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Table 1. Sequence of Components of Dissertations/Doctoral Projects 7
ALLIANT INTERNATIONAL UNIVERSITY DISSERTATION/DOCTORAL PROJECT STYLE AND FORMAT MANUAL
Approved April, 2014

The Alliant International University Dissertation/Doctoral Project Style and Format Manual governs the format and style used in producing dissertations, doctoral projects, and master’s theses that will be archived for future access by individuals from outside Alliant International University (e.g., ProQuest, libraries). Any terminal written project required for the doctorate or master’s degree that will be filed with the library or ProQuest for long-term access should follow these style and format requirements. Students in all schools and programs should follow this guide in preparing the final copy of dissertations and doctoral project document(s) required for successful completion of their academic programs.

This manual provides information on the format of the dissertation or doctoral project required for it to be accepted by the university and submitted to ProQuest and the library, along with the process involved in submitting the final document. Ordinarily this happens after a faculty committee (dissertation or doctoral committee) inspects the written document and the student completes an oral examination focused on the project (the oral defense). The student is responsible for ensuring that the final dissertation or doctoral project meets the university requirements described in this manual. The student’s dissertation or project chairperson and committee members provide the primary quality control in ensuring that the student has complied with these requirements.

This manual does not cover the competencies assessed by the dissertation or doctoral project, which vary depending on the goals and structure of academic programs. Similarly, procedures for ensuring that the dissertation or doctoral project meets program standards are determined by the program faculty and/or school. Students should consult the rules of their program (e.g., written Dissertation or Doctoral Project Guidelines developed by the program) regarding the specific content of the dissertation/doctoral project document, processes for obtaining committee approval of the dissertation/doctoral project proposal, final defense and approval by the dissertation committee, and any other program requirements related to the dissertation or doctoral project.

The final dissertation/doctoral project will be available outside the university, and will reflect on the student whose work it is. However, these documents also reflect on the program, the school, and the university. For these reasons, all who have responsibility for quality control

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1 This document could not have been developed without the work of many individuals and groups. It benefitted from the many Alliant program manuals that describe the dissertation format and from comments of faculty and staff on draft materials. We adapted materials that were particularly well-presented from some of these manuals. We also drew from materials provided by ProQuest and from dissertation guides available from the University of Chicago, the University of Texas, Ohio State University, Virginia Commonwealth University, Cornell University, and Texas Tech University.
of the dissertation/doctoral project should conscientiously enforce these university format and style standards.

Academic Integrity

The University requires students to adhere to professional ethical standards in the conduct and presentation of the dissertation/doctoral project. Researchers who collect data from human participants as part of their dissertation/doctoral projects are required to comply with standards for the protection of human participants set forth by relevant professional groups and the federal government and follow the policies and procedures of the Alliant International University Institutional Review Boards for the Protection of Human Participants, as documented in the Alliant International University Systemwide Policies for the Protection of Human Participants in Research. Students may not initiate data collection until they have received formal IRB approval in writing. Students who are unsure about whether their project involves contact with human participants should consult with the Chair of their dissertation and the Chairperson of their local IRB for guidance. Students must conduct, analyze and report their research in an honest and ethical manner.

Scientific misconduct is defined as falsification or fabrication of data or other actions that seriously diverge from those accepted by the scientific community for the conduct or presentation of professional work. Plagiarism is one form of scientific misconduct, and consists of presenting the work or ideas of another as though they were one’s own. The university reserves the right to use Turnitin or other software to detect plagiarism. Any scientific misconduct reflected in the dissertation or doctoral project may constitute grounds for dismissal from the university. The US Office of Research Integrity of the US Department of Health and Human Services provides guidance on avoiding plagiarism, fair use, and meeting professional ethical standards in research and scientific writing (http://ori.hhs.gov/avoiding-plagiarism-self-plagiarism-and-other-questionable-writing-practices-guide-ethical-writing).

