California Lutheran University
School of Education

Dissertation Formatting Guidelines & Requirements

Doctor of Education Program

Summer 2009

©

TABLE OF CONTENTS

INTRODUCTION

These guidelines reflect APA style as closely as possible and were developed with the consultation of a CLU advisory committee and two external manuscript editors. The goal of this document is to help you with final formatting of your dissertation and to create consistency among all cohort dissertations. Please share these guidelines with your manuscript editor. It is anticipated that changes will be minor. Sample pages modeling the format are included.

General Requirements

Paper

- Paper must be at least 20 pound, 25% cotton, bond.
- Recommended: Southworth Fine Business Paper, 25% cotton, 20 pound, white, stock #403C (Available for purchase through Office Depot, Officemax, Staples)

Typeface

Size

- Font size for basic manuscript text should be 12-point.

Font

- Times New Roman in 12-point is a standard type and size.

- Make one space at the end of a sentence and one space after a colon.

Spacing

- Add 1 space at the end of each sentence and after a colon

Manuscript Formatting

- Top Margin: 1"

- Each new section--dedication page, table of contents, list of figures, list of tables, list of figures, list of symbols, acknowledgements, vita, abstract, chapters, notes, references, appendix, etc.--should have a 2" top margin. Depending on the word processing program you are using, the top margin may end up 1.9" or 2.1". This is acceptable, as long as top margins for sections are consistent throughout the document.

- Left margin: 1.5" (must be wide for binding requirements).

- Right margin: 1" (left justification for a ragged right margin)

- Bottom margin: 1" (page numbers should sit at the 1", text will then sit approximately 1.25' to 1.5" from bottom of page depending on the word processing program you are using).

- Set Widow/Orphans control. A widow is the last line of a paragraph printed by itself at the top of a page. An orphan is the first line of a paragraph printed by itself at the bottom of a page.

  On the Format menu, click **Paragraph**, and then click the **Line and Page Breaks** tab. Select the **Widow/Orphan** control check box.

Pagination

Number all pages except for the title page following these guidelines:

- **Lower case Roman numerals** are used for the preliminary pages (beginning with the signature page (iii) through last abstract page). The preference is for these to appear at the bottom of the page, centered. This may require creating a separate section for these pages.

- **Arabic Numerals** are used following the abstract for the remainder of the dissertation.

- These page numbers should appear at the bottom and centered of each page.

- The title page and copyright page should be unpaginated.

Note: Your manuscript editor will know how to create the sections. If you are typing the document on your own, this pagination task may be difficult and you can choose to place the Roman numerals at the bottom of the page. (See the section on creating a section break.)

Title Page Organization

- *Institution Name:* CALIFORNIA LUTHERAN UNIVERSITY (All caps)

- The name starts 2" from the top of the page.

  Dissertation Title: Title should appear with initial caps. The title is to be 14 point. Example:

  CALIFORNIA LUTHERAN UNIVERSITY

  Advancing Educators: Master Teachers Renewing Practices
  at a Professional Development School

  APA style recommends initial cap for all words of four letters or more. (Prepositions and articles are not capped. See *APA Manual,* Section 3.13 p. 95, 5th edition.)

- A long title should be "stacked" as an inverted pyramid with close to equal lines:

  A Comparison of Graduates' and Principals' Perceptions of California
  Teachers Prepared Through Alternate and Traditional Certification

- *Statement:* A dissertation submitted in partial satisfaction of the requirements for the degree Doctor of Education in Educational Leadership

- *Department:* School of Education

- *Candidate:* Name

- *Date:* Should be date you receive your degree not when you completed the dissertation, e.g. May 2010

- A word about titles: Create a crisp, descriptive title. Avoid lengthy and detailed titles and avoid titles that simply repeat your research question

Order/Appearance of Front Pages

1. Title page (Counted but not numbered)
2. Copyright page or blank page. The copyright notice should be placed near the center of the page
3. Signature page (Follow sample)
4. Dedication page (Optional)
5. Table of contents (Follow sample)
6. List of figures, list of tables, list of symbols (Containing page numbers) (Follow sample)
7. Vita (Optional)
8. Acknowledgements (Optional)
9. Abstract (Final item with Roman numerals)

