# Doctoral Publications Guidebook
## (APA 7th ed.)

Effective April 12, 2021

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## Preface

### To Writers

The purpose of this *Guidebook* and of the Doctoral Publications Review is to assist writers in preparing a publication-ready draft of their final dissertation (University Policy 3.03.02). Within these pages, readers will find Capella University's standards for doctoral publication, including comprehensive overview of the various criteria assessed within the four broad requirement areas covered during the doctoral publications review: ethical and legal requirements, APA-related requirements, document production requirements, and writing-related requirements. This *Guidebook* is designed specifically for PhD learners and selected professional doctorate learners who go through the Doctoral Publications review milestone; however, capstone learners may also find much of the guidance to be useful.

### To Faculty

Faculty across the university can use this *Guidebook* to inform their own feedback to writers. Familiarity with the contents can assist faculty in setting expectations as learners progress through the dissertation milestones.

### Context of the Doctoral Publications Review

The Doctoral Publications review team is independent of any school or program and serves as a university review body within the Center for Learner Academic Performance. Doctoral Publications editors may consult with other university specialists or departments to address ethical issues regarding confidentiality, plagiarism, and crediting the work of others. The doctoral publications review is a required milestone.

In partial fulfillment of their doctoral degree at Capella University, all PhD and select professional doctorate learners are required to publish a dissertation manuscript. The published dissertation manuscript functions as a lasting record of the writer, the

committee, school, and Capella University. ProQuest/UMI will publish dissertations as submitted, and dissertations will be available online in perpetuity. Manuscripts are electronically preserved in a secure venue and maintained on Capella University's website or archived. Final works are made available to accrediting bodies, regulators, and other external groups for purposes of Capella's business operations status and actions required by law, accreditation, or regulation. Further, Capella has the right to publish dissertation manuscripts, subject to a learner's advance approval, which must not be unreasonably withheld or delayed.

Finally, publication empowers individual learner-researchers and the university to disseminate new knowledge and increase the availability of learner research to fellow scholars in their chosen field. Publication provides visibility to issues commonly associated with publishing. Significantly, it is at this milestone that the audience changes from the internal instructor, reviewer, or school to a public audience.

**Preparing for the Doctoral Publications Review**

Before submitting the manuscript for review, learners are expected to revise, line edit, and proofread. See Chapter 4, Part 1 for further details about what those processes include. The Doctoral Publications review process includes the following:

- Ensure adherence to *Doctoral Publications Guidebook* and *Publication Manual of the American Psychological Association*.
- Maintain a scholarly academic tone and readability.
- Include proper copyright and permission information for any tables, figures, and instruments from outside sources.
- Submit the final work to SafeAssign and correct any instances of plagiarism.
- Correct any spelling and punctuation errors (e.g., spellcheck, Grammarly).
- Perform a thorough review of your manuscript prior to submission and be prepared to make additional changes later, as requested by your reviewer.

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## How to Use This Guidebook

1. The *Guidebook* uses the following organizing principles:

   - The four broad requirement areas—ethical and legal, APA alignment, document production, and writing-related criteria—make up the four chapters that follow.

   - The four chapters are further separated into parts. The first page of each part uses bullet points to summarize that part's contents and highlights the specific relevant criterion.

   - The *Guidebook* includes callouts for relevant APA sections, Capella policies, and internal Capella support resources.

   - Common doctoral manuscript elements are illustrated.

   - Links to helpful video tutorials throughout show you how to put the guidance into practice.

   - Tips for reading like a writer and writing like a reader appear throughout the *Guidebook*.

2. To approach the *Guidebook*, begin by knowing yourself as a reader.

   - You can skim, you can read page by page, or you can go to the specific section that addresses your question. Regardless, you will eventually have read the entire *Guidebook*.

   - You can print the *Guidebook* or read the electronic version. If you choose the former, you can mark up the pages and use sticky notes to flag passages. If you choose the latter, you can use your computer's "search" or "find" functions to locate the information you need.

3. Familiarity with the *Publications Manual of the American Psychological Association* (7th ed.) is assumed.

4. You do not need to work in isolation. You can contact the Doctoral Publications team ([doctoralpublications@capella.edu](mailto:doctoralpublications@capella.edu)) with questions about the material here.

# Chapter 1. ETHICAL AND LEGAL REQUIREMENTS

**Use Chapter 1 to**

- Understand potential risks in human subjects research.
- Know the difference between receiving Institutional Review Board approval and the writing of a manuscript.
- Stay up to date on demographic vocabulary.
- Understand the difference between plagiarism and writing or citation errors.
- Become confident reviewing a SafeAssign report.
- Correct any instances of plagiarism.
- Learn about copyright and intellectual property.
- Find supplemental resources.

# Chapter 1
# Part 1. Participant Anonymity

**Use this section to**

- Understand potential risks in human subjects research.

- Know the difference between receiving IRB approval and the writing of a manuscript.

- Stay up to date on demographic vocabulary.

**The Doctoral Publications team evaluates the following criterion:**

| Criteria | Met | Not Met |
|---|---|---|
| **Participant Anonymity** | | |
| Site Anonymity | | |
| Academic Honesty | | |
| Copyright | | |
| Other Ethical Considerations | | |

**Introduction**

Capella, its IRB, ProQuest, and APA all take the protection of human participants seriously.

1. All writers conducting research under the program requirements at Capella University, including all doctoral learners conducting research and all employees or agents performing research pursuant to institutionally designated authority or responsibility of Capella, are "required to obtain Institutional Review Board (IRB) approval before beginning research-related interactions with human participants/ subjects and/or their records" (University Policy 03.03.01, para. 1).

2. Confidentiality protections extend from the recruitment activities to the publication of the doctoral manuscript.

3. If human contact or involvement constitutes part of the research activity, writers must discuss critical ethical issues in the methods discussion in the paper, including matters of security and handling of data, informed consent, and maintaining respondent confidentiality, including the use of an outside transcriptionist.

4. Writers of all doctoral publications must de-identify the text to the fullest degree possible regarding participants, research sites, private data sets, and recruitment sites.

**Participant De-Identification Guidance**

In all dissertations and capstone project reports, participants must not be named and must not be identifiable from details revealed in the text. Refer to your IRB application, the IRB application help text, and the IRB page in Campus iGuide for context and guidance. Please also refer to the *Publication Manual of the American Psychological Association* (APA 7th ed.), under "Protecting the Rights and Welfare of Research Participants and Subjects" (pp. 21–24).

## Participant De-Identification

In all dissertations and capstone project reports (known here as doctoral manuscripts),

1. The published manuscript must not include actual first or last names of participants in any section; this includes the acknowledgments section.

2. No other identifiable personal information of a participant, such as addresses, e-mail addresses, or telephone numbers, may be included in the manuscript.

3. Demographic descriptions should be held to a minimum and should only contain the necessary information relevant to the topic.

4. Demographic descriptions of individual participants should not include items, particularly lists of descriptive items joined together, such that an individual participant can be identified by external readers.

5. For studies in which no harm could come to participants if their participation and/or responses are known, other people at the research site still should not be able to identify participants directly (though it may be impossible to prevent identification through guesswork).

6. Other people at the research site must not be able to identify participants if their participation and/or responses could impact their social reputation,

financial standing, employability, legal status, educational opportunities, or health.

7. In quantitative studies, demographic categories with less than five cases should be combined within tables and reported in a manner such that individual participants cannot be identified by internal (at the site) or external readers.

8. In qualitative studies, demographic descriptors should not be included unless they are relevant. As much as possible, necessary descriptions should be reported in aggregate for the sample and not individually for each participant.

9. Descriptions of participants should not lead to participant identification when combined with information about other participants or the research site.

10. Job titles of participants should not be included if doing so will allow internal site personnel or external readers to determine who participated.

11. Participant quotes must not be included if they are so specific as to identify any participant, recruitment site, or research site.

12. Capella requires that dissertation/capstone writers use alphanumeric codes, such as Participant 1, Participant 2, abbreviated as P1, P2, and so on, rather than pseudonyms. If site information needs to be added, then use letters after the number (e.g., for site A, use P1A, P2A, P3A, for site B, use P1B, P2B, P3B and so forth). It is not permissible to use pseudonyms, whether chosen by the participant or the researcher.

13. When the manuscript is complete, the researcher should review the entire document carefully to ensure that the whole of the descriptions, quotes, and related discussion does not reveal the identity of participants to others at the site or to general readers.  It is better to read through carefully before

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publication than to have the issue raised by a participant after publication.

**Note:** Unless the participant consent form explicitly informed participants that they would not have confidentiality, the likelihood that an individual participant could be identified by an external reader should be no more than 1% (no more than 1 out of 100 people can meet the eligibility criteria within the stated area of the research).

14. If the research included a focus group, it is understood that the focus group participants themselves will know who participated. However, the other aspects of participant and site de-identification should be upheld.

**If you or your mentor**
require assistance on
how to best negotiate
de-identification,
send us an email at
doctoralpublications@capella.edu

**Acknowledgments**

1. No information that could identify a recruitment site, research site, or individual participant should be included in the acknowledgments section of the manuscript.

2. Experts who review data collection tools, transcriptionists, and editors who helped with writing can be thanked by name in the acknowledgments section of the manuscript. Descriptions of their role should be succinct and accurate. Do not name their institutional affiliation or site location. In the body of the manuscript, do not name them. Their input should be summarized; specific comments should not be quoted or attributed to a specific expert or editor.

3. Statisticians and translators can be thanked by name in the acknowledgments section of the manuscript; however, their institutional affiliation, company, or site location should not be named. The scope of the work that these individuals performed must be described within the body of the manuscript, near where the associated tasks are discussed, but the individuals should not be identified by name within the body of the manuscript. The manuscript should also contain statements describing the signing of confidentiality agreements. (Researchers should check IRB Manager to verify that appropriate agreements were signed.)

4. On-site preceptors who oversee data collection can be thanked by name in the acknowledgments section of the manuscript. Researchers should not name the preceptor's institutional affiliation or site location. Preceptors should not be listed on the title page as co-authors of the manuscript unless their work meets the definition of authorship as stated on p. 24 of the APA manual. Many preceptors' work will not meet this definition, so an acknowledgment may be the most accurate choice.

**Putting It Into Practice.**
Click the video below
to learn more about
participant anonymity.



Participant Anonymity

Doctoral Publications

# Chapter 1
# Part 2. Site Anonymity

**Use this section to**

- Understand what *site* means.

- Know the difference between receiving IRB approval and the writing of a manuscript.

**The Doctoral Publications team evaluates the following criterion:**

| Criteria | Met | Not Met |
|---|---|---|
| Participant Anonymity | | |
| **Site Anonymity** | | |
| Academic Honesty | | |
| Copyright | | |
| Other Ethical Considerations | | |

**Site De-Identification Guidance**

Dissertations are published in ProQuest and available to all interested readers. Capstone papers are stored internally at Capella University; however, learners may share their work with their home organizations if no restrictions or embargoes are issued by the IRB at time of review. To protect individuals and organizations from the risks that could result from a breach of confidentiality, researchers must remove all information relating to direct identification of recruitment or research sites. The main purpose of site de-identification is to reduce the likelihood that participants can be identified. In addition, many sites request confidentiality when they grant permission for a researcher to perform a study at their site. The rationale for site de-identification may also include site concerns regarding liability or security if findings are published. Therefore, it is crucial to comply with site permission and site de-identification requirements.

## What is a site?
A site could be defined as either a recruitment location or the site where the actual research took place.

**Note:** The requirements for writing a doctoral manuscript are different than the requirements in other documents, such as the Research Plan/Project Proposal/Scientific Merit Review form, the IRB application and site permissions, and the capstone/project deliverable. These other documents do require specific site identification. Approval of these other documents does not constitute permission to name the site when writing up the manuscript.

Learners should dialogue with their mentor about site de-identification before the first chapter of the doctoral manuscript is written. Doing so will assist learners with

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appropriate selection and summary of literature. In addition, compliance with the site and participant de-identification guidance in this document will assist learners with appropriate site and participant description throughout the manuscript. Use of this guidance will lessen the amount of editing requirements when the manuscript is submitted for Doctoral Publication review.

**Site De-Identification Dos and Don'ts**

In all dissertations and capstone project reports:

Do:

1. Refer to your IRB application, the IRB application help text, and the IRB page in Campus iGuide for context and guidance.

   **Note:** Researchers should ask for necessary and supported exceptions to the site de-identification guidance when they apply for IRB approval. Site permission letters and consent forms will need to align with the intended site and participant descriptions in the manuscript. Alternatively: If a researcher or site requests that the site be named, please note this elevates risks to participants and potentially causes liability issues, so this can only be approved in rare circumstances. The Doctoral Publications review team cannot make this determination.

2. Read any guidelines on site de-identification from your school or program.

3. Refer to organizations in general terms (see "Allowable Identifiers" below) rather than by actual name.

4. Remove extraneous descriptions of the site that are not relevant to the topic.

5. Remove information about the site location that is not relevant to the topic.

Do not:

1. Name any recruitment or research site.

2. Describe a recruitment or research site in a manner that it can easily be identified.

3. Write the name of the site or identifiable information of any individual at the recruitment or research site in the acknowledgment section of the manuscript.

4. Use or include personal communication that reveals the recruitment or research site.

5. Describe the researcher's specific job titles or role at a site if those descriptions make the site identifiable.

6. If there was a dual role present (e.g., researcher is both researcher and coworker, supervisor, or caregiver of participants), and that dual role may have impacted voluntary enrollment or skewed the data collection, then the dual role may be discussed as a limitation of the study. If the dual role was present but largely did not impact volunteerism or data collection, then researchers should not mention that they work at the site.
   **Exception:** If the researcher has a formal conflict of interest as defined in policy 3.03.05 Conflict of Interest in Research, then the conflict of interest and mitigating strategies must be disclosed at the beginning of the manuscript.

7. Include specific geographic or demographic details that allow a recruitment or research site to be identified.

8. Name the recruitment or research site with a pseudonym that is distracting, plausible, or actually exists elsewhere (see "Allowable Identifiers" below).

9. Include statistics within the literature review that allow readers to narrow down the possible recruitment or research sites to a degree that places participants at risk of identification.

**Allowable Identifiers**

1. When referring to the site, use terms such as "the research site," "the college," or "the organization." If needed, use a generic name such as "College A" or "Site 1, Site 2, and Site 3." **Note:** This technique can be used to de-identify private documents when they are described in the manuscript. Example: "As stated in the organization's 2017 annual report, enrollment continues to grow."

2. The most common and best practice is to refer to the location of the recruitment or research site by region of the United States.

    - Identification by region is helpful because the addition of demographic descriptors of the participants, site, or location will not likely lead to identification of the specific site or participants.