Academic integrity also requires that students respect the copyrighted work of others. Thus, students who wish to reproduce copyrighted work in the dissertation should obtain permission to do so in writing from the person or organization which holds the copyright (usually the publisher). Examples when permission is generally needed include (a) reprinting measures developed by others, (b) reproducing or adapting tables or figures from published work, and (c) reproducing or adapting components of another student’s dissertation or doctoral project. Some publishers also require permission to adapt copyrighted work. The student is responsible for determining whether permission is required from the copyright holder, and for securing permission in writing when needed. Students should acknowledge this permission in the dissertation/doctoral project document, as described in the Publication Manual of the American Psychological Association. Students must also include documents granting permission to reproduce copyrighted material (e.g., letters, e-mail communications) as appendices to the dissertation/doctoral project.

Students should first consult with their dissertation/doctoral project Chairperson if unsure about how to handle copyright issues pertaining to some portion of their document. Students and chairpersons may also consult the library director for assistance with unusual circumstances or when they need further guidance regarding copyright issues.
ProQuest also provides guidance on copyright issues – see http://www.proquest.com/assets/downloads/products/UMI_CopyrightGuide.pdf.

Style Guide

**Use of APA style.** Dissertations and doctoral projects should use the style guidelines provided in the current version of the *Publication Manual of the American Psychological Association* (current version: 6th edition, American Psychological Association, 2009). The APA *Publication Manual* provides guidance on clear writing, mechanics of style (including abbreviations, capitalization, etc.), format for tables and figures, how to cite reference sources in the text and in the reference list, etc. The *APA Style Guide to Electronic References* (2012) is adapted from the *Publication Manual* and focuses specifically on how to cite electronic reference sources.

The *Publication Manual* was developed to apply to manuscripts submitted for publication and was not designed specifically for dissertation or doctoral projects. Dissertations and doctoral projects differ from journal publications in several ways. Differences from and additions to APA style that students should follow with the dissertation or doctoral project are listed below and elaborated in subsequent sections:

- Front Material or Preliminary pages – See subsequent sections.
- Abstract maximum word count is 350.
- Dissertations and Doctoral projects do not contain keywords.
- Pagination: Use roman numerals (i, ii, etc.) for front material; use Arabic numerals (1, 2, 3, etc.) for text, references and appendices.
- Table and figure headings should be single-spaced.
- Footnotes should be single-spaced.
- Footnotes should be placed at the bottom of the page on which the footnote appears.
- Appendices may be single spaced.
- If a CV is included, it may use single spacing.
- Appendices may include copies of material that were used in their study reproduced in the format in which they were used.
- Figures and Tables should be integrated into the text on the page on which they are mentioned, or the page immediately following if more space is needed to avoid a page-break in the middle of the table or figure. The table or figure must be mentioned prior to presentation of the table.
- Keywords should not be included in the dissertation/doctoral project abstract.

In rare cases, students may need to deviate from APA style in part of the document because this change is essential to improve clarity, accuracy, or to conform to professionally-recognized guidelines for presentation of the particular type of project or methodology. In these cases, the doctoral committee should evaluate and approve departures from APA style as important to the presentation of the work. Similarly, doctoral committees may approve reasonable accommodations and adaptations in presentation of the student’s work when dictated by the nature of the research or project.
Alliant International University requires the use of nonbiased language, in accord with the *Publication Manual of the American Psychological Association*. In addition, the academic components of the dissertation must normally be presented in standard English and meet professional standards and competencies in terms of expression and writing mechanics (e.g., grammar, punctuation, consistent presentation). The document should be proofread carefully to ensure that it is free of typographical, presentation, and grammatical errors.

