MANHATTANVILLE COLLEGE
SCHOOL OF EDUCATION
and
COLLEGE LIBRARY
FORMATTING GUIDELINES FOR
DOCTORAL DISSERTATION
DOCTOR OF EDUCATION
IN EDUCATIONAL LEADERSHIP

June 4, 2015

In writing this guide the author consulted and adapted materials from the graduate education and graduate school dissertation guidelines of Fordham University Graduate School of Education, Cornell University, and Piedmont College School of Education. The author also consulted doctoral faculty and incorporated their feedback and advice.
# Format and Style for the Dissertation

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Format and Style for the Dissertation

Candidates for the Ed.D. degree in educational leadership at Manhattanville College should prepare their dissertation documents according to the format specifications outlined in the *Publication Manual of the American Psychological Association* – current 6th edition. In some instances these specifications will be superseded by the special format requirements outlined and included here by the School of Education at Manhattanville College. Please refer to your advisor and dissertation committee with any questions and for final approval.

1. **Overall requirements**
   a. Type specifications – the preferred typeface is Times New Roman, with 12 point font size.
   b. Margins – leave 1 inch margins at the top, bottom, and right of every page. For binding purposes leave 1.5 inch margin at the left of every page. Use the flush-left style margin; do not justify the right margin.
   c. Page numbers – all pages in a dissertation must be counted although all page numbers will not appear on the dissertation. Use lower case Roman numerals for front matter and Arabic numbers for the body. Not all sections of the front matter are required so the page numbers will adjust accordingly. Page numbers appear on the upper right of the page.
   d. **Spacing - the text of the dissertation is double spaced.** Exception – the citations in the References list may be single spaced within the citation and double spaced between individual citations.
   f. Voice/Tense - the dissertation may be written in either first or third person, past tense.

2. **Sections and Sequence – listings:** This list provides the page order for the dissertation. Each section begins on a new page.
   a. **Traditional 5-Chapter Dissertation**
      1) Front Matter
         a) Title page – i *(page counted but not numbered on page – required)*
         b) Notice of your copyright – ii *(page counted and numbered – required)*
         c) Acknowledgements – iii *(page counted and numbered if included, not required)*
         d) Dedication – iv *(page counted and numbered if included, not required)*
         e) Table of Contents – v *(page counted and numbered – required)*
         f) List of Tables – vi *(page counted and numbered if necessary; page...*
number will depend on the number of pages in the Table of Contents)

2) Body of the dissertation
   a) Abstract – (up to 350 words - begin page 1)
   b) Chapter One – Introduction
   c) Chapter Two – Review of the Literature
   d) Chapter Three – Research Design and Methodology
   e) Chapter Four – Data Analysis and Findings
   f) Chapter Five – Discussion, Conclusions, Recommendations

3) References – only literature cited in chapters

4) Appendices – in order of appearance in text

5) Biography (not numbered)

6) Permission to use copyrighted material (if needed, refer to information in the copyright section of this document)

b. Three-Article Dissertation
   1) Front Matter
      a) Title page – i (page counted but not numbered on page – required)
      b) Notice of your copyright – ii (page counted and numbered – required)
      c) Acknowledgements – iii (page counted and numbered if included, not required)
      d) Dedication – iv (page counted and numbered if included, not required)
      e) Table of Contents – v (page counted and numbered – required)
      f) List of Tables – vi (page counted and numbered if necessary; page number will depend on the number of pages in the Table of Contents) [unless contained within each article]
      g) List of Figures – vii (page counted and numbered if necessary;
page number will depend on the number of pages in the table of contents) [unless contained within each article]
h) List of Appendices – vii (page counted and numbered if necessary; page number will depend on the number of pages in the table of contents) [unless contained within each article]

2) **Body of the dissertation**
   a) Abstract – (up to 350 words - begin page 1)
   b) Chapter One – Introduction that introduces the three articles and explains how they are related)
   c) Chapter Two – Article #1 (in the format of the target journal)
   d) Chapter Three – Article #2 (in the format of the target journal)
   e) Chapter Four – Article #3 (in the format of the target journal)
   f) Chapter Five – Synthesis that ties the three articles together and proposes both the general implications and future research that naturally follows from the work already done

