



Lewis & Clark College
Graduate School of Education and Counseling

Doctor of Education in Leadership

Style and Policy Manual for Dissertations

2014-2015

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

TABLE OF CONTENTS

	Page
Introduction	1
Graduate School Approval	1
Candidate Responsibility	1
Style	1
Research Ethics and Compliance	2
Requirements for Doctoral Dissertations	3
Submitting Dissertation to the Graduate School	3
Publication, Microfilming, and Copyrighting	4
ProQuest (University Microfilms International)	4
Copyright	4
Using Materials Copyrighted by Others	4
Parts of the Dissertation	5
Preliminary Pages	5
Body Text	5
References	5
Appendices	6
General Formatting for the Dissertation	6
Paper	6
Margins	6

Page Numbers.....	7
Centering	7
Spacing and Justification.....	7
Type Fonts	8
Symbols	8
Print Quality	9
Legibility	9
Corrections	9
Copy Quality	9
Style.....	9
Illustrative Materials (Tables and Figures)	10
Use of Color	10
Detailed Formatting and Content Instructions for Preliminary Pages.....	10
Title Page.....	10
Approval	11
Abstract.....	11
Acknowledgments	12
Dedication.....	12
Table of Contents	12
List of Tables and List of Figures.....	13
References	14

Appendices

A	Sample Preliminary Pages	15
B	Sample First Page of Chapter with Appropriate Headings	26
C	APA – Quick Guide to Common Issues	28

STYLE AND POLICY MANUAL FOR DISSERTATIONS

Introduction

This manual has been created as a guide to help candidate 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. Hard copies will be placed in Watzek Library and in the GSEC Doctoral Program office.

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 *APA Publication Manual*.

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 materials and methods used to solve the problem, a discussion of results, and a conclusion. 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*. The dissertation is presented to the Graduate School, recorded on the candidate's transcript and forwarded to Watzek Library for cataloging and shelving.

Candidates are also responsible for familiarizing themselves with the Graduate School requirements for dissertations.

Submitting Dissertation to the Graduate School

- Two copies of the dissertation must be submitted, all on white, acid-free paper with a cotton content of 25% or higher. Be sure to include flyleaves with each copy (i.e., one blank sheet placed before the dissertation title page and one behind the last page). Each dissertation copy must contain an Approval page with original signatures of the examining committee members.
- When submitting the dissertation to the Graduate School, please bring the ProQuest (UMI) Agreement form – attach a copy of the dissertation title page to this form.
- The Graduate School requires all candidates to submit their dissertations electronically to ProQuest (UMI), to use the Open Access publishing option, and to copyright their dissertations. The following fees (confirm with the program office) will be paid directly to ProQuest (UMI):

Open Access Publishing:	\$150
Copyrighting:	\$65
- Candidates will need to fill out the library's release form and acquire all necessary signatures to add their dissertation to the library's collection and make it available online (<http://library.lclark.edu/circ/thesis/consentform.pdf>).

Publication, Microfilming, and Copyrighting

ProQuest (University Microfilms International)

ProQuest (UMI) provides a dissertation/thesis service for keeping the scholarly record of doctoral and master's degree recipients worldwide. Shortly after 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.

UMI 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.

UMI 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 UMI website:

<http://www.umi.com/hp/Support/DServices/>

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 UMI: <http://www.proquest.com/hp/Support/DServices/copyright>

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

Using Materials Copyrighted by Others

Special attention must be given to the use of copyrighted materials. By signing the ProQuest (UMI) 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 UMI.

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

- Front Flyleaf (a blank page of acid-free paper with a cotton content of 25% or higher - with no page number).
- Title page (bears no page number but is counted as page i).
- Approval (lower case Roman numeral ii).
- 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).

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 paper, 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 APA (2010) 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 paper, 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.
- Back Flyleaf (a blank page of acid-free paper with a cotton content of 25% or higher - with no page number).

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.

Paper

- Acid-free paper with a cotton bond content of 25% or higher. (Since the paper normally used in copy machines is unacceptable, candidates must specifically request this paper when having the dissertation reproduced.)
- Neither recycled paper nor erasable bond is acceptable for the copies submitted to the Graduate School.
- 20 lb. weight cotton bond paper is recommended.

Margins

Margins are defined as the white space surrounding the printed matter. The mechanics of binding require that the manuscript have at least 1.5 inch margin on the binding edge (left margin) of the page and a 1 inch margin on the remaining three sides. Due to printer variations and photocopy distortion, we ask that you set your left margin at 1.6 and 1.1 for the remaining three margins.

