 hours per week.

- **Candidacy Examination (3 credits of equivalency - granted for one semester only):** Three credits of equivalency may be granted during the semester in which you are completing the departmental candidacy examination and/or paper. The appropriate application for the examination must be filed with the Office of Graduate Studies in order to be eligible for equivalency based on this category.
- **Required Internship (for School Psychology and Counseling Psychology students only):** Students in the School Psychology or Counseling Psychology program should contact their academic program office for further information on the required internship.
- **Candidates working on the topic for the dissertation (3 credits of equivalency - granted for one semester only):** This category may be used by students who have been admitted to degree candidacy, but have not yet officially appointed a dissertation committee chairperson.
- **Teaching Fellow, Research or Graduate Assistant (6 credits of equivalency):** This category may be used only by students with official University appointments as teaching fellows, research assistants or graduate assistants working a minimum of 20 hours per week.
- **Candidates working on the dissertation proposal (maximum of two consecutive years including the respective summer sessions):** Students who have officially appointed a dissertation committee chairperson may request up to full-time equivalency status while working on the dissertation proposal. The approval of the dissertation committee chairperson is required (as indicated by signature on the equivalency form) in order to be eligible for this category.
- **Supervised research on the dissertation:** Students who have successfully completed the dissertation proposal review process may request up to full-time equivalency while working on the dissertation. The approval of the dissertation committee chairperson is required (as indicated by signature on the equivalency form) in order to be eligible for this category.

All requests for equivalency status must be approved by the academic advisor (or dissertation committee chairperson if required), as well as the Dean's representative in the Office of Graduate Studies. No student's application for equivalency status will be considered unless that student is registered for a minimum of 3 credits of course work, or *Doctoral Advisement*, or other departmentally approved 1-credit substitution.

ADMISSION TO DEGREE CANDIDACY

All doctoral students are required to satisfy a departmental candidacy requirement. Departments and programs use different methods for determining a student's eligibility for admission to degree candidacy, e.g., written tests, oral tests, research papers, performances, other creative work, etc., alone or in combination.

You should consult your department or program office for specific information on the candidacy requirement for your program. You should also obtain information regarding examination scheduling and deadline dates from your department.

You should file an application for the doctoral candidacy examination (see appendix) with the Office of Graduate Studies three to four weeks prior to the examination date established by the department.

Prerequisites to Application for Admission to Degree Candidacy

NYU**Steinhardt** policy requires that you meet the following two eligibility requirements prior to taking the candidacy examination:

- You must be fully matriculated (see page 1). This means that you have been accepted for matriculation, have enrolled in course work and have received your official statement of requirements from the Office of Graduate Admissions.
- You must be in good academic standing with a minimum 3.0 cumulative doctoral grade point average, and have no more than 12 credits on your transcript that are incomplete (IP, IF, or N)

Please note that the above-mentioned requirements are in addition to any prerequisite requirements or eligibility requirements required by your department and/or program.

The Outcome of the Candidacy Examination

The results of the candidacy examination are reported by the academic program or department to the Office of Graduate Studies. That office will, in turn, officially notify you and the Office of the University Registrar by letter.

The candidacy examination may result in a *pass*, *deferred pass* with conditions, or a *fail*. If the candidacy examination results in a deferred pass with conditions, you will be notified by the department or program of what is required in order to have the conditions removed. If the candidacy examination results in a fail outcome, matriculation is suspended and you must request permission from the department to retake the examination. A second opportunity to sit for the examination may or may not be

allowed, depending on program or departmental policy. If you pass the second candidacy examination, doctoral student status is restored.

Please note that NYU**Steinhardt** policy does not allow any doctoral student to take the candidacy examination more than twice. In the event that a student fails the candidacy examination a second time, matriculation in the doctoral program is automatically terminated.

APPOINTMENT OF DISSERTATION COMMITTEE

In order to officially request the appointment of a dissertation committee, you should file the appropriate form (see appendix) with the Office of Graduate Studies. Please note that all forms to request the appointment of dissertation committees require the approval signature of the Department Chairperson and are subject to the approval of the Associate Dean for Research and Doctoral Studies.

Prerequisites to Dissertation Committee Appointment

Students must have been officially admitted to degree candidacy and have completed the school-wide Foundations requirement (see page 4) prior to requesting the appointment of a dissertation committee.

Faculty Regulations Governing Appointment of Dissertation Committees

The following regulations apply to dissertation committee appointments for all Ph.D., Ed.D., and D.A. candidates in NYU**Steinhardt**.

The dissertation committee chairperson and at least one committee member must be full-time members of the faculty of New York University, holding the rank of professor, associate professor, or assistant professor with an earned doctorate. The chairperson is to come from the student's program of specialization. Further, in order to ensure a diversity of perspectives during the proposal and dissertation development process, at least one member of the committee must hold professorial appointment in a program different from the student's program.

Part-time adjunct faculty, clinical assistant professors, and persons with an affiliation other than New York University may serve as committee members with the approval of the Department Chairperson and the Associate Dean for Research and Doctoral Studies. Students requesting the appointment of such a member will be required to submit a copy of the proposed member's curriculum vitae along with the required dissertation committee appointment form to the Office of Graduate Studies. All committee members must have earned doctorates.

Students may request, by exception, the appointment of a two-member committee. This request must be made in writing and must be countersigned by the dissertation committee chairperson. Three-member committees that have been officially appointed may only be reduced to two-member committees by exception and with the approval of the Department Chairperson and the Associate Dean for Research and Doctoral Studies. A two-member committee, at the written request of the student and the chairperson, may be increased to a three-member committee.

Students may request the appointment of a dissertation committee chairperson without simultaneously requesting the appointment of the remaining members of the committee by following the instructions on the committee appointment form. Students who elect to request the advance appointment of a chairperson will have one year from the date of the approval of the chairperson's appointment to request the appointment of the remaining member(s) of the complete dissertation committee.

