Doctoral Publications: Formatting Guidelines

(published previously as Dissertation Format Guidelines)

Doctoral Success Center

Version 6.1, November 8, 2018

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INTRODUCTION

The published manuscript for the dissertation or the capstone project report is a permanent document that reflects on the writer, the school, and the university. The purpose of these formatting guidelines and the Doctoral Publications Review process is to ensure that the presentation of the final manuscript matches the same high quality of the research and scholarship that went into writing it.

Since dissertations and capstone projects represent the scholarly output of the university to the entire academic community, it is in the collective best interest of all involved that the final product is as polished as it can be. The committee and Doctoral Publications reviewers work with learners with the intent of guiding them to produce the best possible document in both content and presentation.

Capella uses the sixth edition of the *Publication Manual of the American Psychological Association* (2010) as its foundation for manuscript style. The *Formatting Guidelines* provide instructions and advice, but they do not offer a comprehensive discussion of APA style. For that, learners must familiarize themselves with the APA Publication Manual.

Like many universities, Capella publishes dissertations through ProQuest/UMI. ProQuest acts like a typical publisher in many respects but differs in others. For example, it does not provide format editing or typesetting services. The appearance of the manuscript when it is delivered to ProQuest is the way it appears in published form.

How to Use These Guidelines

The *Doctoral Publications Formatting Guidelines* addresses formatting and also ethical issues of copyright compliance and protection of research subjects and organizations. It is assumed learners have read Capella’s manuals and guidebooks required in their discipline and have a working familiarity with the APA Publication Manual.

You may find it useful to print out a hard copy of the *Formatting Guidelines*. Skim through the document, highlighting any areas you feel may be particularly beneficial. Refer to the guidelines during the entire writing process.

These guidelines are written to be used in conjunction with the dissertation/capstone writing template and the APA Publication Manual. You are encouraged to rely on the many samples contained in this document and on the dissertation/capstone template itself, which functions as a sample for page layout and sequence, as well as formatting and required text. You are also encouraged to read the relevant sections in APA that are cited in these guidelines.

Be wary of using samples of dissertations or capstones from Capella or other universities because those writers may have followed different formatting requirements. Capella’s *Formatting Guidelines* supersede any other formatting guidelines or instructions. Any errors found in these guidelines should be directed to DoctoralPublications@capella.edu.
Chapter Contents

Chapter 1 contains the “nuts-and-bolts” overview for manuscript formatting, beginning with the title page and ending with the appendix. Sample pages illustrate page margins, headings, lists, block quotes, and the reference list.

Chapter 2 discusses formatting tables and figures. This chapter, too, includes illustrative samples and tips for formatting tables and figures.

Chapter 3 covers copyright compliance. There is much attention in the publishing world on issues of plagiarism, accidental plagiarism, and ownership of intellectual property. Writers planning to incorporate tables, figures, or surveys from outside sources will find this chapter crucial, but all writers should be well versed in copyright issues.

Chapter 4 highlights two critical ethical issues in the dissertation/capstone: the protection of human participants and keeping information confidential.

Chapter 5 covers frequently asked questions, such as why APA and Capella guidelines sometimes differ; common problems, such as working in Word; trouble spots noted by the Capella Doctoral Publications reviewers; a list of useful resources for writers; proofreading tips; and a final checklist.

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CHAPTER 1. MANUSCRIPT FORMATTING

General Formatting

Required
MS Word. Documents must be saved as a Word document.

Dissertation and Capstone Writing Templates
Writers are strongly encouraged to download and save their program-specific dissertation/capstone template for writing the paper. The template is available on each school’s research page on Campus iGuide.

It is important to write with the Show icon (also called Show/Hide or Show all nonprinting characters) clicked on so that nonprinting formatting elements such as section breaks and page numbering are not inadvertently deleted. (The icon for the Show/Hide button is the paragraph symbol, ¶, on the standard toolbar.)

Font
Times New Roman in a 12-point font is recommended by Capella as well as APA. Use the same font throughout the manuscript (but see the discussion of text in tables in Chapter 2). Do not use ornamental font elements or script fonts. Do not use boldface or underlining for emphasis.