Minimum margin requirements are:

- 1.6 inches on the left (binding edge of landscape page).
- 1.1 inches 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 paper. Text on successive pages should begin one blank line below the page number. Page number will show in upper right-hand corner.
 - Printed version: landscape page numbers should be in same location as portrait pages.
 - Electronic version: landscape pages should have same margins as portrait pages (1.6 inches at the left margin and 1.1 inches on the remaining three sides).
- Page numbers must be in **text** area and **not** in the margin area.
- Margin requirements apply to **all** materials to be bound with the dissertation, 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, 1.1 inches down from the top edge of the paper and 1.1 inches 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 1.6 inch margin on the left and the 1.1 inch margin on the right side of the page.

Spacing and Justification

- Use double spacing for text.
- 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

- Times New Roman, Garamond, Bookman and similar standard serif fonts, all copy and microfilm well. Sans serif fonts such as Arial are also acceptable but may create difficulty in distinguishing between I and 1.
- **12 point type is ideal for text**; however, font sizes of 10, 11, or 13 points are also acceptable.
- Larger type, up to 16 points, may be used for chapter/section titles and should be consistent throughout the dissertation.
- Footnotes can be smaller than text font (e.g., 9 or 10 pt).
- Script and other ornamental type fonts are not acceptable.
- Italics may be used for special purposes, but not as the main text typeface.
- Bold face may be used in tables and figures (and sparingly in text) but extensive use of bold face type should be avoided except in headings as described in APA 3.03. Bold face is not used on preliminary pages, chapter titles, references, or appendices headings.

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.)

Symbols

Special fonts for such languages such as Chinese, Japanese, Sanskrit, Russian, Greek, and phonetic pronunciation are allowed within the text, but cannot be used exclusively in place of Arabic characters. If a computer symbol is not available, it may be neatly hand-drawn with black India ink. Legibility is the criterion for acceptance. The Graduate School will reject dissertations which contain handwritten symbols that do not meet the legibility standard.

Print Quality

- Use one side of the paper only.
- Printing should be of *letter quality*. Letter quality print is defined as 300 x 300 dots per inch (DPI). Laser printers or photocopies of documents printed on laser printers give the best results. Words and images should be sharp and clean.
- Print must be properly fused onto the archive quality paper by original laser printing or high-heat copying by a commercial machine (must pass scratch test).

Legibility

- Spacing, headings, figures, and table styles should be selected for their legibility. A heading or title that can be confused with the text should not be used. Graph lettering must be legible.
- Dirty type, visible corrections, or superimposition of type will not be accepted.
- All material in appendices should be legible.

Corrections

Discernible erasures, use of any cover-up or whitening substance, strikeovers or interlineations are not acceptable in the final copy. However, correction fluid or tape may be used on the master copy before duplicating is done.

Copy Quality

- It is possible to submit two printed originals of your dissertation. See Print Quality, above.
- If the candidate decides to photocopy, only black print copies on acid-free paper with a cotton content of 25% or higher (non-recycled) are acceptable.
- Copies must be neat, clean, perfectly centered on the page, without streaks, spots or smudges, and type must be consistently sharp throughout. If concerned about copy quality, consult the Graduate School before final copies are produced.

Style

Style must conform to the standards of the American Psychological Association (2010) *Publication Manual of the American Psychological Association*, 6th edition 2nd printing.

Illustrative Materials (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 illustrative materials must also conform to margin, paper, 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).

Illustrative materials (including photographs) should be embedded in text. Illustrative materials 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.

Use of Color

Should the candidate choose to use color anywhere in the document, those pages must be printed in color.

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 title of your document **exactly as it appears on your abstract**, 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 File/Page Setup/Margins, set at: Top 1.1 inches, Bottom 1.1 inches, Left 1.6 inches and Right 1.1 inches.

- About halfway down the page type “by” in lower case; leave 1 blank line; type candidate name, **as it appears on the abstract**, 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 spaces 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.

Approval

- Type heading “APPROVAL” approximately 2 inches down from the top of the paper, in ALL CAPS, and centered.
- Leave one blank line and then type: “The abstract and dissertation of (candidate name) for the Doctor of Education in Leadership were presented (month and year of dissertation defense), and accepted by the examining committee.”
- Three blank lines below type: “Committee Approvals:”
- Three blank lines below create a signature line for your Chair and each committee member. Leave three blank lines above each signature line.
- Original signatures are required on both submission copies.
- Use lower case Roman numerals to number all preliminary pages. The approval page is *ii*. Page numbers should be in the same font type and size as body text. They should be placed in the upper right corner of the text area of the page (not in the margin) at least 1 inch from the top of the paper and 1 inch from the right edge. One way to ensure proper placement of page numbers (in MS Word) is to set the Header function, under File/Page Setup/Layout, to 1.1 inches.