The Role of the Committee

The development of the proposal and the dissertation is an effort that requires a great deal of collaboration involving the candidate and his or her dissertation committee. There is no single model or formula for writing a proposal or dissertation, nor is there a single model governing the relationship of a doctoral candidate and his or her dissertation committee; however, the recommendations that follow should be applicable to most students.

It is important to confer with your chairperson and committee members as you proceed and to avoid long periods without making contact. It is recommended that you ask your chairperson and members for their preferences regarding how often and at what point your work should be presented. It is also a good idea to get a sense of turnaround times for drafts of your proposal and dissertation from your committee chair and members. You should have a work plan and a timetable that has been discussed with your chair and communicated to your members. It is the responsibility of your committee to read drafts and provide appropriate and timely written and oral feedback. You should be aware of University breaks and peak periods (such as final exams and midterms) when response times will often be longer for most faculty members.

THE UNIVERSITY COMMITTEE ON ACTIVITIES INVOLVING HUMAN SUBJECTS (UCAIHS)

All students who are undertaking research either for the dissertation or otherwise must obtain schoolwide clearance for their applications to UCAIHS. Procedures for obtaining clearance are found on the Office of Research website <http://steinhardt.nyu.edu/research/> or you can visit the office on the 5th Floor of Pless Hall.

If your proposed dissertation research involves interviews, surveys, questionnaires, participant observation, ethnography, or other methods involving the use of human subjects, an additional copy of your proposal and signed *Dissertation Proposal Cover Sheet* must be submitted to the University Committee on Activities Involving Human Subjects <http://www.nyu.edu/ucaih/> located at 665 Broadway, Suite 804 (212) 998-4808 after you have obtained clearance through the Office of Research. You will also need to fill out the *Application for Review by the University Committee on Activities Involving Human Subjects* to be submitted to that office with the required number of copies. Approval from this committee must be granted before work on the dissertation or collection of data has begun, including all pilot studies, trial runs, pretests, and preliminary sampling or surveys.

DISSERTATION PROPOSAL

The following procedures for submission of dissertation proposals apply to all candidates for Ph.D. and Ed.D. degrees in NYU**Steinhardt**.

Please note that the dissertation committee must be officially appointed and on file with the Office of Graduate Studies prior to submission of the dissertation proposal. After filing the *Request for Appointment of Dissertation Committee* form (see appendix) with the Office of Graduate Studies, you will receive a letter confirming that the dissertation committee has been officially approved.

Instructions for Filing Dissertation Proposals

Dissertation proposals to be submitted to the Office of Graduate Studies must be accompanied by the *Dissertation Proposal Cover Sheet* obtainable in the Office of Graduate Studies (see appendix). The cover sheet must be signed by all members of the dissertation committee, indicating their approval of the proposal for submission. The committee chairperson's signature on this form also indicates approval of the 15-point research elective requirement and the 3-point specialized research methodology requirement which the student has completed (or will complete).

Two copies of the proposal are to be submitted to the Office of Graduate Studies. The remaining copies must be submitted to the proposal review panel coordinator for your program or department. You should be aware that different departments require that different numbers of copies be submitted for review. Please consult the proposal review panel coordinator for the correct number of copies for the specific department or program. All copies of the proposal must include a copy of the signed *Dissertation Proposal Cover Sheet*.

The faculty of NYU**Steinhardt** recommends that the proposal be no longer than forty pages in length (exclusive of appendices and bibliography).

Information on the scheduling of proposal reviews and deadlines should be obtained from the proposal review panel coordinator for the department. Please note that some departments do not review proposals during the summer session.

The Dissertation Proposal Review

The procedures for reviewing dissertation proposals vary among the different departments; however, the following School policies apply to all departments and programs:

- The committee chairperson and both committee members must sign the *Dissertation Proposal Cover Sheet* (see appendix) indicating their approval of the proposal for review by the panel.
- The dissertation committee must meet as a group at least once prior to the filing of the proposal for review.
- Both the candidate and the dissertation committee chairperson are required to attend the review.
- Attendance by a minimum of two reviewers (external to the dissertation committee) is required.
- Attendance by the committee members is optional.
- The recommendations of the proposal review panel are advisory.

After the proposal review, the proposal review panel coordinator will notify you of the outcome in writing (with copies to the dissertation committee chairperson and members and to the Office of Graduate Studies). The proposal review panel will recommend that you proceed in one of the following ways:

- If the panel vote results in a "pass," the panel will recommend that you carry out the research and dissertation writing as proposed (there may be minor revisions suggested that are not officially noted).
- If the panel vote results in a "deferred pass" or "pass with conditions," the panel will recommend that you address the concerns of the panel in writing (with copies to the committee chairperson and members and to the Office of Graduate Studies). In some cases the proposal review panel or the dissertation committee may recommend that you submit a revised proposal reflecting the revisions suggested by the panel. Two copies of the revised proposal must also be submitted to the Office of Graduate Studies.
- If the panel does not approve the proposal, you will be asked to rewrite the proposal and submit it for a second proposal review.

Because the proposal review panel is an advisory committee, your dissertation committee may choose not to incorporate some or all of the proposal review panel's recommendations. In the event that the panel's suggestions are not incorporated, you will be expected to provide a written rationale explaining this decision. This rationale should bear the signature of the dissertation committee chairperson. As is the case with all correspondence regarding the proposal review, copies should be distributed to the committee members and to the Office of Graduate Studies.

A copy of the proposal, the review panel's outcome and notes, and your response to the panel's notes are given to each of the two faculty members who serve as outside readers on the final oral examination of the dissertation.

Proposal Library

The Office of Graduate Studies maintains a proposal library of all current NYU**Steinhardt** proposals. You may review proposals during regular office hours (we recommend calling in advance to ensure that a representative from the office is available to assist you). Please be advised that proposals may not be photocopied or removed from the Office of Graduate Studies.

Editors and Consultants

You are the sole author of your dissertation and are responsible for understanding, discussing, and defending all aspects of your work, including the methodologies employed. While some students may seek guidance with analyzing data, the use of consultants to conduct statistical work is discouraged.