Margins
To make sure that page numbers and other text are not too close to the edge of the page, writers are encouraged to use the dissertation/capstone template. Dissertation publisher ProQuest requires a minimum margin of 1 in. on all sides (and a minimum .75 in. for page numbering). See the TEMPLATE MARGIN SETTINGS sample page in this chapter.

Formatting the Preliminary Pages
Writers are referred to the dissertation/capstone template for a specific school and program, available on the school’s research page on Campus iGuide, for viewing the overall layout and required text and formatting of the preliminary pages.

Page Numbering
Pages must not be numbered until the page that follows the Abstract. See Table 1 in this chapter for which preliminary pages contain a page number and which do not. Also see the discussion of page number formatting under Dedication, below.

Title Page
1. Dissertation/capstone title. Centered, all caps, boldface, double-spaced, starting 3 inches from the top of page. See the writing template; also see the TITLE PAGE FORMATTING sample in this chapter.

2. Date. Month and year of final conference approval.

3. Required text. Refer to the writing template for your specific school and program.

Copyright Page
Center the copyright statement in the middle of the page: © Name Initial Surname, Year
Abstract

1. **Heading.** APA level 1 heading (centered, bold).
2. **Text.** Double-spaced paragraph of no more than 400 words (Capella’s limit; ProQuest does not set a limit; APA publications each set their own limits). Read APA 2.04 regarding what should be included in the abstract of a completed study.
3. There must be no page number on the Abstract.

Dedication

1. **Heading.** APA level 1 heading (centered, bold).
2. **Text.** Aligned left (or centered if very short), double-spaced. Refer to this description of what often is included in a Dedication:
   
   The 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/capstone. Indeed, it need not be academic in any way. Typically, the learner dedicates the work to one or two individuals who instilled in him or her the value of education and the drive to succeed in educational pursuits. Learners dedicate dissertations/capstones to significant individuals, immediate family, or relatives who have played a role in their lives.
3. **Page number formatting.** Enter page numbers, in lowercase Roman numerals, centered in the footer. The Dedication will be page iii or iv, depending on the length of the Abstract (see Table 1, below).

Acknowledgments

1. **Heading.** APA level 1 heading (centered, bold).
2. **Text.** Double-spaced. Refer to the following description of what often is included in an acknowledgment:
   
   The 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/capstone research. Here, the learner recognizes, by name, the contributions of the mentor, the committee members, and individuals who helped with the dissertation/capstone 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.
3. **Spelling.** Acknowledgments is spelled without an e after the g.

Table of Contents

1. **Heading.** APA level 1 heading (centered, bold).
2. **Entries** (see the dissertation/capstone template and Table 2 in this chapter): 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 (with no leader dots). 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.

**List of Tables, List of Figures**

1. 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 or capstone.

2. **List of Tables and List of Figures headings.** APA level 1 heading (centered, bold).

3. **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.

4. **Table titles and figure captions.** Enter tables and figures by number, title (only the short figure description should be entered after the number, with no commentary or source notes), and page cite. Do not use bold or italics on these pages.

**Table 1. What Takes a Page Number in the Preliminary Material?**

<table>
<thead>
<tr>
<th>Item</th>
<th>Is page counted?</th>
<th>Does it take a page number?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Title page</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Copyright page</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>Abstract</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Dedication</td>
<td>Yes</td>
<td>Yes, p. iii (p. iv if Abstract is two pp.)</td>
</tr>
<tr>
<td>Acknowledgments</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Table of Contents</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>List of Tables (if used)</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>List of Figures (if used)</td>
<td>Yes</td>
<td>Yes</td>
</tr>
</tbody>
</table>
Table 2. What Should Be Entered in the Table of Contents?

