Pepperdine University

Graduate School of Education and Psychology

Dissertation Format Requirements Manual

APA 7th edition format*

UPDATED: 2023

<mark>(for dissertations submitted beginning fall 2020 academic term)</mark>

*The main resource referenced throughout this manual, the *Publication Manual of the American Psychological Association, 7th edition (2020)* is highly recommended for a comprehensive overview of APA Style.

*Links to online web pages are underlined in BLUE. Please visit the GSEP Dissertation Support Website for additional resources related to dissertation formatting for GSEP Education and Psychology divisions.

Table of Contents

updated 2023

Dissertation Format Requirements

A. PEPPERDINE UNIVERSITY FORMAT

The Graduate School of Education and Psychology requires the use of *Publication Manual of the American Psychological Association (APA), 7th edition* format and style guidelines for all dissertations submitted **beginning in the fall 2020 term**. Candidates must adhere precisely to the specifications required. Certain format requirements specific to GSEP are not necessarily included and/or are not consistent with the APA manual specifications. Format requirements specific to GSEP can be found in this manual. Students are advised to purchase the current version of the APA Manual, 7th edition. *Where there is a conflict between specific GSEP style guidelines and specifications by APA, the GSEP guidelines will supersede* **(Reference APA 7th: p. 10).**

B. ARRANGEMENT & PAGINATION

The order for the dissertation pages is listed below. After the pages are arranged in the correct order, they should be numbered consecutively, beginning with the title page and continuing through the preliminary pages. Preliminary pages carry lowercase Roman numerals. Some of the preliminary pages are counted but not numbered (see below). Arabic numerals begin with the first page of the first chapter or introduction section. Each new chapter/main section, the reference list, and each appendix starts on a new page.

Preliminary Pages

    a) Title Page – *counted but not numbered*
    b) Committee Page – *counted but not numbered*
    c) Copyright Page (optional) – *counted but not numbered*
    d) Table of Contents – *first page counted but not numbered, additional pages are numbered*
    e) List of Tables *(if applicable)* – *numbered*
    f) List of Figures *(if applicable)* – *numbered*
    g) Dedication *(optional)* – *numbered*
    h) Acknowledgments *(optional)* – *numbered*
    i) Vita – *numbered*
    j) Abstract – *numbered*

Text

       a) Chapters (*begin Arabic numerals, starting with page "1"*)

       b) References *(numbered)*

       c) Tables and/or Figures *(only if using a manuscript format; in chapter format, tables and figures will be within the text)*

       d) Appendices *(if applicable)*

Placement of Page Numbers

Numbers are placed in either the upper right-hand corner within the header (flush with the right margin) or bottom center of the page within the footer. Double-space to the line of text. Placement of numbers should be consistent throughout the document. The APA "running head" is not included in the dissertation.

C. PRELIMINARY PAGES: FORMAT AND CONSIDERATIONS

Title Page (Required)

Include the following information on the title page (centered):

- Pepperdine University

- Graduate School of Education and Psychology

- Title of Dissertation or Dissertation Proposal (all caps)

- The following specific statements separated as indicated on the sample dissertation:

       A dissertation [or dissertation proposal] submitted in partial satisfaction

       of the requirements for the degree of

       Doctor of Education [or Psychology] in [student's program]

- The candidate's name

- When submitting a final revised manuscript for APA format review, the date on the title page will reflect the month, year of final clearance and submission to the publisher.

- The name of the Dissertation Chairperson. Center the chairperson's name and degree title underneath the month and year (e.g., John Smith, Ph.D. –Dissertation Chairperson)

For format and placement of content on the title page and preliminary page sections, refer to the preliminary page sample dissertations at the following links:

- [Education](#)

- [Psychology](#)

Committee Page (Required)

This page contains the name of the candidate and a specific statement, as indicated on the preliminary page sample dissertation. Committee member names, credentials, and roles are typed on the form. For format and placement of content, refer to the preliminary page sample.

Copyright Page (Optional)

As the author/owner of the dissertation, the student is the copyright holder, and the work is protected automatically under copyright law. A copyright notice/page is optional and, if chosen, follows the committee page and is presented as shown in the preliminary page sample.