Abstract

- Format Abstract exactly as shown on sample page. Do not modify wording.

- *The candidate submits the abstract to the Graduate School prior to the rest of the document, and it becomes part of the candidate's official record long before graduation. Therefore, candidate name, dissertation title, degree name, and commencement year indicated on the title page and the dissertation approval page of the document must be identical, including punctuation, to those shown on the abstract.*
- Type heading "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 the examples of the sample pages. Continue consecutive page numbering with lower case Roman numerals.

Acknowledgments

- This page is optional.
- Place heading 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.
- Begin dedication 2 inches from top of paper. It should be brief, and may be singled spaced. Continue consecutive page numbering with lower case Roman numerals.
- Use of the word "DEDICATION" (in ALL CAPS) is optional.

Table of Contents

- Begin first page of Table of Contents 2 inches from top of paper. Center the heading "TABLE OF CONTENTS," in ALL CAPS.
- Leave two blank lines above main chapter headings, and leave one blank line below main chapter headings.

- The Table of Contents contains entries for preliminary pages (Approval, Abstract, Acknowledgments, Dedication, List of Tables, and List of Figures), headings of chapters, 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 main chapter heading. 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 main chapter heading. Indent second and successive lines of subheadings a consistent number of spaces under the first line (see sample in Appendix A).
- Use title case for all headings – that is: Capitalize the Initial Letter of All Words Except Articles, Prepositions, and Conjunctions. 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 three 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 heading (LIST OF TABLES, LIST OF FIGURES) 2 inches from the top of the paper. (Center heading, 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 three 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. 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

©2014

Sample dissertation approval page – page number ii appears on this page

APPROVAL

The abstract and dissertation of John Pio for the Doctor of Education in Leadership were presented August 2014, and accepted by the examining committee.

Committee Approvals:

Carolyn S. Carr, Chair

Mollie Galloway

Sara Exposito

Sample dissertation abstract – page number iii appears on this page

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

TABLE OF CONTENTS

	Page
Approval.....	ii
Abstract.....	iii
Acknowledgments	iv
Dedication.....	v
List of Tables	ix
List of Figures.....	x

CHAPTER

I	Introduction: Background of Research Study	1
	Statement of the Problem	11
	Purpose of the Study.....	15
	Significance of the Study	16
	Research Questions	19
II	Theoretical Framework for Critical Educational Leadership.....	21
	Constructivist Leadership.....	24
	Adaptive Leadership.....	35
	Transformational Leadership.....	37
	Notes.....	43

	22
III Research Design and Methods.....	47
Setting of the Research Study.....	52
Data Collection Methods.....	56
Selection and Notification.....	59
Recruitment of Participants.....	67
Data Analysis Plan	72
IV Findings of the Study	75
Participant Demographics	81
Organization of Survey Data Findings.....	101
Correlation findings.....	111
Notes.....	131
V Critical Educational Leadership to Support Equity	137
Recommendations for Practice.....	138
Implications for Future Research	139
References	140
Appendices	
A Survey of Leadership Practices	144
B Question Development Matrix.....	146
C Data Code Book.....	149
D Analytical Framework	150

E Action Implications.....	153
F Research Implications	154

Sample dissertation list of tables – continue page numbering using lower case Roman numerals

LIST OF TABLES

Table	Page
1 Critical Pedagogy Theoretical Framework: Constructivist Leadership	23
2 Critical Pedagogy Theoretical Framework: Transformational Leadership	30
3 Participant Role Categories	53
4 State Leadership Initiative Participating Districts	55
5 Quantitative Data Collection Methods	81
6 Data Management Plan.....	94
7 Participant Response Rates.....	96
8 Examples of Tasks Undertaken by Water Committee	97
9 Summary of Findings for Internal Reliability Consistency.....	100
10 Qualitative Data: Categories.....	121

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

LIST OF FIGURES

Figure	Page
1 Critical Pedagogy: Constructivist Leadership	52
2 Critical Pedagogy: Adaptive Leadership	54
3 Critical Pedagogy: Transformational Leadership	57
4 Theoretical Framework for Critical Educational Leadership Praxis	58
5 Recursive Process of Leadership Practice	60

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).

APPENDIX C

APA – QUICK GUIDE TO COMMON ISSUES

APA – Quick Guide to Common Issues
(in conjunction with Lewis & Clark Style Manual)

Abbreviations

Use sparingly. Only abbreviate if a term is used more than four times in document. Make a decision if you are going to abbreviate a term, then thereafter use abbreviation. Abbreviate only when use will help you communicate with readers.