You are responsible for making sure that proposal and dissertation drafts submitted to your faculty committee are free of errors in form, style, diction, spelling, and grammar. Your dissertation committee chair and members may alert you to such problems, but it is not their responsibility to do so. Your committee chair or a member may recommend that you use a professional editor, or you may feel that your work would benefit from editorial assistance. If you do employ a professional editor, make sure you shop around and use someone who has been recommended to you by a faculty member, another student, or the Office of Graduate Studies. Again, you and only you are ultimately responsible for your own writing and for making sure that it conforms to the standards of written English and conventions of scholarly writing set forth by your dissertation committee.

GRANTS AND FUNDS FOR DOCTORAL STUDENTS

Doctoral Student Travel Fund

The Doctoral Student Travel Fund has been established to assist doctoral students with expenses associated with presenting papers at scholarly and professional conferences. Doctoral students who meet the criteria listed below are encouraged to apply for funds. Please use the application in the appendix or obtain a copy from the Office of Graduate Studies. Requests will be considered as funds are available.

Criteria:

- applicants must be fully matriculated NYU**Steinhardt** doctoral students
- the applicant's paper must be accepted for presentation at a scholarly or professional conference (a one-paragraph abstract of the paper and correspondence indicating the acceptance of the paper by the conference must be attached to the application)
- the paper being presented must be related to the applicant's dissertation topic
- approval from the dissertation committee chairperson is required

Please note that applicants may receive this award only twice, once prior to the approval of the dissertation proposal, and once after the dissertation proposal has been approved.

The application should be submitted no later than four weeks prior to the date of the conference. If approval for funds is granted, you will be required to submit receipts for all expenses for which reimbursement is being requested. Requests will be considered for documented expenses only and will not exceed \$500.00.

Predoctoral Summer Research Grant

Doctoral candidates with approved dissertation proposals are invited to apply for the *Predoctoral Summer Research Grant* to support data collection, writing and/or travel directly related to their dissertation work. The application is available from the Office of Graduate Studies, Pless Hall, 2nd Floor, and should be filled out and returned with the required signatures in accordance with the deadline date listed on the application (approximately March 1st each year). Grant amounts will be up to \$1,000.

Mitchell Leaska Dissertation Research Award

The Mitchell Leaska Dissertation Award honors the memory of Mitchell Leaska who was Professor of English at the Steinhardt School for more than 40 years. This fund awards \$5,000 non-renewable stipends to help students complete their doctoral dissertations. Awards are available to students whose dissertations and areas of specialty are math,

science, teaching and learning, social studies education, or applied psychology. The deadlines for academic year 2009-2010, as well as information on criteria and the application process, are available from our Office of Research.

External Funding for Doctoral Students

Students are encouraged to apply for external pre-doctoral grants and awards and should work with the Office of Research in preparing their applications. The staff of that office can provide service that will help make your application more successful. That office will also periodically send emails out to doctoral students announcing such opportunities and will post information on their website as it becomes available.

DISSERTATION POLICIES AND PROCEDURES

Deadline Information

The deadlines below are for filing dissertations with the Office of Graduate Studies for the purpose of scheduling your final oral examination. Although the deadlines listed here apply to the 2009-2010 academic year, deadlines for the years that follow should be similar. Specific deadlines are published each year and are available in the Office of Graduate Studies. Students should discuss anticipated filing dates with the committee chairperson and members well in advance of the deadline for the anticipated graduation date. Instructions on the procedures for filing dissertations, as well as required forms, should be obtained from the Office of Graduate Studies. Each deadline date below corresponds to one of the three degree conferral dates (January, May, or September).

<u>DEADLINE</u>	<u>FINAL ORAL EXAMINATION PERIOD</u>	<u>DEGREE CONFERRAL</u>
October 1, 2009	Fall 2009: November 2 - December 11, 2009	January 2010
January 28, 2010	Spring 2010: March 1 - April 9, 2010 (excluding spring break)	May 2010
April 8, 2010	Summer 2010: May 17 – June 25, 2010	September 2010

Please be advised that oral examinations may not be scheduled outside of the final oral examination period outlined above.

Instructions for Filing for Orals

In order to schedule your final oral examination, you must submit simultaneously to the Office of Graduate Studies the following forms and materials in accordance with the dissertation filing deadlines noted above:

1. Three copies of the approved dissertation in black snap binders. Please note that these copies are in addition to the copies that you must supply for your committee chairperson and members.
2. The *Approval Form for Final Oral Examination* which must bear the original signatures of the dissertation committee as well as a specific recommended date for the final oral examination (in accordance with the schedule outlined above). This date must be agreed upon by the chair and members of the dissertation committee.
3. One copy of the following statement typed in the first person, signed and dated:

I hereby guarantee that no part of the dissertation which I have submitted for publication has been heretofore published and/or copyrighted in the United States of America, except in the case of passages quoted from other published sources; that I am the sole author and proprietor of said dissertation; that the dissertation contains no matter which, if published, will be libelous or otherwise injurious, or infringe in any way the copyright of any other party; and that I will defend, indemnify and hold harmless New York University against all suits and proceedings which may be brought and against all claims which may be made against New York University by reason of the publication of said dissertation.
4. Two copies of an abstract not more than 350 words in length. The title page of the abstract is the same as the dissertation title page except that the words "An Abstract of" are inserted above the title of the study. One copy of the abstract must be signed by the chairperson of the dissertation committee.
5. One completed copy of the *Candidate Information Sheet*.
6. A dissertation filing fee of \$100.00 payable by check or money order made out to New York University.

All forms referred to above can be found online at http://www.steinhardt.nyu.edu/policies_doctoral/forms or can be picked up in the Office of Graduate Studies, Pless Hall, 2nd floor.

The Final Oral Examination

The final oral examination is a two-hour examination scheduled according to the guidelines outlined above. Attendance by the candidate and all members of the final oral commission, which consists of the dissertation committee and the two outside readers, is required.