Students may choose to register their copyright claim with the U.S. Copyright Office for a fee. ProQuest offers a registration service when students submit their dissertation, for a fee. For information on dissertation copyright, review the resource *Copyright and Your Dissertation* from ProQuest and Kenneth D. Crews. For additional resources on dissertation publishing, visit the Dissertation Support Resources web pages for Education and Psychology.

Table of Contents (Required)

The Table of Contents (T.O.C.) should include a listing of all preliminary page sections which follow it, chapter/section headings, and concluding materials. Essentially, there are two columns within the T.O.C.: one for the heading and the other for the page designation. The heading column text should be connected to the page designation by auto-formatted leader dots (tabs). Page numbers are always justified right to the one-inch margin.

The heading of this page is listed as TABLE OF CONTENTS. The title should be centered, in all capital letters. Wording of the headings should match the wording used in the manuscript.
The following divisions - LIST OF TABLES, LIST OF FIGURES, DEDICATION, ACKNOWLEDGMENTS, VITA, ABSTRACT, REFERENCES, and APPENDIX - should be in all caps in the T.O.C. as well as in the text.

The levels of subheadings included in the T.O.C. must be consistent throughout the manuscript. There must be a minimum of 2 levels of headings in the T.O.C. If chapters include more than 2 levels, students may include those additional levels in the T.O.C. but are not required to do so. Chapter numbers in the T.O.C.

updated 2023

should be formatted identically to those on chapter title pages. Chapter numbers may be Arabic, upper case Roman numerals, or numbers written out as words (e.g. Chapter 5, Chapter V, or Chapter Five).

Double-spacing is utilized between items in the T.O.C.; however, single-spacing is required *within* subheadings and/or two-line headings.

The subheadings listed on the T.O.C. should have the initial letters of keywords capitalized (title case). If the subheading of any level is longer than one line, the second line of the subheading must be indented so that it is aligned with the text above it, and the page number should follow the period leaders after the last word of the subheading.

NO levels within the table of contents should be **bolded**, underlined, or *italicized*.

List of Tables and/or List of Figures (If applicable)

Required when there are tables or figures within the manuscript or displayed after the references. If both tables and figures are utilized, two separate lists, each starting on a new page, are required.

Separate headings for TABLES and FIGURES are included when placed after the references.

The table/figure numbers (followed by a period or colon) are placed in a column flush left under the main heading LIST OF TABLES or LIST OF FIGURES. The keywords in the table and figure titles are capitalized (title case), and run-over lines are further indented. The table/figure title should follow the table or figure number, and wording should be identical to the wording of the titles as they appear in the manuscript. Connect the headings with period leaders to a column flush right which will contain the page number where the table or figure is located. Double-space between headings, single-space within headings.

Tables and figures in appendices must be listed in the LIST OF TABLES and LIST OF FIGURES.

Dedication Page (Optional)

If included, text should be double-spaced. The heading, DEDICATION, appears centered, in all capital letters.

updated 2023

Acknowledgments Page (Optional)

This provides an opportunity to thank those who have been of assistance in completing your doctoral work. Commonly, committee members, colleagues, mentors, family members and institutions or individuals that supported the research, are acknowledged. The heading, ACKNOWLEDGMENTS appears centered, in all capital letters. Text should be double-spaced, flush left and indented 1/2 inch for each paragraph.

Vita (Required)

The VITA, which is included in the Final Oral Announcement and the dissertation, is a brief, professional vita. Education and employment history are typically included. Additional awards and credentials are optional. The heading, VITA, is centered and in all capital letters. The format is at the discretion of the student and chairperson, but should reflect the typical resume/CV style formatting. All personal contact information (i.e. phone numbers, addresses, email) should not be included in the vita.

Abstract (Required)

The abstract is prepared by the candidate for inclusion in the dissertation and for official Final Oral announcement. The abstract should contain a statement of the problem or issue studied, the research objectives and/or questions, the research methodology employed, and a summary of the results and conclusions.

The abstract can be no more than 350 words. Note that *this is different from APA's requirement for publication.* Every word and number within the abstract must be counted as one word. The first sentence of the first paragraph is not indented (flush left). The title of the abstract and supporting information contained on the abstract page are not included in the 350-word count. The heading, ABSTRACT, should be centered in all capital letters.

