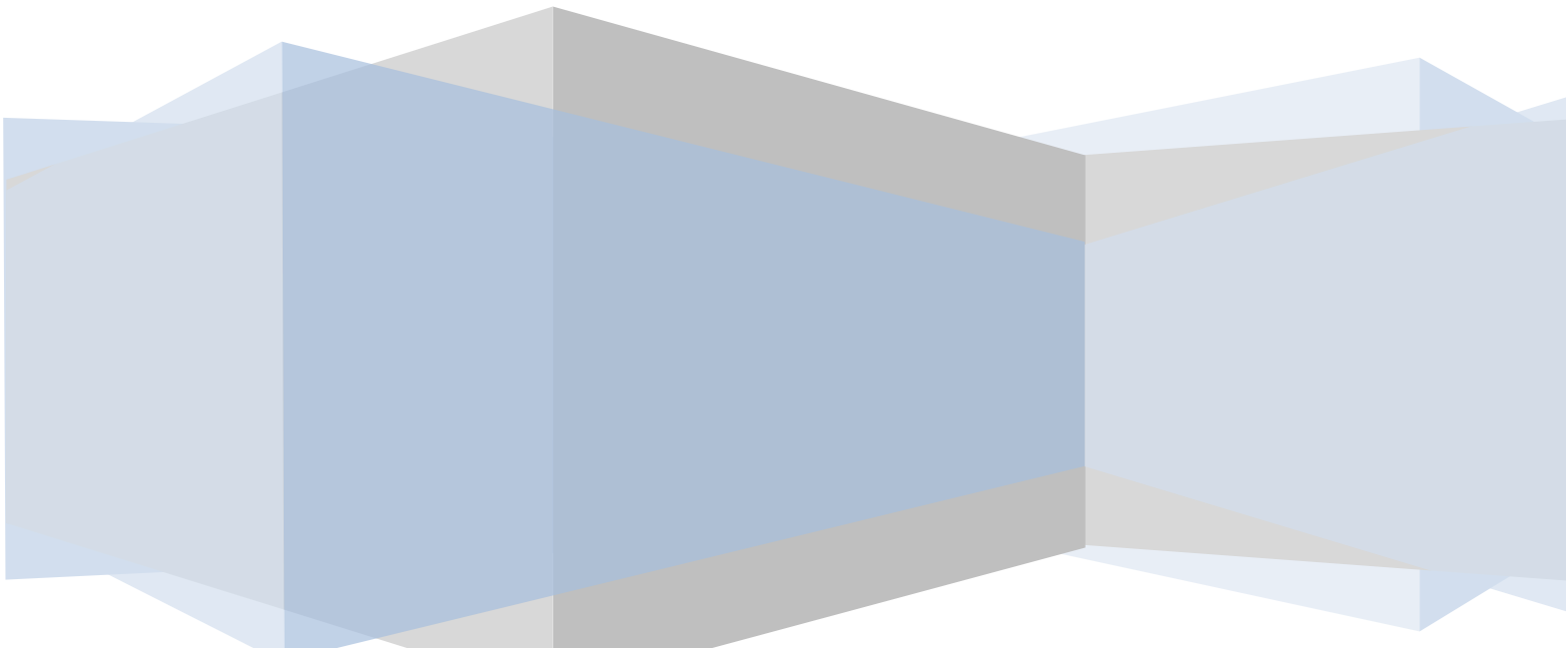




Lewis & Clark College
Graduate School of Education and Counseling

Doctor of Education in Leadership

Style and Policy Manual for Dissertations



This manual is intended for all cohorts beyond 2015
Updated March 2019

*Adapted with permission from the University of Oregon *Style and Policy Manual for Theses and Dissertations*

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STYLE AND POLICY MANUAL FOR DISSERTATIONS

Introduction

This manual has been created as a guide to help candidates establish the physical format and appearance of the dissertation. Submission of this document is the final step in a program leading to the conferral of a doctoral degree.

