DOCTORAL DISSERTATION FORMAT MANUAL

by

Department of Leadership Studies

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School of Leadership and Education Sciences

University of San Diego
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CHAPTER ONE

INTRODUCTION

Welcome to the new and revised edition of the *Doctoral Dissertation Formal Manual* for the Department of Leadership Studies. This manual is your comprehensive format guide for the preparation of your dissertation. You should use this manual as you prepare your dissertation to ensure that you meet the specific formatting requirements for SOLES dissertations. Continue to use the *Doctoral Student Handbook* for information on, as well as the steps and forms for, the process of completing the dissertation (i.e., preparing the oral defense, deadlines, etc.). Before it will be accepted as fulfillment of your graduation requirements, your dissertation will be evaluated for adherence to proper format guidelines. If your dissertation does not meet the format requirements, it will be returned to you for corrections. This can delay your graduation, so please ensure that you follow this manual completely.

Please note that throughout the manual, checkmarks (i.e., “✓”) are used in sections where checklists are offered to help you look for and attend to very specific formatting requirements for your dissertation. Before you submit your dissertation, please make sure you have reviewed all the checklists and fixed any errors or addressed any inconsistencies in the document.

The *Publication Manual of the American Psychological Association*, sixth edition (American Psychological Association, 2010, ISBN # 1-4338-0561-8), is the reference text SOLES uses for the proper preparation of manuscripts. It was used as the basis for the requirements listed in this *Doctoral Dissertation Format Manual*. We have not reproduced in
this manual much of the APA sixth edition information. For example, please use APA sixth edition for proper citations and reference list production. If you have questions that are not addressed in this manual, please follow the guidelines of APA sixth edition (e.g., use of appropriate font, punctuation, spelling, capitalization, abbreviations, numbers, etc.). Please note, although the APA sixth edition requires a running header in a document, please follow this manual’s format by NOT inserting a running header.

In some instances, your dissertation committee might agree that another style is more appropriate for your dissertation. If this is the case in your situation, the exception to APA style should be approved by the Dean’s Office in advance of the dissertation proposal hearing, when possible. Whether you use the standard APA manual, or you are approved to use an alternate style, you must follow it consistently throughout your dissertation.

To assist you, we recommend accessing and taking note of examples of formatted dissertations through the Copley Library database. Please be aware, not all dissertations are good examples of formatting, and APA formatting requirements periodically change. For your benefit, we recommend looking at the following dissertations that adhere closely to this

_Doctoral Dissertation Format Manual:


Please be patient as it could take a moment for the dissertation to load. However, if unable to open the direct links above, these dissertations are accessible by accessing the Copley Library website (http://www.sandiego.edu/library/). Search for “ProQuest digital dissertations” which will take you to their website (http://search.proquest.com/). Search for the name of the author. Use the right-hand menu to limit your search to “Dissertations and Theses.” The list provided should easily give you access to the author’s dissertation in PDF format.
CHAPTER TWO
ORGANIZATION OF THE MANUSCRIPT

Following are the 14 components of a doctoral dissertation, listed in order as they should appear in the final manuscript. One asterisk is included next to items that should be tallied in the total page count; two asterisks denote items that should be tallied in the total page count and should have printed page numbers. Items 1-10 are considered “front matter,” while items 12-14 are considered “back matter.”

1. Title page *
2. Copyright page (or blank if dissertation is not copyrighted) *
3. Approval/signature page *
4. Abstract (maximum 350 words) *
5. Dedication page (optional) *
6. Acknowledgements page **
7. Preface with acknowledgments included, if desired (optional) **
8. Table of contents **
9. List of tables (when appropriate) **
10. List of figures or illustrations (when appropriate) **
11. Body of dissertation **
12. References **
13. Appendices **

Front Matter Requirements

The following is the order of the front matter of the dissertation, which precedes the body of the dissertation. When pagination is required for this section, page numbers appear in the lower-case Roman numeral format, at the bottom and centered.
**Title page.** The title and signature pages must conform to the models included in this document (see Appendix C). Remember, there is no page number printed on the title page but it is counted in the pagination. Ensure that your title page indicates the month and the year the degree was conferred (not the month and year you defended).

**Abstract.** This abstract will be published by University Microfilms International (UMI) in *Dissertation Abstracts*, so you should prepare it with care (see Appendix F for a sample abstract). Please note your abstract should be doubled-spaced and contain a maximum of 350 words. UMI will truncate any abstract over 350 words, even if it is in the middle of a sentence. Your abstract should explain in narrative summary the nature and scope of the problem or topic, research questions, the method employed in developing the dissertation, limitations (if any), and findings and/or conclusions reached.