    - Regions used by the U.S. Census can be found on a U.S. Census "Regions and Divisions" map, found here: https://www2.census.gov/geo/pdfs/maps-data/maps/reference/us_regdiv.pdf.

3. If the research topic and research questions are specific to the state in which the research occurred, the state can be named, but only if the site and participants remain de-identified.

    - The researcher must determine first that there are at least 10 sites within the state that could be potential locations where the research occurred. All descriptors in the manuscript must be taken into consideration when this determination is made.

    - The researcher must then address the issue of site identification within the "ethical considerations" or similar section of the manuscript. It must be written that attempts were made to mitigate risks to the site and participants via the site de-identification. It must also be written that the site is one of "##" similar sites within the state that qualified for inclusion,

thus the site itself is not immediately identifiable. It must be verified and then written that the degree of identification is compliant with the site permission requirements. (Researchers should check their original site permission letter in IRB Manager to verify alignment.)

- Reminder: Individual participants must remain de-identified. The likelihood of individual participant identification should be 1% or less (no more than 1 in 100 people can meet eligibility criteria within the stated area of the research). If there are 10 potential sites in the state, but if only one person (e.g., the CEO) is eligible at each site, then the participants are not sufficiently de-identified. The researcher must write the manuscript using the region or country as the stated area of the research.

4. If the research topic and research questions are specific to the metropolitan statistical area (MSA) in which the research occurred, the MSA can be named. The population of the MSA must be cited in the manuscript. However, the MSA can only be specified if the site and participants remain de-identified. The process outlined in item 3 above must be implemented (verify there are at least 10 sites within the city, write the manuscript as directed, and participants must remain de-identified). If the MSA cannot be named, the researcher should use the state or region.

   **Note:** In many cases, the use of a larger geographic area allows for greater specificity when describing the sample characteristics. This is much more helpful to another researcher than knowing the MSA name.

5. Naming the country is permissible. Examples: "a U.S. manufacturing company," "a district police department in Nigeria."

6. Naming a military branch is permissible, but naming a military base, installation, major command/MAJCOM, or military school is not permissible unless the appropriate military legal reviewer has specifically authorized the

release of information. This documentation should be present at the time of initial IRB review. (Researchers can verify their original military permissions and military research review authorizations in IRB Manager.)

**Putting It Into Practice.**
Click the video below
to learn more about
citing private sources.



**Regular Exceptions to Site De-Identification Guidance (No Application Required)**

1.  The name of the research site or data source is allowed in a study that meets all three of the following requirements:

    -   It is a quantitative study.

    -   The research uses only archival data that are publicly available.

    -   The data and manuscript do not identify participants.

2.  The name of a recruitment or research site is allowed if the site is unique and cannot be de-identified. Example: Research on "a national commuter railway system" will be inferred as Amtrak. In this case, it could be permissible to refer to the site as Amtrak. However, the site permission letter and consent form must clearly note that Amtrak will be named. The consent form must inform

participants that Amtrak will be named, and any potential risks to confidentiality must be on the consent form.

3. The name of the company used to house or distribute a survey can be identified (e.g., Survey Monkey, Qualtrics).

4. The name of a social media platform can be identified (e.g., Facebook, LinkedIn); however, specific group names or pages should not be identified.

5. A capstone deliverable that is internal to a site and not released externally can contain site identification. This is anticipated.

## Putting It Into Practice.
Click the video below
to learn more about
site anonymity.



Site Anonymity

Doctoral Publications

**Specific Exceptions to Allow Site Identification**

**(Application Required)**

In rare circumstances, a researcher may have a specific rationale for site identification that does not fall under the five items noted above. The appropriate procedure to apply for an exception to the site de-identification guidance is to request it within the IRB application. The site permission letter must clarify the site's requirements for de-identification, and this must align to the researcher's doctoral manuscript. In addition, if there is a consent form in the study, it must clearly inform participants of the added risks of a breach of confidentiality if their site is known. The exception request will be

evaluated alongside the vulnerability of participants, sensitivity of the topic, legal issues, and other institutional risk factors when the IRB determines whether the request is approved or disapproved.

**If a researcher did not ask** for an exception at the time of the IRB submission, then the procedure to request an exception should be made through the Research and Compliance Manager in the Office of Research and Scholarship at ors@capella.edu.

Exceptions are only granted in rare circumstances. Certain guidelines must be met. "It will be too hard or time consuming to write the manuscript" is not sufficient rationale. "I've already written it up using specific articles and would need to rewrite Chapters 1 and 2" is not sufficient rationale. Example of good rationale:

> The focus of the research is on the unique aspects of law enforcement in one area of Chicago. The findings cannot be generalized, because the focus is on the unique qualities of that area. There are several precincts to cover that area of Chicago, but there are fewer than 10 potential precincts (an exception is needed). There are enough law enforcement personnel that could qualify for the study such that the chance of individual participant identification is less than 1%. The site permission letter shows that the precinct site agreed for that specific area of Chicago to be named, but the letter asks that the precinct not be named. The consent form aligns to the site permission letter. Participants were informed that the specific area of Chicago would be named in the publication, and they were informed that their confidentiality would be limited.
>
> **Note:** If needed to support an exception request, additional site permission documents can be obtained from the site after the fact. These can be used to

show site approval of the manuscript descriptions. However, if the consent form
did not adequately inform participants of the risks, the exception request will be
denied.

**Disclosure**

When an exception is approved, the researcher must state within the manuscript that
the description used is an IRB-approved exception to Capella practice. The manuscript
should convey that the site gave permission and participants were informed via the
consent form.  If necessary, the Research Integrity and Compliance Manager can be
consulted to assist with writing the site identification exception language in the
manuscript.

**Publishing Embargoes**

Please refer to Capella University Policy 3.03.02 Publication of Dissertations for
publication requirements. In rare cases, the university may require an embargo or
restriction to publication when the research site cannot be de-identified and participants
may be at risk. In these circumstances, the need for an embargo will be reviewed and a
determination will be made by the Research Integrity and Compliance Manager.

# Chapter 1
# Part 3. Academic Honesty

**Use this section to**

- Understand the difference between plagiarism and writing or citation errors.

- Develop confidence reviewing a SafeAssign report.

- Correct any instances of plagiarism.

**The Doctoral Publications team evaluates the following criterion:**

| Criteria | Met | Not Met |
|---|---|---|
| Participant Anonymity | | |
| Site Anonymity | | |
| **Academic Honesty** | | |
| Copyright | | |
| Other Ethical Considerations | | |

**Defining Plagiarism**

Learners are expected to be the sole author of their work and to acknowledge the authorship of others' work through proper citation and reference. Failure to properly reference or cite another person's work and issues of copyright or trademark infringement stand in violation of Capella's Academic Integrity and Honesty policy and the Research Misconduct policy.

In instances of infraction, the work will be returned to the learner and mentor as *Not Ready for Review* and arrangements will be made to conference and attempt a direct, informal resolution. The learner should ensure the work is free of such errors and not resubmit the manuscript until such revisions are completed in full. Instances in which a work is resubmitted and the infraction persists will result in the filing of an Academic Dishonesty report. All Academic Dishonesty reports involving plagiarism in the doctoral manuscript will be evaluated and adjudicated under the Research Misconduct policy. Please note that substantiated findings can result in a range of corrective requirements and/or dismissal from Capella University.

The Doctoral Publications team considers plagiarism to be text matches to outside sources that have not been properly cited or presented as direct quotations. The word *plagiarism* is nonevaluative. That is, a reader cannot determine the cause of plagiarism. Even so, it has both ethical and educational consequences.

**Learners and mentors** are encouraged to contact Doctoral Publications if there is uncertainty as to how best to revise a passage.

## Identifying Plagiarism

Capella currently provides learners with access to SafeAssign, a text-matching software platform, throughout the dissertation process.

- SafeAssign flags matches to student papers. Sometimes, these matches can be to earlier drafts or versions of the final, submitted document. For example, writers may revise portions of earlier assignments, such as an annotated bibliography, as part of a graduate manuscript's literature review.

- SafeAssign can flag direct quotations as matches, particularly if either opening or closing punctuation marks are missing or if the direct quotation is a block quote.

- SafeAssign commonly flags many reference list entries.

- SafeAssign will flag tables or appendices made up of others' previously published work, even if a copyright note has been provided.

### What Is the SafeAssign Number?

The SafeAssign number, called the similarity index (or originality score), is the percentage of your paper for which SafeAssign was able to find matching text in its extensive database. It is not, however, indicative of the extent to which text matches are present, nor the substance and quality of the individual matches identified.

### Reading Like a Writer.
SafeAssign: It's not about the number; it's about the text.

**Why Does My Mentor or Instructor Require a Specific Low Percentage,**

**if "It's Not About the Number"?**

Faculty members may require a similarity index below a certain percentage so they are assured you have eliminated plagiarism, paraphrased direct quotations if there were too many, and cited primary and secondary sources accurately. However,

- There will always be a percentage in any SafeAssign report. It's hard to prevent even a 5% match in a work as long as a dissertation.

- Common language and repeated terminology, text in quotation marks, block quotations, and bibliography will show up as matches until that text is filtered and some sources are excluded from the SafeAssign report.

When you have made the required and recommended revisions in your text, you can reduce the remaining percentage of matching text only by filtering the bibliography, quotations in quotation marks, and matches under a certain number of words. Your mentor or instructor is the only one who can exclude a source from the report, once he or she is certain it does not consist of plagiarized text. The goal, however, is not to minimize the percentage, but rather to ensure that all content is properly attributed as required.


**How Can I Tell if My Overall Percentage Is Too High**

**or if the Percentage of a Particular Source Is Too High?**

All percentages must be considered a problem until you know which specific matches you can rule out. You must determine the nature of each match.


No particular number should be thought of as too high or too low. For example,

- An entire paragraph or page of your paper might be from a particular source that is matched at less than 1% of your manuscript. Although the number is small, the problem is not minor.

- Similarly, a work submitted that returns 0% is problematic, as the dissertation would certainly share common components (i.e., headings, references) with other published works.

- A 13% overall match might show only common words and phrases or repeated terminology that could not possibly be attributed to a particular source.

There is no perfect number. The SafeAssign tool will help you identify potential errors, but it is up to you to determine whether any instance of matching text is considered plagiarism. Therefore, you must analyze every match in the entire report.

**What Do I Have to Know, Learn, or Practice in Order to Correct My Paper?**

The following abilities are fundamental to using other sources in your written work.

- Recognize a first-hand source (that is, a primary source).

- Recognize a second-hand source (that is, a secondary source).

- Know how to cite both primary and secondary sources.

- Understand when text from another source must be placed in quotation marks.

- Understand when text from another source must be summarized or paraphrased.

- Know how to summarize and paraphrase.

- Identify text in the SafeAssign report that is and is not considered plagiarism.

**How Can I Tell if a Match Really Is Plagiarism?**

"Matching text" includes text that is both improperly and properly quoted and cited, because SafeAssign is text-matching software, not plagiarism-finding software. The

determination of plagiarism and proper citation is left solely up to the person analyzing the SafeAssign report.

What is plagiarism?

- Exact text from another source that you have not placed in quotation marks.
- Text from another source that you have rewritten that is still too close to the original.
- Text or ideas from another source that you have not cited.
- Text or ideas from another source that are inaccurately cited.
- Text from your own previously published work that has not been properly attributed.

What is not considered plagiarism?

- Words and phrases common in our language that cannot possibly be attributed to a specific source.
- Terms and phrases that are repeated throughout your paper and specific to your study.
- Direct quotations that are in quotation marks or block style, are accurately cited, and include locator information such as a page number.
- Rewritten text that is in your own voice and style, even if you use terms from the original source.

**Reading Like a Writer.**
Matches to a learner's
previous work should also be examined
closely, to ensure all text has been
properly cited along the way.

**Why Are the SafeAssign Matches so Confusing?**

Here are five ways the SafeAssign originality report can cause confusion.

Point of Confusion 1. Why does SafeAssign match common phrases and words?

1. Common words and phrases might be matched because they are pieces of the work from which you have copied other text (which will show up as matches, as well). Make sure you have cited the author whose ideas or text you have used in constructing your own work. If you have borrowed anything from someone else's work, you must acknowledge that author.

2. However, many statements are so common they cannot possibly be attributed to a single source, and you can IGNORE them.

   - Common words, phrases, and headings might be matched because they occur in our common discourse and therefore in our writing. In academic writing, common language includes expressions that can be found in thousands of academic works, such as

     - "Chapter 2. Literature Review"

     - "the Elementary and Secondary Education Act"

   - Terms and jargon specific to your study might be matched because the expressions are common in your field and therefore seen widely in published works. Here are some examples:

     - "according to the DSM-IV-TR (2000)"

     - "transformational leadership subscales"

     - "correlation coefficient demonstrates the degree of relationship between variables"

## Point of Confusion 2. Why does SafeAssign match text I have placed in quotation marks?

SafeAssign does not make judgments about what quotation marks mean, or what formatting such as an indented block quote means.

SafeAssign does not interpret matching text, it merely finds matching text. You can ignore matches that are direct quotes IF

- the text is a verbatim match to your original source,
- the text is in quotation marks if less than 40 words (block quotation format if 40 words or over),
- you have credited the correct author (which includes the author of the secondary source if you have used one), and
- you have included a page number or other locator information from the correct source.

## Point of Confusion 3. Why does SafeAssign match text I have cited?

SafeAssign matches text in your paper because you have used exact words from that other source.

1. If those words are in quotation marks or formatted as a block quotation, and the correct source (including page number) is properly cited, you can eliminate this match as a problem.
2. If those words are not in quotation marks or formatted as a block quotation, this text is considered plagiarized, even if you have provided the author and date. To revise the text and eliminate the plagiarism, here is what you must do:
   - Place the exact text in quotation marks, or

- if you are required to eliminate direct quotations, summarize or paraphrase the text so it is in your own words.
- In both cases, you must properly cite the source.

## Point of Confusion 4. Why does SafeAssign match a work I have not read?

SafeAssign works by searching its database of published material, seeking matches in your submission to works that have been published elsewhere. There are several reasons SafeAssign might match text in your paper to a source you have not read, including these:

- SafeAssign is a computer program. It does not have the capability of knowing what you read or did not read. It simply matches exact text, which may or may not be from the work you read.
- Content is shared and posted all over the Internet. Another writer or content provider may have lifted the passage from the original author without credit or attribution.
- An author other than the one you consulted may have written similarly about the same work.
- The matched text is copied in many other sources, and the source provided as the match is only one of many found in the SafeAssign database.

The key question to ask is not, "Why did SafeAssign match text for a work I have not read?" but rather, "How can I ensure that I do not plagiarize?" No matter the reason for the match and no matter which source is matched, locate the source you used. Summarize or paraphrase the ideas or text or place the exact text in quotation marks. Cite the work correctly, and if a secondary source is involved, make sure that source also is cited correctly. It can sometimes take detective work to track down your sources. The

best place to start is by consulting the works you read when you were doing your research.