D. LEVELS OF HEADING & SUBHEADINGS

Most manuscripts are divided into sections or chapters. The dissertation is divided into chapters which are numbered and given a chapter title, or sections with section headings in all caps in the T.O.C. Within each chapter/section, divisions or subsections are designated. APA has specific format requirements for the presentation of headings and subheadings. It is a "five-level" system, with rules for bold, italics, and placement variations. Levels are numbered consecutively (1-5; Reference **APA, 7th edition: p. 47**). Chapter titles are counted as a level of heading.

APA Levels in Table of Contents

Be sure to use indentation consistently to denote different levels of headings in the Table of Contents. Grouping of headings is based on the number of levels in your particular document, not the APA levels of heading. There must be a minimum of 2 levels of headings in the T.O.C.

Example:

Page

Chapter X: 1st Grouping/Level of Headings   x

    2nd Grouping/Level of Headings in Document   x

        3rd Grouping/Level of Headings in Document (if you include)   x

            4th Grouping/Level of Headings in Document (if you include)   x

                5th Grouping/Level of Headings in Document (if you include)   x

APA Levels Within Text

Reference **APA 7th: pp. 47-48**

<div align="center">

Centered, Bold, Title Case Heading (Level 1)

</div>

Flush Left, Bold, Title Case Heading (Level 2)

Flush Left, Bold Italic, Title Case Heading (Level 3)

    Indented, Bold, Title Case Heading With a Period. Text begins here (Level 4)

    Indented, Bold Italic, Title Case Heading With a Period. Text begins here (Level 5)

*For levels 4 and 5, all text begins immediately after heading.

updated 2023

Grouping of Headings

This is an example of a document with **five** groups of headings:

<div align="center">

Continents (Level 1)   [first grouping]

</div>

Countries (Level 2)   [second grouping]

States (Level 3)   [third grouping]

      Counties. (Level 4)   [fourth grouping]

      Cities and Towns. (Level 5)   [fifth grouping]

Note. It is your choice to include Level 3 (L3s), Level 4 (L4s) and Level 5 (L5s) headings in the T.O.C., but be consistent: If you include ANY L3s, L4s or L5s in the T.O.C., you must include ALL L3s, L4s, or L5s in the manuscript (all or none).

E. TEXT

Chapter and Manuscript Formats

GSEP dissertation format will depend on research emphasis and require a specific structure. See dissertation examples on the [Writing Support Resources](#) Web page and reference **APA 7th: pp. 3-10**.

Typeface and Font

A standard typeface is required. A minimum size of "10 point" font is necessary. However, for tables and figures, a smaller point size could be acceptable. Font size should not exceed 14 points. All type must be clear, legible, even and free of visible correction. No form of erasure fluid or correction tape is acceptable.

Even though today's technology allows a variety of fonts and styles within a document, manuscripts must be limited to a standard typeface and font. No more than two different fonts should be used within the manuscript. Extra-large fonts for preliminary sections/pages and/or headings are not appropriate.

A typeface that is made up of dots (dot matrix) or that is unusual in appearance is not acceptable. For digital publishing of the final PDF version via ProQuest/UMI database, a TrueType font is required. For more information, see *[Preparing your Manuscript for Submission](#)* resource from ProQuest/UMI Publishing.

Bold-faced font is allowed only in VITA, levels of heading, table/figure numbers and the appendices. No underlining should be used throughout the manuscript. The only exception for underlining is made for appendices.

Italics can be used for the reference pages, table/figure titles, and for new terminology within the text. Reference **APA 7th: pp. 169-171, for specific italicizing rules.**

Spacing

The general rule is to double-space between all lines of the manuscript. When single-spacing would improve readability, it is allowed in certain instances. Single spacing can be used for table titles, notes, figure captions, references (but double spacing is required *between* references), footnotes, and block quotations (quotes of 40 words or more). *This is a deviation from the APA Manual.*

Triple and quadruple spacing is only allowed after tables and figures. *This is a deviation from the APA Manual.* Preliminary pages have special spacing rules. Please see sample Education and Psychology preliminary page dissertations.

White Space

White space within the manuscript should be avoided. Tables and figures should be incorporated as close to the text as possible.