**Common APA style problems.** Alliant faculty doctoral supervisors have noted a variety of common APA style irregularities they find in doctoral writing. These include: (a) use of appropriate heading levels; (b) citation of references in text (e.g., use of “&” versus “and,” spelling and use of “et al.”); (c) appropriate use of language guidelines for reducing biased usage (especially concerning use of s/he or he/she and people first language [language that emphasizes the individual first and a condition of the person second; e.g., “person diagnosed with schizophrenia” rather than “schizophrenic” “child diagnosed with autism” rather than “autistic child,” etc.]; see [http://supp.apa.org/style/pubman-ch03.00.pdf](http://supp.apa.org/style/pubman-ch03.00.pdf) for examples of problematic language and alternatives), and (d) failure to use first person expression when appropriate. Please consult the APA Style Manual for information regarding these issues. The American Psychological Association style website ([http://www.apastyle.org/index.aspx](http://www.apastyle.org/index.aspx)) also provides extended materials and examples for APA style (for additional useful material see [http://www.apastyle.org/manual/supplement/index.aspx](http://www.apastyle.org/manual/supplement/index.aspx), [http://www.apastyle.org/learn/index.aspx](http://www.apastyle.org/learn/index.aspx), [http://www.apastyle.org/learn/quick-guide-on-formatting.aspx](http://www.apastyle.org/learn/quick-guide-on-formatting.aspx), and [http://www.apastyle.org/learn/faqs/index.aspx](http://www.apastyle.org/learn/faqs/index.aspx)).

**Overview of Dissertation/Doctoral Project Clearance Process**

The dissertation clearance process involves submitting a final, approved copy of the dissertation or doctoral project to the university and to ProQuest, a national archiving service. The university places a copy in the library for access by members of the Alliant academic community; ProQuest makes the same document available around the world. Students must submit their documents to the library and to ProQuest in order to be cleared for graduation.

Alliant International University requires only electronic copies of the dissertation; hard (paper) copies are no longer required. The dissertation must be in a single PDF file that contains all components of the document. The same PDF file should be submitted to ProQuest and to the library. The requirements that follow apply to the PDF submitted to ProQuest and to the library for electronic archiving.

Students who wish to obtain bound paper copies of the dissertation for their own use should arrange for binding on their own. A variety of binding options are available, ranging from formal book-style binding to soft cover binding and spiral binding. ProQuest (see below) also offers bound copies of the dissertation for purchase. Students should consult the bindery that they choose about any special formatting instructions required for the format they select. Ensuring correct format for binding is the student’s responsibility, as are arranging and paying for the binding. Library staff members do not check the format of dissertations submitted for binding.
ProQuest

ProQuest is a for-profit company that creates databases and charges libraries for access to their content. One of these databases is ProQuest Dissertations and Theses, which the company describes as "the world's most comprehensive collection of dissertations and theses," as well as "the official digital dissertations archive for the Library of Congress and the database of record for graduate research." ProQuest permits Alliant to offer unlimited access to digital copies of past dissertations and doctoral projects. In addition, ProQuest allows students to purchase hard copies of your dissertation during the upload process. These are available in a variety of formats – loose sheets, softcover, hardcover. As an alternative, students who prefer to have it bound themselves print out their own copies and arrange binding at a bindery. Library staff can provide contact information for bindery companies.

ProQuest has two publishing options for making the dissertation available outside the university. Students choose one of the two when they upload their dissertation or doctoral project: traditional and open access. Under the traditional model, users at any library that subscribes to the Dissertations and Theses database will be able to find and download the dissertation for use in their research. Currently this option is free. ProQuest does not charge students because they recover their expenses from the subscription fees paid by libraries.

Under the open access model, the dissertation or doctoral project will be findable and downloadable by anyone on the Internet, regardless of whether they are affiliated with a subscribing institution. Currently this option costs $120.00, which is paid by the student. Students are free to choose either model; with open access the student essentially pays ProQuest to permanently store and provide access to the dissertation on the Internet.

Dissertation/Doctoral Project Layout

- **Margins.** In accord with APA style, all margins for the text should be 1”.

- **Header.** Each page should contain a header (also known as a running head), with the exception of the dissertation title page. This includes front matter, references, appendices, etc. Follow APA style in format, content, and placement of headers. The header should be placed within the 1” margin, not below it, on the same line as the page number, approximately ½ - ¾” from the top edge of the paper.