Capitalization

Capitalize all major words in titles/headings – and all words of four or more letters. The second word of a hyphenated compound should be capitalized.

Centering

Centering of text on the page is based on the margins used. Center between the 1.6 inch margin on the left and the 1.1 inch margin on the right side of the page.

Citations

If more than one reference starts with same last name (Smith, C. M, Smith, G. A.), must use initials for each citation in text (C. Smith, 1980; G. A. Smith, 2000).

If citing an author/year more than once in a paragraph, do not need to include year with subsequent cites – if paragraph does not have other cites that would confuse (same author(s) with different publication years [Smith, 1999; Smith, 2000]).

Author/date method is used throughout for one and two author citations. If three or more authors (Smith, Jones, & Sharp, 2000), list all first time and subsequent with first author et al., year (Smith et al., 2000). There are exceptions if have several references that abbreviate the same.

When citing within text of sentence, use the word “and” between names – for instance: Smith and Jones (1999) or Smith, Jones, and Parker (2000). Otherwise, use an ampersand: Whatever the sentence (Smith & Jones, 1999) or Whatever the sentence (Smith, Jones, & Parker, 2000).

Hyphenation

- Please be aware of prefixes and suffixes that do not require hyphens.
- Do hyphenate compound words.

- Refer to section 4.13 for information on types/uses (hyphen, em dash, en dash, minus sign).

Italics

Do not use italics for mere emphasis; acceptable only if emphasis might be lost. Italics should be used for titles of books and so forth, introduction of new technical or key terms (italicized first time and then not again), and other examples provided in section 4.21.

Italicize statistical abbreviations (*t* test, *p* value, *n* = 1.0).

Miscellaneous

Data. The word data is considered plural.

Spacing. One space after commas, colons, and semicolons. Also between periods in names (J. M. Smith). Do not insert space between e.g., i.e., a.m., p.m., U.S.

Do not use periods/spaces with state abbreviations (OR, WA), acronyms (APA, IQ), measurements (ft, cm, ml – exception is in. as could be misread).

Numbers: Numerals versus Words

Numerals. The number 10 and above (some exceptions – see sections 4.33-4.34), those that precede a unit of measurement (10.5 cm); those representing mathematical or statistical functions, fractions, decimals, percentages, ratios; those that represent time, dates, ages, scores and points on a scale, exact sums of money (1 hr 34 min, 2-year-olds, scored 4 on a 7-point scale), but exception for approximation of numbers of days, months, and years (about two years).

Words. Any number at the beginning of a sentence (Twenty-two percent...), common fractions (one third of the group, three-fourths majority), and universally accepted usage (the Twelve Apostles).

Quotation Marks

When introducing word/phrase used as ironic comment, slang, or invented/coined expression, use quotations marks – BUT only first time.

Use with titles of articles or chapters when mentioned in text.

Quotes

Use quotation marks for direct quotes of less than 40 words (longer quotes single spaced and indented five spaces from right margin followed by period then space and page number in parentheses). In addition to author and year of publication, each quote should reflect page number(s). If page number is not available, must use paragraph number (para. 4), or heading of section and paragraph number (Discussion section, para. 3) – see section 6.05 for more information. Direct quotes must be accurate. If omitting material within one sentence use three spaced ellipsis points (...); if omitting material between two sentences use four (....). If you insert material, place in brackets. If you add emphasis, place [emphasis added] just after word where emphasis was added.

References

Place REFERENCE heading 2 inches from top of paper, centered, and in ALL CAPS. After double spacing, begin adding single-spaced entries with a .5 inch hanging indent and one blank line between entries. Do not split entries. Keep all information for an entry on one page.

Refer to APA (2010) 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/>.

You must now include abbreviated state with each city of publisher (New York, NY).

You only need to note the date of retrieval unless the source material may change over time.

Reproduction of Data Displays

See section 5.06 for requirements when reproducing or adapting a table, figure, questionnaire, or test item for a copyrighted source.

Seriation

Within paragraph, use (a), (b), and (c). Lists may be numbered or use bullets.

Table/Figures

Table titles. Noted prior to each table. Number consecutively throughout document. Actual title of table is a double space below Table and number of tables (Table 1), and title is in italics (*Title of Table is Presented as Shown*).

Miscellaneous. Use consistent format. Be concise.

Figure titles. Noted following each figure. Number consecutively throughout document. Italicize the word Figure and actual number of figure followed by a period (*Figure 1.*) Title of figure then follows in lower case except first word and proper nouns.

Tenses

Should use past tense to express action or condition that occurred at specific time in past – as when citing another’s work: Smith (1999) presented the data.