## Point of Confusion 5. Why does SafeAssign match text I have already rewritten in my own words?

SafeAssign matches paraphrased text in your paper that is too close to the text in that other source.

- Changing only an occasional word and keeping the ideas, structure, and basic wording of the source constitutes plagiarism.
- You must rewrite the passage in your own words, which takes some practice.

## Correcting Plagiarism

### How Do I Rewrite a Passage in My Own Words?

- There are no shortcuts to finding your own voice when writing about other works. But there is a method for developing this skill.
- Master a topic by analyzing and synthesizing the information you have read.
- Summarize or paraphrase this information. Remember that summary and paraphrase are two different techniques with different purposes. These words are not synonyms.
- Practice, practice, practice.
- Refer to the Writing Center's <u>Evidence and APA</u> on Campus.
- Refer to the Writing Center's <u>Quoting, Summarizing, Paraphrasing</u> module on Campus.
- Refer to the <u>Direct Quotations and Paraphrases</u> section of Academic Writer.

### How Do I Make Sure I Have Cited My Sources Correctly?

No matter which source SafeAssign matches, look at the source you, yourself, read.

1. If your source is a primary (first-hand) source (that is, the author is writing about their own work or ideas), you must cite that author and date, and include a page number if using exact text from that work. Make sure this work is on your reference list.

2. However, if the source is a secondary (second-hand) source (that is, the author is writing about someone else's work or ideas), you have to cite not only the author of the work you read, the secondary source, you must also cite the work you did not read, the primary source.

   - If you are using exact text from a secondary source, you must place that text in quotation marks (or format as a block quotation if 40 or more words), including any works that secondary author has cited.

   - If you are summarizing or paraphrasing text from a secondary source, you must cite the primary works the secondary author has cited, as shown in APA 8.6.

   - You must make sure the secondary source is on your reference list.

Once you have assessed the plagiarism—that is, the verbatim matching text by a writer other than yourself that has not been properly presented or credited—you must then correct the text.

**Reading Like a Writer.**
The options for revising are
to directly quote, summarize,
or paraphrase the matching text.

## Direct Quotations

If you choose to use direct quotations to correct the plagiarism matches, the direct quotation must include the following elements:

1. Author

2. Publication date

3. Quotation marks for in-text direct quotations of fewer than 40 words or block-style formatting for direct quotations of 40 or more words.

4. Page number or locator information (for unpaged documents).

5. The direct quotation in your manuscript must match the original source text exactly and thus will be exactly the same length as the original passage.

6. The original author of the direct quotation must be listed on the reference list.

## Summaries

If you choose to summarize the text in the matches, the summary must include the following elements:

1. Author

2. Publication date

3. Summaries include only the central, crucial ideas of the original passage, rewritten completely in your own words. A summary statement is typically shorter than the original passage.

4. Some mentors and schools may require a page number for a summary. Check with your mentor if you are unsure.

5. The original author of the summarized text must be listed on the reference list.

If you choose to paraphrase the text in the matches, the paraphrase must include the following elements:

1. Author

2. Publication date

3. Paraphrases restate the original passage completely in your own words and sentence phrasing; an effective paraphrase does not simply replace words in the original with synonyms. Because a paraphrase restates the complete passage, a paraphrase is typically the same length or longer than the original passage.

4. Some mentors and schools may require a page number for a paraphrase. Check with your mentor if you are unsure.

5. The original author of the paraphrased text must be listed on the reference list.

## Conclusion and Understanding

*Your responsibility*. It is your responsibility, as the author of the manuscript, to ensure your work is free from plagiarism and provides proper attribution to any materials cited within.

*The number*. The similarity index serves only as an alert to you that some of your text matches someone else's published work.

*The text*. The similarity index can point to a problem regarding how much of your text is considered your own, even when there is no plagiarism.

Mastering a concept is the key to eliminating plagiarism and increasing the amount of text you wrote yourself, for it is only when you understand what someone else has written that you can state it in your own voice. SafeAssign can aid in pointing out text that matches someone else's work, but what to do with that matching text is what you need to puzzle out. The first part of that puzzle is understanding what that other author has said.

## Reading Like a Writer.
SafeAssign is not the only means by which plagiarism may be detected in the manuscript.

- Your readers may also observe instances of plagiarism in your manuscript, perhaps by being familiar with the original source or perhaps by the writing itself.
- You, yourself, may observe instances of plagiarism in your manuscript as you cross-check those passages of the original source you reworked or extracted in your own writing.

# Chapter 1
# Part 4. Copyright

**Use this section to**

- Learn about copyright and intellectual property.

- Learn what to do if you can't secure permission.

**The Doctoral Publications team evaluates the following criteria:**

| Criteria | Met | Not Met |
|---|---|---|
| Participant Anonymity | | |
| Site Anonymity | | |
| Academic Honesty | | |
| **Copyright** | | |
| Other Ethical Considerations | | |

**What Is Copyright Compliance?**

Protection of intellectual property is a subject of much focus and rapid change. Permission to use, modify, and publish an instrument must be obtained by the author or publishers of the instruments (such permission should have been secured at the time of IRB submission).  Despite its complexity, however, there are some basic ways to assess whether you are in compliance, and there are guidelines for crediting the work of others.

Under the fair use provision of U.S. copyright law, you may use a small amount from another work for educational purposes without requesting permission. However, what constitutes a small amount, as dissertation publisher ProQuest indicates below, needs to be evaluated for each use. Note particularly the discussion of survey instruments and graphics.

## What is an instrument?
An instrument is any implement
used to measure the value
of an item under study.

**Is Your "Small Amount" Protected by "Fair Use"?**

Dissertation publisher ProQuest/UMI has an extremely helpful discussion on copyright. Excerpted below are highlights from "New Media, New Rights, and Your New Dissertation," Part III, Roadmap for Copyright Compliance, by Kenneth D. Crews, Copyright Law and Graduate Research. Copyright 2000, ProQuest Information and Learning. Available at

https://media2.proquest.com/documents/UMI_CopyrightGuide.pdf

Fair use law favors educational uses over commercial uses. Your dissertation is fundamentally "educational," but once you make it available for sale through ProQuest or most other publishers, it takes on some characteristics of a commercial product.

- Be critical of simplistic answers about fair use; study instead the substantiality of your quotations or other uses of copyrighted works.

- Evaluate their proportion of the whole from which they come.

- Evaluate whether you are using the central "essence" of the original work.

- Evaluate whether the amount that you are using is necessary for serving your research purpose.

Long quotations. ProQuest may raise questions about quotations from preexisting materials that extend for more than one and one half single-spaced pages. It is the researcher's responsibility to ensure that the required permissions have been obtained.

Reproduced publications. Avoid reproducing significant amounts of textual material in the format or page layout in which it was originally published elsewhere. Examples include copies of standard survey instruments or questionnaires and journal articles.

Graphic or pictorial works. Reproducing a picture, chart, graph, drawing, or cartoon often constitutes copying the owner's entire work; thus, the "amount" factor under fair use may weigh against fair use.

Sources located on the Internet. The Internet is a rich trove of text, graphics, and other resources, but easy availability does not change the copyright status. Materials on the Web are protected by copyright just as if they appeared in a book or on tape.


**What Does It Mean When Something Is Publicly Available?**

Publicly available documents and datasets refer to those items that are readily available to the general public. It is important to note, however, that just because intellectual property is readily available to the public, does not necessarily mean that it is within the public domain.

**What Is the Public Domain?**

Items within the public domain are those for which the exclusive intellectual property rights have expired, been forfeited, been expressly waived, or are inapplicable. Just because something can be found online does not mean it is within the public domain and free from potential copyright infringement.

**How Do You Protect Yourself?**

The issue of copyright compliance in doctoral writing comes up most frequently for the use of a copyrighted instrument or figure.

- Educational fair use in copyright law does not pertain to an instrument because it is considered an entire work, not part of a larger work. You must have permission to use a copyrighted instrument in your study, though the instrument itself may not be reprinted within the published dissertation.
- Educational fair use in copyright law may not pertain to a figure or table—this is because the graphic could be considered an entire work. Even though you will be citing the work in your text, you do need to request permission to print it in the published dissertation.

Contact the copyright holder if the publication itself does not indicate terms of use. Please read APA 12.14–12.18.

Permission Not Needed to Reprint

1. A work in the public domain may be used and reprinted without permission. Public domain means there are no legal restrictions on its use, meaning that
   - The work was not copyrighted,
   - The copyright has expired or was not renewed, or
   - Protection is not applicable (e.g., government documents).

2. All works in the public domain must be properly cited.

3. Remember: Publicly available and public domain are not the same thing.

<span style="color:#8B0000">Permission Needed to Reprint</span>

1. You must have written permission to reprint or modify any instrument/table/figure from a copyrighted source.

2. You must have permission to reprint any instrument. If you are using an unpublished survey, you must locate the author.
   **Note:** Having permission to use an instrument in your research does not necessarily mean you have permission to publish it in the dissertation (also note that a previously published instrument should not be included in your manuscript). See Requesting Permission to Reprint, below.

3. If you're not sure whether your use is considered fair use, you must request permission to reprint the material.

4. All works must be properly cited.

**Begin the permission process** as soon as you know you will be reprinting material that may not fall under fair use, since the process may take several weeks.

**Finding the Copyright Holder**

Typically, the author or publisher is the copyright holder, and unless a work is many years old, locating an author or publisher should not be a difficult process.

1. Journal articles list an author's organizational affiliation and mailing address on the first page of the article. If the publication is fairly recent, this method is almost always successful.

2. Note that the copyright holder of a table or figure might not be the same person who wrote or published the larger work. Do a careful search for this information, looking first below the table or figure for author or copyright statement.

3. Directories published by scientific and professional associations like APA may have a current address and phone number for an author. This is useful if the article is several years old and the author has moved since the article was published.

4. Do an online search for a publisher's email address and phone number.

5. If you cannot find the author or publisher, ask the Capella library for help.

**Requesting Permission to Reprint**

1. Look on the copyright holder's website for a permission request form. If you do not find one there, you could modify the letter found in the ProQuest publishing agreement.

2. Your request to reprint material must include information on the "media" in which your dissertation will be published—that is, in both print and electronic formats ("electronic" means your manuscript will be available for viewing and download from the Internet).

3. Permissions you receive from copyright holders must be forwarded to ProQuest when you publish (their publishing agreement explains this), but the permission letters should not be included in an appendix of your manuscript. ProQuest warns that publications may be delayed for copyright compliance issues.

**Correctly Citing Reprinted Material**

1.  You must fully cite the source of a reprinted or modified table, figure, survey, or other document, and you may need written permission to reproduce it.

2.  You must clearly differentiate between the items created by you, the researcher, and those created by a previous author. Essentially, when dealing with copyright, you need to accurately reflect what you've reprinted or used, who owns it, and whether that particular entity has granted permission, if required.

3.  You must then use the appropriate copyright attribution or citations in table or figure notes so that it is abundantly clear to readers throughout.

**Table 1. Reprinting Content**

| Type of reprinted material | Do you need permission to reprint this material? | How should you word the citation? | Where should you place the citation? |
|---|---|---|---|
| Table or figure, unmodified | Yes, if the work is copyrighted. See page 385 of APA 12.15. | The citation must take this form (as shown in APA Tables 12.1 and 12.2). | At the end of the general note for the table or figure. See APA 7.14, 7.28, and 12.18. |
| Table or figure, modified | Yes, as above. | As above. | As above. |
| Survey or other instrument, modified | You must have permission of the copyright holder to modify the instrument for your research, as well as permission to reprint any instrument items that remain from the original. You typically do not need permission to print an instrument that you have substantively modified. | You must include a complete citation on a modified instrument, as above. | As above. |

*Use the word "Reprinted" when you have reproduced a table/figure/survey that exists in another source. Use the word "Adapted" when you have modified a table/figure/survey from another source.

**Putting It Into Practice.**
Click the video below
to learn more about copyright.



Copyright
Doctoral Publications

**What if I Can't Secure Permission?**

If you are unable to secure permission to reprint a table or figure from an outside

source, you must remove the content in its entirety and direct readers to the item by

using an appropriate in-text citation and accompanying reference entry. If you are

unable to secure permission to use your research instrument, please contact your

program research director and Capella University's IRB to evaluate your options.

# Chapter 1
# Part 5. Other Ethical Considerations

**Use this section to**

- Learn about any remaining ethical and legal considerations to keep in mind during the writing process.

**The Doctoral Publications team evaluates the following criterion:**

| Criteria | Met | Not Met |
|---|---|---|
| Participant Anonymity | | |
| Site Anonymity | | |
| Academic Honesty | | |
| Copyright | | |
| **Other Ethical Considerations** | | |

**Check the "Ethical Considerations" section**

**in Chapter 3 of your manuscript for completeness.**

- This section of Chapter 3 typically includes discussion of the Institutional Review Board and its requirements, including the ethical selection and recruitment of participants, protection of confidentiality, discussion of required permissions, informed consent processes, data storage, and/or any additional IRB approvals required (e.g., those required for military studies).

- If you are required to discuss the potential for researcher bias and conflict of interest under this heading (refer to your school's guidebook), include that as well.

# Chapter 2. APA ALIGNMENT REQUIREMENTS

Part 1. Direct Quotations

Part 2. In-Text Citations and Reference Entries

Part 3. Headings

Part 4. Lists, Tables, and Figures

## Use Chapter 2 to

- Review the required elements for direct quotations.

- See examples of properly presented direct quotations.

- Cite works by one or more authors in the text.

- Format reference entries.

- Determine heading hierarchy.

- See examples of properly formatted headings.

- Decide when to use a list, table, or figure.

- Format in-paragraph and vertical lists.

- Design tables and figures.

# Chapter 2
# Part 1. Direct Quotations

**Use this section to**

- Review the required elements for direct quotations.

- See examples of properly presented direct quotations.

**The Doctoral Publications team evaluates the following criterion:**

| Criteria | Met | Not Met |
|---|---|---|
| **Direct Quotations** | | |
| In-Text Citations | | |
| Reference List | | |
| Agreement Between In-Text Citations and Reference List | | |
| Headings | | |
| Lists | | |
| Tables | | |
| Figures | | |

# Direct Quotations

## Criteria

Text of direct quotation exactly matches source text. Learner presents direct quotation in quotation marks or as block quotation; accurately cites source and locator information as required in APA.

## Types of Errors Screened for

## in the Doctoral Publications Review

- Quotation not verbatim.
- Punctuation errors.
- Quotations of 40+ words not in block formatting.
- Block quotations incorrectly formatted.
- Source not cited.
- Page number or other locator information missing.