The following policies pertain to the voting procedures for the final oral examination.

One vote is to be taken with three and only three possible outcomes (all members of the final oral commission vote). These outcomes (pass, fail, or deferred pass with conditions) result according to the following rules:

RULES WHICH DETERMINE A PASS OUTCOME:

- If the candidate has an official three member dissertation committee, then the candidate must secure at least four pass votes (out of five) to pass.
- If the candidate has an official two member dissertation committee, then the candidate must secure at least three pass votes (out of four) to pass.

PROCEDURES TO FOLLOW IN THE EVENT OF A PASS OUTCOME:

The *Final Oral Examination Report* (obtained by the dissertation committee chairperson from the Office of Graduate Studies) is completed and returned to the Office of Graduate Studies no later than 24 hours after the final oral examination has been completed. This form should be accompanied by a copy of the candidate's dissertation (to be reviewed for format by the Office of Graduate Studies), unless the candidate is keeping the document to make minor changes and corrections required or noted by the final oral commission.

RULE WHICH DETERMINES A FAIL OUTCOME:

- If there are two or more fail votes, a fail outcome must be recorded.

PROCEDURES TO FOLLOW IN THE EVENT OF A FAIL OUTCOME:

The *Final Oral Examination Report* is completed and returned to the Office of Graduate Studies no later than 24 hours after the final oral examination has been completed.

This form must be accompanied by a separate statement indicating the reasons for the fail outcome.

The candidate may request permission for a second final oral examination from the Associate Dean for Research and Doctoral Studies. If approved, the examination must be held with the same final oral commission no sooner than six months from the first final oral examination. If the candidate fails the second final oral examination, matriculation is automatically and irrevocably terminated.

RULE WHICH DETERMINES A DEFERRED PASS OUTCOME:

- Any combination of votes which does not result in a pass or fail as specified above must result in a deferred pass with conditions. This outcome implies that although the candidate's performance is acceptable in many respects,

substantive revision of the dissertation and/or additional requirements of consequence are deemed necessary.

PROCEDURES TO FOLLOW IN THE EVENT OF A DEFERRED PASS OUTCOME:

The *Final Oral Examination Report* is completed and returned to the Office of Graduate Studies no later than 24 hours after the final oral examination has been completed.

Within three days after the final oral examination, the candidate and the Office of Graduate Studies must receive from the final oral commission a written statement which indicates what further work the candidate must complete in order to secure a pass outcome. This statement should include both revisions of the dissertation requested by the final oral commission and also any other requirements which the commission feels the candidate must complete to secure a pass outcome. Furthermore, this written statement of necessary revisions and/or requirements must be agreed to by at least four members of the final oral commission, and this agreement must be indicated by the signatures of these members on the written statement. Finally, this written statement must also include a projected timetable which the candidate should follow in completing all revisions and/or requirements designated by the final oral commission.

The candidate must complete all designated revisions and requirements within one semester following that in which the final oral examination is held (exclusive of summer semesters). When the candidate has completed all necessary revisions and requirements, the *Deferred Pass With Conditions Final Report Form* (obtained by the dissertation committee chairperson from the Office of Graduate Studies) must be circulated among and signed by all original members of the final oral commission, and then returned to the Office of Graduate Studies with a copy of the candidate's document to be reviewed for format. In order for the candidate's outcome to be recorded as pass, at least four out of the five (or three out of four if the final oral commission consisted of four members) members of the final oral commission must indicate a pass vote on the above-mentioned form.

VOTING IN THE EVENT OF THE ABSENCE OF A COMMISSION MEMBER

If any member of the five-member final oral commission is absent, the dissertation committee chairperson must secure permission from the Associate Dean for Research and Doctoral Studies to proceed with the final oral examination. Assuming permission to proceed is granted, the information below applies to the voting procedures.

If a dissertation committee member is absent, the following rules apply:

- If there are three or more pass votes, the outcome is recorded as a pass.
- If there are two or more fail votes, the outcome is recorded as a fail.

- Any combination of votes which does not result in a pass or fail must result in a deferred pass with conditions.

If an outside reader is absent, the following rules apply:

- In order for a pass outcome to be recorded, a unanimous pass vote is required.
- If there are one or more fail votes, the outcome is recorded as a fail.
- Any combination of votes which does not result in a pass or fail must result in a deferred pass with conditions.

Final Dissertation Approval

After the final oral examination, you are required to submit an additional copy of the dissertation to be reviewed by the Office of Graduate Studies for format. This copy should be submitted after you have made changes required by the final oral commission. If the required changes are minor, you may submit the dissertation for format review immediately after the final oral examination so that the format changes and the commission's changes can be completed simultaneously.

If the final oral examination results in a deferred pass outcome, you may submit the dissertation for format review only after the signed *Deferred Pass with Conditions Final Report Form* has been received by the Office of Graduate Studies. Final approval of the dissertation will take place only after the edited dissertation has been received by the Office of Graduate Studies printed or copied onto the required paper (see page 24).

The deadline for the filing of the final edited dissertation is approximately three weeks prior to your anticipated date of graduation (the exact date is posted each semester in the Office of Graduate Studies). In order to be eligible for graduation, your final edited dissertation must be received and approved by the Office of Graduate Studies by the designated deadline date.

Also required will be one copy of the UMI *Doctoral Dissertation Agreement Form* (the form can be found online at http://www.steinhardt.nyu.edu/policies_doctoral/forms) accompanied by a copy of the dissertation title page, a copy of the abstract, and the required publishing and copyright fee. All candidates for the degrees of Ph.D., Ed.D., and D.A. are required to publish the dissertation through ProQuest UMI Dissertation Publishing and must upload a final dissertation electronically for this purpose. This electronic upload will take place through the Office of Graduate Studies only after the dissertation has been approved in its final form. Additional information on UMI ProQuest Dissertation Publishing can be found online at <http://www.proquest.com/en-US/>

GRADUATION

New York University has three degree conferral dates each year (January, May, and September). Students who have completed all course and matriculation maintenance requirements, and have complied with the above dissertation filing deadlines are eligible for degree conferral.