The dissertation is a scholarly publication reflecting the results of research and academic pursuits at Lewis & Clark. As such, it makes a statement about the candidate and the quality of the candidate's research, the department, and the standards of excellence upheld by Lewis & Clark. The dissertation is made available to the international academic community and the public through ProQuest (formerly University Microfilms International-UMI) and will be available electronically through the Watzek Library catalog.

Graduate School Approval

The dissertation is a professional document and should meet professional standards in content and appearance. The Graduate School has established guidelines to ensure uniformity in style and format, and the document must meet these standards in order to be approved.

Candidate Responsibility

It is the candidate's responsibility to read and fulfill the requirements presented here and to submit a document of the highest quality.

The Graduate School does not edit for content or grammar. Correct grammar, punctuation, and spelling should always be used, and these are the responsibility of the candidate. The dissertation chair and committee members may assist with these, but the candidate is primarily responsible for following guidance given in the latest edition of the the *Publication Manual of the American Psychological Association*.

Style

The format requirements in this Lewis & Clark *Style and Policy Manual for Dissertations* take precedence over format rules found in the *Publication Manual of the American Psychological Association* (APA, 2010). Format includes definition of the parts of the dissertation and the order in which they are presented, the style of preliminary pages, type font, margins, spacing, order of page numbers, placement of page numbers, the requirement for permission to reproduce copyrighted material, and information to be included in the Table of Contents, List of Tables, and List of Figures.

Candidates are encouraged to consult their committee about specific style issues before beginning to prepare their manuscript, especially if they are going to be importing material from other documents or computer programs.

The Graduate School will recommend a candidate for the degree sought only when the dissertation completely satisfies the requirements stated in the current edition of the Lewis & Clark College *Style and Policy Manual for Dissertations*.

Research Ethics and Compliance

All candidates have a responsibility to conduct and report the results of their research in an open and ethical manner. A dissertation represents the culmination of years of academic preparation and uniquely expresses a candidate's training, skills, and ideas. A dissertation therefore deserves the candidate's greatest effort and, as with all scholarly work, demands compliance with the highest ethical standards.

Ethical misconduct in research is any "fabrication, falsification and plagiarism in proposing, conducting or reporting research or other scholarly activities" (Massachusetts Institute of Technology, 1992, p. 3). Fabricating research findings refers to making up fictional results, while falsifying research results refers to altering, misrepresenting, or selectively reporting findings (pp. 8-9). Each of these acts violates the integrity of the research process and constitutes a serious breach of accepted ethical standards. Ethical research practice therefore requires candidates at all stages of the research process to conduct their research in an open and honest manner and make every effort to ensure the accuracy of their findings.

Plagiarism is a form of ethical misconduct in research and consists of the intentional or unintentional use of the words, phrases, ideas, or work of others in any form without acknowledging the original sources, and is subject to serious penalty. Candidates should be aware as well, that the ordering of ideas in a discussion, the content of a literature review, and the listing of references at the end of a discussion may reflect the thinking of others. Such contributions must be acknowledged (Dubous, 1989, pp. 1-2).

Candidates at Lewis & Clark College are expected to maintain the highest ethical standards in proposing, conducting and reporting their research in the dissertation.

Requirements for Doctoral Dissertations

A dissertation is a substantial paper presenting independent research which makes a contribution to the current body of knowledge in a scholarly field. The author may conduct an original investigation or develop an original interpretation of existing research and/or literature. A dissertation adheres to a standard format, generally including five basic chapters or divisions: an introduction and statement of the problem, a review of the literature pertinent to the problem, an explanation of the methods and materials used to solve the problem, a presentation of results, and

a discussion of results and study implications. A formal bibliography of references cited in the dissertation is also required. A dissertation must be formatted to conform to the Graduate School specifications as stated in the current Lewis & Clark College *Style and Policy Manual for Dissertations*. With the approval of the dissertation committee chair students may present a dissertation using an alternative format when the alternative is a better format for the particular dissertation.

Submitting Dissertation

The Graduate School requires all candidates to submit their dissertations electronically to ProQuest, to use the Open Access publishing option, and to copyright their dissertations. See ProQuest for information on associated fees.