Citing direct quotations. Cite every direct quotation by author, year, and page number (if a work is not paginated, the location of the verbatim text in the source work still is required). Refer to APA 8.26 and 8.28 and the Direct Quotations and Paraphrases section of Academic Writer.

Formatting block quotations. Direct quotations consisting of 40 or more words must be formatted in block style, with the entire quotation indented one-half inch from the left margin (do not justify or indent from the right) and without quotation marks at the beginning or end. Capella style allows single-spacing of block quotations to improve readability. Note that the end punctuation for a block quote must follow the quotation itself, not the citation (see APA 8.27).

*Using ellipses.* APA 8.31 indicates ellipsis points ( . . . ) are typically not needed at the beginning or end of a direct quotation, because it is understood that material precedes and follows the cited portion.

*Formatting participant quotations.* While participant quotations must be formatted the same as direct quotations from published works with regard to length (i.e., quotations of 39 words or fewer must be set within quotation marks; quotations of 40 words or more must be set as block quotations), they are not cited as personal communications and do not appear within the reference list (see APA 8.36). If participant quotations are grouped by themes and patterns, they may be formatted as shown in the following illustration.

---

**Presentation of Data and Results of the Analysis** (APA Level 1 heading)

**Theme 1. Theme Label** (APA Level 2 heading, no period after "Label")

Description. If the "Theme 1" is set as a Level 2 heading and the description is set as manuscript text, set the description of the theme as a standard double-spaced text.

***Pattern 1.1. Pattern Name*** (APA Level 3 heading, no period after "Name")

Description of the experiential pattern … Set the description of the pattern as a standard double-spaced text.

- "Set participants' direct quotations as a bulleted list."

- "Single-space the quotations. Double-space between entries."

- "Set direct quotations of fewer than 40 words with quotation marks."

- Set direct quotations of 40 or more words as block quotations. Block quotations do not require quotation marks at the beginning or end of the

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quotation. However, if the quotation contains some quoted text within it, use double quotation marks in the block quotation, as in "Look! Here's a quotation within a quotation."

- "Use single, not double, quotation marks of the quoted material inside a direct quotation of 39 or fewer words, as in 'Look! Here's a quotation within a quotation.'"

- Use brackets for any information you, the author, add for clarity or remove for confidentiality. For example, perhaps the participant shared their supervisor's name, the school district in which they work, or a client's diagnosis that was unique enough to put the client at risk. In such instances, you would replace the specific details with [supervisor], [home district], or [diagnosis].

***Pattern 1.2. Pattern Name*** (Same APA heading formatting as above)

Description of the experiential pattern … "Follow pattern above."

- "Follow pattern above."

- "That is, set direct quotations of fewer than 40 words with quotation marks."

- "Set direct quotations of 40 or more words as block quotations, as shown in the fourth and sixth bulleted examples above."

**Follow the same heading formatting for all themes and patterns**

# Chapter 2
# Part 2. In-Text Citations and Reference Entries

**Use this section to**

- Cite works by one or more authors in the text.

- Format reference entries.

**The Doctoral Publications team evaluates the following criteria:**

| Criteria | Met | Not Met |
|---|---|---|
| Direct Quotations | | |
| **In-Text Citations** | | |
| **Reference List** | | |
| **Agreement Between In-Text Citations and Reference List** | | |
| Headings | | |
| Lists | | |
| Tables | | |
| Figures | | |

**In-Text Citations**

**Criteria**

Learner follows APA citation rules, including punctuation, for single- and multiple-author works, group authors, and works that have no identified author. Refer to the Citing References in Text section of Academic Writer.

**Types of Errors Screened for in the Doctoral Publications Review**

- Author information does not match reference list entry.
- Author information is not cited as indicated in APA.
- Multiple-author work does not match APA.
- Publication date does not match reference list entry.
- Secondary source does not match APA 8.6.
- Punctuation errors in parenthetical citations.
- Incorrect use of &, the ampersand.
- Incorrect use of et al. or punctuation errors in et al.
- URL used in place of APA author-date citation.

**Putting It Into Practice.**
Click the video below
to learn more about in-text citations.

# Reference List

## Criteria

Reference list is accurate and complete, consisting of works cited in body of the manuscript. Learner applies APA rules for author names, publication dates, title formatting, publication or retrieval information; follows APA punctuation for reference entries; arranges entries in order described in APA and within the <u>Reference List</u> section of Academic Writer.

## Types of Errors Screened for in the Doctoral Publications Review

- Author information not aligned with APA 9.7–9.12.
- Publication date not aligned with APA 9.13–9.17.
- Presentation of titles (capitalization, italics) is not aligned with APA 9.18–9.22.
- Publication information not aligned with APA 9.29, Chapter 10 examples.
- Retrieval information lacks DOI, URL, or as otherwise indicated in APA 9.23–9.37, Chapter 10 examples.
- URL includes capella.edu link.
- Punctuation is not aligned with APA 9.5, Chapter 10 examples.
- Entries are not in alphabetical order.
- Multiple entries by same first author are not in the order described in APA 9.46.

## Formatting the Reference List

The reference list establishes the author's credibility as a careful researcher, so it should be constructed with care. Beyond the issue of a correctly formatted list, the issues of consistency and accuracy are important to retrieval, by individual researchers and by database crawlers. See APA 9.6.

### References Heading

Center the boldface **REFERENCES** heading and set it in all caps.

**Writing Like a Reader.**
Every reference must be cited
in text and every text citation
must have a corresponding
reference entry.

### Reference Style

The reference list is not a comprehensive bibliography or a works consulted.

The *Publication Manual of the American Psychological Association* (APA 7th ed.)

discusses the proliferation of publishing in the online environment.

1. Many publishers use a Digital Object Identifier (DOI). The DOI, a unique
   alphanumeric string that provides a persistent link to a location on the
   Internet, is used in place of the URL in the reference. All DOIs should be
   formatted as follows: https://doi.org/xxxx

2. Refer to APA 9.23–9.36.

3. Thousands of books are available online. However, some provide only a
   preview. Do not cite a work from a website that does not allow you to read
   the entire work.

4. Do not include a retrieval date for content that is not likely to be changed or
   updated, such as a journal article or book. However, preprint versions, in-press
   articles, and manuscripts in preparation should include the retrieval date, as
   should reference materials that are continually updated. Refer to APA 9.16,
   p. 290.

1. Format each reference with a hanging indent, using the ruler or paragraph formatting. **Note:** The writing template is not set with features that will allow the writer to create a reference list automatically, although it is certainly permissible. There are many software programs that do this, so ask your mentor, an instructor, or coursemates for recommendations.

2. References may be single-spaced (with a full space between entries) or double-spaced (with no extra space between entries). The writing template is formatted for single-spaced references.

3. Do not split a reference between pages.

## Agreement Between In-Text Citations and Reference List

### Criteria

Learner cites every reference work in body of manuscript; creates reference list entry for every in-text citation.

### Types of Errors Screened for in the Doctoral Publications Review

- Works cited in text missing from reference list.
- Works in reference list not cited in text.

Every work cited in text (with the exceptions of personal communication and works cited in a secondary source) must be included in the reference list and must follow APA rules.

To check for discrepancies, separate the reference list from the rest of the paper:

- If you prefer to work on a print copy, pull out the reference list.
- If you prefer to work on an electronic copy, copy your references into a new document so you have the paper and references side by side on the screen.

- Use highlighters to keep track of where you are in the paper. If a citation appears in text but not in the reference list, write the author and date in the list to hold the place for a new reference. (The Doctoral Publications reviewer can provide a detailed method for doing this.) Go back later and insert the complete and correctly formatted reference entry.

# Chapter 2
# Part 3. Headings

**Use this section to**

- Determine heading hierarchy.

- See examples of properly formatted headings.

**The Doctoral Publications team evaluates the following criterion.**

| Criteria | Met | Not Met |
|---|---|---|
| Direct Quotations | | |
| In-Text Citations | | |
| Reference List | | |
| Agreement Between In-Text Citations and Reference List | | |
| **Headings** | | |
| Lists | | |
| Tables | | |
| Figures | | |

**Headings**

**Criteria**

Learner follows template formatting of chapter and appendix titles and follows APA for formatting of heading Levels 1 through 5,  as illustrated in the Heading Levels section of Academic Writer.

**Types of Errors Screened for in the Doctoral Publications Review**

- Chapter, section, appendix titles incorrectly capitalized.
- Headings incorrectly capitalized.
- Headings not in bold or otherwise do not match APA formatting.
- Heading hierarchy does not match APA 2.27.
- Level 1 headings off-center due to indents or tabs.

### Chapter Title

Center the ALL CAPS, BOLDFACE chapter/section title. Titles longer than one line may be single-spaced.

### Putting It Into Practice.
Click the video below
to learn more about headings.

## Headings

1. See the "Heading Hierarchy for Capella Doctoral Manuscript" sample provided later within this section for guidance on properly formatting each of the five APA heading levels.

2. Refer to the discussion of heading levels in APA 2.27; also see the sample papers in Chapter 2 of APA.

To check and correct headings

- As you review your manuscript, check that you have formatted your headings correctly and that you have selected the correct levels.

- Any heading listed as a Level 1 heading on the Table of Contents must be set as an APA Level 1 heading in the body of your manuscript.

- Capitalize all major words in each of the five heading levels, as well as all words of four letters or longer. See Table 2.3 and Figure 2.5 within APA 7 for an overview of capitalization of headings and titles.

- The APA Level 2 and Level 3 headings should be set flush left, in upper- and lowercase bold. APA Level 3 headings are also italicized.

- The APA Level 4 and Level 5 headings are paragraph headings, which means they should be set as the first words of the paragraph to which they relate. They should not be set on a line of their own.

- You must have at least two lines of text after a heading and before a page break. Be sure to check for this once you have made all formatting and any content corrections.

- Set any lengthy APA Level 1, Level 2, or Level 3 headings on two (or more) evenly divided, single-spaced lines.

- Ensure that all your Level 1 headings are truly centered. In some cases, your ruler could be set for a 1/2-inch indent, which causes the heading to be slightly off-center.

- You might consider creating a heading outline. To do this, highlight all headings and then, on a separate piece of paper, create an outline based on the heading alone. This process will help you spot heading errors and identify the correct heading level.

**Putting It Into Practice.**
Click the video below
to learn more about correcting
the centering of headings.



Correcting the
Alignment of Centered
Headings

Doctoral Publications

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Heading Hierarchy for Capella Doctoral Manuscript

**CHAPTER #. CHAPTER TITLE**

**Heading Level 1, Centered, Upper- and Lowercase, Bold**

**Heading Level 2, Flush Left, Upper- and Lowercase, Bold**

***Heading Level 3, Flush Left, Upper- and Lowercase, Bold Italic***

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**Heading Level 4, Indented, Upper- and Lowercase, Bold, Ending With a**

**Period.** Paragraph continues on the same line as this paragraph heading.

***Heading Level 5, Indented, Upper- and Lowercase, Bold Italic, Ending With a***

***Period.*** Paragraph continues on the same line as this paragraph heading.

# Chapter 2
# Part 4. Lists, Tables, and Figures

**Use this section to**

- Decide when to use a list, table, or figure.

- Format in-paragraph and vertical lists.

- Design tables and figures.

**The Doctoral Publications team evaluates the following criteria:**

| Criteria | Met | Not Met |
|---|---|---|
| Direct Quotations | | |
| In-Text Citations | | |
| Reference List | | |
| Agreement Between In-Text Citations and Reference List | | |
| Headings | | |
| **Lists** | | |
| **Tables** | | |
| **Figures** | | |

**Lists (Seriation)**

**Criteria**

Learner follows APA 6.49–6.52 rules for in-paragraph lists and vertical lists, as illustrated in the Lists section of Academic Writer.

**Types of Errors Screened for in the Doctoral Publications Review**

- Presentation of in-paragraphs lists does not match formatting or punctuation of APA.
- Presentation of vertical lists does not match formatting or punctuation of APA.
- Lack of half-inch indentation of vertical lists.

**Types of Lists**

Numbered list. Use numbers in vertical lists only, not within a paragraph. A numbered list is indented one-half inch from the left margin setting, with the second and subsequent lines further indented (hanging indent). Note that the numbers end in a period, not a parenthesis mark.

**Putting It Into Practice.**
Click the video below
to learn more about
creating vertical lists.



**Creating Vertical Lists**

Doctoral Publications

Bulleted list. Bullets are allowed for vertical lists. Use a standard, round solid bullet, not other ornamental font elements.

Creating a well-formatted vertical list is as easy as 1, 2, 3.

1. Ignore formatting and type the first entry (single- or double-spaced) in your list, without a number. Next,

2. Click on the numbering icon on the formatting toolbar. You now have your first number in the list, and it is indented from the left margin.

3. Check the indent. If using the icon creates only a quarter-inch indent, change it to a half inch either by using the ruler (move the top marker to a half inch) or by changing the length of the indent in paragraph formatting.

If your entries are single-spaced, in paragraph formatting change the spacing "after" to 12 pt. to add a space between each numbered entry.

When you hit Enter/Return at the end of the first entry, your next entry will be correctly formatted. You can do the same with a bulleted list.

**Putting It Into Practice.**
Click the video below
to learn more about
formatting vertical lists.



Correcting the
Formatting of Vertical
Lists

Doctoral Publications

In-paragraph list. Use lowercase letters for lists within paragraphs. For example, three approaches to effectively communicating in writing are (a) writing from an outline, (b) setting aside the rough draft, and (c) getting feedback. Refer to APA 6.50 for additional guidance on seriation and formatting in-paragraph lists.

**Putting It Into Practice.**
Click the video below
to learn more about
formatting in-paragraph lists.



In-Paragraph Lists

Doctoral Publications

**Tables and Figures**

## What Is the Difference Between a Table and a Figure

Tables consist of numerical or textual information arranged in columns and rows with headings.

Figures are graphs, charts, maps, drawings, and photographs.

**Putting It Into Practice.**
Click the video below
to learn more about tables and figures.



## Whether to Include a Table or Figure

Be judicious in using tables and figures in a dissertation. Easy-to-use software makes it tempting to include many tables and figures, but not all data need to be presented graphically. Please read the introduction to APA Chapter 7, p. 195.

1. Do not create a table or figure to present data or relationships that are limited or easy to describe. Unusually short or simple tables are more efficiently presented in text. Refer to APA 7.3.
2. Do not use table formatting for a simple numbered or bulleted list.
3. Do not include both a table and figure that present the same data. Use the format that best suits the data. Refer to APA 7.3, 7.8, and 7.22.

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4. Read APA 7.8 before deciding what data to include in tabular form, and read APA 7.22 before deciding to use a figure.

**Formatting Tables and Figures**

Capella follows APA guidelines for tables and figures, with any exceptions explained below.