3) **References** [unless contained within the article]

4) **Appendices** as needed [unless contained within the article]

5) **Biography** (not numbered)

6) **Permission to use copyrighted material** (if needed, refer to information in the copyright section of this document) [unless contained within the article]

3. **References list and in text citations**
   a. The References section at the end of the dissertation must contain full and accurate information about all of the works cited in the dissertation. This ensures that the works are properly identified and can be located. Include in the References list only the sources that were used in the research and preparation of the dissertation. **The References list will be created using the format style requirements as published in the Publication Manual of the American Psychological Association – current 6th edition, 2010.** This includes including at the end of the citation the DOI number for all journal articles where a DOI number has been assigned. For those articles where no DOI number has been assigned, the URL of the home page for the journal, newsletter, or magazine is included. (APA, p. 198)

   b. Exception – the citations in the References list may be single spaced within the citation and double spaced between the citations.
c. Source citations are required in the text whenever a direct quotation, paraphrase, or summary of another’s work or information that is not considered common knowledge is used within the dissertation. The in text citation format will be created using the format style requirements as published in the Publication Manual of the American Psychological Association – current 6th edition.

d. APA requires the author, date, page number in text citations for all quoted material and the author, date for paraphrased and summarized material although page or paragraph numbers are encouraged to help the reader locate the relevant paraphrased or summarized materials. (APA, p. 171)

e. Regarding the use of secondary sources (material of others quoted or paraphrased in the document in hand), APA suggests using secondary sources sparingly, for instances, when the original work is out of print, unavailable through usual sources, or not available in English. (APA, p. 178)

4. Copyright

a. The use of any copyrighted material requires giving full credit to the author or publisher of the material as outlined above including in text citations and References list.

b. In addition, the fair use of copyrighted work for such things as scholarship or research is not considered an infringement of copyright. However, if material beyond the concept of “fair use” has been included in the dissertation, written permission from the copyright owner must be obtained by written letter and included with the dissertation.

1) Please refer to the ProQuest/UMI® Guide F2011 – Copyright and your dissertation or thesis for detailed information. This document can be accessed at: http://www.proquest.com/assets/downloads/products/UMI_CopyrightGuide.pdf

2) APA addresses the copyright issues in section 6.10: Permission to Quote, Reprint, or Adapt on page 173 of the Publication manual of the American Psychological Association – 6th edition.
5. Sections and Sequence – detailed information

a. Front Matter
   1) Title page – i (i does not appear on the page) EXAMPLE in Section 6
   
   a) All information on the title page is centered.
   
   b) The title of the dissertation begins at the top of the page, is centered, double spaced, and appears in all capital letters in an inverted pyramid. The *Publication Manual of the American Psychological Association* – 6th edition recommends a title no more than 12 words in length and should state the “main topic and identify the variables or theoretical issues under investigation and the relationship between them” (p. 23). Words in a title are important electronic access points so should reflect the subject content. Words in place of symbols and formulas are used.
   
   c) The author’s name begins four lines down from the last line of the title, is the name under which the author is registered at Manhattanville College and is capitalized. Any subsequent mention of the author’s name with the dissertation must appear as on the title page.
   
   d) The previous degrees, degree granting institution, and date of the degree of the author follow two lines after the author’s name with single spacing between individual degrees. Use abbreviations to denote the form of each degree. No need to list non-degree credentials.
   
   e) The name with signature and date of the dissertation chair, committee members, and Dean of the School of Education begin four lines after the author’s degrees as shown in the Title Page example in Section 6. Approval of the chair and committee members is typically given on the day of dissertation defense, unless major revisions are required. The signature page needs to be scanned and imported into the electronic dissertation document.
   
