

Penn GSE Graduate School of Education
University of Pennsylvania
Ed.D. DISSERTATION MANUAL

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SECTION 1: INTRODUCTION

Writing and submitting the dissertation are among the final steps leading to the award of the Ed.D. degree. At Penn GSE, a student presents and defends the dissertation publicly. The final manuscript is submitted with the approval of the dissertation committee, Associate Dean, and Dean of the Graduate School of Education. The Graduate School of Education serves as the final clearinghouse for final deposit of all Ed.D. dissertations.

This Dissertation Manual can be used in conjunction with the [Dissertation Template](#). The Dissertation Template is a word document formatted with the approved margins, pagination, fonts, etc. All Ed.D. dissertations must be submitted online through [ProQuest ETD Administrator](#).

Questions? Please contact Megan McManus, Faculty Affairs Coordinator: mcmmeg@upenn.edu

OPEN ACCESS PUBLICATION

Publication of the dissertation is a university requirement for Ed.D. and Ph.D. degrees. A bound copy of the dissertation is shelved in the University Library, where it is available through Interlibrary Loan. A digital copy is included in the ProQuest / UMI database, accessible online to subscribers and libraries.

As of December 2015, Penn will require open access publication of dissertations. Open access provides a much wider audience for you, can help to market your ideas to potential employers, and can help make plagiarism or theft much easier to detect. The open access dissertation, published in the University's institutional repository, [Scholarly Commons](#), will be available via the internet, including full text searching through search engines like Google. The same legal and copyright protections pertain to open access publication as to traditional hardcopy publication. The University permits delay of traditional and open access publication if necessary.

DELAY OF PUBLICATION

In cases where papers are in press, patents are pending, or where there are other intellectual property concerns, it may be beneficial for you to delay publication (commonly referred to as an "embargo"). Students should discuss with their advisor whether a delay in publication is necessary or advisable.

Beginning with the December 2015 degree cycle, students may apply for a delay in publication by Proquest and in Scholarly Commons as follows:

- Enter embargo preferences, if any, when submitting the dissertation using ProQuest ETD Administrator (2 year embargo) and open access in ScholarlyCommons, (3 year embargo)..
- **A request for a three-year delay in open access publication through Penn's [ScholarlyCommons](#) will be granted automatically. No forms or permissions required.**
- **ProQuest ETD Administrator allows a 2 year delay.**
- A request for an additional three-year delay in ScholarlyCommons requires approval by the Graduate Group Chair. See form on the next page.
- If a further delay is needed, a graduate may petition their school's Graduate Dean or Associate Dean for Graduate Studies for an extension.

Documentation of approvals for extension of an embargo must be submitted one month in advance to the Graduate Division, (Megan McManus, mcmmeg@upenn.edu, which forwards the information to ScholarlyCommons.

Complete and submit the form below to request an extension of embargo. To release a work early from embargo, send email to mcmme@upenn.edu.

To avoid release of the work in Scholarly Commons, approvals must be received one month in advance by the Graduate Division.

Authors contact ProQuest directly for embargo extensions in ProQuest @ disspub@proquest.com.

SCHOLARLY COMMONS EMBARGO EXTENSION REQUEST FORMS

THESE REQUESTS WILL NOT BE ACCEPTED BY THE GRADUATE DIVISION UNTIL 3 MONTHS PRIOR TO THE ORIGINAL EMBARGO EXPIRATION DATE.

Request for First Extension of Embargo in Scholarly Commons

(beyond the 3 years of “automatic” embargo)

AUTHOR’S NAME _____

TITLE OF DISSERTATION _____

Print Name Signature of Author Date. Email

Print Name Signature of Graduate Group Chair Date

Delay Publication until _____

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Request for Second Extension of Embargo in Scholarly Commons

(beyond the 3 years “automatic” embargo and the approved 3 year extension)

AUTHOR’S NAME _____

TITLE OF DISSERTATION _____

Print Name Signature of Author Date. Email

Print Name Signature of **Graduate Dean** Date

Delay Publication until _____

USE OF COPYRIGHTED, PREVIOUSLY PUBLISHED, OR COAUTHORED MATERIAL

Previously published articles may be submitted as part of the dissertation, with written permission of the copyright holder (such as the journal or publisher) and approval of the dissertation committee and Graduate Group Chairperson.

If you use copyrighted material (images, quotations, datasets), you are responsible for ensuring permission for re-use of that material. In most cases, you are able to use copyrighted material under the “fair use” provisions of copyright law. If you still have questions regarding copyright and “fair use” send email to: repository@pobox.upenn.edu

University of Pennsylvania policy permits dissertations based on joint work with other researchers, provided that, in such cases, a unique and separate dissertation is presented by each degree candidate. The candidate must include a concise account of his or her contribution to the whole work. Authorship of a dissertation by more than one degree candidate is not allowed.