- **Pagination/page numbers.** The initial pages of the document should use lower case Roman numerals (i, ii, iii). The first (title) page is unnumbered but presumed to be “i,” so the page following it is “ii.” Roman numerals should be used until the text of the document begins. The body of the dissertation, references, and appendices should be numbered consecutively using Arabic numerals (1, 2, 3).

Page numbers (both Arabic and Roman numerals) should be located in the upper right hand corner of the document and are placed on the same line as the header.
Font. The text of the document should use Times New Roman, 12 point font. Other fonts may be used to reproduce a product, measure, or other document in the format in which it was developed or intended for everyday use. In addition, other fonts may be used sparingly in the text if needed to improve clarity and if customarily used in professional presentation of similar material (e.g., to denote different speakers by using different fonts in qualitative analyses).

Spacing. The document must be double-spaced with the exception of: (a) figure captions, titles, and footnotes, (b) charts and tables, (c) materials in appendices, (d) materials reproduced the format in which they were developed, (e) the CV (if included). Do not insert extra spacing between paragraphs or before or after text headings. APA style also requires that paragraphs be indented ½ inch and that text be left-justified. Do not justify right margins in the text of the manuscript.

Irregular spacing may be used to accommodate poetry or other creative writing or if required for clear presentation of material. APA style also permits triple or quadruple spacing under unusual circumstances (e.g., when presenting equations).

A heading should not be the last line on a page. If the heading falls at the very bottom of a page, begin the next page with the heading and the text that goes underneath it. In general the same guideline applies to references – unless a reference citation is extremely long, the entirety of the reference should be on the same page.

Students should be aware that some word processing programs automatically format documents in ways that do not conform to APA style or to these guidelines (e.g., always avoiding “orphan” or “widow” text, setting indents, fully justifying text). In these cases, the student will need to change these default settings in order to produce a document that meets APA and Alliant format requirements.

Tables and figures. These should be inserted immediately after they are first mentioned in the text. Lengthy tables may be presented on the next page if need be to avoid a page break in the middle of a table.

Components of the Dissertation/Doctoral Project

Table 1 describes the required and optional components of the dissertation/doctoral project, and provides information about pagination format. Components should be ordered as listed in the table. Appendix A provides examples of each page.

Title page. Use your formal, given name (no nicknames). If you list a degree, list only degrees earned prior to submitting the document for review and approval, not the degree that will be conferred after you complete the doctorate.

Chair (or supervisor) and committee member (called “consultants” in some programs) names should be included on the title page. Names of added committee members who
Table 1

*Sequence of Components of Dissertations/Doctoral Projects*

<table>
<thead>
<tr>
<th>Sequence</th>
<th>Requirement</th>
<th>Number of Pages</th>
<th>Pagination</th>
</tr>
</thead>
<tbody>
<tr>
<td>Title Page</td>
<td>Required*</td>
<td>Single</td>
<td>Unnumbered</td>
</tr>
<tr>
<td>Copyright page</td>
<td>Optional*</td>
<td>Single</td>
<td>lc roman numerals</td>
</tr>
<tr>
<td>Dedication</td>
<td>Optional*</td>
<td>Single</td>
<td>lc roman numerals</td>
</tr>
<tr>
<td>Acknowledgements</td>
<td>Optional*</td>
<td>Single or multiple</td>
<td>lc roman numerals</td>
</tr>
<tr>
<td>Abstract</td>
<td>Required*</td>
<td>Single or multiple</td>
<td>lc roman numerals</td>
</tr>
<tr>
<td>Table of Contents</td>
<td>Required*</td>
<td>Single or multiple</td>
<td>lc roman numerals</td>
</tr>
<tr>
<td>List of Tables</td>
<td>if applicable*</td>
<td>Single or multiple</td>
<td>lc roman numerals</td>
</tr>
<tr>
<td>List of Figures</td>
<td>if applicable*</td>
<td>Single or multiple</td>
<td>lc roman numerals</td>
</tr>
<tr>
<td>Text of dissertation/body of doctoral project</td>
<td>Required*</td>
<td>Multiple</td>
<td>Arabic numerals</td>
</tr>
<tr>
<td>Reference list</td>
<td>Required</td>
<td>Multiple</td>
<td>Arabic</td>
</tr>
<tr>
<td>Appendices</td>
<td>If applicable*</td>
<td>Multiple</td>
<td>Arabic</td>
</tr>
<tr>
<td>List of supplemental material</td>
<td>If applicable</td>
<td>single or multiple</td>
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<tr>
<td>CV</td>
<td>Optional</td>
<td>Multiple</td>
<td>Arabic</td>
</tr>
</tbody>
</table>