   f) The SUBMISSION statement begins four lines after the Dean’s signature line, is centered, single spaced, and appears in all capital letters in an inverted pyramid.
   
   g) The location begins two lines after the submission statement, is centered, and appears in all capital letters.
   
   h) The date of degree conferral begins one line after the location and is centered.
2) Notice of copyright – ii  EXAMPLE in Section 6
   a) All dissertation authors should register their dissertation with the U.S.
      Copyright Office to protect their work. For a fee of $55.00, this can be
      done through ProQuest. This is strongly recommended.
   b) This copyright page is numbered ii and is centered on the page vertically
      and horizontally.
   c) The format is as follows
      © AUTHOR’S NAME AS ON FILE WITH THE COLLEGE AND AS
      APPEARS ON THE TITLE PAGE, year of copyright, All Rights
      Reserved.
3) Acknowledgements – iii  EXAMPLE in Section 6
   a) Not required; however, if the author wishes to acknowledge person(s) or
      organizations who assisted in the dissertation process, it is done in this
      section.
   b) Acknowledgement or Acknowledgements is centered on the
      page and begins four lines from the top of the page.
   c) Text begins four lines below Acknowledgement.
4) Dedication – iv  EXAMPLE in Section 6
   a) Not required; however, if the author wishes to dedicate the dissertation to
      a person(s), it is done in this section.
   b) Dedication is centered on the page and begins four lines from the top
      of the page.
   c) Text begins four lines below Dedication.
5) Table of Contents – v  EXAMPLE in Section 6 - OR use Table of Contents
   functionality within Microsoft Word.
   a) The Table of Contents outlines the overall format of the dissertation and
      with the page numbers provides easy access to the contents of the work.
   b) Table of Contents is centered at the top of the page.
c) Two columns follow two spaces down: flush left the section titles and flush right the corresponding page numbers.

d) Section subheadings following APA heading levels format are indented five spaces from flush left respectively.

6) List of Tables – vi EXAMPLE in Section 6

   a) The List of Tables outlines each table used in the dissertation and must include the exact table number, title, and page number.

   b) Please refer to the *APA Publication Manual* – 6th ed. (in particular, 5.07 – 5.19) for directions on the use and format of tables.

   c) List of Tables is centered at the top of the page.

   d) Two columns follow two spaces down: flush left the Table Title and flush right the corresponding page number.

   e) Tables must be placed in the dissertation as close to the first mention in the text as possible and use continuous numbering with Table.

7) List of Figures – vii EXAMPLE in Section 6

   a) The List of Figures outlines each figure used in the dissertation and must include the exact figure number, title, and page number.

   b) Please refer to the *APA Publication Manual* – 6th ed. (in particular, 5.20-5.30) for information about content and preparation of figures. Types of figures include graphs, charts, maps, drawing, and photographs (p. 151).

   c) List of Figures is centered at the top of the page.

   d) Two columns follow two spaces down: flush left the Figure Title and flush right the corresponding page number.

   e) Figures must be placed in the dissertation as close to the first mention in the text as possible and use continuous numbering with Figure.

8) List of Appendices – viii EXAMPLE in Section 6

   a) The List of Appendices outlines materials relevant but outside the main content of the dissertation. This includes but not limited to glossary of terms; consent forms/letters; assent form/letters; Institutional Review Board (IRB) approval letter (*yes, only approval letter*); surveys/
questionnaires; data collection guides/protocols; models/conceptual models; sample codes/interview responses/transcripts; handwritten responses/writing samples; maps, handouts, flyers, brochures; computer printouts; and supplementary tables. **Appendices must be scanned and imported into the electronic dissertation document.**

b) List of Appendices is centered at the top of the page.

c) Two columns follow two spaces down: flush left the Appendix Title and flush right the corresponding page number.

b. Body of the Dissertation

1) Abstract – 1. **EXAMPLE in Section 6**

   a) The Abstract is a concise summary of the contents of the dissertation and should include the problem, the participants, the essentials of the study method, basic findings, and conclusions/implications/applications. Refer to the *APA Publication Manual — 6th ed.*, 2.04 for detailed information about the Abstract.

   b) Abstract is centered four lines down from the top of the page.

   c) The TITLE is centered, double spaced, in all capital letters.

   d) Text of the abstract is not more than 350 words nor fewer than 200 words.