**Numbering Tables and Figures**

1. Number tables and figures sequentially throughout the chapters/sections; do not include the chapter or section number. Refer to APA 7.10 and 7.24.
2. Table and figure numbers should be bold and aligned flush left.
3. Table and figure numbers and titles can be placed on the same line, or the number can appear on one line and the title on another.
4. If you place the number on one line and the title on the next, consider single-spacing between them to increase readability and conserve space.
5. In the appendices: Number tables and figures separately from those in the chapters/sections. Refer to APA 2.14.
6. In text, refer to tables/figures by number, not as "the table/figure above" or "below." Refer to APA 7.5.

**Titling Tables and Figures**

1. Place table and figures titles above the table or figure, flush left, in 12-point font. Capitalize proper nouns and all words of four or more letters. Table and figure titles should also be set in italics. See APA 7.11 for tips on writing table titles and APA 7.25 for tips on writing figure titles.
2. Table and figure titles that extend beyond one line may be single-spaced at the discretion of the writer; use the same format for all tables and figures.

**Placing Tables or Figures on the Page**

1. All tables and figures must fit within the allowable margins of the page.

2. Set off tables and figures with an extra return above the table number/title or figure number/caption and another extra return below the table or figure itself.

3. Tables and figures must be set near where they are discussed in the text, but they do not need to be directly adjacent to the discussion. This flexibility will be helpful as you adjust the placement of your tables and figures.

4. Set all tables and figures within the manuscript in such a way as to avoid excessive gaps of white space or partially filled pages. Each page should be as filled with content as possible.

5. About landscape tables and figures:

   - You can set a table or figure on a landscaped (aka, horizontal) page. If you use landscape layout, you can adjust the placement of your page numbers so that they align with the rest of your manuscript.

   - The "Help" menu of your word processing program can assist you in setting a portrait-style page number on a landscaped page. You can also check the online Help section of your word processing program.

## Tables and Figures in Appendices

If tables or figures appear in appendices, carefully evaluate their placement. Generally, tables and figures should appear near where the data are discussed within the body of the manuscript. If the tables and figures are retained within the appendix, APA has specific requirements for tables and figures in appendices.

- When an appendix consists of just one table/figure, the table/figure title functions as the appendix title and the table/figure is not listed on the List of Tables or List of Figures.

- When an appendix consists of two or more tables/figures, each table/figure must be numbered with a letter prefix indicating the appendix in which the table/figure appears (e.g., if your Appendix B has three figures, they would be identified as Figure B1, Figure B2, and Figure B3).
- These figures would be listed on the List of Figures.
- See APA 2.14 for more on this.

**Tables**

**Criteria**

Tables augment rather than duplicate text. Learner numbers tables consecutively, writes brief but explanatory table titles, follows APA table formatting. Table is introduced in text, placed near discussion.

**Types of Errors Screened for in the Doctoral Publications Review**

- Tables incorrectly numbered.
- Table titles incorrectly capitalized.
- Inappropriate borders.
- Lack of multiple columns.
- Lack of column headings.
- Inappropriate use of bold, italics, caps, shading.
- Table not introduced in text.
- Table notes not aligned with APA.

**Table Text**

1. Capella recommends Times New Roman 10 pt. for table text and table notes (12 pt. is equally acceptable) and single-spacing (with a space between rows).
2. If it's difficult to fit tables on the page, tables may be set in Arial 9 pt., a typeface that is a just as readable but bit narrower than Times New Roman 10 pt.
3. For a uniform look, use a consistent typeface and font from one table to the next.
4. **4.** Column headings and table text may be single-spaced at the discretion of the writer (but leave a space between rows).

**Table Borders**

1. Borders in a table are visible on the printed page. (Word's "gridlines" may be visible on the screen but are nonprinting.)

2. Add one horizontal border above and one below the heading row. Insert one other border below the last row of the table.

3. Add other horizontal lines only if they are necessary.

4. Do not add vertical or perimeter borders (APA 7.17).

5. Refer to the table examples in APA Chapter 7, beginning on page 200 and continuing on page 210.

**Tables That Extend Onto Subsequent Pages**

Tables that run longer than one page must include a repeated heading row on each subsequent page. See APA 7.18.

**Tables From Excel or SPSS**

Tables created in Excel, SPSS, or other software must be formatted in the same typeface, type size, spacing, and borders as the tables created in Word, described above in this section.

**Table Notes**

1. See the discussion of types of notes in APA 7.14.

2. General notes to a table follow the word *Note*, in italics, below the bottom border of the table.

3. A note for a table reprinted or adapted from another source must include a full copyright citation.

4. Set table notes in 10 points, single-spaced.

**Putting It Into Practice.**
Click the video below
to learn more about
formatting tables.



## Figures

**Criteria**

Graphs, charts, maps, drawings, and photographs are labeled as figures; figures augment rather than duplicate the text. Learner numbers figures consecutively; writes brief but descriptive titles and notes and integral and readable legends; labels graph axes; uses colors only if necessary for understanding the material. Figure is introduced in the text, placed near discussion.

**Types of Errors Screened for in the Doctoral Publications Review**

- Figures incorrectly numbered.
- Title incorrectly placed.
- Figure note not aligned with APA.
- Errors in legends or axis labels.
- Figure not introduced in text.

**Figure Notes**

1. See the discussion of types of notes in APA 7.28.

2. General notes to a table follow the word *Note*, in italics, below the bottom border of the table.

3. A note for a figure reprinted or adapted from another source must include a full copyright citation.

4. Set figure notes in 10 points, single-spaced.

**Color in a Figure**

> Authors seeking publication should avoid the use of color except when it is necessary for understanding the material. . . When selecting colors for a figure, ensure that there is plenty of contrast so that people living with a color-vision deficiency (often referred to as "color blindness") or people who do not see color in a typical way can understand the information and tell the colors apart. (APA 7.26, Color, p. 228).

See the "Preparing Your Manuscript for Submission" guide for guidance on the appearance of color in a manuscript that is submitted digitally to dissertation publisher ProQuest.

**Figure Gridlines**

Use gridlines in figures only when they are necessary for a reader's understanding of the content.

**APA-Capella "Discrepancies" and Other Features of APA Style**

Learners occasionally notice discrepancies between APA and Capella requirements, but these perceived conflicts in style are, in almost all cases, the distinctions between preparing a draft of an article and preparing a dissertation.

**Table 2. APA-Capella "Discrepancies" and Other Features of APA Style**

| Item | APA style | Capella style |
|---|---|---|
| Abstract | APA 2.9: "Abstracts are typically limited to no more than 250 words." | Limited to 400 words. |
| Heading styles | APA does not have an all-caps heading style. | Use all-caps, boldface for chapter titles and appendix titles. |
| Page Numbering | Page number should be included in the header, automatic page-numbering function should be used, and the title page is numbered as page 1. | Page number should be centered in the footer, front matter page numbering should be set in lowercase roman numerals, main body page numbering should be set using Arabic numerals, page numbering should not begin until the Dedication. |
| Placement of tables and figures | APA 7.6: Either place tables and figures on separate pages following the reference list, or embed each within the text, following its first callout. | Insert a table or figure shortly after it is discussed in the text. |
| Seriation | APA 7 allows "symbols such as small circles, squares, dashes, and so forth" to be used as bullets in vertical lists. | Use a standard, round solid bullet, not other ornamental font elements. |

| Item | APA style | Capella style |
|---|---|---|
| Spacing | APA 2.1: Double space the entire paper, with the exception of content found within tables and figures, footnotes, or displayed equations. | Follows APA style, though block quotations may be single spaced. Capella also allows single spacing for vertical lists and the reference entries, so long as an extra space is retained between each entry. |
| Title Page | APA 2.3: "Students should follow the guidelines of their instructor or institution when determining which title page format is most appropriate to use." | Capella style example provided within the Doctoral Publications Guidebook. |
| Typeface, type size | APA allows a range of fonts and font sizes to be used | Use Times New Roman, 12-pt. font<br><br>Tables and figures may be set in a sans serif typeface and a smaller size to make it easier to fit them on the page. For a uniform look, use a consistent typeface and font from table to table or from figure to figure.<br><br>Table and figure notes must be no smaller than 10 pt.; the text may be single-spaced. |

# Chapter 3. DOCUMENT PRODUCTION REQUIREMENTS

Part 1. Page Margins, Page Numbering, and Paragraph Formatting

Part 2. Front Matter

Part 3. Appendices

## Use Chapter 3 to

- Review the requirements for page margins.

- Set or correct page numbers in documents.

- Use landscaped pages.

- Format paragraph text.

- Decide what to include and know what not to include in the appendices.

- Correctly format appendix material.

# Chapter 3
# Part 1. Page Margins, Page Numbering, and Paragraph Formatting

**Use this section to**

- Review the requirements for page margins.

- Set or correct page numbers in documents.

- Use landscaped pages.

- Format paragraph text.

**The Doctoral Publications team evaluates the following criteria:**

| Criteria | Met | Not Met |
|---|---|---|
| **Page Margins** | | |
| **Page Numbering** | | |
| **Paragraph Formatting** | | |
| Title Page | | |
| Copyright Page | | |
| Abstract | | |
| Table of Contents | | |
| List of Tables | | |
| List of Figures | | |
| Appendices | | |

<div align="center">**Page Margins**</div>

**Required Page Margins**

The margins of the document must be set as outlined below. Follow either the Capella template requirements or, at a minimum, ProQuest/UMI's requirements.

**Table 3. Margin Requirements**

| Margin | Capella Template | UMI/ProQuest |
|---|---|---|
| Top margin | 1 inch | 1 inch |
| Bottom margin | 1.2 inch | 1 inch |
| Left margin | 1 inch | 1 inch |
| Right margin | 1 inch | 1 inch |
| Footer | 1 inch | .75 inch |

**What to Know About Page Margins**

- Capella templates, such as the Dissertation Research Plan or Proposal templates and the dissertation template, have the correct margins preset.
- Word's "Format" and "Layout" menus both allow users to check and adjust margins.
- Sometimes, copying and pasting in text from other documents can change the margins, due to style tags. Knowing how to work with Word's "Format" and "Layout" menus is particularly useful if style tags are accidentally imported along with the text.

<div align="center">**Page Numbering**</div>

**The Three Parts of the Dissertation Manuscript**

1. Front matter is the preliminary material in any text. In a book, the front matter includes pages such as the copyright page, half-title, acknowledgments and/or dedication, epigraph, table of contents and lists of tables and figures.

Reports or white papers might contain grant information or financial disclosure pages, contract or department codes, in addition to the previous items.

Capella dissertation manuscripts have standard front matter. The dissertation template has the following preset front matter pages:

- Title page

- Copyright page

- Abstract

- Dedication

- Acknowledgments

- Table of Contents

- List of Tables

- List of Figures

2. The body of the manuscript or the body text is the first page of the first chapter.

3. Back matter is any text after the last page of the last chapter of the body. In some documents, back matter might include an afterwards, endnotes, or an index, among other items. Capella dissertations have two standard back matter items:

- The reference list

- Any appendices

Page numbering is continuous throughout the body and the back matter. For example, if the last page of Chapter 5 were page 99, the first page of the reference list would be page 100.

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**Page Numbering in a Document That Contains Front Matter**

There are five crucial details about correctly numbering front matter:

1. Some, but not all pages in the front matter require page numbers.

2. Use roman numerals for the page numbers in the front matter.

3. Set page numbers in 12-point Times New Roman.

4. Center the page numbers.

5. Set the page numbers in the footer, no less than .75 inches from the bottom of the page.

**Reading Like a Writer.**
As with page margins, copying and pasting in text from other documents can sometimes change the footer, due to importing style tags.

**Table 4. What Takes a Page Number in the Front Matter?**

| Item | Is page counted? | Does it take a page number? |
|------|------------------|------------------------------|
| Title page | Yes | No |
| Copyright page | No | No |
| Abstract | Yes | No |
| Dedication | Yes | Yes, p. iii (p. iv if Abstract is two pages.) |
| Acknowledgments | Yes | Yes |
| Table of Contents | Yes | Yes |
| List of Tables (if used) | Yes | Yes |
| List of Figures (if used) | Yes | Yes |

**What Are Section Breaks?**

Writing in the correct Capella template is the best way to ensure proper page formatting, including page numbering. However, writers can experience page numbering gone awry. If the page numbering in the footer requires correction, diagnosing how the errors occurred will drive how to correct the errors.

<span style="color:maroon">About sections.</span> For dissertation writers, the dissertation template document is divided into three sections. The sections are necessary so that pages can be numbered differently. Here is the numbering scheme:

- Section 1 contains one portion of the front matter: the title page, copyright page, and abstract. None of these pages contains a page number.

- Section 2 contains the remainder of the front matter. These pages—the Dedication through the List of Figures—are numbered with lowercase Roman numerals: iii, iv, v, and so on.

- Section 3 contains Chapter 1 through the appendices. These pages are numbered with Arabic numerals: 1, 2, 3, and so on.

<span style="color:maroon">About section breaks.</span> When working in the dissertation template, it's important that you can see the Section Break formatting feature so you don't inadvertently delete a section break.

- To be able to see the section breaks, click on the Show button (or Show/Hide in some Word programs) on the standard toolbar, which uses a paragraph symbol icon, ¶.

- The section break typically looks like this:

---------Section Break (Next Page)----------

- "Show" reveals the section breaks on the Abstract and the List of Figures pages.
- Make sure you DO NOT delete these section breaks.

**Correcting the Page Numbering of Your Document**

If at some point you notice the page numbering is incorrect, you have likely inadvertently deleted the section breaks. The following information will help you reconstruct the number formatting of the document you're working in.

Option 1. Pasting text from the working document into a clean dissertation template. Working section by section, copy text from your document and paste it over the text in the blank template.
- DO NOT copy a section break from your document.
- DO NOT delete a section break in the template.
- If you find this is not working due to the addition of other section breaks or margin changes, it may be easier to correct the document you're working in.

Option 2. Correcting the working document. Begin opening a blank dissertation template document and your current working document. Locate and open the header/footer toolbar for your Word program.
- "Same as Previous" or "Link to Previous." The footer in each section in the dissertation template has its "same as" or "link to" (depending on Word version) property turned OFF. This allows each section to have its own numbering format: section 1, no numbering; section 2, lowercase Roman numerals; section 3, Arabic numerals.

  **Note:** If that "same as previous" or "link to previous" is turned ON, you will not be able to correct or adjust the page numbers. This feature must be OFF.

- Reset the page numbering. If the numbers are wrong in the front matter, delete that page numbering. If the numbers are wrong throughout the document, delete all page numbering. Then follow these steps:

  1. Insert section breaks: Insert > Breaks > Section Break (Next Page), one after the Abstract and one at the end of the front matter.