<table>
<thead>
<tr>
<th>Item</th>
<th>Entered in Table of Contents?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Abstract</td>
<td>No</td>
</tr>
<tr>
<td>Dedication</td>
<td>No</td>
</tr>
<tr>
<td>Acknowledgments</td>
<td>Yes</td>
</tr>
<tr>
<td>Table of Contents</td>
<td>No</td>
</tr>
<tr>
<td>List of Tables</td>
<td>Yes</td>
</tr>
<tr>
<td>List of Figures</td>
<td>Yes</td>
</tr>
<tr>
<td>Chapter/Section title</td>
<td>Yes</td>
</tr>
<tr>
<td>Level 1 headings</td>
<td>Yes</td>
</tr>
<tr>
<td>Other heading levels</td>
<td>No(^a)</td>
</tr>
<tr>
<td>References</td>
<td>Yes</td>
</tr>
<tr>
<td>Appendix titles</td>
<td>Yes</td>
</tr>
</tbody>
</table>

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.

Formatting Chapters (Dissertation) and Sections (Capstone)

Chapter or Section Title

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

Page Numbering

Chapter 1 (dissertation) and Section 1 (capstone) begin on page 1, with pages numbered sequentially from Chapter/Section 1 through the end of the manuscript, centered in the footer, in the 12 pt. font used in the rest of the manuscript. The footer contains only the page number. There is no page numbering or text in the header of Capella dissertations or capstones.

Spacing

1. **Margins.** See the TEMPLATE MARGIN SETTINGS sample in this chapter.

2. **Sentences.** APA indicates that two spaces between sentences can aid reading comprehension. You may choose to enter one space or two, but be consistent.

3. **Paragraphs.** Double-space paragraphs, and indent the first line one-half inch. Leave no extra space between paragraphs (in paragraph formatting, set the spacing “before” and “after” at 0 pt.).

4. **Headings.** Although it is not required, an extra space above each heading will help to set off new topics from other text on the page.

5. **Tables/figures.** An extra space above and below a table or figure will separate it from paragraphs or other tables/figures on the page.
6. **Single-spacing.** Capella style allows single-spacing, at the discretion of the writer, for the following elements:
   - block quotations
   - lists (leave one full space between numbers)
   - reference list (leave one full space between entries)
   - headings that extend beyond one line
   - table titles, table column and row headings, table text (leave space between rows), and table notes
   - figure captions

### Headings

1. See the HEADING FORMATTING sample at the end of this chapter to view heading levels and formatting.
2. Refer to the discussion of heading levels in APA 3.02–3.03; also see the sample papers in Chapter 2 of APA.
3. Some tips for determining heading levels can be found in the discussion on heading hierarchy in Chapter 5 of these guidelines.

### Lists

1. **Numbered list.** Use numbers in vertical lists only, not within a paragraph.
2. **In-paragraph list.** Use lowercase letters for lists within paragraphs.
3. **Bullets.** Bullets are allowed for vertical lists. Use a standard solid bullet, not other ornamental font elements.
4. See the LIST FORMATTING sample in this chapter; refer also to APA 3.04.

### Numbers and Symbols

1. **Numbers.** APA contains exceptions to the use numerals for numbers 10 and above "rule." For example, use numerals, above 10 and below, to represent time, dates, ages, points on a scale, and percents. Refer to APA 4.31–4.37.
2. **Statistical symbols.** See APA 4.45 and Table 4.5 for requirements for using symbols, such as %, and abbreviations, such as $n$, $p$, $t$ test, $SD$, and so on.
3. **Equations.** The elements of an equation should be spaced out like words in a sentence. See APA 4.46.

### Tables and Figures

See Chapter 2 in these guidelines.
Text Citations

1. **Citing references in text.** See APA 6.11–6.21.

2. **Citing secondary sources.** See APA 6.17. Also see these APA Style blog posts (at APAStyle.org): The Importance of Primary and Secondary Sources, How to Cite a Source You Found in Another Source, and Citations Within Quotations.

Direct Quotations

1. **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 6.03 and 6.05.

2. **Formatting block quotations.** See the BLOCK QUOTATION FORMATTING sample in this chapter. Direct quotations consisting of 40 or more words must be formatted in block style, indented one-half inch from the left margin (do not justify or indent from the right). 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 6.03).

3. **Using ellipses.** APA 6.08 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. Also see the discussion of ellipses in Chapter 5 of these guidelines.

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. Read APA pages 180–181.

References Heading

Center the boldface References heading.

Reference Style

Every reference must be cited in text and every text citation must have a corresponding entry in the reference list. The reference list is not a comprehensive bibliography or a works consulted. See “Citing References in Text” in APA page 174.