Lists and Seriation

Reference **APA 7th: pp. 188-190** for details regarding lists and seriation. Within a paragraph or sentence, use lower case letters enclosed in parentheses: (a), (b), (c), etc. when doing so will help readers understand the separate, parallel items in a complex list.

Use a numbered list to display complete sentences or paragraphs in a series. Separate paragraphs in a series, such as itemized conclusions or steps in a procedure, are identified by Arabic numerals followed by a period. Do not enclose numerals in, or follow by, ( )**.**

Simple bullets should be utilized instead of numerals when ordinal position among items is not intended. Punctuation and spacing rules would remain the same as the associated structure with numbers.

updated 2023

Abbreviations

Reference **APA 7th: pp. 171-177.** Abbreviations should be written out completely when first mentioned in text, followed by the abbreviation in parentheses. The abbreviation should be used in text thereafter. In the reference list, be sure that the name of the organization is spelled out completely, then the acronym in parentheses follows, with a period at the end.

Numbers

Reference **APA 7th: pp. 178-180.** The general rule is to use numerals to express numbers 10 and above and words to express numbers below 10. However, there are exceptions. See APA 7th for details.

Statistical and Mathematical Copy/Symbols

Reference **APA 7th: pp. 180-188.** Common statistical/mathematical copy (e.g., statistics, formulas, equations) presented in text, tables and figures must be presented and punctuated appropriately, whether in the line of text or displayed. Space mathematical copy as you would space words in a sentence, and punctuate all equations to conform to their place in the syntax of the sentence. Use subscript/superscript features in word-processing software, italicize statistical symbols, and use the % symbol after the numeral when in text.

F. MARGINS

Margins of all pages should be one inch (1") on all sides and text set to Align Left. Some margin variation may occur within the outer (top, bottom, and right side) margins; however, the left margin must remain consistently at one inch (1"). Right margins should not be justified and hyphenated words avoided.

Material in appendices must also conform to the required margins. If letterhead or other information extends beyond the margins, it should be reduced in size and then copied so that all printed content fits within the designated margins.

G. CONSIDERATIONS REGARDING TABLES & FIGURES

updated 2023

Reference **APA 7th: pp. 195-234.** Tables usually present quantitative data; however, sometimes a table consists of words utilized to present qualitative information. Any type of illustration other than a table is considered a figure. Each figure must fit onto one page. Tables can split across multiple pages as long as the header row is repeated.

Because Tables and Figures must be accurate and easy to read, care is required in spacing, size, placement of table and figure titles and corresponding notes, and placement of tables and figures with respect to the text. All tables and figures which were designed to augment the written presentation are located within the text. They should be incorporated as close to the text as possible (avoid unnecessary white space).

Tables may use vertical lines (*this is a deviation from the APA Manual*) as well as horizontal lines if used consistently in the manuscript. Use sentence case for all headings in a table. Tables and/or figures may be in color if it adds to the presentation of information.

Tables, as well as Figures, are numbered (Arabic) consecutively from the beginning of the manuscript. The first table within the manuscript is **Table 1** and subsequent tables are numbered in order. The first figure is labeled as **Figure 1**, with subsequent figures numbered sequentially. Numbering should be consecutive within the entire manuscript. Tables and figures may be embedded within the text after they have been mentioned in a callout (e.g., see **Table 1**), or each table and figure can be displayed after the references. Reference **APA 7th: p. 197**

Occasionally, tables or figures may be presented as an appendix, in which case they are given a specific appendix placement. For example, multiple tables presented in Appendix B should be labeled as Table B1, B2, B3, etc. Reference **APA 7th: p. 41.**

A LIST OF TABLES and a LIST OF FIGURES are prepared and included in the final manuscript as part of the preliminary pages. Please review **Section C: Preliminary Pages: Format and Considerations** of this document**.**

APA has specific guidelines regarding the chosen mode of presentation for data. Refer to **APA 7th**, **Chapter 7: Tables and Figures** for specific information regarding the design, selection and generation of tables, figures and graphs for displaying data.

updated 2023

Reference **APA 7th edition**:

- **Tables: pp. 198-224**
- **Table Notes: pp. 202-204**
- **Figures: 224-232**
- **Figure Legends and Notes: p. 228**

See also **Section 7.3 Graphical versus Textual Presentation (p. 196)** for a discussion of which type(s) of graphical elements and/or information presented in text communicate your data most effectively.