Publication and Copyrighting

ProQuest

ProQuest provides a dissertation/thesis service for keeping the scholarly record of doctoral and master's degree recipients worldwide. Shortly after ProQuest, formerly UMI, opened for business in 1938, it preserved for posterity the first dissertation written in the United States, by James Morris Whiton in 1861. Prior to this time, dissertations were only available on a very limited basis to researchers.

ProQuest accepts dissertations and theses and publishes the manuscripts in their entirety. It also creates and stores a master copy. It indexes and publishes the abstract and bibliographic citations in *Dissertation Abstracts*, the *catalog* used by researchers around the world to identify titles of interest.

ProQuest will process all copyright forms on behalf of the author and make the required copies of the manuscript to submit to the Library of Congress.

More information can be found on the ProQuest website:

<http://www.proquest.com/products-services/dissertations/submitting-dissertation-proquest.html>

Copyright

As the author, the candidate owns copyright as soon as the dissertation is *fixed in a tangible medium*. Additional *copyright information and support* is available from ProQuest.

http://media2.proquest.com/documents/UMI_CopyrightGuide.pdf

Indicate that the dissertation is being copyrighted by placing the copyright symbol on the title page prior to the year of publication (©2019).

Using Materials Copyrighted by Others

Special attention must be given to the use of copyrighted materials. By completing and submitting the ProQuest Agreement Form, the author certifies that any copyrighted material used in the dissertation, beyond brief excerpts, is with the written permission of the copyright owner. Copies of permission letters should be attached to the Agreement Form. Be sure that permission is specifically extended to ProQuest.

The dissertation chair and committee members are also excellent sources of information about specific copyright issues relating to the candidate's field.

Parts of the Dissertation

The parts of the final document must be placed in the following order:

Preliminary Pages

- Title page (bears no page number but is counted as page i).
- Abstract (lower case Roman numeral iii). All successive preliminary pages are numbered consecutively with lower case Roman numerals.
- Acknowledgments (*optional*) (continue consecutive numbering with lower case Roman numerals).
- Dedication (*optional*) (continue consecutive numbering with lower case Roman numerals).
- Table of Contents (continue consecutive numbering with lower case Roman numerals).
- List of Tables (*if included*) (continue consecutive numbering with lower case Roman numerals).
- List of Figures (*if included*) (continue consecutive numbering with lower case Roman numerals).

Chapter Headings

Place CHAPTER Number using Roman Numeral (CHAPTER I) 2 inches from top of page, centered, and in ALL CAPS. Place chapter title one (double spaced) line below chapter number, and centered on the page. Leave one blank line and then begin chapter text.

Body Text

- Text of dissertation (begin pagination with Arabic numbers, starting with 1 on the first page of text). Every page must be numbered consecutively.
- Notes (if not using footnotes or parenthetical references) appear on a separate page at the end of each chapter.

References

Place REFERENCE heading 2 inches from top of page, centered, and in ALL CAPS. Leave one blank line and then begin adding singled-spaced entries using a .5 inch hanging indent, with one blank line between entries. Do not split entries (keep all information for an entry on one page).

Refer to the current APA manual for the various reference formats (see chapters 6 and 7). When available, include the DOI number. For additional assistance you may find Purdue's website helpful: <http://owl.english.purdue.edu/owl/resource/560/01/>

Appendices

Appendix or Appendices (*if included*): Provide title page for each appendix: type APPENDIX A, centered, in ALL CAPS, 2 inches from top of page, leave one blank line, then type the title of the appendix, centered, in ALL CAPS. Two-line titles should be single spaced using inverted pyramid style. See Appendix A and Appendix B title pages in this manual.

General Formatting for the Dissertation

It is the candidate's personal responsibility to see that the dissertation is acceptable in style and format. Besides being careful to eliminate misspellings and typographical errors, the candidate is also responsible for the correct arrangement of materials; correct grammar and punctuation; proper footnote and reference forms; appropriate heading levels; accuracy of quotations, tables and other illustrative materials; and neatness. Either the American or British spelling system is acceptable, but whichever is chosen must be followed consistently.

Please keep in mind that the following requirements are not arbitrary but dictated by the conditions necessary to achieve the best quality of reproduction when the document is microfilmed and/or bound.