PATENT AND INTELLECTUAL PROPERTY

Any inventions that you make as part of your research for your degree and disclosed as part of your dissertation, and any patent or other intellectual property rights arising there from, are governed by the policies of the University of Pennsylvania, including the [Patent and Tangible Research Property Policies](#) and [Procedures and Policy Relating to Copyrights and Commitment of Effort for Faculty](#).

For more information, please contact the University's [Center for Technology Transfer](#) at CTTinfo@ctt.upenn.edu or by calling the CTT Help Desk at 215-898-9591.

Please note that independent of embargoes in ProQuest and/or ScholarlyCommons, once the dissertation has been deposited, a print copy will be bound and shelved immediately in the University Library. This constitutes publication and makes the dissertation publicly available in the Library and through Interlibrary Loan. This may impact the timing and deadlines to file patent applications and/or your ability to obtain a patent.

There are strict deadlines under U.S. and international law regarding the timing for filing patent applications and the public availability of your dissertation. Contact the [Penn Center for Innovation](#) to discuss whether there might be a patentable invention disclosed in your dissertation **prior to deposit of your dissertation**.

[Information on Patents for Researchers](#)

SECTION 2: ED.D. DISSERTATION FORMATTING

ED.D DISSERTATION TEMPLATE

A Word template is available to help you format the dissertation correctly. It paginates according to University requirements and can be used to generate the Table of Contents, format the margins, etc. Choose the one appropriate to your dissertation (e.g., with or without notice of copyright). When using the Dissertation Template, all italicized notes must be deleted and the highlighted text must be personalized. Be sure to remove the grey shading used in the template to indicate fields where information must be entered. The Dissertation Template is available below. If you choose to create your own document, rather than use the Dissertation Template, be sure to follow the guidelines below very carefully.

LINK TO: **EDD DISSERTATION TEMPLATE**

ORGANIZATION OF THE MANUSCRIPT

Preliminary Pages, in the following order:

Title Page

Copyright Notice (optional)

Dedication (optional)

Acknowledgment (optional)

Abstract

Table of Contents

List of Tables (If lengthy, it may be included as an appendix.)

List of Illustrations (If lengthy, it may be included as an appendix.)

Preface (optional)

Main Text

Appendices (optional)

Bibliography

Index (optional)

MARGINS

Margins: Left-hand margin: 1.5 inches
 Right-hand margin: 1 inch
 Top and bottom margins: 1 inch

All text, including footnotes and page numbers, must be inside these boundaries. Nothing may appear in the margin area.

LINE SPACING

The text of the dissertation must be double-spaced (except for footnotes, long quoted passages, and lists of tables and figures, which are single-spaced).

FONT

Any non-italic font 10-12 points in size should be used. Headings may be larger. For enhanced screen readability, use Arial (10pt), Courier New (10pt), Georgia (11pt), Times New Roman (12 pt), or Verdana (10pt) font. For footnotes, figures, citations, charts and graphs, a font of 8 point or larger should be used. Italic type may be used for quotations, words in a foreign language, occasional emphasis, or book titles.

BOLD, UNDERLINING, PARAGRAPH INDENTATION, BLANK PAGES

Spare use of these formatting features is permitted, in order to enhance the readability of the manuscript. Blank pages are not permitted.

PAGINATION

Every page in the dissertation has a number, except for the Title Page and the copyright notice (if desired).

For the preliminary pages – dedication (optional), acknowledgements (optional), abstract, table of contents, list of tables, graphs, illustrations and preface (optional) – use small Roman numerals (i, ii, iii, iv, v, ...). These may be placed either at the top or the bottom of the page. **The title page is counted as page i, and the copyright page (if there is one) as page ii, but do not print the page numbers on either of these two pages** (e.g., in a dissertation with a copyright notice, the first numbered page is iii; in a dissertation without a copyright notice, the first numbered page is ii).

For the text, use Arabic numbers (1, 2, 3, 4, 5, ...) starting with page 1 (the first page of the text itself). These may be placed either at the top or the bottom of the page. If you use footnotes, it is recommended that you print page numbers at the page top. Do not print page numbers, footnotes, or anything else in the margins. Each page must be consecutively numbered, including tables, graphs, illustrations, and bibliography/index (if they are included); letter suffixes (such as 10a, 10b) are not allowed.

Check pagination carefully. **Do not include blank pages.** All pages must have a page number and be accounted for.

TITLE PAGE

The Title Page must contain the TITLE (in upper case); the author's name; the graduate group name (see Page 8 for official names); the year the degree is being granted; the name, faculty title (rank and department), and signature (original or electronic) of the dissertation supervisor; and the signature of the Dean. The names and faculty titles (rank and department) of the Dissertation Committee members should be listed on the Title Page (their signatures are not required). If you want to use a format for your name that differs from the current name in the *Penn In Touch* System (e.g., a married name, or a full middle name rather than a middle initial), contact the Registrar's Office and provide the necessary documentation to make that change.