*Note.* “lc” = lower case.
*See sample pages in Appendix for example.*

participate only in the defense (e.g., an examiner who has had limited involvement with the proposal and development of the project such as a “fourth” assigned committee member for the defense) should not be included.

Signatures should not be included on the title page.

**Copyright page.** The copyright page contains the copyright symbol (©) and the author’s name and the year of the dissertation, centered in the lower third of the page. This page is optional. The copyright pages contain a running head and page number, but are not listed in the Table of Contents.
Dedication. A dedication indicates the person, persons, or groups to whom the work is dedicated. This section is optional.

Acknowledgements. The Acknowledgements section thanks those who contributed to the work in some way. This section is optional.

Abstract. Abstracts have a maximum length of 350 words. This limit is imposed by ProQuest’s Dissertation Abstracts International, which makes dissertation abstracts available worldwide.

No keywords are included in dissertation or doctoral project abstracts.

Table of Contents. The table of contents for the dissertation/doctoral project lists the titles of the major sections of the document, including all titles, headings and subheadings used. This includes a list of Appendices containing the title of each Appendix.

Chapters of the dissertation should be numbered using Roman numerals (e.g., Chapter I). Appendices are sequenced using letters (e.g., Appendix A).

Occasionally the student’s doctoral work will include a work product that is reproduced in the dissertation/doctoral project document. This work project may have its own table of contents that is a part of the product (e.g., a manual with a table of contents pertaining just to the manual). This secondary table of contents is considered part of the work product and should be formatted appropriately for that product.

List of Tables. The list of tables provides the complete titles of all tables the document contains, along with the page where the reader can find the table.

List of Figures. The list of figures provides the complete titles of all figures the document contains, along with the page where the reader can find the figure.

Reference list. Doctoral projects and dissertations should contain a comprehensive reference list placed after the text of the dissertation or body of the doctoral project. The reference list should include all materials cited in the body of the document. References should be formatted according to APA style, which now includes a requirement for the digital object identifier (DOI) when available.

Some dissertations or doctoral projects contain work products that are reproduced in their entirety as part of the text or in an Appendix. At times these work products include a list of references that are specific to the product. This list of references is intended to be part of the product. If a reference list is a component of the work product, it should be included within the product. A separate comprehensive list of references cited in the rest of the work (e.g., in a literature review or discussion section) should also be included as stipulated above.

Appendices. Appendices provide supplemental material important to understanding and evaluating the dissertation or doctoral project. Examples of material often presented in
appendices include consent and assent forms used in the study, materials developed for the study (e.g., instructions to participants, research stimuli, treatment manuals), measures that are not copyrighted or that the student has written permission to reproduce in the document, and more extended presentation of qualitative data or quantitative results.

- If there is more than one appendix, appendices should be named A, B, C, etc.
- Each appendix should be preceded by a title page that lists the appendix (e.g., “Appendix A”) with the title of the appendix underneath it in boldfaced type, centered on the page.
- Appendices should be cited in the text and sequenced following the order in which they are mentioned in the text.
- Appendices should only reproduce materials copyrighted by others (e.g., measures, treatment manuals, published work) if the student has written permission to reproduce the work. Permission should be acknowledged in the appendix.
- Letters and e-mails giving permission to reproduce copyrighted materials must be included in the appendices.
- In rare cases, a student may be unable to obtain permission to reproduce something in the dissertation/doctoral project document despite multiple and consistent attempts to do so. In these cases, the student ordinarily should not include the material in their document. If reproduction of the material is essential, the student must provide (a) a citation for the material, and (b) a description of the good-faith attempts to obtain permission in the appendix. The chairperson must approve this description.