Margins

Margins are defined as the white space surrounding the printed matter. Minimum margin requirements are:

- 1 inch on the left (If you plan to bind a hard copy of your dissertation you may format your dissertation using a 1.5 inch margin on the left to create a binding edge.)
- 1 inch on top, right and bottom edges of remaining three sides.
The **first page** of each part of the preliminary pages, first page of each chapter, first page of references, and each appendix title page should begin **2 inches** down from the top of the page. Text on successive pages should begin one blank line below the page number. Page number will show in upper right-hand corner.
Landscape pages should have same margins as portrait pages (1 inch at the left margin and 1 inch on the remaining three sides).
- Margin requirements apply to **all** materials, including figures, tables, and all material in appendices.
- Margins must be uniform on all pages.
- Do not right justify text as this frequently causes inconsistency in spacing between words.

Page Numbers

Page numbers must be placed in the upper right corner of each page, 1 inch down from the top edge of the page and 1 inch in from the right edge. Use consecutive lower case Roman numerals on all preliminary pages and Arabic numerals on all the pages that follow. The first page of text is page number 1 and all successive page numbers should follow consecutively. The **only** page in the document that does not have a page number is the Title page, although it is counted as Roman number *i*.

Centering

Centering of text on the page is based on the margins used. Center between the 1 inch margin on the left and the 1 inch margin on the right side of the page.

Spacing and Justification

All text must be double spaced, with the following exceptions:

- Block quotations and two-line headings should be single spaced. Use inverted pyramid style for two-line headings, centered.
- Bulleted items, lists, and data in tables may be single spaced.
- In order to be easily differentiated from text, captions for tables and figures should be single-spaced and closer to the table or figure than they are to any of the text occupying the same page. Effective use of white space means using less white space between

elements that should be tied together (like a figure and its caption) and more white space between elements that should be separated (for example, leave more space between a previous paragraph and a subheading than between the subheading and the paragraph it describes). There should be one blank line space between table title and start of the table.

- Footnotes (or notes) and references should be single-spaced, but leave one blank line **between** footnote entries, notes or references. To automatically set this spacing, in the Windows toolbar, select Format/Paragraph/Indents and spacing/Line spacing/single/Spacing/after 12 pts./before 0 pts.
- Underlining must be done with a solid line.
- **Do not** to justify the right margin.

Type Fonts

Use professional quality font for all text. We suggest Times New Roman, Arial or Calibri. Please note:

- Script and other ornamental type fonts are not acceptable.
- Italics may be used sparingly.
- Bold face may be used sparingly (except in headings as described in APA), and is not used on preliminary pages, chapter titles, references, or appendix headings.

All text must be 12 point font, with the following exceptions:

- Tables may be reduced to minimum 10 point font.
- Figures and appendices may be reduced to 9 point font, but must be legible.
- Footnotes may be reduced to a minimum 10 point font.

The same typeface or font must be used throughout. However, approval may be given for tables, figures, and parts of appendices to be printed in a different typeface than the text itself. (Many of these requirements aim at achieving the best possible quality when the document is microfilmed.)

Style

Style must conform to the standards of APA 6, except as noted within this document.

Tables and Figures

Number all tables and figures consecutively with Arabic numerals in the order in which they are first mentioned. Label each with a caption or title and include in a list (see List of Tables and List of Figures). A table number and title precedes each table. A figure number and title follows each figure. All must also conform to margin, page, and pagination requirements explained elsewhere

in this manual. At least one set of these materials must be in black and white. (For color requirements, see below.)

All tables and figures must be referenced in the text. Each table and figure should be placed as close to and following its first mention in text as possible. Display each table/figure once (do not duplicate).

Figures (including photographs) should be embedded in text. Figure placed on a separate page must cover at least half of the page. If smaller, they should be embedded in text. In order to distinguish tables and figures from text, leave two blank lines above and below them. Wide or long tables, figures and appendices may be placed broadside (landscape format) or they may be continued on successive pages. (On the continuation pages, please repeat headings and indicate Table number and the word cont'd or continued). Extremely large items may be folded. The final product must be clear and the image should have good contrast.