If a table is longer than one page, repeat the header row on each subsequent page of the table. It is best to use the automated table-formatting tools of your word-processing program rather than manually retyping the headings. **See example in APA 7th: p. 212.**

H. CREDITING SOURCES

Reference **APA 7th, Chapter 8: Works Credited in Text.** Perhaps one of the most important aspects of document preparation is the method of citing resources and references. It is expected that candidates cite their references and do not plagiarize other authors. Quoting or paraphrasing another's work always requires that a reference to this primary or secondary source be made.

APA uses an author-date parenthetical method of citation within the manuscript text. A reference list is prepared for placement at the end of the manuscript. All references cited in the text must appear on the reference list; conversely, each entry in the reference list must be cited in the text. In other words, only those references quoted or paraphrased are included on the reference list.

A bibliography, which would cite additional background sources or sources for further reading is NOT included with a manuscript prepared according to APA style.

Paraphrases and Quotations

Reference **APA 7th: pp. 268-277**. A *paraphrase* restates another's idea (or your own previously published idea) in your own words. Paraphrasing is an effective writing strategy because it allows authors to summarize

updated 2023

and synthesize information from one or more sources, focus on significant information, and compare and contrast relevant details.

Direct quotations should be used sparingly and should generally not exceed 10% of the chapter in which they appear. All direct quotes must be introduced and provided a context before they are added and must subsequently be discussed in the context of the topic.

Brief quotations of 20 words or less may be used to introduce chapters or sections (epigraphs). The author and source should be specified. However, these quotations do not require an introduction or context in the body of the document. Specific APA format guidelines for epigraphs are found at the following link: [APA Style Blog: How to Format an Epigraph](#).

Block Quotes

Reference **APA 7th: p. 271.** A quotation of 40 or more words should be placed in a freestanding block of text without quotation marks. The reference and specific page number are enclosed in parentheses after the period that ends the quotation.

Block quotes can be single or double spaced (*this is a deviation from the APA Manua*l) as long the spacing of the quotes is consistent throughout the manuscript. Block quotes should be indented 1/2 inch from the left margin. If there are additional paragraphs within the block quote, indent an additional 1/2 inch. Use direct quotes, particularly block quotes, sparingly to avoid copyright infringement.

Online Citations

URLs should NOT be used as citations within the text. However, to mention a website in general, do not create a reference list entry or an in-text citation. Instead, include the name of the website in the text and provide the URL in parentheses. Reference **APA 7th: p. 268.**

I. COPYRIGHT AND PERMISSION GUIDELINES

Reprinting or Adapting Materials

Reference **APA 7th: pp. 384-390**. According to U.S. copyright law, reprinting or adapting certain kinds of works (e.g., figures published in journal articles, images from websites, lengthy quotations) requires a more comprehensive acknowledgment of the copyright status of the reprinted or adapted work in the form of

updated 2023

a *copyright attribution,* a brief statement providing details of the original work and naming the copyright holder.

Reprinting means reproducing material exactly as it appeared originally, without modifications, in the way in which it was intended. *Adapting* refers to modifying material so that it is suitable for a new purpose (e.g., using part of a table or figure in a new table or figure in your paper). A copyright attribution is used instead of an author–date in-text citation to credit these works; each work also should appear in the reference list.

Review **APA 7th: p. 387** regarding the author's responsibility for compliance with legal standards of fair use when reprinting or adapting the work of others and publication policies established by the specific publisher/copyright holder. See also **APA 7th: p. 389** for copyright attribution templates and example copyright attributions for reprinted or adapted tables and figures, as well as the *ProQuest/UMI Copyright Guide* for more info.

J. CONCLUDING PAGES

Reference List

The dissertation will include a list of references as well as appendices. General guidelines are specified below; however, the candidate should review **APA 7th, Chapter 9: Reference List** for detailed guidelines for creating reference list entries, with specific sections focusing on each reference element (author, date, title, source) and the format and order of an APA Style reference list.