**Supplemental material.** Sometimes a dissertation or doctoral project involves material that is not textual or cannot be readily inserted into the text or appendices of the dissertation/doctoral project without loss of integrity (e.g., video or audio material, children’s book). This material should be saved in electronic form and submitted to ProQuest and the Alliant library along with the dissertation/doctoral project. Students should consult with their local university librarian if unsure about whether material is able to be digitized. Material that cannot be converted to electronic form should be archived and made available through the library in some other way, as determined by the doctoral committee in consultation with the head university librarian. Include a list of supplemental material after the appendices.

**Curriculum Vitae.** A CV may be included if required by the student’s program. The CV may be formatted to match the CV that the student customarily uses for professional purposes. The CV is not an appendix and does not have a cover page.

**Text of Dissertation/Body of Doctoral Project**

Dissertations and doctoral projects at Alliant International University can take a variety of forms, depending upon the program requirements. The specific content of the text of the dissertation will vary depending upon the nature of the project and the program requirements; students should refer to written program guidelines for specific content requirements. However,
all dissertations or projects are divided into sections or chapters. Here we outline three different types of documents with requirements for their structure.

In rare cases, students may need to deviate from these requirements because the change is needed to present important components of the work or to conform to professionally-recognized guidelines for the particular type of project or methodology. Changes should only be made when the nature of the work dictates the need for an alternative organizational structure and not when the student or committee simply has a personal preference for an alternative. In these rare cases, the doctoral committee should evaluate and approve an alternative organization or presentation and judge it essential to evaluate the document fully, to achieve the goals of the dissertation or project, or to meet disciplinary or methodological standards relevant to the nature of the work.

**Quantitative studies.** The text of the quantitative dissertation presents background, methods, and results of one or more studies designed to provide numerical data that address a particular research question, hypothesis, or objective. These documents should follow a chapter format. The most common sample formats include:

### Four-chapter model:

Chapter I. Introduction and Literature Review  
Chapter II. Method  
Chapter III. Results  
Chapter IV. Discussion (or Discussion and Conclusions)

### Five-chapter model:

Chapter I. Introduction  
Chapter II. Literature Review  
Chapter III. Method  
Chapter IV. Results  
Chapter V. Discussion (or Discussion and Conclusions)

For multiple studies:

Chapter I. Introduction and Literature Review  
Chapter II. Study One  
  - Rationale and Objective  
  - Method  
  - Results  
  - Discussion  
Chapter III. Study Two  
  - Rationale and Objective  
  - Method  
  - Results  
  - Discussion  
Chapter IV. General Discussion
Qualitative studies. Qualitative studies differ from quantitative research in that much or all of the data are likely to be non-numerical and may consist of pictures, text, photographs, or other materials. Many qualitative studies may be presented appropriately using the chapter models described for quantitative studies above. This will depend on the methodology chosen as well as the data sources. Research based in the interpretive or critical traditions, for example, are less likely to fit conventions appropriate to quantitative traditions. The dissertation document should be epistemologically congruent with the study described. As indicated earlier, the approval of alternative formats rests with the dissertation chair and committee members.

Mixed-method studies. Mixed method studies present both quantitative and qualitative data. Organization of material into chapters or sections may follow either quantitative or qualitative presentation guidelines, as dictated by the nature of the research and by which type of data predominates. The doctoral committee should advise the student on appropriate presentation of this type of investigation.

Work products that are included as part of the dissertation. Doctoral projects or dissertations may sometimes result in new works that are the culmination of the student’s efforts and must be presented in their entirety as part of the document. The work may be included either as part of the body of the dissertation/project or as an appendix.