2) Chapters – 2. **EXAMPLE in Section 6**

c. References – **EXAMPLE in Section 6**

   1) References is centered beginning on a new page.

   2) Follow the requirements as stated above and as set forth in the *Publication Manual of the American Psychological Association* — current 6th edition.

   3) Citations may be single spaced with an individual entry but double spaced between entries.

d. Appendices – **EXAMPLE in Section 6**

   1) If only one appendix appears in the dissertation, the word Appendix is centered in capital letters at the top of the page with the title two spaces below.
2) If more than one appendix appears in the dissertation, label them Appendix A, Appendix B, etc.

e. Biography

1) The author’s biography appears here and is not page numbered. **It may run from a single paragraph up to one page. Not required but very common.**

f. Letters of Permission to use copyrighted material

1) Using copyrighted material is designated and defined in the *Copyright Act of 1976*. Within the dissertation if copyrighted material that goes beyond fair use or might infringe on fair use protection is used, the author of the dissertation **must request and receive** in writing permission to use the material.

2) The actual Letters of Permission to use appear in this section. Within the text the permission to use must be mentioned.

3) Very important information contained in the APA *6th* edition Publication Manual: 5.06 Permission to Reproduce Data Displays, p. 128 and 6.10 Permission to Quote, Reprint, or Adapt, p. 173.

6. **Sections and Sequence – Specific examples** - beginning on next page
a. Title page – see full page sample below  [These labels have nothing to do with correct formatting but are inserted to let you know what follows.]
THE TITLE OF THE DISSERTATION IN CAPS ARRANGED IN
AN INVERTED PYRAMID USING A MAXIMUM
OF EIGHTEEN WORDS

FIRST NAME  MIDDLE NAME  LAST NAME
BA, Manhattanville College, 2000
MAT, Manhattanville College, 2005

Dissertation Committee Chair
Name ____________________________________________  ______________
Signature _______________________________ Date

Dissertation Committee Member
Name ____________________________________________  ______________
Signature _______________________________ Date

Dissertation Committee Member
Name ____________________________________________  ______________
Signature _______________________________ Date

Dean of School of Education
Shelley B. Wepner, Ed.D. ________________________________  ______________
Signature _______________________________ Date

DISSERTATION
SUBMITTED IN PARTIAL FULFILLMENT OF THE REQUIREMENTS
FOR THE DEGREE OF DOCTOR OF EDUCATION IN
THE SCHOOL OF EDUCATION
OF MANHATTANVILLE COLLEGE

PURCHASE, NEW YORK
Month 2013
b. **Notice of Copyright** – see sample below
c. Acknowledgement(s) – see sample below
Acknowledgements

Use this section to acknowledge those person, persons, or organizations who assisted in
the completion of the dissertation.
d. **Dedication** – see sample below
Dedication

Use this section if a dedication is given.
e. Table of Contents – see sample below
Table of Contents – sample purposes only

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<td>Dedication</td>
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<td>List of Figures</td>
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<tr>
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<td>Chapter One: Introduction</td>
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**Five-Chapter Empirical Dissertation/Proposal Sample Format** [Sample purposes only - discuss with dissertation chair]

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<tr>
<td>Purpose of Chapter One and How it is Organized</td>
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<tr>
<td>Overview of the Research Problem</td>
<td></td>
</tr>
<tr>
<td>Background of Context</td>
<td></td>
</tr>
<tr>
<td>Description of the Problem and the Research Setting</td>
<td></td>
</tr>
<tr>
<td>Research Questions and/or Hypotheses or Proposition</td>
<td></td>
</tr>
<tr>
<td>Conceptual &amp; Methodological Design</td>
<td></td>
</tr>
<tr>
<td>Significance and Limitations of Study</td>
<td></td>
</tr>
<tr>
<td>Summary</td>
<td></td>
</tr>
<tr>
<td>Chapter Two: Review of the Literature</td>
<td></td>
</tr>
<tr>
<td>Introduction</td>
<td></td>
</tr>
<tr>
<td>Restate Purpose of Study</td>
<td></td>
</tr>
</tbody>
</table>
Chapter Three: Research Design and Methodology