Signature Page

- List committee members only in alphabetical order, listing highest degree of each committee member. These should be single-spaced.
- The last signature should be the committee chair

Graduate Studies

at

California Lutheran University

Upon the recommendation of the dissertation committee,
this dissertation by Gayle I. Pinkston is hereby accepted in
partial fulfillment of the requirements for the degree of

Doctor of Education

_____
Deborah E. Erickson, Ed.D.

_____
Rita Wolenik, Ed.D.

_____
James R. Valadez, Ph.D.
Committee Chair

_____
Date

Abstract

The abstract is a brief descriptive summary of the dissertation. It should include a definitive statement of the problem, a brief description of the research method and design, major findings and their significance or lack there of, and conclusions. The abstract must carry a title page.

- The abstract should be double-spaced and limited to 350 words. Top margin should be 2"
- The title should be in all caps and read ABSTRACT OF THE DISSERTATION with the title of the dissertation directly below, single-spaced:

ABSTRACT OF THE DISSERTATION

Advancing Educators: Master Teachers Renewing Practices
at a Professional Development School

by

Gayle I. Pinkston

Doctor of Education in Educational Leadership
School of Education
California Lutheran University, 2006
Dr. James R. Valadez, Chair

This qualitative study followed a grounded theory design inquiring into school renewal at Benjamin Professional Development School (PDS). The participants were the master teachers, and the data sources included historical documents and a field notebook. Multiple collection methods were used, including a questionnaire, interviews, and observations. The author used a constant comparison analysis to develop an emerging theory, and triangulated the findings. The procedures of open coding, axial coding, and selective coding found themes and patterns grounded in the data, and member checking validated the information. The author found that the phenomenon of a heightened awareness influencing master teachers to make changes in educational practices proved beneficial. The author proposes a theoretical model of school renewal illustrating this process and recommends further studies and sharing findings for a greater understanding of professional development schools.

Sample Vitas

Example #1

VITA

Michele Rose Sanford-Dean

ADDRESS: 2501 Topaz Court
Oxnard, California 93030

EDUCATION: Ed.D. 2006 California Lutheran University
Educational Leadership

M.A.   1989 California Lutheran University
Educational Administration/Bilingual Education

B.A.   1978 California Lutheran University
Liberal Arts/Spanish

PROFESSIONAL EXPERIENCE:

2003-Present   Principal, Montalvo School, Ventura Unified School District

1999-2003   Manager, Professional Development Curriculum, Assessment
and
Instructional Services, Oxnard Elementary School District

1998-1999   Assistant Principal, Ocean View Junior High School, Ocean
View
School District

1979-1998   Bilingual Teacher, Mar Vista Elementary School, Ocean View
School District

Example #2

VITA

Sheila Harmon graduated with a bachelor of science degree in education from Ohio University in 1973. She received a master's in education from California Lutheran in 1984. In 2002, she obtained a master's in clinical psychology with an emphasis in marriage and family therapy and is a California State licensed marriage and family therapist (LMFT) certified in infant, toddler, and family mental health. As a therapist, she has worked with many childhood difficulties, including adjustment problems, autism, medical illness, and adoption (international and domestic). She is also credentialed by the State of California to teach the following programs: preschool, kindergarten, Grades 1 through 12, adult classes, severely handicapped, physically handicapped, learning handicapped, and resource specialist. Over a 30-year span, she has worked as an educator teaching a wide variety of children from infancy to middle school. Her teaching experiences include both conventional and special education classrooms. These experiences as a teacher and a therapist have integrated to create a perspective that incorporates both educational and psychological viewpoints. Her theoretical orientation can be described as developmental and relationship-based psychotherapy.