The Dissertation Supervisor is the person primarily responsible for overseeing the student's dissertation research.

The title page is understood to be page "i" for counting purposes, but no page number should be printed on the title page. See [DISSERTATION TEMPLATE](#) for details.

OFFICIAL NAMES OF GRADUATE GROUPS

Higher Education
Higher Education Management
Reading/Writing/Literacy
Educational Leadership
Teaching, Learning, and Teacher Education
Penn Chief Learning Officer
Educational and Organizational Leadership

COPYRIGHT NOTICE

The dissertation submitted as a part of the requirements for a degree is the property of the University. However, the author of the dissertation owns and retains the copyright in the dissertation, without further registration formalities (see page 19 for more discussion of copyright options). If you choose to include a copyright notice in your manuscript, place it on a separate page immediately following the Title Page. Display the "TITLE" of the dissertation and the word "COPYRIGHT" in UPPERCASE, (or symbol ©), the year of first publication, and your name in sentence case. The author may also reference a Creative Commons License Deed on this page. Do not print a page number on this page; it is understood to be page "ii" for counting purposes.

ABSTRACT

The Abstract is a condensed summary of the dissertation, not to exceed 350 words. All words count towards the total. The abstract, which is normally a single paragraph, consists of four parts: the statement of the problem; the procedure and methods used to investigate the problem; the results of the investigation; and the conclusions.

The abstract is published online by ProQuest in "Dissertation Abstracts International," providing information to interested readers about the general content of the dissertation.

The abstract is double-spaced. Below the word "ABSTRACT" (in upper case), list the title of the dissertation (upper case), your name, and your dissertation supervisor's name. If you have both a supervisor and co-supervisor, list the co-supervisor's name on the line beneath the supervisor's. Do not include any titles (e.g. "Supervisor" or "Advisor"), as this is indicated by the placement of the names.

FOOTNOTES / ENDNOTES

Notes can appear as footnotes below the text on a page, or as endnotes at the end of each chapter. Footnotes at the bottom of a page should be numbered continuously throughout the dissertation. Endnotes at the end of a chapter are numbered separately for each chapter (i.e., the first note of each chapter will always be numbered "1"). A bottom-of-the-page footnote must begin on the same page as the text to which it refers, but it may continue on a following page if necessary. Nothing may appear in the margin area.

BIBLIOGRAPHY

This is an alphabetical listing of all references. It may be a single alphabetical list by chapters, or an alphabetical list by authors for subject and class of publications. Page numbers in the bibliography continue the pagination of the text; do not number the bibliography separately.

SUPPLEMENTARY DIGITAL FILES

Supplementary digital files of essential supporting material may be submitted along with the dissertation manuscript. Follow the instructions in ETD Administrator for attaching supplementary files.

COPYRIGHT PERMISSION LETTER

If someone other than you owns the copyright in content in your manuscript, including appendices, and your use of that content is not a fair use of that content, ProQuest requires submission of a permission letter from the copyright holder to use that content. Submit the Permission Letter as a Supplemental File in ETD Administrator. **Name the file “Permission Letter - Do Not Publish.”**

PAPER

The dissertation is printed single-sided on acid-free white paper, 20 lb. (or heavier stock), 8 1/2 x 11 inches in size. Copier paper is fine.

SECTION 3: DISSERTATION SUBMISSION PROCESS

The Graduate School of Education is the administrative clearinghouse for EdD graduates. Prior to submitting a hardcopy of your dissertation to GSE, you must first submit your dissertation online using [ProQuest ETD Administrator](#). Once your dissertation has been reviewed and accepted on ProQuest, bring a single hardcopy of the dissertation manuscript un-bound in a box or sealable envelope with original signature of the Dissertation Chair on the Title Page. GSE will secure the Dean's signature on the title page on behalf of the student. The hardcopy will be bound, included in the Library collection, and made available to the world via inter-library loan.

SUBMITTING YOUR DISSERTATION TO PROQUEST ETD ADMINISTRATOR

Candidates are required to use ProQuest ETD Administrator to submit a PDF version of their dissertation prior to their appointment at the Graduate School of Education. [Click here to go to the ProQuest ETD Administrator website](#). The following is an easy-to-follow guide for submission and making selections regarding publication method and copyright. [Click here for instructions with screenshots](#).