When work products are presented in the text of the document, the body of the doctoral project or dissertation may be divided into sections rather than chapters. An example of acceptable organization for this type of presentation would be:

Section I. Literature review and goals of the project
Section II. Methodology
Section III. Work product that was developed for the dissertation/doctoral project
Section IV. Evaluation of the work product

For some types of products, the four or five chapter models described above will be appropriate, with alterations to chapter titles to fit the nature of the work. For instance, with the following example, the work product is reproduced in an appendix:

Chapter I. Literature review and goals of the project
Chapter II. Methodology
Chapter III. Evaluation of the work
Chapter IV. Discussion

Here is a five chapter example:

Chapter I. Justification and Statement of the Problem
Chapter II. Literature Review
Chapter III. Methodology
Chapter IV. Results/Evaluation
Chapter V. Discussion
Because projects or dissertations that produce a work product can be quite different from one another, programs may develop alternative organizational structures to fit certain types of work. These are acceptable as long as they comply with the general guidelines of style requirements for presentation described in this document and alterations in style are needed to preserve the integrity of the work. Students should consult written guidelines for dissertations and doctoral projects developed by their program for specific guidance in these circumstances.

When a work product is not textual in nature or contains components that cannot readily be inserted into the text or appendix of the dissertation/project, the work product should be included as “supplemental material” and submitted in electronic form along with the electronic version of the dissertation.

Administrative Review and Clearance Process

Responsibilities of committee, program, and library staff. The student bears the primary responsibility for meeting professional competencies in terms of usage, grammar, presentation of technical material (e.g., statistics), appropriate application of APA style guidelines, and the like. Similarly, it is the student’s responsibility to ensure that the document has been carefully proofread and is free of spelling, typographical, and related sorts of errors. The dissertation/doctoral project committee is responsible for ensuring that the document uses correct grammar, punctuation, and formatting, and that the contents of the document meet the program, school, and university standards of quality. Dissertation chairpersons and committee members should not sign final approval documents until they are sure these requirements have been met.

Library staff are responsible for performing a basic check at the time of submission, to make sure that the document is formatted according to the requirements in this manual and that the student has submitted the forms required to complete the dissertation clearance process. Library staff members do not conduct a word-by-word analysis of the document, but instead scan and randomly check pages for errors. If the library check reveals what appear to be significant concerns about whether the format of the document conforms to the requirements of this document, library staff may consult the dissertation or project chairperson to discuss the concerns prior to approving the dissertation. This consultation may result in the student being referred back to the chairperson to make additional changes to the document.

Clearance process. The dissertation clearance process involves several steps, which are listed below.

Please note that these steps pertain only to the university-wide dissertation/doctoral project clearance process. Programs may have additional forms students will need to complete for the program. Similarly, students who plan to graduate should also ensure that they obtain and file the appropriate additional documents needed to graduate. We strongly recommend that (a) students thoroughly familiarize themselves with requirements of the program and the university prior to scheduling the defense, (b) students with questions or who wish to verify or review
requirements meet with the Academic Affairs Staff or core faculty member associated with their program who is most involved with the defense process and graduation.

**Step 1:** After successfully defending the dissertation/doctoral project and completing any required revisions, the student contacts Academic and Administrative Support Services (or another relevant program official) as needed to clarify any remaining questions about the program and university requirements for completing the dissertation/doctoral project clearance process.

**Step 2:** After (a) successfully defending the work, (b) completing all post-defense revisions required by the committee, (c) ensuring the proper formatting of the manuscript, and (d) obtaining chair and committee member approval of the revised document in writing on ‘Library Dissertation/Doctoral Project Clearance Form’ (and any forms required by the department or program), the student contacts the Library Dissertation Clearance Representative (DCR) to schedule a preclearance meeting. This meeting may take place in person or by telephone. Library staff request that appointments be scheduled at least seven business days in advance.

The student meets with the Library DCR. The student arrives with (or has emailed or faxed):
- Signed ‘Library Dissertation/Doctoral Project Clearance Form’ (scanned copies are acceptable)
- Completed Alliant Library Dissertation/Doctoral Project Cataloging Form.