**Dedication.** This is not required although many people choose to honor someone of particular importance in their lives by dedicating their dissertation to them. Dissertations are frequently dedicated to parents, spouses/partners, or mentors. The dedication should be brief.

**Acknowledgments.** This is also not required, but is frequently used. Many students acknowledge the assistance of those who were significant contributors to the process of writing the dissertation: committee members, outside readers, someone who helped formulate the proposal, or someone who helped with computer work or statistical analysis. Funding sources that supported the research would be acknowledged here as well.

**Table of contents.** The Table of Contents is a required dissertation section. It needs to list all sections of the front matter, body, and back matter of your dissertation, including chapter titles and sub-headings within your dissertation chapters. See the Table of Contents of this document for an example.
**List of tables.** All tables in your dissertation need to be listed in the List of Tables, which is the first page following your Table of Contents. The table number, name, and page number must be shown.

**List of figures.** All figures (graphs, pictures, charts, etc.) in your dissertation need to be listed in the List of Figures, which is the second page following your Table of Contents. The figure number, name, and page number must be shown in this list.

**Headings and subheadings.** The heading format used in this manual follows APA sixth edition guidelines for *Five Levels of Heading Format* (Table 3.1, p. 62). Most dissertations will use the Level 3 or Level 4 format. Some key guidelines are:

- Use headings and sub-headings to subdivide chapters or sections.
- Follow APA guidelines when using headings and subheadings.
- Never use only one subsection heading if it is the only subsection in a section (use at least two or use none).
- Ensure the headings match Table of Contents listing.
- Use heading format consistently (even if one section has fewer levels than another).

**Back Matter Requirements**

There are three sections that appear after the body of your dissertation: (1) the references section, (2) your appendices (if applicable), and (3) your IRB clearance (Project Action Summary Form). In APA format, footnotes rather than endnotes are typically used. This means that your notes occur on the same page they are referenced. If you have approval to use an alternative format guide (e.g., MLA) that allows for endnotes, then you must follow that format.
References. Your reference list must conform exactly to the format as indicated in the APA sixth edition. Be sure to attend to the different reference formats for periodicals, books, book chapters, online sources, and ERIC documents. When preparing your references, be sure of the following:

- Each citation is referenced in the References section.
- All references in the References section are included in the body of the dissertation.
- The spelling of the authors’ names is the same in the citations as in the References list.
- All publication years are correct, ensuring years match between the body of the dissertation and the reference list.
- Abbreviations are correct (see APA sixth edition, p. 106).
- Publishers’ locations are listed correctly (see APA sixth edition, p. 193).
- The reference list is in alphabetical order by the first author’s last name.
- Entries for each reference are single spaced, but double-spaced between each reference.
- The reference list is in a hanging indent format: the first line is flush left and subsequent lines are indented.
- Do not divide individual reference entries between pages.

Be sure that you have followed APA sixth edition guidelines for any electronic publications (see APA sixth edition, pp. 209, 214). Some general rules are:

- Use the screen name/alias if the author’s name is unknown.
- Use the full title of each document in italics.
Include version or file numbers (if applicable/known), the date of the publication or revision (usually at the bottom of the webpage), the full “http://” address, and the date you visited the site (in parentheses). If you printed the document, this date usually appears at the bottom of your print-out.

**Appendices.** Appendices are permitted, but ensure that they are necessary. Carefully consider the value of the materials you are considering for inclusion. What value do they add? Would the reader be better served by having the material included in the body of the dissertation?

Some items that are typically included in appendices are:

- lengthy computer print-outs;
- raw data;
- procedural explanations;
- written releases to use copyrighted work;
- copy of the Participation Consent Form;
- supplementary tables;
- examples of surveys or questionnaires; and
- mathematical derivations or proofs.

When including appendices, be sure to:

✓ Use a cover page before each appendix (see the format used in this manual).

✓ Label each appendix page *APPENDIX* with a capital letter (APPENDIX A, APPENDIX B, etc.) in the order mentioned in the main text, followed by the title on the next line (double-spaced), in the top center of the page (use the format used in this manual).
✓ Include the appendices titles in the Table of Contents (see the Table of Contents in this manual).
✓ Include any tables and figures in the List of Tables and List of Figures.
✓ Continue with sequential pagination.
CHAPTER THREE
MANUSCRIPT PREPARATION

The overall appearance of your dissertation is extremely important because your dissertation will be utilized and referenced by other students and scholars in the future. Make sure the pages are free of smudges and stains, and that you follow the requirements and suggestions below in order to produce a final product of appropriate and presentable quality.