Although there are three degree conferral dates each year, the University holds only one commencement ceremony each year in May for all NYU graduates. Students whose degree conferral dates are the prior September or January are invited to the May ceremony. More information on the commencement ceremony may be obtained by contacting the University's Commencement Office.

NYU**Steinhardt** also holds a Doctoral Convocation ceremony each May. Candidates for doctoral degrees are encouraged to attend this more intimate ceremony as well as the above-mentioned University-wide commencement ceremony. Information regarding the Doctoral Convocation may be obtained from the Office of Graduate Studies.

DISSERTATION FORMAT

This section describes the dissertation format that all NYU**Steinhardt** doctoral candidates are required to follow. Dissertations must adhere to these requirements in order to be accepted by the Office of Graduate Studies for the scheduling of the final oral examination. Please read this section carefully and contact the Office of Graduate Studies if you have any questions.

Choice of Style Manual

Faculty policy leaves the choice of a style manual to the doctoral candidate with the advice and consent of his or her committee. Generally, candidates are urged to learn and use the manual most often required for scholarly writing by journals within their disciplines. Typically, the following style manuals are used by NYU**Steinhardt** students:

- American Psychological Association, *Publication Manual of the American Psychological Association*
- Gibaldi, J., & Ahtert, W. S., *MLA handbook for writers of research papers*
- Turabian, K., *A manual for writers of term papers, theses and dissertations*
- The University of Chicago Press, *The Chicago manual of style*

The most recent editions of the chosen style manuals should be used.

Paper Quality

The final copy (after orals have been passed and any corrections required by the final oral commission and the Office of Graduate Studies have been made) of your dissertation must be printed single-sided on 20- to 24-pound paper with a minimum of 25% rag or cotton content. Any other materials, such as questionnaires, computer printouts, or pictures, included in the manuscript must be printed or photocopied on the same paper used for the rest of the manuscript.

Print and Copy Quality

Your printer must produce consistently black letters and consistent margins. Sufficient darkness is also necessary for any supporting materials, such as tables, figures, drawings, pictures, etc., -- either as originals or as copies -- that you may need to append or insert in your manuscript. Your dissertation will be published by ProQuest UMI which requires clear, high-contrast characters and images. As a guide to the quality that will be obtained by the microfilming process, you can photocopy a sample page at 75% reduction to evaluate the readability and clarity of the print.

Typefaces

The School and ProQuest UMI allow students to use typefaces that are between 10 and 12 points; however, because 10 point can appear too small in most typefaces, 12 point is generally preferred. A smaller or condensed typeface can be used for tables that otherwise might not fit across a page within the correct margins, however, mixing typefaces is otherwise not recommended.

Underlining or italics may be used for statistical symbols, book titles, or definitions (but use either one or the other consistently throughout your manuscript, including tables). Headings should be underlined when appropriate and not italicized. Bold type should not be used in the manuscript.

Do not justify the right margin of your text; keep it left aligned, also known as ragged right, like the text in this handbook.

Margins

To assure proper binding and microfilming, and for ease of reading, the following margins are required:

- Left margin: one and one-half inches for all pages.

- Right margin: one and one-half inches for all pages, with no intrusion of letters or anything else into the right margin.
- Top margin: one-and-one-quarter inches for all pages except the first page of the Acknowledgments, Table of Contents, List of Tables, List of Figures, each chapter, Bibliography, and Appendices which should begin two inches from the top edge of the page.
- Bottom margin: one-and-one-quarter inches for all pages.
- Page numbers for all pages preceding page 1 of Chapter I (lower case roman numerals for Acknowledgments, Table of Contents, etc.) should be placed three-quarters of an inch from the bottom of the page, centered between the left and right margins.
- Page numbers from page 1 of Chapter I through the last page of the last appendix should be placed three-quarters of an inch from the top or bottom, centered between the left and right margins.

See the next section for sample dissertation pages.

White Space

Avoid leaving more than two inches of white space without type. This applies to tables and figures as well as to text. A table or figure should be inserted in the text as soon after it is first referred to where it will fit in its entirety on one page. Leave three blank lines between a table and text or text and a table; the same for figures. Continue your text if you can fit at least four lines after it. You may have more than one table on a page and you may have a table, discussion, and a table. The same procedure applies to all illustrative material.

Line Spacing

Double space the entire manuscript with these exceptions (which should be single-spaced):

- chapter titles, appendix titles, headings, and subheadings of more than one line;
- block quotations;
- column headings and lines that run on in tables;
- bibliography or references entries -- double space between entries;
- footnotes;
- figure captions;
- explanatory material for figures, tables, and illustrations; and
- appendices -- the spacing will vary depending on the source and content.

APA style requires writers to double space all typed material, including the exceptions noted above. If you are using APA, the above rules supersede APA rules. You have the option, however, of double spacing your references and block quotations; MLA style users also have this option.

Pagination

The title page is counted as page one and the copyright page as page two, but numbers do not appear on them. Lower case roman numerals (iii, iv, v, vi, etc.) are used for all subsequent pages up to the first page of the text (page 1 of Chapter I) and should be placed three quarters of an inch from the bottom edge of the paper, centered between the margins.

Beginning with page 1 of Chapter I, Arabic numbers are used and are continuous through the last page including all appendices. Page numbers for all pages in the chapter, including the first page of each chapter or major section, should be placed three quarters of an inch from the top or bottom edge of the paper centered between the margins.

Order of Sections

The material of your manuscript should be ordered as follows:

- title page;
- copyright page;
- acknowledgments;
- table of contents;
- list(s) of tables, figures, charts, graphs, musical examples, illustrations, etc., if used;
- preface or forward, if used;
- the text;
- bibliography;
- and appendices (if any).

Title Page of Dissertation

Please see the sample title page in the next section. You are required to follow that format exactly.