Table of Contents/List of Tables/List of Figures format

- Table of Contents / List of Tables / List of Figures (Initial caps)

- Top margin 2"

- TABLE OF CONTENTS heading 12 pt. Roman all caps

- Use dot leaders to flush right page number

- Words "TABLE OF CONTENTS" (etc.) should be 5" from top of page

Chapter titles

Chapter titles in text should begin 5" from top of page. Chapters and titles should be in all caps:
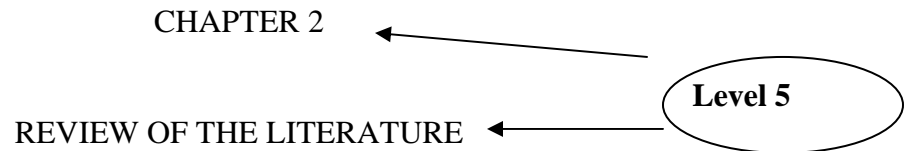
CHAPTER 1

INTRODUCTION

Overview of the Problem

Despite the rapid growth of professional development schools (PDSs) and the increased abundance of information about them, a need continues for more rigorous research. Strong evidence supporting their benefits is critical to warrant further development and implementation. Teitel (2000) believed PDSs would wither away without substantial documentation.
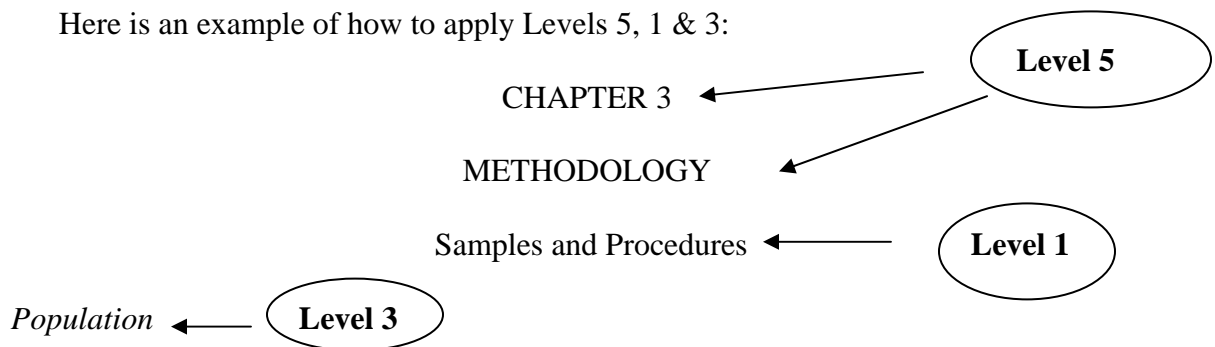
APA Heading Levels

- CLU has adopted the three levels format of APA as describe on pages 114-115 of the APA style manual. Level 5 is required for Chapter headings:

Chapter titles are **Level 5** (CENTERED UPPER CASE HEADING)

CHAPTER 2

Level 5

REVIEW OF THE LITERATURE

Here is an example of how to apply Levels 5, 1 & 3:

Level 5

CHAPTER 3

METHODOLOGY

Samples and Procedures   **Level 1**

Population   **Level 3**

- See *APA manual*, Section 3.31, pages 113-115 for additional examples of headings. See also pp. 289- 290 of APA manual for further discussions on headings.

Here is how Levels 1, 3 & 4 will appear as described on pages 114-115 of APA:

Method ← (**Level 1**)

Apparatus and Procedure ← (**Level 3**)

Pretraining period. Text of paragraph follows. ← (**Level 4**)
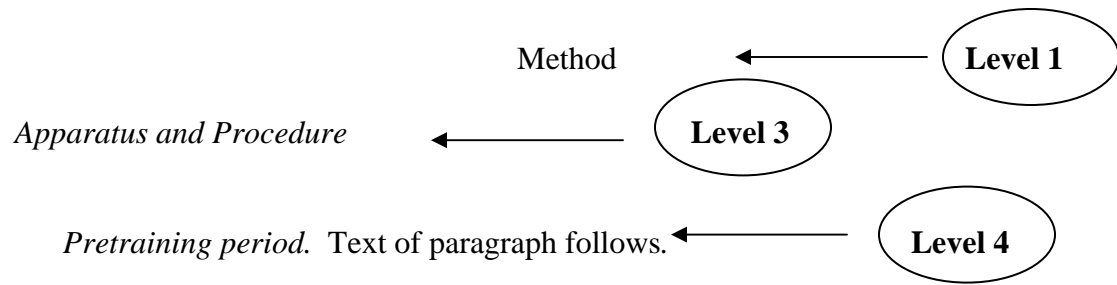
See Appendix A for additional information

Quotations

- *Short quotes:* Quotations of fewer than 40 words should be incorporated into text and enclosed by double quotation marks. See APA manual, p. 292.