Copyright Permission

See APA sixth edition for information on when copyrights are required (see APA sixth edition, p. 173). If you are including copyrighted material from another source in your dissertation, you must obtain permission for use from the publisher of that copyrighted material. You can do this by sending a letter to the publisher of the copyrighted material (see Appendix E for a letter template). Although obtaining permission is generally not a problem, acquisition should be planned far in advance. Once you have permission from the publisher to use the material, you must submit copies of the copyright permission to UMI at the same time you submit your dissertation.

Margins

All materials in the dissertation (such as appendices, etc.) must conform to these margin requirements:

- Use a 1-1/2” margin on left (mandatory for binding).
- Use a 1” margin on top, right, and bottom margins.
- Follow the guidelines suggested in this section for pages that fall outside the size restrictions for page margins (see “Oversized material” in this manual, p. 17).
Spacing and Indentation

When working on spacing and indentation, make sure of the following:

✓ The body of the dissertation is double-spaced.

✓ The reference list is double-spaced (individual references are single-spaced, see “References” in this manual, p.11).

✓ Long block quotations and footnotes are single-spaced.

✓ There are two spaces after each period ending a sentence, with one space after colons and semi-colons within a sentence.

✓ There are no words divided from one page to the next. (Use a standard dictionary for the proper division of words.)

✓ No pages end with headings or subheadings.

✓ There are no paragraphs that end with one line at the top of a page.

Pagination

When paginating your dissertation, be sure of the following:

✓ All pages of your dissertation, including any blank pages, are counted in the numbering, even if the number is not printed on the page. However, the Institutional Review Board clearance (Project Action Summary Form) should be the very last page of your dissertation and not numbered nor counted in your pagination.

✓ There are no breaks in the numbering sequence.

✓ The front matter is numbered with small Roman numerals (i, ii, iii, etc.).

✓ The Roman numeral pagination is placed at the center of the lower margin, one-half inch up from the bottom of the page.
There is no printed pagination on the title page.

The body is numbered with Arabic numerals (1, 2, 3, etc.), beginning with chapter one.

Pages are numbered in the upper right-hand corner in a header.

Tables and Figures

Use APA sixth edition for all charts, tables, graphs, figures, and captions. Please refer to the APA manual for details. Tables and figures are numbered in Arabic numerals.

Tables. All elements of the table should be double-spaced. The table caption appears at the top left side of the table. The caption for a table includes the word “Table” and table number, corresponding to the order mentioned in the main text, followed by a carriage return (double-spaced), and an italicized descriptive phrase. (Note: Only the first letter in the caption is capitalized.) Any notes for the table are located beneath the table and begin with “Note” (italicized and followed by a period, and all notes are single-spaced). For additional guidelines about tables, see APA sixth edition (pp. 125-150) using the Table Checklist (APA manual, p. 150) to ensure effective presentation of your data and correct style conformity.

Figures. The figure caption is placed at the bottom left of the figure. The caption for a figure includes the figure number (italicized, followed by a period and space) and a descriptive phrase (e.g., “Figure 1. A pie chart of enrolment rates by gender”). (Note: Only the first letter in the descriptive phrase is capitalized.) For additional guidelines about figures, see APA sixth edition (pp. 150-161) using the Figure Checklist (APA sixth edition, p. 167) to ensure effective figure communication and correct style conformity.

Additionally, when preparing tables and figures you should:

Include caption and notes on the same page as the table or figure.
Avoid large empty spaces – but if the figure or table is large, it should be presented on its own page.

If you choose a landscape orientation for the table or figure, the top of the table or figure should be at the left margin. The pagination should remain at the top right corner of the portrait orientation (same as rest of document).

If you are using photographs, they must be treated as figures, with the same captioning and margin requirements. When including photographs, you must either electronically paste the photograph into the text (if the resolution is clear enough), or dry mount to the page in each copy of the dissertation you submit for binding.

**Oversized material.** If a table or figure is too large to fit on one page, use one of the following alternatives:

**Tables.**

- Try landscape rather than portrait orientation.
- Reduce the table to fit on one page (do not reduce the table number and caption). Make sure that it is still readable.
- Simply continue the table on the next page (without making the table face itself). Head the subsequent pages with the table number (e.g., “Table X”) and indicate the table is continued (e.g. “cont.” italicized). Do not reprint the descriptive phrase on the second page.