Note that ‘Section 1’ of the Library Dissertation/Doctoral Project Clearance Form’ must be signed by the dissertation/doctoral project committee and the Program Director after all final edits have been made and approved. Committee signatures on this form indicate that the student has successfully defended the dissertation and that the final written dissertation/doctoral project as submitted to the library is acceptable in content and format. The Program Director signature indicates that the student has successfully completed all program requirements related to the dissertation (e.g., submitted departmental forms or any supplemental documentation the program requires for the dissertation/doctoral project).

During this meeting, the DCR verifies that the ‘Library Dissertation/Doctoral Project Clearance Form’ has been signed by the dissertation/doctoral project committee and the Program Director. If the form is not signed the student is ineligible for final library clearance. Scanned or faxed copies of original signatures are acceptable.

**Step 3:** Student uploads the manuscript to UMI/ProQuest for initial review. ProQuest automatically notifies the library that this has been done.

**Step 4:** The DCR verifies that the manuscript has been uploaded. The DCR reviews the formatting of the manuscript and provides feedback/comments if the
document does not meet requirements for submission. The DCR e-mails a copy of the feedback to the student and the Chairperson.

The DCR will ordinarily complete this review within three business days of receipt of information from ProQuest that the manuscript has been uploaded. If this three-day period must be extended due to unusual circumstances, the DCR will notify the student about when he or she can expect feedback.

_The student repeats this process until the document is acceptable. Allow three business days for review of any revised, reuploaded version of the manuscript. The time frame for completing the entire clearance process will vary depending on the time of year (e.g., allow more time as graduation or other due dates approach), the extensiveness of problems, responsiveness of the student to initial feedback from the DCR, etc._

**Step 5:** The DCR officially verifies that the electronic version has been uploaded to ProQuest and cleared as acceptable. Library DCR completes ‘Section 3’ of the Library Dissertation/Doctoral Clearance Form and sends the form to the Registrar, retains a copy, and e-mails a copy to the student, the dissertation chair, the Academic Affairs Staff member associated with the Program, and the student’s Program Director.

**Step 6:** The Library DCR approves and delivers the electronic copy of manuscript to UMI/ProQuest.

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APPENDIX

Sample Pages for Components of the Dissertation/Doctoral Project
UNDERTANDING THE PROCESSES OF EVIDENCE-BASED TREATMENT:

THERAPIST PERSPECTIVES

Dissertation presented to the Faculty of the
California School of Professional Psychology
Alliant International University
San Diego

In partial fulfillment of the requirements for the degree of
Doctor of Psychology

by

Terry B. Martinez, M.A.

Year dissertation/doctoral project accepted by library

Approved by:
Deborah Kagashiri, Ph.D., Chairperson
Sean B. Garcia, Psy.D.
Maxwell W. Anderson, Ph.D.

Or Doctoral Project, Thesis, etc. as relevant
Insert school name
Campus location
List degree here, e.g., Doctor of Philosophy, Doctor of Psychology
Official full name, previous academic degree(s) [e.g., M.A., JD]
Four to six lines between name and approval section
Chair’s/Supervisor’s name, degree, and role
Committee members’ names, academic degree(s)
SAMPLE COPYRIGHT PAGE
(copyright page is optional)

©Terry B. Martinez, year

Centered, bottom third of page, year accepted by library
Dedication

Lorem ipsum dolor sit amet, consectetur adipiscing elit. Fusce facilisis dignissim velit at interdum.
Acknowledgements

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Abstract

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Name of first subheading in the first section 3  

*Name of first section, first sub-subheading* 3  

*Name of first section, first sub-subheading* 6  

Name of second subheading in the first section 9  

Name of Section Heading for Second Section 15  

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CHAPTER I


Section Heading for First Section

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First section, first sub-subheading


First section, second sub-sub-subheading


References


APPENDIX A

Copy of the Magna Carta
Curriculum Vitae

(CV may follow your own format and may be single spaced)

SAMPLE CV PAGE
(including CV is optional)