- *Long quotes:* Block quotes of 40 or more words should be displayed in single space with double space before and after. Example:

  The challenge of qualitative analysis lies in making sense of massive amounts of data. This involves reducing the volume of raw information, sifting trivia from significance, identifying significant patterns, and constructing a framework for communicating the essence of what the data reveal. (p. 432)

Tables

Spacing in tables

- Single space text.
- Tables should be embedded in the text of the manuscript and placed as aesthetically as possible after they are first mentioned.
- Tables are numbered in the order in which they are discussed.
- Tables should not be split between pages unless a table in itself is more than one page long.
- Each table should be labeled e.g.:

Table 2.1
Table 2.2

- Table 2.1 is the first table in Chapter 2; Table 2.2 is the second table in Chapter 2, and so on. The same would be true for numbering figures, boxes, charts, maps, and the like.

Example of a table:

Table 4.1
T-test (2-tailed) Results for Freshman Seminar Class (N = 13*)*

	Paired differences						t	df	Sig. (2-tailed)
	M	*SD*	Std. error mean	95% confidence interval of the difference					
Pair 1 Pretest-posttest	-1.38462	2.22817	0.61798	-2.73109	-0.03815		-2.241	12	0.045

References Page

- Top margin of the first page of the references should be 2." All other reference pages are 1" top margin.
- REFERENCES precedes list of references. References should begin on same page.

References and Appendices

- References should appear first.

- References should appear single spaced, with double between. Example:

REFERENCES

Andretta, S. (2005). *Information literacy: A practitioner's guide.* Oxford, England: Chandos Publishing.

Aspin, D. N., & Chapman, J. D. (2000). Lifelong learning: Concepts and conceptions. *International Journal of Lifelong Education, 19*(1) 2-19.

Association of American Colleges and Universities (AACU). (2002). *Greater expectations: A new vision for learning as a nation goes to college national panel report*. Washington, DC: Author.

- Appendices follow references.

- The format should be: Appendix A, Appendix B, Appendix C. **Note: *Appendix items are lettered in the body of the document and placed in the Appendices in the order in which they are mentioned.***

Footnotes and Endnotes

Footnotes and Endnotes credit the sources of referenced or paraphrased material. These refer readers to exact pages of works listed in the References section.

- Footnotes are placed numerically at the foot of the very same page where direct references are made.

- Endnotes are placed numerically at the end of the chapter on a separate page entitled Endnotes or Notes.

To add a footnote, with your cursor blinking where you want to add the superscript, click on the Insert menu, then click on Reference and then on Footnote. In the box that appears, choose Footnotes and use the pull-down menus (if necessary) to choose Bottom of page, correct number formatting (1, 2, 3 . . .), and Continuous. Click on Insert. A superscript number will appear at the bottom of the page where you can enter the footnote text.

Section Breaks

To add a section break: On the Insert menu, choose Break, and in the box that appears, find "Section break types" and choose "Next page."

For more help on working in Word, there are a number of free tutorials on the Internet. Search for "free Word tutorials" using your favorite search engine (e.g., Google.com, Yahoo.com, dogpile.com).

A Word about Copyright

What is copyright?

Copyright protects the published and unpublished works of authors of literary, dramatic, musical, artistic, and certain other intellectual forms of expression such as digital works. Copyright aims to foster the creation of all forms of intellectual property or works of authorship by providing fair returns to creators and copyright **owners** and to curb unauthorized and uncompensated copying (Association of American Publishers, 2006).

Copyright:

- Protects the published and unpublished works of authors
- Allow quoting a source and citing source
- Forbids "stealing" others' words and ideas

Avoid copyright problems by:
- Citing every source you use

- Paraphrasing

Always seek the publisher's permission when you plan to use:

- Charts, figures, tables from published or unpublished works

- A test or instrument

- Graphics, images, content from a Web site

Writing to Avoid Plagiarism

Paraphrase often and cite you every source you use to avoid plagiarism

Paraphrasing means restating or rewriting an author's words into your own words without altering the original meaning or ideas conveyed by the author.