Detailed Formatting and Content Instructions for Preliminary Pages

Please compare document results with the sample pages provided in Appendix A. Upon visual inspection, each page should closely match its corresponding sample page.

Following are detailed instructions for formatting and content.

Title Page

- Begin 2 inches from the top of the paper. Type the exact title of your document, in ALL CAPS, centered. If more than one line, use inverted pyramid style (first line longer than second—see Appendix A for sample); double-space. No page number appears on the title page, but it is counted as page i. To ensure proper margins (in MS Word), under Page Layout/Page Setup/Margins, set at: Top 1 inch, Bottom 1 inch, Left 1 inch and Right 1 inch.
- Three blank line spaces down the page, type “by” in lower case; leave 1 blank line; type candidate name in ALL CAPS, centered. (The space between the last line of the title and the word “by” should be equal to the space between name and the words “A dissertation submitted . . .”)
- Follow the sample title page for wording and spacing.
- Type the statement “A dissertation submitted in partial fulfillment of the requirements for the degree of,” single space, lower case, centered in two lines, use inverted pyramid style again.
- Three blank lines and then type “DOCTOR OF EDUCATION” followed on next line by “in” and “LEADERSHIP” on the following line, all centered.
- Leave three blank lines and then type “LEWIS & CLARK COLLEGE” in ALL CAPS, centered.

- Single space and type “Graduate School of Education and Counseling” lower case, centered.
- Double space and insert the copyright symbol (©) immediately followed by year of publication, centered.

Abstract

- Format Abstract exactly as shown on sample page.
- Type “ABSTRACT” 2 inches down from the top of the paper, in ALL CAPS, and centered.
- Leave one blank line below “ABSTRACT” and begin text of abstract (with paragraph indentation).
- **Text is double-spaced and is not to exceed 300 words.** (Hyphenated words count as one word.)
- The abstract part of the dissertation consists of a statement of the problem, describes methods of procedure and summarizes results. It should be written in prose style rather than outline form. Grammar, punctuation, and spelling should be correct, as the abstract is intended to characterize the scholarship of the dissertation.
- Spacing and capitalization of the submission statement must correspond exactly to that used in Appendix A in the sample pages. Continue consecutive page numbering with lower case Roman numerals.

Acknowledgments

- This page is optional.
- Type “ACKNOWLEDGEMENTS” 2 inches from top of paper, centered, and in ALL CAPS. Leave one blank line and begin text, which is double-spaced. Not to exceed 1.5 pages in length. Continue consecutive page numbering with lower case Roman numerals.

Dedication

- This page is optional.
- Type “DEDICATION” 2 inches from top of paper, centered and in ALL CAPS. Leave one blank line and begin. Dedication should be brief, and may be singled spaced. Continue consecutive page numbering with lower case Roman numerals.

Table of Contents

- Center the words “TABLE OF CONTENTS” 2 inches from top of paper.

- Leave two blank lines above chapter titles, and leave one blank line below chapter titles.
- The Table of Contents contains entries for preliminary pages (Abstract, Acknowledgments, Dedication, List of Tables, and List of Figures), chapter titles, first level headings, and second level headings, references, and appendices. The wording of each entry must correspond exactly to that used in the text. Page numbers must be specified for all entries.
- Indent first level headings a consistent number of spaces under the chapter title. Indent second and successive lines of subheadings a consistent number of spaces under the first line (see sample in Appendix A).
- Indent second level headings a consistent number of spaces under the chapter title. Indent second and successive lines of subheadings a consistent number of spaces under the first line (see sample in Appendix A).
- For all headings, capitalize the Initial Letter of All Words Except Articles, Prepositions, and Conjunctions that have three or fewer letters. Do not capitalize the first letter of prepositions, articles and conjunctions when they occur as the first word in the heading.
- Refer to the sample for visual confirmation of spacing requirements. Single-space headings may run over onto two or more lines. When a heading runs onto a second line, indent the second line a consistent number of spaces under the first line. Do not allow text to invade the page number column. Do not split entries on more than one page.