For GSEP dissertations, the list of references starts on a separate page following the concluding text. The word REFERENCES should be typed in all caps (matching the T.O.C. heading), centered, at the top of the page. With APA Style, the appendices come after the reference list.

APA gives preference to *hanging indents* in the reference list. The first line of the reference starts flush left; with the second and succeeding lines indented (1/2 inch).

See **APA 7th, Chapter 10: Reference Examples** for a detailed list of reference types and examples in APA Style**.** APA does not require the inclusion of a bibliography beyond the reference list.

References should correspond exactly to all citations in the body of the document. All citations in the body of the dissertation should be listed and no references should be listed that are not cited in the body of the document (except secondary sources, classical works, research participant interviews and personal communications). **See APA 7th: pp. 258-261** for detailed examples regarding works requiring special approaches to citation.

In the references, present both DOIs and URLs as hyperlinks (i.e., beginning with "http://" or "https://"). Because a hyperlink leads readers directly to the content, it is not necessary to include the words "Retrieved from" or "Accessed from" before a DOI or URL.

It is acceptable to use either the default display settings for hyperlinks in your word-processing program (e.g., usually blue font, underlined) or plain text that is not underlined.

Appendices

Reference **APA 7th: p. 41.** Each Appendix begins on a separate page, and should be listed in the same order they are mentioned in text. Each appendix should be mentioned (called out) at least once in the text by its label (e.g., "see Appendix A").

For each Appendix, an individual cover page can be used (*if applicable, this is required for Psychology doctoral students, and optional for education doctoral students)*, or the word APPENDIX (with the seriating capital letter, A, B, etc.) can be used on the same page as the appendix item.

If a text appendix contains tables, figures, footnotes, and/or displayed equations, give each one a number preceded by the letter of the appendix in which it appears (e.g., Table A1, Figure B2, etc.). Tables/figures in appendices must also be listed in the List of Tables/List of Figures in your preliminary pages. If an appendix consists of a table only or a figure only, then the appendix label takes the place of the table or figure number, and the appendix title takes the place of the table or figure title. Thus, if Appendix B is a table-only appendix, the table is referred to as Appendix B rather than as Table B1

The word APPENDIX with its letter designation should be centered on the page at the top 1" margin, typed in all capital letters. Double-space and type the title of the appendix item, centered and in title case. If a cover page is utilized for each Appendix, the text of the cover page can be centered at the top of the page or

centered in the middle of the page. If there is only one Appendix, do not use an identifying letter; the word APPENDIX is sufficient. Appendices should be in the order in which they are mentioned in the text and mentioned at least once in text (callout).

Margins must be maintained within appendix pages. Where necessary, reduce a page so that it fits completely without violating margins. Page numbers are required and should be placed in the location utilized throughout the rest of the manuscript. All personal contact information (i.e. phone numbers, addresses, email) should not be included in any of the appendices without approval.

Extended Review of the Literature and SR Studies

A required element of Psychology dissertations structured in manuscript style is the inclusion of an extended review of the literature in either table or narrative format. This should always be the first appendix after the references (APPENDIX A) and should be entitled "Extended Review of the Literature" or "Summary Table of Selected Literature." Immediately thereafter, a separate set of references for these tables must follow.

Please note: In some instances, this will mean identical items will be included in the manuscript REFERENCES and the reference list following the literature review table(s) in the appendix. Alternatively, a narrative or hybrid of literature tables and narrative are acceptable if approved by the dissertation Chair. Systematic Review (SR) dissertations require a specific structure and outline to follow. **Please review the** *Psy.D Clinical Dissertation Handbook* **for more details.**

IRB Documentation

There are three types of IRB documentation:
- GPS IRB Approval Notice
- GPS IRB Exemption Notice
- GPS IRB Non-Human Subjects Determination Notice

GSEP and IRB policy require researchers that use human subjects to include appropriate documentation in an individual appendix of the dissertation. Regarding the processing of non-human subject projects. IRB policy states that if the PI and Chairperson, after self-assessment, determine that there is no human subject contact for the study, they will not be required to submit a form and their abstract/proposal doc for review in order to issue a non-human subjects verification letter. Visit Pepperdine University's GPS IRB Website for more information regarding the IRB process, including recent updates to the institution's eProtocol IRB system.

updated 2023