**Figures.**

- Try landscape rather than portrait orientation.
✓ Reduce the figure to fit on one page (do not reduce the figure number and caption). Make sure that it is still readable.

✓ If margins need to be adjusted to accommodate the figure, you may decrease the margins (for this page only) to 1” on left margin, and ¾” on all other margins, adjusting the location of the page number as required.

**Paper**

Your dissertation should be printed on a laser or inkjet printer in black ink. Be sure of the following:

✓ The original copy is on 20-pound, white, acid-free (minimum one percent alkaline reserve) bond paper, 8-1/2 x 11 inches (see acceptable paper list below).

✓ The original copy is not punched and is unbound.

✓ There are no smudges, spots, glitches, or shaded background.

✓ All paper is of the same size and weight.

✓ Pages are printed on one side only.

✓ Standard photo duplication paper may be used for the copies of the original.

   However, copies done on self-copy machines are rarely clean enough to meet the university’s quality standard. We recommend using a commercial copy company.

The following 20-pound, acid-free papers are the best to use for a long “shelf life” without disintegration:

- Xerox Image Elite Paper
- Cascade Bond
- New Brite (Meade Corporation)
- Xerox Laser Copy Paper
• American Eagle
• Resolve Bond
• Protocol 100
• Strathmore Bond
• Howard Permalife
• PermaDur and Nollinger Acid-free Bond
• Crane’s Thesis Paper
• Eaton Parchment Linen
• Old Council Tree Bond 100% Cotton Fiber
• Strathmore Bond Opaque 25% Cotton Fiber USA
• Fox River Bond (by Fox River Paper Company)
• Neenah Copier Bond

**Typist and Reproduction Services**

If you chose to use a typist or reproduction service in the production of your dissertation, you must ensure that the format requirements are maintained, and the final overall appearance meets the requirements as outlined in this manual. This is your responsibility and your dissertation will not be accepted if it does not conform to the requirements.

The SOLES faculty and staff cannot recommend any typist or reproduction service.

We urge you to use caution when securing such services.
Final Check

Before your dissertation can be filed with Graduate Records, you must submit a copy to your Committee Chair and subsequently to the Leadership Studies office for format evaluation. See Appendix B for the Format Checklist.
APPENDIX A

Top Ten Tips for Successful Formatting
1. Your name on the title page appears exactly as it is in our records. Many students have a legal full name they do not use on a regular, daily basis. However, the name on the title page of the dissertation must be your legal full name as indicated in USD’s records based on your current registration with the university.

2. Name of the program/degree on the title page is correct. There is one doctoral degree in Leadership Studies and it is a Doctor of Philosophy degree. This is what you include on your title page. Your program, specialization, or concentration is not noted on your dissertation title page.

3. Student's faculty committee is listed consistently with what we have on record, and the names/degrees are spelled correctly. Be sure you have officially changed your committee with us if membership is different from when you first advanced to candidacy. Also, be sure you have spelled the names of your committee members correctly and consistently (e.g., between the title page and the approval page). Contact the Leadership Studies office for proper form and spelling of faculty names, including middle initials and their degrees.

4. Abstract is under 350 words. You must ensure that your abstract is 350 words or less. If it is not, your dissertation will be returned to you, or even if we miss catching the overage, your abstract will be truncated by the UMI service. Nothing would look worse around the world than having your abstract end with, “…and the results showed that.”

5. Dedication and/or acknowledgements are double-spaced. These must be double-spaced. See this format manual for further formatting information for your dedication and/or acknowledgements.

6. Table of Contents matches the dissertation content. Ensure that the page numbers for each section in the Table of Contents matches the actual pages on which the sections of the dissertation fall, and that all headings and subheadings match.

7. Pagination is correct. Follow the Doctoral Dissertation Format Manual for the correct numbering of all front matter, body, and back matter pagination.

8. First page of each chapter has a page number. All pages of the main body of the document must have a page number. Beware of preformatted software programs.

9. Reference list matches the citations within the dissertation. Make sure each citation is listed in the reference list, and that each listing in the reference list appears in the dissertation. Also ensure that the spelling of names and years of publications are the same.

10. Candidate is proactive and leaves plenty of time to attend to formatting details! Make sure you allot proper time to follow the requisite guidelines.
APPENDIX B

Dissertation Format Submission Checklist
This checklist is simply a final reminder on the main format requirements. Please ensure that you have closely adhered to the format requirements in this *Doctoral Dissertation Formal Manual* so that you are submitting a properly formatted document.