Copyright Page

Your dissertation will be automatically copyrighted by UMI when it is published. You should include a copyright page with your name and copyright date in the middle of the page, centered left to right (between the margins) and top to bottom. Please note that the copyright date is the year of your degree conferral. Follow this format:

Copyright © 2009 Michael Rose

The copyright page is page ii of the pages preceding the text (the title page is understood to be page i), but no number should appear on either the title page or the copyright page.

Table of Contents and Lists of Tables and Figures

Because a dissertation does not have an index, your Table of Contents should be as comprehensive as possible. Include all headings and subheadings, exactly as they appear in the text, up to and including Level 2. Including lower level headings is optional. (See sample Table of Contents in the next section.) Note that the indentation of a heading used in the Table of Contents corresponds to the level of the heading. The following illustrates this:

I	THE RESEARCH OBJECTIVE	<i>Chapter Title</i>	1
	Introduction	<i>Level 1 Heading</i>	1
	The Problem	<i>Level 1 Heading</i>	3
	Sub-problems and Research Questions	<i>Level 2 Heading</i>	3
	Subtopic of Above	<i>Level 3 Heading</i>	4
	Definitions	<i>Level 1 Heading</i>	5
	Hypotheses	<i>Level 1 Heading</i>	7

You should supply the reader with lists of tables, figures, and any other illustrative material used in your dissertation. See the sample lists in the next section. Lists of musical examples or reproductions of art, or information about films, follow the same form as that used for lists of tables and figures.

Chapter Titles and Headings

Chapter headings and titles appear as follows, beginning two inches from the top of the page:

CHAPTER II
RELATED LITERATURE

Headings within the chapter should indicate the weight you assign to particular ideas by the form of headings suggested in the style manual you have selected or the form suggested below.

Leave three blank lines (i.e., begin typing after two double spaces) before each heading and after each major section and chapter title. If one heading immediately follows another, leave only one blank line (a double space) between the two. Leave one blank line (a double space) after each heading. Capitalize the first letter of each word of headings except for articles, conjunctions, and prepositions.

The following is one way in which to order headings and to type them. Students following APA style may use the format in the APA Style Guide, however, the format below is preferred for NYU**Steinhardt** dissertations.

1st Most Important (Level 1 Heading)

2nd Most Important (Level 2 Heading)

3rd in Importance (Level 3 Heading)

4th in Importance (Level 4 Heading)

5th in Importance (Level 5 Heading): Head is part of the paragraph. Continue text . . .

See the sample page 1 in the next section for an example of heading placement.

Be sure that no heading appears at the bottom of a page without at least two lines of text beneath it. The Table of Contents will contain all Level 1 and Level 2 headings exactly as they appear in the text. It is not necessary to include Level 3 or lower-level headings in the Table of Contents, but you may if it provides the reader with more useful information.

Numbering Conventions

Chapter numbers are upper case roman numerals (with no period), e.g., CHAPTER IV, to differentiate them from any other numbers in the text. All other items requiring numbers should have Arabic numbers. Appendices, should be designated by capital letters, e.g., APPENDIX A, APPENDIX B, etc.

Use numbers or letters for other items only when necessary. Use 1) in the text and 1. in a set-off list; a) in the text and a. in a set-off list -- not (1) or 1). or a.), etc. If items in a numbered list run onto two or more lines, you may let the additional lines begin at the margin or indent the entire paragraph to the right of the numbers.

Numbers beginning a sentence, as well as numbers below 10 (or, if you prefer, 12) should be spelled out when they appear within the text.

Reduction of Tables and Other Materials

If a table, appendix, illustration, or graph is too wide or long, or both, to fit within the specified margins, have it reduced, or if textual material, type it using a smaller font. Whenever possible, avoid inserting tables which must be read by turning the book sideways. If such a table is necessary, be sure to insert it with the heading to the spine or binding. You may also use a condensed typeface.

Bibliographic Entries

For style guides other than APA, if you have more than one work by the same author, do not repeat his or her name over and over. Use ten underscore characters, ending with a period if the author is exactly the same as the previous one, or with a comma if the author is the first of a series of new authors, as shown below. Single space the entry; double space between entries. Indent the second and subsequent lines one-half inch.

Bernstein, Theodore M. *The Careful Writer: A Modern Guide to English Usage*. New York: Atheneum, 1977

_____. *Reverse Dictionary*. With the collaboration of Wagner, Jane. New York: Quadrangle/The New York Times Book Co., 1977.

_____, and Wagner, Jane. *Writing for Publication*. New York: Erudite Press, 1962.

Note that authors with two initials have a space after the period between each initial, e.g., Smith, A. B., & Jones, M. J. Do not allow initials to break between lines; keep them together on one line or the other.

Regardless of the style guide you use, avoid having one or two lines of an entry on one page and the rest of the citation on the next page. The entry should be cited in its entirety on one page or the other.

Citations in Text

The way you cite an author in your manuscript is based on the context. If you are attributing an idea that you paraphrased to someone, use the name and date (according to APA style) such as (Jones, 2002), or as shown in the first sentence below. If you are using a direct quotation, use the same format, but you must include the page number where you found it, as shown in the second sentence below. Also, specific information or ideas need a page number even if paraphrased. For example, the following brief passage refers to the same publication by a hypothetical author:

Jones (2002) stated that . . . was thought to be true. Later she emphasized the point when she stated, "This is the . . . that suggests this possibility." (Jones, 2002, p. 17).

Review the whole manuscript to be sure that every work referred to in the manuscript is cited in the text (or footnotes) and included in the bibliography.

Block (Indented) Quotations

Four or more lines of a quotation should be set off from the main text with a double space, typed single spaced with no quotation marks, and the entire block indented one-half inch. Quotations within these block (or indented) quotations may use double quotations. The first line of the quotation is not indented; however, the first lines of new paragraphs within the quotation should begin with an additional indent of one-half inch. Students using APA or MLA style may double space block quotations.