List of Tables and List of Figures

- Each list should begin on a separate page.
- Place the words “LIST OF TABLES” or “LIST OF FIGURES” 2 inches from the top of the paper. (Center in ALL CAPS.)
- Leave one blank line.
- Insert Table (Figure) and Page column headings on first page of list.
- Single-space captions: Leave one blank line between captions. Second and successive lines of captions should use hanging indent of four spaces. Caption text must not invade the page number column.
- The wording of each caption must be identical to that used in the text. If you choose to truncate a caption, the wording you do include must be identical to that in text up to the point where the caption was truncated. Use title case, that is: Capitalize the Initial Letter of All Words Except Articles, Prepositions, and Conjunctions that have three or fewer letters. Do not capitalize the first letter of prepositions, articles and conjunctions when they occur as the first word in the caption.
- Page numbers must be specified for all entries.

REFERENCES

- American Psychological Association. (2010). *Publication manual of the American Psychological Association* (6th ed.). Washington, DC: Author.
- Dubous, B. L. (1989). Ethics in research. In Graduate School, *Guidelines for preparing a thesis or dissertation* (pp. 1-2). Las Cruces, NM: University of New Mexico.
- Massachusetts Institute of Technology. (1992). *Fostering academic integrity: Report of the Committee on Academic Responsibility*. Cambridge, MA: Author.

APPENDIX A
SAMPLE PRELIMINARY PAGES

Sample dissertation title page—no page number appears on this page.

ADVANCED STUDY OF LEADERSHIP: AN INQUIRY INTO THE
LIFE OF A LEWIS AND CLARK DOCTORAL CANDIDATE

by

JOHN PIO

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

DOCTOR OF EDUCATION
in
LEADERSHIP

LEWIS & CLARK COLLEGE
Graduate School of Education and Counseling

©2018

ABSTRACT

Leadership is a challenge for anyone. But it presents particular challenges for a full-time professional who is also a doctoral candidate.

This dissertation examines the importance of . . . (text continues)

(Dissertation abstract text must not exceed 300 words.)

Sample dissertation acknowledgments—continue page numbering using lower case Roman numerals

ACKNOWLEDGMENTS

I wish to express sincere appreciation to Professors Anita Smith and Dale Jones for their assistance in the preparation of this manuscript. In addition, special thanks are due to my committee chair, Dr. John Dolan, whose critical eye, and enlightened mentoring were instrumental and inspiring. I wish to acknowledge my gratitude to Janet Kern, whose familiarity with the needs and ideas of the community was helpful during the early programming phase of this undertaking. I also thank the members of the community councils for their valuable input.

The investigation was supported in part by a Public Health Service Predoctoral Fellowship, Number 6 RP BV-22, 731-03, from the National Institutes of Mental Health, and by a grant from the National Science Foundation, ABC 123-45678, to Dr. John Smith at the University of Oregon.

Sample dissertation dedication—continue page numbering using lower case Roman numerals. This section is optional.

DEDICATION

To my grandparents, who taught me, by example, the value of completing a project.

Sample dissertation table of contents—continue page numbering using lower case Roman numerals

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Sample of dissertation list of figures—continue page numbering using lower case Roman numerals

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APPENDIX B

SAMPLE FIRST PAGE OF CHAPTER WITH APPROPRIATE HEADINGS

Sample first page of chapter with appropriate headings—Arabic page numbering begins here and continues through end of dissertation

CHAPTER I

ADVANCED STUDY OF LEADERSHIP: AN INQUIRY INTO THE LIFE OF A LEWIS AND CLARK DOCTORAL CANDIDATE

First Level Heading

Second Level Heading

The purpose of this study was to gain insight into educational equity and culturally competent practices within a statewide education leadership development system. I submit that the current practice of educational leadership has been insufficient to address the conditions of practice and professional learning.

Third level heading. In considering a social theory as a grounding for the....

Fourth level heading. I find this standard of class struggle to be a significant contribution to the discussion of equity in schools and social justice in society.

Fifth level heading. Critical theorists emerged in the early 20th century by offering critiques of positivism as a foundation for social behavior (deMarrais & LeCompte, 1999).