  2. Click OFF the "Link to Previous" or "Same as Previous" feature.

  3. Starting on the page that follows the Abstract, insert page numbering in the Footer, centered.
     **Note:** If the Abstract consists of one page, the next page will be page iii; if the Abstract consists of two pages, the next page is iv.

  4. Starting on the first page of Chapter 1, insert page numbering in the Footer, centered. Chapter 1 starts on page 1.

  5. Make sure there are no page numbers on the title page through the Abstract. If there are, go back and check the "link to" or "same as" previous feature and make sure it's OFF. Then delete the unwanted page numbers.

**<span style="color:#8B1A2B">Putting It Into Practice.</span>**
<span style="color:#8B1A2B">Click the video below
to learn more about page
margins and page numbering.</span>



## Paragraph Formatting

**Type Versus Font**

- Traditionally, typeface is the "family name." The font is the family tree. These words—*typeface* and *font*—are now used interchangeably.

- Word's "Format Font" menu uses Font to mean typeface and uses Font style to mean Font.

**Table 5. Traditional Graphic Design Vocabulary**

| Typeface | Times New Roman | Where Used |
|---|---|---|
| Type size | 12 points | All front matter<br>Running manuscript text<br>Table numbers and titles<br>Figure numbers and titles<br>End matter (unless otherwise required) |
| Type size | 10 points | Table and figure notes must be set in 10-point type.<br>Table text can be set in 10-point type. |
| Font | roman | Nonitalicized upright characters, used as standard type. |
| Font | italics | Characters that slant upward and to the right, used as described in APA section on italics |
| Font | bold | Title on the Title page<br>All headings.<br>Table numbers and titles<br>Figure numbers and titles<br>Do not use bold in any other instance. |
| Font | Superscript | End note symbol for table notes<br>Footnote numbers |
| Font | subscript | Hypotheses identification |

**Figure 1. Microsoft Word's Font Formatting Options**
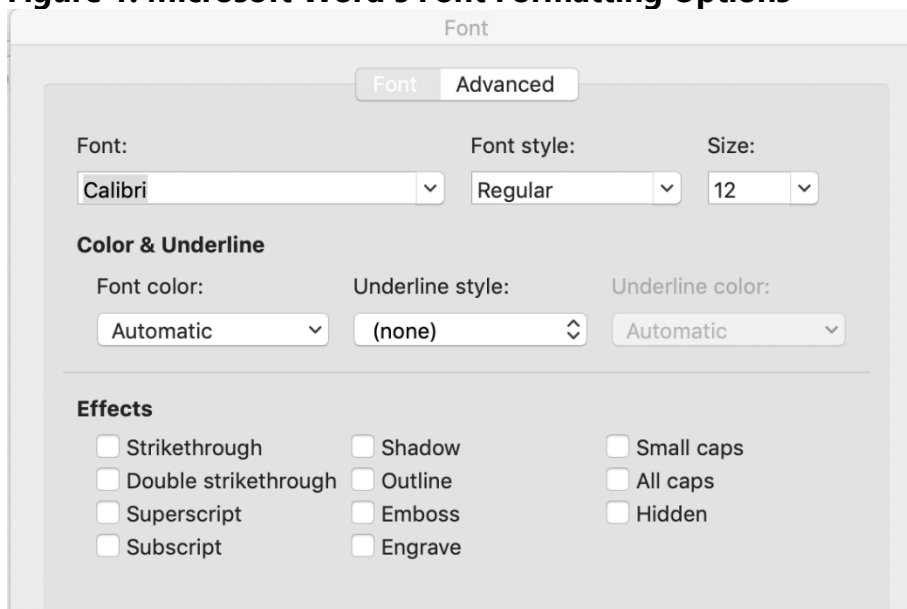


**About Spacing and Paragraph Layout**

<span style="color:maroon">Line spacing.</span> Line spacing refers to the standard single-spaced, 1-1/2 spacing, and double-spacing between the individual lines of text in a paragraph.

<span style="color:maroon">Paragraph spacing.</span> Paragraph spacing refers to the amount of white space above or below headings or between paragraphs.

<span style="color:maroon">Paragraph layout.</span> Text can be set or laid out flush left, centered, flush right, or justified.

- In Capella manuscripts, text is set flush left-ragged right with the first line indented one-half inch from the left margin.

- Indent the first line of any new paragraph one-half inch from the left margin. Use the tab key or the preset indent; do not use the space bar, which is both slower to type and more difficult to determine precision.

<span style="color:maroon">Single-spacing.</span> Single-spacing can be used for the text in the following elements:

- block quotations

- lists (leave one full space between each list item in numbered or bulleted lists)

- reference list (leave one full space between entries)

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- headings that extend beyond one line

- table and figure numbers and titles, table column and row headings, table text (leave space between rows), and table and figure notes

**Spacing Above and Below Headings**

Although it is not required, writers can choose to use an extra space above APA Level 1, Level 2, or Level 3 headings. This extra space above the headings can help the eye distinguish transitions from one heading to another.

If using the extra space above the Level 1, Level 2, or Level 3 headings,

- Do not use an extra return below the headings. Use standard double-spacing.

- Be consistent: if you use the extra return above any Level 1 heading, use the extra return above all Level 1 headings. Similarly, if you use the extra space above Level 2 headings, use the extra space above the Level 1 heading as well, and so forth.

- Do not use an extra return above APA Level 4 or Level 5 headings.

- To decide whether to use the extra return above the Level 1, Level 2, and Level 3 headings, try the spacing options out on your draft. Do you prefer one over another?

**Dissertation Manuscript Requirements**

1. Set all text in the front matter, body, and end matter in 12-point Times New Roman.

2. Running manuscript text is all of the body text, including in-paragraph direct quotations. Set all running manuscript text in 12-point double-spaced Times New Roman.

3. Block quotations (i.e., direct quotations of 40 or more words) can be single-spaced or double-spaced. In a manuscript containing a high number of

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lengthy block quotations, single-spaced block quotations are recommended, as the single-spacing allows the reader to readily distinguish between your own running manuscript text and the block quotations.

4. There is some flexibility in presentation of appendix text; ideally, text in the appendices should follow the requirements above.

**Putting It Into Practice.**
Click the video below
to learn more about
paragraph formatting.

# Chapter 3

# Part 2. Front Matter

**Use this section to**

- Set up a dissertation title page.

- Ensure that the abstract is correct in terms of content and presentation.

- Review the distinction between the Dedication and the Acknowledgments.

- Create a Table of Contents, List of Tables, and List of Figures.

**The Doctoral Publications team evaluates the following criteria:**

| Criteria | Met | Not Met |
|---|---|---|
| Page Margins | | |
| Page Numbering | | |
| Paragraph Formatting | | |
| **Title Page** | | |
| **Copyright Page** | | |
| **Abstract** | | |
| **Table of Contents** | | |
| **List of Tables** | | |
| **List of Figures** | | |
| Appendices | | |

**DISSERTATION TITLE: ALL CAPS,
CENTERED, AND DOUBLE-SPACED**
by

Learner Name

MENTOR NAME, PhD, Faculty Mentor and Chair
FACULTY NAME, PhD, Committee Member
FACULTY NAME, PhD, Committee Member

Name, PhD, Dean, School of _____

A Dissertation Presented in Partial Fulfillment
Of the Requirements for the Degree
Doctor of _____

Capella University
Month Year

**BE SURE TO DOUBLE CHECK
THE SPELLING OF ALL TEXT YOU ADD
TO THE TITLE PAGE**.

## Copyright Page

- If you choose to include the copyright page, be sure to fill in your name and the year. Delete the "(**Note:** If copyright not desired, delete this page)," as this is a leftover instruction from the template.

- If you choose not to include the copyright page, remove the entire page from your document, and double-check to be sure that your page numbering is still correct.

## Abstract

### Formatting the Abstract

Dissertation templates include instructions for formatting the abstract. A typical instruction reads

> *Note to writer: An abstract is required. Guidelines for development of the abstract can be found in sections 2.9 and 3.3 of the* Publication Manual of the American Psychological Association *(APA 7th ed.). The target length of the abstract in Capella doctoral dissertations is 400 words or less. Format the abstract as one double-spaced paragraph without an indented first line; do not justify the right margin. The Abstract page is not numbered, and "Abstract" does not appear in the Table of Contents.*

### Purpose of the Abstract

APA 2.9 defines the abstract as a brief, comprehensive summary of the contents of the [dissertation]; it allows readers to survey the contents of [the manuscript] quickly and, like a title, it enables persons interested in the document to retrieve it from abstracting and indexing databases.

That being said, for master's- and doctoral-level writers, the abstract also functions as a writing exercise in that it requires the writer to summarize a lengthy manuscript. Once you have drafted your abstract, cross-check the abstract against (a) the template/school requirements, (b) the requirements in APA 3.3, and (c) your actual text. Have you included all the elements APA provides? Have you accurately represented your study, from purpose to methodology to results?

**Source Citations in the Abstract**

The abstract will be published as a standalone document. Thus, any references to outside work must be complete (i.e., must include author, publication date, and title). However, the abstract does not contain a reference list. If you must include references to outside work, do not set them in standard APA style, as in (Author, date) or Author (date). Rather, build the information into the body of the abstract. For example, some writers include names of instruments or names of theories in their abstracts, so if there is potential that further detail is needed, editors will suggest that the author and the year would be included.

If a study focused on Gardner's theory of multiple intelligences, Gardner's name might be included; if the study used Gardner's 2009 addition of existential intelligence, the year would be useful for chronological context.

Sometimes, the writer might include a seminal article or book that drove the study, in which case it would be set right in the body of the sentence, not as an author-date citation. Since the abstract should focus on the specific research study, outside authors are rarely needed.

The abstract is a standalone document and does not contain a reference list, so "(Gardner, 2009)" would not be used. Rather, the sentence should read something like so: "Gardner's 2009 addition of existential intelligence to his original nine 1983 emotional intelligences informed the research question."

**Reading Like a Writer**
As you pull research articles,
build your annotated bibliography,
or scan for useful articles,
really study both the construction
of the abstract and its contents.
Does it meet APA 3.3 requirements?
Does it truly reflect the article?

## Dedication

The optional dedication page provides a place for learners to express their appreciation to and respect for significant individuals in their lives. The dedication is personal; thus, any individuals named are frequently unrelated to the topic of the dissertation. Indeed, it need not be academic in any way. Typically, the learner dedicates the work to one or two individuals who instilled in them the value of education and the drive to succeed in educational pursuits. Learners dedicate dissertations to significant individuals, immediate family, or relatives who have played a role in their lives.

- If you choose to include the Dedication page, be sure to provide text.
- If you choose not to include the Dedication page, remove the entire page from your document, and double-check to be sure that your page numbering is still correct.

**Acknowledgments**

The optional acknowledgments differ from the dedication in one significant way: They recognize individuals who have supported the learner's scholarly efforts or who have held a role in the learner's academic career as it relates to the dissertation research. Here, the learner recognizes, by name, the contributions of the mentor, the committee members, and individuals who helped with the dissertation research (e.g., librarians, statisticians, editors, etc.). Finally, learners should also express appreciation for the use of copyrighted or otherwise restricted materials in the acknowledgments, if applicable.

- If you choose to include an Acknowledgments page, be sure to provide text.
- If you choose not to include Acknowledgments, remove the entire page from your document, and double-check to be sure that your page numbering is still correct.

**Table of Contents**

1. Heading. APA Level 1 heading (centered, bold).
2. Entries (see the dissertation template): Acknowledgments; List of Tables; List of Figures; CHAPTER/SECTION TITLE (all caps); Level 1 headings from the chapters/sections (other heading levels can be included as well); References, and APPENDIX TITLE (all caps). Although titles and headings are in boldface in the paper itself, do not use bold for any entries in the Table of Contents.
3. Spacing, alignment. Double-space the Table of Contents, but single-space entries that are longer than one line. Chapter/section titles are flush left; page numbers are flush right. Indent the Level 1 headings one-half inch.
4. **Automated table of contents.** Some templates are set with features that will allow the writer to create a table of contents automatically. Instructions for using this feature can be found in Word's Help menu.

**Putting It Into Practice.**
Click the video below
to learn more about updating
the Table of Contents.



**Table 6. What Should Be Entered in the Table of Contents?**

| Item | Entered in Table of Contents? |
|---|---|
| Abstract | No |
| Dedication | No |
| Acknowledgments | Yes |
| Table of Contents | No |
| List of Tables | Yes |
| List of Figures | Yes |
| Chapter/Section title | Yes |
| Level 1 headings | Yes |
| Other heading levels | No[a] |
| References | Yes |
| Appendix titles | Yes |

*Note.* No entry in the Table of Contents should be in boldface or italics.

[a] Other heading levels may appear if they are included in your program's template.

**List of Tables, List of Figures**

Create a List of Tables and List of Figures on separate pages following the Table of Contents. These pages will serve as a table of contents (titles and page numbers) for the tables and figures in your dissertation.

1. List of Tables and List of Figures headings. APA Level 1 heading (centered, bold).

2. Spacing. Entries longer than one line may be single-spaced (with the second and subsequent lines indented below the first line of the title). If single-spaced, add a full space between entries.

3. Table and figure titles. Enter tables and figures by number, title, and page citation. Do not use bold or italics on these pages.

## Putting It Into Practice.
Click the video below to learn more about formatting the front matter.

# Chapter 3
# Part 3. Appendices

**Use this section to**

- Decide what to include in the appendices.

- Know what not to include.

- Correctly format appendix material.

**The Doctoral Publications team evaluates the following criterion:**

| Criteria | Met | Not Met |
|---|---|---|
| Page Margins | | |
| Page Numbering | | |
| Paragraph Formatting | | |
| Title Page | | |
| Copyright Page | | |
| Abstract | | |
| Table of Contents | | |
| List of Tables | | |
| List of Figures | | |
| **Appendices** | | |

**Appendices**

**Types of Errors Screened for in the Doctoral Publications Review**

- Appendices lettered incorrectly.

- Appendix titles incorrectly formatted (e.g., not centered or punctuated correctly).

- Text justified on the right.

- Administrative documents included *

- Previously published instruments included.*

- Raw data or full transcripts included.*

- Study site named.

*While these items may have been needed in previous stages of the degree process, they must not appear in the final published manuscript.

**Formatting the Appendices**

Placement
Place appendices after the reference list.

Appendix Title

1. Center each ALL CAPS BOLDFACE appendix title.

2. The appendixes are lettered, not numbered. See APA 2.14.

3. If you have only one appendix, the appendix title will not need the letter A, unless the sole appendix is made up of tables, figures, or both.

4. Single-space titles that are longer than one line.

Appendix Format

1. Start each appendix on a new page.

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2. Start the text of the appendix on the same page as the title.