Guidelines for effective paraphrasing

- Read and reread the passage
- Outline using own words and phrases
- Write the passage
- Use different words, synonyms, new phrases
- Create a different sentence structure
- Use different arrangement of points and ideas
- Compare original with paraphrase
- Cite the source

Common Paraphrasing Errors

- Changing few words
- Keeping same sentence structure
- Adding own ideas/explanations
- Evaluating, judging, interpreting
- Exaggerating, misrepresenting source

Final Copies

After your final draft has been approved you are then ready to print the final copies on 25% cotton bond paper. These are to be professionally bound. You are required to provide three copies:

1 for the School of Education
1 to your committee chair
1 to the Pearson library

In addition, please provide the Pearson Library with an electronic copy which will be added to CLU digital archives called Metacat. The electronic version will also be sent to University Microfilm International (UMI) for inclusion in a searchable database of dissertations. Your electronic document can be in Word format or PDF format. Please send your final electronic copy to Henri Mondschein at mondsche@clunet.edu

Submitting Your Dissertation to ProQuest CSA

Your final version which includes the signatures must be submitted electronically to ProQuest CSA. This will enable your dissertation to be listed in the Dissertation Abstracts database and if you choose, made available in full-text to researchers worldwide. You will need to scan your signature page and add it to the final PDF version. If you will use the Conejo Unified School District printers, Kinkos or another service, they can help you with scanning the signature page and creating the final PDF document. You will have options for releasing your dissertation as "open access" or "traditional publishing."

You will need to make a credit card payment to ProQuest for processing the manuscript and for copyright fees. ProQuest charges a standard fee of $55 for the archiving of the dissertation, and UMI Dissertation Publishing charges $65 to file for copyright on your behalf.

Follow this link for complete information: http://dissertations.umi.com/callutheran/

APPENDIX A

APA HEADING LEVELS
(level 5, centered, all caps)

By Lisa Elliott
Dissertation Editor

Common Headings and How to Format Them
(level 1, initial caps only, centered)

Level 3

      Flush right, italics, drop down to the next line and indent. Most APA papers (according to the APA Publication Manual) use only levels 5, 1 and 3. However, I've seen a number that also use heading level 4.

      Level 4. Indented, italics, followed by a period. The text of your paper will follow directly after that period. Level 4 is never included in the table of contents (TOC). Table of contents only includes levels 1 and 3.

Important Points

Every heading must have a counterpart within the same section. This means:

- If you use a level 1 heading within a chapter, you must use at least one more level one heading within that chapter.

- If you use a level 3 heading, you must use at least one more level 3 heading before you move on to another level one heading.

- If you use a level 4 heading, you must use at least one more level 4 heading before you can move on to another level 3 or level 1 heading.

Here is an example of an outline for a paper on Portuguese Water Dogs. Please note, this is not a TOC (table of contents). It is an outline only. A TOC would not show the level 4 headings.

Level 5
Level 1
Level 3
Level 4

<div align="center">PORTUGUESE WATER DOGS (Level 5)</div>

CHAPTER 1   History of the Portuguese Water Dog (Level 1)
        Portuguese Water Dogs at work (Level 3)
        The Rise of Commercial Fishing (Level 3)
            Decline in popularity (Level 4)
            Rare Breed Status (Level 4)
        A Movement to Restore the Breed (Level 3)

Notice, there are 3 level 1 headings (headings in green) following the level one heading (chapter heading in blue). APA requires that you use at least 2 IF you use any at all. But there is not upper limit on how many you can use.

You will also notice that there are no level 4 headings (orange) following the first level 3 heading. This is okay. You are NOT required to use any at all. But if you use one, then you must use at least 2.

2. The second issue that I see with headings is an overuse of levels 3 and 4. APA does not have specific guidelines on this, but remember, if you break your paper into sections that are too many and too short, it can lose some integrity. The strength of your research and your arguments can be compromised if it appears that you don't have very much to say. It's not that you actually write "less" but it can appear to be less by breaking it down too much.

Need Further Assistance?

Contact:

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