Appendices

Each appendix should have the proper designation at the top of the first page. A title page does not need to be inserted before each one. Use the following format (beginning two inches from the top of the page):

APPENDIX A

PARTICIPANT CONSENT FORM

If you have material that, because of its format, needs to have a title page (because the title doesn't fit on the same page as the material), you need to consistently use title pages for all appendices. Avoid it if you can. Again, all material in an appendix must fit within the overall page margins.

Letters of Permission

It is necessary to obtain letters of permission for the reproduction of any copyrighted material which exceeds the Federal law pertaining to "Fair Use." Copies of those letters will be appended to the form empowering UMI to microfilm your dissertation, copyright it, and obtain a Library of Congress registration for it. Copies of the letters do not need to be included in the dissertation, but must be submitted with the final copy.

The Abstract

The abstract is a brief summary of the contents of the dissertation. Begin typing the abstract two inches from the top of a blank page with no heading. The abstract should be typed double-spaced with the same typeface and margins as the dissertation. The length of the abstract should be limited to 350 words.

The abstract title page is identical to the dissertation title page with one exception: the abstract title page has the words *An Abstract of* directly above the title (see Sample Title Page in the next section). Each abstract is stapled in the upper left corner and kept separate from the dissertation. The chairperson of the dissertation committee should sign one copy of the abstract title page.

Sample Pages

The following section includes sample dissertation pages which should be followed carefully. Refer to the preceding section for more detailed information on format requirements. Students should follow the instructions on these sample pages rather than using a dissertation from the library (or elsewhere) as a guide. Format requirements differ from year to year and from school to school.

SAMPLE TITLE PAGE

Sponsoring Committee: Professor Sandra J. Black, Chairperson
Professor Jane E. Joe
Professor Robert Q. Smith

THIS IS THE TITLE OF YOUR DISSERTATION TYPED IN
ALL UPPERCASE LETTERS IN INVERTED
PYRAMID FORM

Michael Rose

Program in Developmental Psychology
Department of Applied Psychology

Submitted in partial fulfillment
of the requirements for the degree of
Doctor of Philosophy in the
Steinhardt School of Culture, Education, and Human Development
New York University
2009

SAMPLE TITLE PAGE (ANNOTATED)

Sponsoring Committee: Professor Sandra J. Black, Chairperson
Professor Jane E. Joe
Professor Robert Q. Smith

The title pages for the proposal and the abstract have the words "A Proposal for" or "An Abstract of" (respectively, without the brackets) above the title of the dissertation.

Center the sponsoring committee based on the longest line. Keep Chairperson on the first line unless it causes the line to intrude into the margins. If you need to put Chairperson on the next line, indent it 1/4" beyond Professor. Align the remaining professors with the one on the top line.

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THIS IS THE TITLE OF YOUR DISSERTATION TYPED IN

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Type the official name of your program and department after leaving one blank line under your name.

Place your name approximately 5 1/2" from the top edge of the page, with three blank lines between it and the title above.

Centered text should be centered exactly between the margins (1 1/2 inch left margin and 1 1/2 inch right margin) throughout the manuscript.

Enter the information at right exactly as it appears here with your year of graduation and the appropriate degree (Doctor of Philosophy, Doctor of Education, Doctor of Arts, etc.).

Submitted in partial fulfillment
of the requirements for the degree of
Doctor of Philosophy in the
Steinhardt School of Culture, Education, and Human Development
New York University
2009

SAMPLE COPYRIGHT PAGE

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SAMPLE ACKNOWLEDGMENTS SECTION

ACKNOWLEDGMENTS

Type the word “acknowledgments” in all uppercase letters approximately 2 inches from the top edge of the page. Leave three blank lines (begin typing after two double spaces) under ACKNOWLEDGMENTS before beginning text. The text of your acknowledgments section should be double-spaced using the same typeface and type size as the rest of the dissertation.

The title page and the copyright page count as pages i and ii, but numbers do not appear on those two pages. Begin inserting page numbers on the first page of your acknowledgments section (page iii). All lower case roman numerals should be centered between the left and right margins and should be placed approximately $\frac{3}{4}$ ” from the bottom edge of the page. Lower case roman numerals should continue through the table of contents and any lists (list of figures, list of tables, etc.). Begin Arabic page numbers (1, 2, 3, etc.) with the first page of the first chapter.

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Type TABLE OF CONTENTS 2 inches from the top edge of the page and leave three blank lines before typing ACKNOWLEDGMENTS.

This sample does not represent an actual study. The Table of Contents will vary greatly with the subject, method, and discipline.

SAMPLE TABLE OF CONTENTS (ANNOTATED)

TABLE OF CONTENTS

ACKNOWLEDGMENTS, LIST OF TABLES, LIST OF FIGURES, and CHAPTER should be typed at the 1½ inch left margin leaving one blank line between each as shown at right.

Indent chapter numbers approximately ½ inch beyond the left margin. Indent chapter titles approximately ½ inch beyond chapter numbers.

Indent level one headings approximately ¼ inch beyond chapter titles.

Indent level two headings approximately ¼ inch beyond level one headings.

Type page number (centered between the left and right margins) approximately ¾ of an inch from the bottom edge of the page.

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Align page numbers on the right side of the number.

If your table of contents goes on more than one page, type the word continued (aligned at the right) approximately 1¼ inches from the bottom edge of the page.

continued

Do not type a section heading at the top of the second or subsequent pages of the table of contents. The word continued should appear at the bottom of the previous page. If possible, begin the second page with a chapter title or a level one heading (rather than a lower level heading) or with BIBLIOGRAPHY, APPENDICES, or an appendix title.

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Indent the second line of two-line headings approximately 1/4 inch beyond the first line.

Type page number across from the last line of headings or chapter titles that go on more than one line (rather than across from the first line).

BIBLIOGRAPHY and APPENDICES (or APPENDIXES) should be typed at the left margin.

Appendix letters should be aligned with chapter numbers (1/2 inch beyond the left margin), and appendix titles should be aligned with chapter titles (1/2 inch beyond appendix letters.).

