

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

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## 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](#).

If you have any questions, please contact the Faculty Affairs Coordinators:

Betty Deane: [bettyd@upenn.edu](mailto:bettyd@upenn.edu) / 215-898-7370

Megan McManus: [mcmmeg@upenn.edu](mailto:mcmmeg@upenn.edu) / 215-573-5703

## 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 to delay publication, (commonly referred to as an "embargo"). Students should discuss with their advisor whether a delay in publication is necessary or advisable.

A two year delay of publication or "embargo" in ProQuest ETD Administrator is permitted.

A request for a three-year delay in open access publication through Penn's Scholarly Commons is granted automatically. No forms or permissions are required.

A request for a delay of an additional three years requires approval by the Graduate Group Chair. Request Form is on the next page.

In the event that a further delay is needed, the graduate must petition the Graduate Dean. Request Form is on the next page.

To avoid release of the dissertation, approvals must be received one month in advance by the Graduate Division. These requests will not be accepted by the Graduate Division until 3 months prior to the original embargo expiration date.

## EMBARGO EXTENSION REQUEST FORMS

### Request for First Extension of Embargo

(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 \_\_\_\_\_

.....

### Request for Second Extension of Embargo

(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 COPYWRITED, 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. [Click here for more information.](#)

If you still have questions regarding copyright and "fair use" send email to: [repository@pobox.upenn.edu](mailto: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](mailto: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 Scholarly Commons, 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.**

## PREPARING YOUR MANUSCRIPT

### DISSERTATION TEMPLATE

A Word document 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, required margins, etc. When using the Dissertation Template, please be sure to delete all italicized notes and personalize all highlighted text. [Click here to download the Dissertation Template.](#)

If you choose to create your own document rather than use the Dissertation Template, please be sure to follow the guidelines in this manual.

## ORGANIZATION OF THE MANUSCRIPT

Pages must appear in the following order:

**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** (starting with Chapter 1, page 1)

**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. Footnotes, long quoted passages, and lists of tables and figures are single-spaced.

## FONT

Any non-italic font 10-12 points in size should be used. Headings may be larger. Use Arial (10pt), Courier New (10pt), Georgia (11pt), Times New Roman (12pt), or Verdana (10pt). 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). Blank pages are not permitted.

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.

## TITLE PAGE

The Title Page must contain the TITLE (in upper case); the author's name; the official name of the program you are in (**see Page 8 for official names**); the year the degree is being granted; the name, faculty title (rank and department), and signature of the dissertation supervisor (or co-supervisors, if there is more than one); and the name, faculty title (rank and department), and signature of the Dean of the Graduate School of Education. The names and faculty titles (rank and department) of the Dissertation Committee members should be listed on the Title Page (their signatures are not necessary).

**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.**

NOTE: The Library copy of the manuscript must be signed by the dissertation supervisor (or co-supervisors) and the Dean of GSE, but no signatures are required in the pdf of the dissertation.

**The title page is understood to be page "i" for counting purposes, but no page number should be printed on the title page.**

[Click here to view the Title Page template.](#)

[Click here to view a Sample Title Page.](#)

## OFFICIAL NAMES OF GRADUATE GROUPS

Higher Education Division:

Higher Education

Higher Education Management (Executive Doctoral Program)

Reading/Writing/Literacy Division:

Reading/Writing/Literacy

Teaching, Learning and Leadership Division:

Educational Leadership

Teaching, Learning, and Teacher Education

Education Other Executive Doctoral Programs:

Penn Chief Learning Officer

Educational and Organizational Leadership (Mid-Career Doctoral Program)

## 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. (Sample 1) The author may also reference a Creative Commons License Deed on this page. (Sample 2) Do not print a page number on this page; it is understood to be page "ii" for counting purposes.

[Click here to view Copyright Notice Template with Sample 1 and 2](#)

## 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.

[Click here to view the Abstract Template](#)

## 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. Citations must be single spaced with a blank line between each citation. If the citation is more than one line, all lines after the first line must be indented.

[Click here to view a Sample Bibliography](#)

## 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 final approved dissertation is printed on 8.5 x 11 inch acid free, white, 20lb paper. Copier paper is fine. You may use a heavier stock paper if you would like, (20-24lb).

## 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.

## CHECKLIST (even if you used the Dissertation Template)

1. Is every page of the dissertation correctly numbered? Are all pages included?
2. Is a bibliography and/or index required by your graduate group?
3. Does the author's name, in full, appear on the title page, the abstract, and the contract form? Is the name the same on all three? Is it in the same format as in the *Penn In Touch* system?
4. Does the supervisor's name (without the faculty title) appear on the abstract? Is the name typed accurately and in the proper place, so that it is clearly indicated that s/he is the supervisor and not the author?
5. Are all charts, graphs, and other special illustrative materials legible? Are they in the correct order and position? Are they paginated? )
6. Do you want to apply to register the copyright in the dissertation with the U.S. Copyright Office?
7. If a significant portion of a third person's copyrighted work is included in your dissertation, have you obtained permission from the copyright owner? Have you submitted the Permission Letter as a Supplemental File in ETD Administrator? Did you name the file “Permission Letter – Do Not Publish”?

## 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).

For questions please contact the Director of Student Records:  
Janeen Chavis                      [jchavis@upenn.edu](mailto: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](#).