3. Appendix pages are not numbered separately; pagination continues from the previous pages.

4. The margin settings must be identical to those set in the rest of the manuscript

## What to Include in an Appendix

There is a general tendency for learners to include unnecessary items in appendices. Be judicious in selecting material for the appendices. "Include an appendix or supplemental materials only if they help readers to understand, evaluate, or replicate the study or theoretical argument being made" (APA 2.14, p. 41).

## What Not to Include in an Appendix

1. Do not include résumés.

   - Unless a learner's expertise is substantiated by an extensive publication record and includes works regularly cited by scholars in the field, a résumé is not appropriate for inclusion in the dissertation.

   - Do not include résumés for subject matter experts or field testers.

2. Do not include administrative documents.

   - Do not include IRB and CITI forms support a supplementary administrative process separate from the dissertation itself.

   - Do not include copies of permissions, consent forms, and other documents relevant to the administration of the study, unless they are unique in some fashion as to warrant their inclusion. If you do include this material, be sure to black out any addresses, telephone numbers, and e-mail addresses to protect confidentiality.

- Do not include letters you have received acknowledging permission to reprint copyrighted material. However, you will be asked to send the letters to ProQuest/UMI when you publish, as their publishing agreement will explain.

*Should you include surveys or other instruments?*

1. Standard survey, unmodified. If you used unmodified versions of instruments or protocols in standard usage within your discipline, do not scan or reprint them in the manuscript, as they are readily available to readers from other sources. Cite them clearly in the text of the manuscript.

2. Other unmodified survey. If the instrument you used for data collection is not well known (consult with your mentor if you are unsure) or has not been published, it may be appropriate to reproduce it in an appendix. In addition to getting permission to use the survey, you must also have permission to reprint it. Also, it must be clear on the survey that it is based on another source.

3. Modified survey. If you include an instrument you have modified, it must be clear on the survey that it is based on another source.

4. Survey of your own design. Blank copies of learner-designed instruments are appropriate in an appendix. You may include your name and copyright date in a source note.

**Putting It Into Practice.**

Click the video below to learn more about formatting the appendices.

# Chapter 4. WRITING-RELATED REQUIREMENTS AND PUBLICATION

Part 1. The Writing Process

Part 2. The Post-Review Revision Process

Part 3. The Publication Process

**Use Chapter 4 to**

- Review the stages of the writing process.

- Begin to define your own writer's mindset.

- Learn what to expect during the Doctoral Publications review process.

- Explore processes for revision.

- Make a plan for content editing, line editing, and proofreading.

# Chapter 4
# Part 1. The Writing Process

**Use Chapter 4, Part 1 to**

- Review the stages of the writing process.

- Begin to define your own writer's mindset.

**The Doctoral Publications team evaluates the following criteria:**

| Criteria | Met | Not Met |
|---|---|---|
| **Grammar, Usage, and Mechanics** | | |
| **Tone, Logic, and Coherence** | | |

**Stages of the Writing Process**

**Figure 2. The Writing Process**



The writing process is typically broken into four components:

1. Prewriting. Prewriting is the term for the broad stage of preparing to write. This is not to say that writers do not generate useful material at this stage. Rather, writers are typically working with their source material, thinking about how to approach it, and beginning to explore categorizing, division, classification, and other organizational techniques.

2. Drafting. A draft is one iteration of the final, completed writing project. An initial rough draft is typically incomplete. It is often choppy and error ridden. Each additional reworking of your text is a new draft. In publishing, the most current and reviewable version of the piece is called the document of record.

3. Revising. Revising involves reading your own writing, thinking critically and objectively about how to improve it, and making hands-on changes directly on the document. Each round of revision yields a new working draft, a new document of record that replaces your previous document of record. When

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writers do this task themselves, it is called revision. When an editor for hire does this for you, it is called content editing.

4. Peer Review. Peer review requires you to be able to provide constructive writing feedback to others, as well as to be able to receive the same type of feedback on your own work.

5. Line Editing and Proofreading.

- When line editing, you will be looking for sentence-related grammar-usage-mechanics errors, sentence coherence and flow, informal logic errors, and the like.

- When proofreading, you will be looking for typographical errors, including misspellings, missing punctuation, and accidental spacing errors.

- In the **line editing** and **proofreading** stage, in particular, working on hard copy allows for a slow, hands-on interaction with each line of the page, encouraging the space and time for identifying errors.

## Reading Like a Writer
There is no right or wrong
way to write. There is only
one way: The way that works for you.

### Person and Pronouns

Knowing which pronouns to use within your writing helps promote clarity, concision, and continuity within your work, ultimately enhancing readability. Both Capella University and the *Publication Manual of the American Psychological Association* (7th ed.) advocate for the usage of the first person. When using pronouns, clearly identify to whom the pronoun is referring (see APA 4.16–4.21).

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✓ **Do:** Use the first person ("I") to describe work you performed and when expressing your own views.

✓ **Do:** Be judicious in your usage of the first person to avoid repetition and to retain the scholarly tone required for academic work.

✓ **Do:** Use the singular "they." Use these forms: they, them, their, theirs, themselves, themself.

✗ **Do Not:** Refer to yourself in the third person.

✗ **Do Not:** Use gender-biased pronouns when gender is unknown or irrelevant in context.

✗ **Do Not:** Use the first-person plural pronoun (i.e., the editorial "we") to refer to yourself as an individual writer or authority. If you are referring to a group to which you belong, define the group first, to establish a specific subject.

**Table 7. Pronoun Usage**

| Correct | Incorrect | Rationale |
|---|---|---|
| I explored treatments for depression. | The researcher explored treatments for depression. | Use first person to describe work you did. Do not refer to yourself in third person. |
| Each participant completed their survey. | Each participant completed his or her survey. | Use "they" when gender is irrelevant or when the gender or preferred pronoun are unknown. |
| As psychologists, we must maintain client confidentiality. | We must maintain client confidentiality. | To avoid the editorial "we," "we" must be defined. |

**Anthropomorphism**

Ensure that the verbs you use do not confuse or mislead readers.  Anthropomorphism occurs when writers apply human behaviors to inanimate sources (see APA 4.11).

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**Table 8. Avoiding Anthropomorphism**

| Correct | Incorrect |
|---|---|
| The research addresses . . . | The research concludes . . . |
| The data indicate . . . | The data examine . . . |
| The findings contribute . . . | The findings determine . . . |
| The program staff was persuaded to . . . | The program was persuaded to . . . |

## Active and Passive Voice

Active sentences use a clear subject + verb construction. In active statements, the verb is responsible for "doing the work." Passive constructions are often missing "the actor" and place the emphasis on the object of the sentence (see APA 4.13). A helpful test when checking for active versus passive voice is to see if you are able to add "by me" to the end of any given sentence.

**Table 9. Active Versus Passive Writing**

| Active | Passive |
|---|---|
| I distributed IRB-approved informed consent forms prior to engaging in any interviews. | Participants were given IRB-approved informed consent forms [by me]. |
| This research study used a qualitative methodology and generic qualitative design to support the research questions. | The qualitative methodology and generic qualitative design were used [by me] to support the research questions. |
| I analyzed the data. | Data were analyzed [by me]. |

## Putting It All Together

Use first person when describing activities you personally experienced. But also keep in mind that pervasive usage of the first person throughout any piece of writing can become distracting and place the focus of the work on the researcher, rather than on

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the study and its findings. The examples below demonstrate how you can appropriately apply first-person pronouns within your writing, as well as acceptable alternatives you can consider that will allow you to avoid anthropomorphism and use active voice.

**Table 10. First-Person Pronoun Usage and Acceptable Alternatives**

| First Person | Acceptable Alternatives |
|---|---|
| In this article, I focus on . . . | This article focuses on . . . |
| During my research, I found that . . . | The data indicate . . . |
| In this section, I address . . . | This section addresses . . . |
| My point is . . . | The distinction is important because . . . |
| Although I agree with previous authors, in that . . . I disagree that... | Previous authors argued . . . and while . . . contributes to the problem, . . .  is also an important factor. |

**Bias-Free Language**

On the terms *gender* and *sex*, the words *male*, *female*, *man*, and *woman*,

- APA uses the word *gender* to refer to men and women but uses the word *sex* to refer to the biological identity male and female.

- Do not use the words *sex* and *gender* as synonyms.

- See the Guidelines for Unbiased Language on APA's website and APA 5.5 for further guidance.

Regarding the word *Caucasian*,

- *Caucasian* is currently not used by the U.S. Office of Management and Budget (OMB) in classification of race or ethnicity, which means that the Department of Education, the U.S. Census, and other large government organizations do not use it, either.

- APA 7 discourages its use. See APA 5.7 for further guidance.

- Consult with your mentor on use of this term.

**Avoiding Cognitive Bias in Your Writing**

*Cognitive biases* are unconscious, irrational patterns in our thought processes that affect our judgement. All humans create *heuristics*, or mental shortcuts, to help us reach decisions more easily. The problem arises when we use shortcuts that are based on faulty assumptions or things we want to be true, rather than what actually is.

## Putting It Into Practice.
Click the video below
to learn about
cognitive bias.



The best defense against cognitive bias is retraining your mind to **think critically**. It's much more about "how you think" rather than "what you know." Analyze your assumptions, motivations, and desired outcomes for anything that isn't rooted in rationality and logic. Above all else, acknowledge your bias and change your mind in the face of new evidence. Here are some examples of common cognitive biases and how to avoid them in your writing.

**Table 11. Cognitive Biases**

| Type of Bias | Evidence of Bias | Recognizing Bias in Your Writing |
|---|---|---|
| Confirmation Bias | Wanting something to be true. | Am I approaching this topic neutrally? |
| | Focusing on things that confirm or support your existing beliefs and ignoring those that do not. | Am I reading studies, articles, facts, and so forth that disagree with me so I can get a balanced perspective? |
| Anchoring Bias (Adjustment Heuristic) | First impressions. | Where do my expectations or guidelines come from? |
| | Allowing the first thing you see, hear, or judge to unjustly influence everything else that follows. | Have I reviewed all pertinent information *before* reaching a conclusion? |

| Type of Bias | Evidence of Bias | Recognizing Bias in Your Writing |
|---|---|---|
| Availability Bias (Availability Heuristic) | Thinking the examples that spring most easily to mind are more representative than they are. | Have I rooted my theories in statistical/numerical fact rather than anecdotal evidence? |
| In-Group Bias (In-Group Favoritism, In-Group— Out-Group Bias, etc.) | Us versus them.<br><br>Favoring those with whom we have something in common. | Do I recognize it when I see myself in others?<br><br>Am I separating that connection from my evaluation? |
| Optimism or Pessimism Bias | Overestimating the odds of good/bad things happening and underestimating the odds of bad/good things happening. | Is my current good mood or general optimism unduly influencing my conclusion?<br><br>Is my current bad mood or general pessimism unduly influencing my conclusion? |

**Putting It Into Practice.**
Click the video below
to learn more about avoiding
cognitive bias in your writing.



Avoiding Cognitive
Bias in Your Writing:
Part 2

Doctoral Publications

# Chapter 4
# Part 2. The Post-Review Revision Process

**Use this section to**

- Prepare for a consult call with your editor.

- Work with an outside editor.

- Explore processes for revision.

- Make a plan for content editing, line editing, proofreading.

**The Doctoral Publications team evaluates the following criteria:**

| Criteria | Met | Not Met |
|---|---|---|
| **Grammar, Usage, and Mechanics** **Tone, Logic, and Coherence** | | |

**The Doctoral Publications Review Process**

The Doctoral Publications team acknowledges the time, dedication, and perhaps sacrifice it has taken writers to arrive at this stage of their degree. This review serves as a deep and thorough critique of your work, yet it does not dismiss the prior work and endorsements achieved to arrive at this point. We believe writers will find that a new reader will only improve their writing and that the rewards are well worth the effort.

At the same time, we acknowledge the challenge of further revising one's own writing as graduation moves ever closer. Writers develop revision skills throughout the degree program, so having a thoughtful revision plan in place ensures higher attentiveness to the work and reduces the need for multiple milestone reviews.

**What to Know About Your Reviewer**

The Doctoral Publications review editors maintain an instructive yet respectful approach while keeping the end goal—a high-quality, truly scholarly record of each writer's unique research study—always in the forefront.

1. The Doctoral Publications review provides writers and faculty with an objective, skilled assessment of the doctoral manuscript. Doctoral Publications editors evaluate final works for compliance with the university's standards for publication, including ethical issues of confidentiality and intellectual property (e.g., copyright compliance and plagiarism), and on information display (e.g., tables, figures, participant responses) and academic integrity.

2. Doctoral Publications editors adhere to and support their commentary and feedback with the following:  the requirements laid out within this document, the *Publication Manual of the American Psychological Association* (APA 7th ed.), the school-specific dissertation guidebooks and templates, and any pertinent school-specific requirements. For supplemental guidance, editors use *Merriam-Webster's*

*Collegiate Dictionary* (11th ed.), the *Chicago Manual of Style* (17th ed.), and standard usage manuals for issues of grammar, usage, and mechanics.

**What to Expect From the Review**

1. For each criterion, editors will review a sample of your work (often 10-15 pages). The review notes will include a reference to the page numbers or sections used for that sample review will be noted. These are *examples* of required corrections, so writers must look for other, similar corrections throughout the manuscript.

2. Writers will not receive a line-by-line, hands-on mark-up of the manuscript. Unlike working with an outside editor or proofreader, writers will receive a running list of correction notes and correction examples for the writer to implement.

3. While the editors do not make any changes directly on the manuscript document, they may use various functions found within the "Review" pane of Microsoft Word, such as color- coding, Track Changes, and Comments.

4. Doctoral Publications reviews maintain the standard review time of seven calendar days. Learners have until the last day of the quarter to submit works to Doctoral Publications for review prior to the next quarter start.

**What to Expect After the Review**

1. Expect to have a range of corrections to make. Even a manuscript that is approved with corrections will require some level of revision. It is for this reason that the team advises writers to have a revision plan in place.

2. Expect to spend time extrapolating correction items and applying them throughout the manuscript. It cannot be stated enough: The editor provides

writers with *examples* of correction items; the writer must carefully identify and address similar corrections throughout the manuscript.

3. Expect to manage expectations. It can be tempting to "race the clock" or feel pressure to move to the next milestone as quickly as possible. Keep in mind that the final manuscript will be published as-is and that the Doctoral Publications Review is designed to support you in preparing that publication-ready manuscript.

4. Expect to develop or strengthen your sense of authorial ownership. Writers have full responsibility for ensuring that their final manuscript is of as high quality as possible and are expected to utilize available resources in their entirety.

5. Writers and mentors are welcome to contact us on areas of concern at doctoralpublications@capella.edu.

**Outcomes of the Doctoral Publications Review (Decisions)**

Upon completion of a review, the Doctoral Publications editors will make a determination of either approved with changes, deferred, or not ready for review.