Introduction

Conceptual Design

Methodological Design

Setting

Sampling, Consent, Confidentiality

Data Collection Instruments (Quantitative)

Data Collection Instruments (Qualitative)

Data Analysis Procedures (Quantitative)

Data Analysis Procedures (Qualitative)

Threats to Reliability & Validity

Limitations of the Study

Summary

Chapter Four: Data Analysis and Findings

Introduction

Review of the Study’s Purpose

Results/Findings

Summary of Setting and Data Collection Procedures

Themes
Recapitulation

Narrative

Summary

Chapter Five: Discussion/Conclusions/Recommendations

Introduction

Organization of the Chapter

Restate Research Question

Discussion

Findings

Interpretation of Findings

Relationships/Interrelationships/Connections

Relevance

Unexpected Findings

Conclusions/Implications

Limitations

Recommendations

Summary

References

Appendix A: Glossary of Terms

Biography

Permission Letters To Use Copyrighted Material
f. List of Tables – see sample below
List of Tables [for sample purposes only]

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<td>2. Reliability Statistics of SES Survey</td>
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<tr>
<td>3. Number of Students in After School Program</td>
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</tbody>
</table>
g. List of Figures – see sample below
List of Figures [for sample purposes]

<table>
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<th>Figure</th>
<th>Page</th>
</tr>
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<td>2. Timeline of Interventions</td>
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</table>
h. List of Appendices – see sample below
### Appendices [for sample purposes]

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<th>Letter</th>
<th>Description</th>
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<td>Glossary of Terms</td>
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<tr>
<td>B</td>
<td>IRB Approval Letter</td>
<td>191</td>
</tr>
<tr>
<td>C</td>
<td>Survey Instrument</td>
<td>192</td>
</tr>
</tbody>
</table>
i. Abstract – see sample below
Abstract

THE TITLE OF THE DISSERTATION IN CAPS ARRANGED IN
AN INVERTED PYRAMID USING A MAXIMUM
OF EIGHTEEN WORDS

The abstract should be approximately 250 words, but no more than 350 words nor fewer than 200 words.
j. Chapters with level of heading as stated in section 3.03, pp. 62-63 of the *APA Publication Manual* – 6th ed. – see sample below
Chapter One: Introduction – heading level 1


Overview of the Problem – heading level 2

Purpose of chapter one and how it is organized. – heading level 3

Overview of the research problem. – heading level 3

[Note: Not all heading level 2 sections will have heading level 3 sub-sections]

APA Heading Levels
Example taken from OWL at Purdue – APA Headings and Seriation (https://owl.english.purdue.edu/owl/resource/560/16/)

Level 1 Centered, Boldface. Uppercase and Lowercase Headings
Level 2 Flush Left, Boldface, Uppercase and Lowercase Headings
Level 3 Indented, boldface, lowercase paragraph heading ending with a period. The text begins after the period.
Level 4 Indented, boldface, italicized, lowercase paragraph heading ending with a period. The text begins after the period.
Level 5 Indented, italicized, lowercase paragraph heading ending with a period. The text begins after the period.
k. References – see sample below
References


1. Appendices – see sample below
Appendix A: Glossary of Terms
Appendix B: Manhattanville College IRB Approval Letter
m. Biography – see sample below
Author’s Biography

In this section the author may include a short, personal biography – one paragraph to not more than one page.
n. **Letters of Permission** – this is extremely important as it relates to compliance with using copyrighted materials. Written letters of permission to use copyrighted materials that fall beyond the fair use standard must be included in this section and mentioned in the text.