Please review and complete all checklist items BEFORE submitting this form, along with the dissertation, to the Leadership Studies office, MRH 275.

☐ Title Page formatted correctly
☐ Abstract is maximum 350 words and formatted correctly
☐ 1.5” Left Margin
☐ 1” Top, Right & Bottom Margins
☐ 12-point Times Roman or Courier Font
☐ Double spacing throughout the document
☐ Pagination is continuous and placement of numbers is consistent throughout
☐ All pages are in order
☐ Front Matter is in the proper order
☐ Table of Contents meets specified format
☐ Chapter titles meet specified format and are consistent throughout manuscript
☐ Oversized material is in one of the three alternative formats
☐ Tables and Figures are consistent with APA 6th Edition
☐ Institutional Review Board clearance (Project Action Summary Form) is the very last page of the dissertation and not included in pagination

By signing below, the doctoral candidate acknowledges adherence to the required dissertation format criteria, including those listed above.

______________________________
Doctoral Candidate Name (please print)

______________________________  ____________
Signature  Date

I believe that this dissertation is ready for submission.

______________________________  ____________
Department of Leadership Studies Assistant  Date

* Students must take this completed form, along with other materials, to Graduate Records to complete dissertation submission process. See the *Doctoral Handbook* for details.*
APPENDIX C

Sample Title and Copyright Page
TITLE OF THE DISSERTATION
SUBTITLE LINE IF NEEDED

by

Your Name

A dissertation submitted in partial fulfillment
of the requirements for the degree of

Doctor of Philosophy

Month & Year of Degree Conferral

Dissertation Committee

Chair’s Name with Middle Initial, Degree
Second’s Name with Middle Initial, Degree
Additional Member’s Name with Middle Initial, Degree

University of San Diego
APPENDIX D

Sample Approval Page
UNIVERSITY OF SAN DIEGO
SCHOOL OF LEADERSHIP AND EDUCATION SCIENCES

CANDIDATE’S NAME: First Middle Last

TITLE OF DISSERTATION: ALL CAPS

APPROVAL:

First Middle Last, Degree Chair

First Middle Last, Degree Member

First Middle Last, Degree Member

DATE: Month Day, Year
APPENDIX E

Sample Copyright Material Usage Request
To whom it concerns:
I seek permission to reprint the following material from your publication:

[author]
[title of publication]

A copy of the material requested to be used is attached for your reference.

This material is to be reprinted in the following dissertation:

[your name]
[title of dissertation]
[estimated publication date]

Sincerely,

[dissertation author’s signature]

Permission Granted By: ________________________________ (Name, Title)

Conditions:
________________________________________________________
________________________________________________________
________________________________________________________

_________________________________________  ______________
Signature                     Date
APPENDIX F

Sample Abstract
ABSTRACT

Public education is undergoing a process of re-acculturation fueled by standards-based reform initiatives. Student content standards suggest fundamental changes in the way teachers, schools, and districts think about and do their work. These substantive reform efforts require a parallel reorganization in professional development processes. Traditional models that rely on episodic, large-scale workshops are insufficient to support teachers to meet the demands of a standards-driven system. San Diego City Schools has developed an innovative approach to teacher training that is context and situation specific. The observation-based model of professional development utilizes a unique training environment and process. A fully functioning classroom is attached to a professional development center via a one-way mirror. Participants are able to see, hear, and study exemplary models of teaching and learning in real time.

This evaluation study examined the training model and its potential for impact on the practice of participants. Three research questions guided this investigation: (a) How do participants assess the observation-based model of professional development?; (b) What are the factors that act to support or impede participants' implementation of those instructional strategies demonstrated in the observation-based model of professional development?; (c) What is the perceived impact of the observation-based model of professional development on teachers' pedagogical practice?

Quantitative and qualitative methodologies supported the study of these questions. A survey was administered to teachers and school leaders who participated in the observation-based model of professional development. Focus groups were formed to investigate the themes that emerged from the survey results. And, a select number of site administrators were
interviewed to elicit more detailed implementation data. The findings suggested that: (a) participants assessed the training model as appropriate and relevant; (b) participants implemented or planned to implement some of the learnings into their classrooms and schools; and (c) a number of professional and political barriers posed real or perceived barriers to implementation.

San Diego City Schools is committed to offering an observation-based model of professional development for teachers to illustrate effective literacy instruction. This formative evaluation study provides a baseline of data that may be used to inform programmatic decisions and improvements.