Approved with changes. Manuscripts that are approved with changes require carefully made corrections in APA alignment requirements, dissertation document requirements, and/or writing-related issues and readily made corrections in ethical and legal requirements. Manuscripts that have been approved with changes are those that include changes required before the manuscript can be published. These manuscripts do not need to be returned to the Doctoral Publications editor for a subsequent review.

Deferred. Manuscripts that are deferred require substantive corrections in APA alignment requirements, dissertation document requirements, and/or writing-related requirements. These manuscripts may also contain a range of complex corrections in

ethical and legal requirements. Manuscripts that have been deferred are those that include changes required before the manuscript can be approved. Editors will extend an offer to conference call with the learner and mentor for all manuscripts that have been deferred, in an effort to be sure the changes required are fully understood by all. These manuscripts do need to be returned to the Doctoral Publications editor for a subsequent review.

Not ready for review. Manuscripts that are determined to be not ready for review include a violation of some university policy and/or extensive and pervasive errors in one or more of the requirement areas. These documents do not meet ethical and legal standards, due to a failure to de-identify the population/site and/or include plagiarism. Editors will extend an offer to conference call with the learner and mentor for all manuscripts that have been determined to be not ready for review, in an effort to be sure the changes required are fully understood by all. These manuscripts also need to be returned to the Doctoral Publications editor for a subsequent review and may result in the work being referred for a Research Misconduct or Academic Integrity review.

### Post-Review Consultation With Editor, Mentor, and Writer

For manuscripts that are *Approved With Changes*, your editor is always available for questions as you move through the revision process.

For manuscripts that are *Deferred for Revisions* or are *Not Ready for Review*, the editor will extend an offer to host a conference call with the learner and mentor, in an effort to ensure the changes are understood by all. The overall purpose and process of post-review consultation calls are described below.

**Who**: Typically, the call includes the editor, writer, and mentor. As needed, another editor, faculty member, or Doctoral Success Manager might join the call.

**What**: The 30-minute consultation call allows for a live, real-time conversation about the review notes, the manuscript, and next steps in the revision process.

**When**: Your assigned editor will initiate scheduling the meeting.

**Where**: These virtual meetings use Zoom. This platform allow your editor share their computer screen, which enables all attendees to observe any notes, raise questions on specific areas, and view any mark-ups or writing suggestions the editor might demonstrate. At this time, Skype meetings are not an option. If you are only able to connect by telephone, let your editor know that ahead of time.

**How to Prepare**: Read through the review notes and the comments and any mark-ups your editor may have made on the dissertation submission. Have your *Doctoral Publications Guidebook* and *Publication Manual of the American Psychological Association (*APA 7th ed.) handy. The editor will not scroll page by page through the manuscript or the review notes addressing every correction item, so you can best prepare for the meeting by thinking ahead about what it is **you** need to know so that you can move forward in preparing your publication-ready manuscript.

**How to Access the Meeting**: The editors have found that the shared-screen option, using Zoom works well. If you have not used this platform before, familiarize yourself with it before your meeting to ensure that you are able to join the call and see the screen-share. A tutorial can be found via the following link:

https://support.zoom.us/hc/en-us/articles/206618765-Zoom-video-tutorials

**Why**: Again, the purpose of the 30-minute call is to discuss the revision process and answer any questions writer and mentor may have about the review notes or approaches to revision. If you have not worked with an editor before, you may be

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surprised to find the experience to be a collegial, productive, respectful interaction between writer and experienced reader.

## Working With an Outside Editor

### What an Editor Does

The word *editor* can mean many different things, ranging from an individual who performs a comprehensive line-by-line review of a document to someone who analyzes only the word processing and formatting components. The descriptions below should help you define what you want and how to explain it to the person you hire. Whether or not you use the terms *word processor*, *proofreader*, or *editor*, you must clarify with the person you hire the type of work you need and expect. The first editor you find may be competent to do all these tasks, or you may need to search for an editor who best meets your needs.

- ***Word processing; formatting.*** A word processing specialist will be able to correct page formatting (spacing, page numbering, margins), as well as formatting of elements within the text (tables, figures, headings).
- ***Proofreading; copy editing.*** A proofreader or copy editor reads the text, correcting misspellings and misplaced modifiers, looking for works cited in text that are missing from the reference list, putting text citations and references in APA style, and so on.
- ***Content editing; substantive editing.*** A content or substantive editor reads the text, correcting grammatical issues and making suggestions on the manuscript's overall organization and development.

### Working With an Editor

1. Clarify expectations. What do you expect from the person you hire in terms of fee, turnaround time, or delivery method?
2. Clarify the type of help you need.

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3. Clarify how you want to receive your feedback (e.g., Track Changes, Comments, a separate document).

**Finding an Editor**

Capella University does not formally recommend or endorse outside editors

Thus, you must do your own research. Ask for client referrals, check that the individual has worked on complex academic material before, and be sure the individual is comfortable and familiar with APA and Capella style requirements. Do not take a Craigslist ad or webpage listing as proof of competency. . Writers who elect to use such a professional must review and adhere to the university's <u>third-party guidelines and expectations</u>.

## Revising and Editing Your Own Writing

The rest of Chapter 4, Part 2 covers the revision process. Whether you prepare your final publication-ready manuscript entirely independently or you hire third-party support for any final document production, the following sections provide valuable information on the amount of post-draft manuscript work that may be necessary.

**Working With the Draft**

<span style="color:#a52a2a">Prepare</span>

- Begin by setting the document aside for a few days several times throughout the writing process. This will give you a break from your writing and allow you to return to it refreshed. Editors strongly recommend working on a print copy.
- Schedule time on your calendar for editing and revising.
- When you return to your document, your job will be to make sure what you have already written is orderly, smooth, and precise.

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- Begin by reading aloud. When you find something that doesn't sound right, mark it on the document. It doesn't matter how you mark it—highlighter, sticky note, pen, pencil—it just matters that you mark it.

- Whatever stopped you is either a development problem, as in a sentence that doesn't fit with the paragraph or a paragraph that doesn't fit in the section, or it is a grammatical or factual problem within the sentence itself.

- Don't try to do everything at once. For your first full-document revision, try starting at the broadest level and working down to the sentence level.

- Pay attention to the "stoppage points" you flagged during your read-aloud step.

- Take breaks between sessions.

- If you are editing your dissertation, compare the school's dissertation guidebook with the sections in the chapter you're currently revising. Highlight headings.

## Follow-Up

- Once you have done a thorough round of revising and editing, print out the most recently revised draft. This is your new document of record.

- Review the revised draft.

- Repeating the cycle of reading, hands-on work, and reviewing as necessary.

## Reviewing for Research Integrity

### Adhere to Appropriate University and School Policies

1. If your study required IRB approval, be sure that you have adhered to the safeguards in your application regarding participant confidentiality.

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2. Capella has a well-documented policy for academic honesty and integrity. Your manuscript must adhere to the stated policy.

3. Regarding participant and site anonymity:

   - You may want to name the research site and include specifics in your manuscript as you are writing. That specificity can be very helpful in early drafts; it roots your research in its actual setting. However, know that you will need to remove such details before publication.

   - Up until the Doctoral Publications Review milestone, your audience has been internal. It has been yourself, your faculty, and your various reviewers. Now, the audience shifts to the wider general reader. The dissertation will be published as-is and available to all interested readers. For this reason, those specific details that may have been acceptable or even required at earlier stages now must be removed.

## Adhere to Copyright and Intellectual Property Issues

It is in your best interest to cross-check for accuracy and due diligence. Did you obtain permission? Are your permission or copyright details presented correctly?

## Reviewing for Grammar and Mechanics

### Errors You Can Hear

In this round of revision, explore your sentences for grammatical coherence.

When you previously read your document out loud, you marked anything that sounded clunky or odd. Now, read these marked-up areas out loud again, listening for what might be wrong.

A few common errors you might hear are as follows:

- Basic logic errors.

- Fused or spliced sentences.

- Subject-verb agreement.

- Cut-and-paste errors.

- Misplaced or dangling modifiers.

- Unclear pronoun reference errors.

- Fragment sentences.

- Run-on sentences.

- Verb tense errors.

- Cognitive bias.

## Errors You Can See

In this round, explore the sentence for grammatical and mechanical correctness, relying on your eyes, rather than your ears. This round is typically done using a ruler to move line by line down the page, marking corrections in red as you go. This is probably what most people imagine when they think of editing and proofing.

Originally, reading a "proof" meant making sure the typeset text matched the text as it was written, and editors still perform the same step of reading and correcting text at the word and sentence level.

In this round, look for spacing, punctuation, spelling errors, and the like. Common errors you might see include

- Capitalization errors, such as those related to common versus proper nouns or models, theories.

- Errors related to the possessive case or other apostrophe errors.

- Errors related to nouns and numerals with items in a series.

- Errors related to presentation of statistical elements.

- Punctuation errors, such as with colons, commas, hyphens, quotation marks, and semicolons.

- Spelling errors, including those that a spell-check would not catch

**Reviewing for Unity and Coherence**

In this round of revision, the focus is more on meaning, unity, and coherence than on specific grammar and mechanical errors. In other words, the focus is on the message more than words and punctuation.

Each paragraph should be well developed. A great starting point is to identify and highlight the topic sentence of the paragraph. In most paragraphs, there is a sentence that clearly identifies itself as the topic sentence; it is the sentence that says, in some way, "Here's what I'm talking about in this paragraph!" Sometimes, the topic sentence is implied. That is, there isn't one single sentence that states the topic, but you, the writer, can easily tell what the topic of the paragraph is. If you have an implied topic sentence, write the topic of the paragraph in the margin or see if there is an APA Level 4 or 5 heading that functions as a topic idea.

Each paragraph will have an inherent mode of development. This means that a paragraph will fall into one of the standard rhetorical paragraph structures, some of which are comparison/contrast, cause and effect, definition, or examples. Each paragraph, even from the first rough draft, will naturally fall into one of these modes of development even if you have not set that as a goal.

## Reading Like a Writer
*Practice identifying which mode of development you were aiming for and see if you might strengthen that organization.*

Each sentence in the paragraph should belong there. To determine this, being as objective as you can, ask yourself whether each sentence in the paragraph relates to that topic. Maybe it does. Maybe it doesn't. Maybe it belongs in another paragraph. Maybe you need to revise your topic sentence. You are the writer, so you can wrestle the sentences into place. Don't be afraid to reconsider, rewrite, move or remove sentences, or add to the paragraph.

Just as each sentence must relate to the paragraph, each paragraph must relate to its section heading. Again, being as objective as you can, check each paragraph to be sure it belongs where it is currently placed. Does it almost make sense? If so, you may need some transitional or signal word or phrase to help it fit. Does it actually belong elsewhere? If so, circle the paragraph, write, "Move to ??" on a sticky note, and carry on. Is it unnecessary? Cross the paragraph out.

### Knowing When You Are Done

Writers might reasonably wonder when they are done producing drafts. The rough draft is the start of the "work in progress." Subsequent drafts move ever closer toward a more polished final draft. Whether you revise in red pen on hard copy or use Microsoft Word's comments and track changes features, your subsequent drafts will have visual indicators that they are works in progress.

At a minimum, a rough draft for an assignment for which a grade will be given will require at least one major revision and proofread. There is no "writer's rule" on how many times one returns to a draft to mark it up and revise, and the number of revisions is not the sole indicator of the writer's abilities. However, a fully engaged revision requires active, hands-on reading and interaction with one's own work. You may want to return to prewriting materials, source materials, writing reference materials, and so on, during each revision stage.

Think of the draft as a version of your assignment and the revision as the changes you make to that version. The final draft is the draft on which you stop making correction mark-ups.

# Chapter 4
# Part 4. The Publication Process

Use this section to prepare your publication-ready PDF.

**Prepublication**

After you've made the final corrections, look over your manuscript for any spacing problems that may have inadvertently been introduced:

- Odd page breaks and blank pages. Don't leave a blank page or a half-filled page of text in the middle of a chapter; don't leave a short table/figure without text on the page.

- A dangling line. There must be at least two lines of a paragraph at the bottom or top of a page; in paragraph formatting, this is called widow/orphan control (click on Format > Paragraph > Line and Page Breaks > Pagination).

- A dangling heading. Use a page break to keep a heading from dangling at the bottom of a page. A heading must be followed by at least two lines of text before the page break. Also make sure table and figure titles and notes appear on the same page as the table or figure.

- Inconsistency of spacing above headings. Make sure the space above headings is uniform; if you wish, add an extra space above headings to set off new topics on the page.

- Inconsistency of spacing above and below figures and tables. An extra space above and below a table or figure will set it off from paragraphs or other tables/figures on the same page; make the spacing around tables/figures uniform from chapter to chapter.

- Tables and figures in the margins. There must be no text or graphics in the margin areas of the page.

- Highlighted text. Make sure no text is highlighted.

Check also

- That table of contents entries match the corresponding chapter headings, and that page numbers are correct (and no page numbers appear on the title page through the abstract).
- That the date on the title page reflects the month and year during which you receive final dean approval, once it is known. The copyright date reflects the current year.

## ProQuest Publishing

### Publisher's Document Specifications

ProQuest's requirements for margins and spacing are included in their publishing materials. If your manuscript margins and spacing differ from the publisher's specifications, you do not have to change them unless instructed to do so in the Doctoral Publications review.

### Link to Publisher

After making any necessary edits following the final conference call, you will receive an email detailing the requirements for the final milestones and a link to upload your dissertation to ProQuest UMI. Once the dean approves Milestone 16, designated Capella staff will deliver your dissertation for publication.

### PDF

You will be required to convert your document to a PDF file before you publish. However, before you create the PDF, be sure to "Accept all Changes" in the document. Note that ProQuest UMI provides a link to free PDF conversion software if you need it. Check for any page break problems before you submit the PDF file for publication.

# ADDITIONAL RESOURCES

| Capella Resources | Other Suggested Resources |
|---|---|
| Writing Center module on Quoting, Summarizing and Paraphrasing | *They Say/I Say: The Moves That Matter in Academic Writing,* by Gerald Graff and Cathy Birkenstein |
| Academic Integrity and Honesty policy | *Steal Like an Artist* by Austin Kleon |
| Research Misconduct policy | *The DK Handbook: Researching, Designing, Documenting, Proofreading, Arguing,* |
| Third-party vendor guidelines | *Writing, Editing, Revising,* by Anne Frances Wysocki and Dennis A. Lynch |
| Grammarly | |
| Academic Writer | *The McGraw Hill Handbook of English Grammar and Usage* by Mark Lester and Larry Beason. |
| | *Publication Manual of the American Psychological Association* (APA 7th ed.). |