1. [Log in to ProQuest ETD Administrator](#). Click “Create or continue submission.” If you have not created an account in ProQuest ETD Administrator, you must do so at this time.
2. After logging in, select “Submit my ETD” in the “My ETDs” tab.
3. You will be sent to the “Instructions” page (see left column), that says, “Welcome to the ETD Administrator at University of Pennsylvania, Graduate School of Education” at the top. After reading the Instructions, click “Continue” at the bottom of the page.
4. You will then be sent to the “PQ publishing options” page that says “Publishing Options” at the top. Under “Delaying release in ProQuest / I want my work to be available in ProQuest as soon as it is published,” select “Yes” or “No.”
 - a. If you select “Yes,” click “Save and Continue” at the bottom of the page.
 - b. If you select “No,” select “2 years,” after the question “How long would you like to delay the release to ProQuest?” Select the “Reason for delaying release to ProQuest.” and click “Save and Continue” at the bottom of the page.
5. Next is the “ProQuest Agreement” page. Review the text and click “Accept” at the bottom of the page.
6. The following page is the “Contact Information” page. Fill in the required information and click “Continue” at the bottom of the page.
7. The “Dissertation/Thesis Details” page is next. Fill in the required information and click “Save and Continue” at the bottom of the page.

8. Next is the "PDF of your thesis or dissertation" page where you will upload your dissertation. PDF is the required format for submission. If you are unable to convert your manuscript to a PDF, you can upload a Word doc or RTF and ProQuest will convert it for you.
 - a. Click "Upload file" to upload your dissertation.
 - b. Click "Yes" or "No" to the question, "Do you have any copyright permission documents to submit?" If you click "Yes," you will be asked to upload a file of the copyright permission documents. Click "Save and Continue" at the bottom of the page.
9. The following page is "Supplemental Files (optional)" page. Add any optional supplemental files and click "Save and Continue" at the bottom of the page.
10. The next page is "Notes to Administrator (optional)." Add any notes to the administrator in the text box and click "Save and Continue" at the bottom of the page.
11. Next is the "Register U.S. Copyright" page where you can register with the US copyright office. Answer the two questions on the page and click "Save and Continue."
12. The "Order Copies" page will give you the option to purchase hardcopies of your dissertation. On the bottom of the page, click "Continue with order" or "Decline-do not order."
13. After clicking "Continue with order" or "Decline-do not order," you will be sent to the "Pay for your order: Review your submission summary" page. Review the submission information and click "Continue" at the bottom of the page.
14. The next page is "Pay for your order: Review order summary." Review your order and click "Confirm billing information."
15. The following page is the "Pay for your order: Confirm billing information" page. Fill out the "Billing Information" section and click "Enter credit card" at the bottom of the page.
16. A window will open with your order information. Fill out the payment information and click "Pay Now."
 - a. Once you have paid, your dissertation will be posted on the ETD Administrator page where it will be reviewed by the Faculty Affairs Coordinators for formatting issues and by the Associate Dean.

ORDERING A TRANSCRIPT & GETTING YOUR DIPLOMA

[Click here for information about ordering transcripts.](#)

Diplomas are mailed to the address of record by the Office of the Secretary approximately two months after each degree cycle, (e.g., in early October for August graduates, in March for December graduates, and in July for May graduates).

Questions? Contact Janeen Chavis, Director of Student Records: jchavis@upenn.edu / 215-898-7379

POLICY ON AMENDING THESIS/DISSERTATION AFTER FINAL SUBMISSION

Once approved by the thesis/dissertation committee and published in the University's [ScholarlyCommons](#), all thesis/dissertation content becomes part of the formal record. Only in rare situations in which there is a significant chance of harm (to readers following the dissertation's recommendations and/or to research informants/participants) will requests to amend the scholarly content of the submitted thesis/dissertation be considered. Students and committees should follow all [IRB](#) guidance and review thesis/dissertation content carefully before submission to avoid this scenario whenever possible.

Any request to amend the dissertation must be approved by the thesis/dissertation advisor (if still on the Penn faculty) and Graduate Group Chair. Once approved, the request should be submitted by the Graduate Group Chair, along with a rationale for consideration, to the Deputy Provost for final approval.

Two types of amendments to the scholarly content of the thesis/dissertation will be considered: (1) the removal or modification of classified, proprietary or confidential information, or (2) the addition of an errata sheet to note and correct significant errors in content. If the purpose is to remove or modify classified, proprietary or confidential information, the author should fill out the [page substitution request form](#). If the purpose is to note and correct significant errors in content, the author should create an errata sheet using the [errata sheet form and instructions](#).

Research master's and PhD alumni may petition to change their name on their thesis/dissertation. Such requests will only be considered in the case of a legal name change, and are intended to support alumni whose gender identity and/or cultural or religious affiliation has changed. Alumni wishing to make changes to the name on their thesis/dissertation must first update their data with the Office of the University Registrar before filling out the [thesis/dissertation name change request](#).