Maintain a 1 1/2 inch left margin for the entire dissertation (beginning with the title page and continuing through the last page of the last appendix).

Make sure all chapter titles, appendix titles, and headings in the table of contents match the text exactly (word for word) and appear on the correct page number.

Also, make sure the weight (level one, level two, etc.) assigned to a particular heading by its placement in the table of contents is consistent with the weight indicated by the heading's placement in the text.

Maintain a 1 1/2 inch right margin for the entire dissertation. Do not allow any text or illustrative material to intrude into the margin space.

SAMPLE LIST OF TABLES (ANNOTATED)

Leave three blank lines under LIST OF TABLES before typing the first table title.

Type LIST OF TABLES approximately 2 inches from the top edge of the page

LIST OF TABLES

- | | | |
|---|---|-----|
| 1 | Type the table title single spaced using lower case letters except for the first letter of the first word of the title, proper nouns, and after a colon | 51 |
| 2 | Double space between titles | 78 |
| 3 | Type the table number at the left 1½ inch margin | 95 |
| 4 | Indent the title approximately ½ inch beyond the number | 104 |
| 5 | Type the complete table title exactly as it appears in the text | 115 |

Do not type periods after table numbers.

All tables (or figures, graphs, etc.) should be included in one number sequence which continues through the end of the dissertation. Do not begin a new sequence with each chapter or with the appendix.

Type page numbers at the right margin aligned on the right side of the number.

SAMPLE LIST OF FIGURES

LIST OF FIGURES

1	Follow the format used for the List of Tables	33
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SAMPLE PAGE 1

CHAPTER I

THE RESEARCH OBJECTIVE

Introduction

This is a sample of a first page of a chapter. The page number should be placed approximately three quarters of an inch from the top or bottom edge of the page and centered between the margins. The chapter heading (CHAPTER I) should be placed two inches from the top edge of the page. Leave one blank line (begin typing after one double space) between the chapter heading and the chapter title. Leave three blank lines (begin typing after two double spaces) under the chapter title before typing text or the first heading. Text should be double spaced.

Level One Heading

This section is considered by the writer to be equal in importance to the first section, therefore it, too, has a level one heading (underlined and typed at the left margin). Leave three blank lines above each heading.

Level Two Heading

Level two headings should be underlined and centered. Avoid typing a heading at the bottom of a page without at least two lines of text underneath it.

APPENDIX

The following section includes a list of selected University addresses and telephone numbers and a guide to the forms required by the Office of Graduate Studies. Copies of the forms may be downloaded from http://steinhardt.nyu.edu/policies_doctoral/forms or may be obtained from the Office of Graduate Studies (Pless Hall, 2nd Floor).

SELECTED UNIVERSITY ADDRESSES AND TELEPHONE NUMBERS

Office of Graduate Studies

Pless Hall, 82 Washington Square East, 2nd Floor (212) 998-5044

Office of the Associate Dean for Research and Doctoral Studies

Pless Hall, 82 Washington Square East, 5th Floor (212) 992-9383

Office of the Associate Dean for Student Affairs

Pless Hall, 82 Washington Square East, 2nd Floor (212) 998-5025

Office of the Associate Dean for Academic Affairs

Pless Hall, 82 Washington Square East, 4th Floor (212) 998-5004

Office of the Dean

Pless Hall, 82 Washington Square East, 4th Floor (212) 998-5000

Office of Graduate Admissions

Pless Hall, 82 Washington Square East 3rd Floor (212) 998-5030

Office of the University Registrar

25 West 4th Street, Main Floor (212) 998-4800

Office of the Bursar

25 West 4th Street, Main Floor (212) 998-2800

Financial Aid Office

25 West 4th Street, Main Floor (212) 998-4444

University Committee on Activities Involving Human Subjects (UCAIHS)

665 Broadway, Suite 804 (212) 998-4808

Office for International Students and Scholars

561 LaGuardia Place, Main Floor (212) 998-4720

Graduate Student Organization

Pless Hall, 82 Washington Square East, 3rd Floor (212) 998-5351

GUIDE TO FORMS

DOCTORAL DEGREE CHECK SHEET FOR ED.D. AND PH.D. STUDY

- Use this form to keep track of your doctoral course requirements.

FULL/HALF-TIME EQUIVALENCY

- File this form to maintain full or half-time status when registered for fewer than 12 (full-time) or 6 (half-time) credits. Eligible students may apply for equivalency status for the purposes of international student visas, student loans, or student loan deferral.

DOCTORAL CANDIDACY EXAMINATION APPLICATION

- File this form approximately three weeks prior to taking the candidacy examination and/or submitting your candidacy paper(s).

REQUEST FOR APPOINTMENT OF DISSERTATION COMMITTEE

- File this form when you are ready to request the appointment of your dissertation committee chairperson or your complete dissertation committee.

INSTRUCTIONS FOR FILING DISSERTATION PROPOSALS

- Review these instructions in advance of submitting your dissertation proposal for review.

DISSERTATION PROPOSAL COVER SHEET

- File this form with your dissertation proposal copies.

DOCTORAL STUDENT TRAVEL FUND APPLICATION

- Apply for this grant to offset travel expenses when presenting at a conference.

INSTRUCTIONS FOR FILING APPROVED DISSERTATIONS

APPROVAL FORM FOR FINAL ORAL EXAMINATION

CANDIDATE INFORMATION SHEET

DISSERTATION FILING DEADLINES FOR PH.D., ED.D., AND D.A. DEGREES

- Review and file the above forms in accordance with the dissertation filing deadlines.

REQUEST FOR EXTENSION OF DOCTORAL MATRICULATION

- File this form to request an extension of the doctoral matriculation period.

REQUEST FOR REINSTATEMENT OF LAPSED DOCTORAL MATRICULATION

- File this form if you have allowed your doctoral matriculation to lapse.

Visit http://steinhardt.nyu.edu/policies_doctoral/forms to download any of the forms listed above.