Also refer to these sections in Chapters 6 and 7 of the Publication Manual:

- APA 6.27–6.32: overview of reference components
- APA pages 193–198: index of reference variations
- APA 7.01–7.11: specific reference examples by type
- APA A7.01–A7.07: references to legal materials
- If you read only the abstract of a work, include [Abstract] or Abstract retrieved from [URL] after the title, as shown in examples 16 and 17 in APA Chapter 7. Also see example 43.
The 2010 APA Publication Manual and the 2012 APA Style Guide to Electronic References (see Products at APA.org) discuss 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. (If it is available, include http://dx.doi.org/ ahead of the doi string, as in the first example on the Reference List Formatting sample at the end of this chapter.)

2. Online works for which a DOI has not been assigned should include the home page URL of the journal or book publisher (refer to APA 6.32, 7.01, 7.02).

3. Refer to APA 6.31; also see Reference List Formatting sample at the end of this chapter.

4. 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.

5. 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 6.32, p. 192.

**Reference Format**

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.

4. See the Reference List Formatting sample at the end of this chapter.

**Formatting the Appendices**

**Placement**

Place appendices after the reference list.

**Appendix Title**

1. Center each ALL CAPS BOLDFACE appendix title.
2. The appendices are lettered, not numbered. See APA 2.13.
3. If you have only one appendix, the appendix title will not need the letter A.
4. Single-space titles that are longer than one line.

**Appendix Format**

1. Start each appendix on a new page.
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 2.13, p. 40).

*Do not include résumés.*

1. 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/capstone.
2. Do not include résumés for subject matter experts or field testers.

*Do not include administrative documents.*

1. Do not include IRB and C ITE forms support a supplementary administrative process separate from the dissertation/capstone itself.
2. 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.
3. 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—see Chapter 3 of these guidelines.
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—see Chapter 3 of these guidelines.
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.
5. Any scanned material must be legible and fit within the margin settings on the page.
Appendix Tables and Figures

Tables and figures in the appendices are numbered separately from those in the chapters/sections. Follow these guidelines:

1. Number each appendix table and figure (but see exception in note 3, below), and precede each number with the letter of the appendix the table/figure appears in. For example, if there are tables in Appendix A and Appendix C, number them Table A1, Table A2, Table C1, Table C2, and so on. If Appendix A also contains figures, number them Figure A1, Figure A2, and so on. Place these titles in the List of Tables and List of Figures.

2. If a sole appendix contains tables or figures, precede the table/figure number with the letter A with, even though the appendix will not contain that letter. Place these titles in the List of Tables and List of Figures.

3. If one table or figure constitutes an entire appendix, do not number the table/figure; instead, use the appendix title in lieu of a table/figure number and title. Do not place this title in the List of Tables or List of Figures.

4. Refer to APA 2.13 and 5.05.
Samples

Title Page Formatting

DISSERTATION/CAPSTONE 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/Capstone Presented in Partial Fulfillment
Of the Requirements for the Degree
Doctor of _____

Capella University
Month Year
Templates are set with 1-in. left and right margins; previous template versions have 1.25-in. margins. Either setting is acceptable (minimum settings are 1 in.).

All text and graphics in the manuscript must fit within 1 in. of the page edges.

Page numbering is set in the footer, a minimum of .75 in. from the bottom of the page (the footer margin in the template is set at 1 in.)
Heading Formatting

Capella chapter/section titles and APA heading levels 1, 2, and 3

CHAPTER/SECTION TITLE, CENTERED, ALL CAPS, BOLDFACE

First-Level Subheading, APA Level 1, Centered, Upper- and Lowercase, Boldface

Second-Level Subheading, APA Level 2, Flush Left, Upper- and Lowercase, Boldface

Third level, APA level 3, boldface. This heading is indented, bold, and ends in a period. Only the first word and proper nouns are capitalized. The paragraph starts on the same line (this is why the heading ends in a period).

APA 3.03 illustrates five levels of headings; level 4 and level 5 headings also are indented, as in level 3; see APA for the formatting requirements.

Heading levels are described in APA 3.02–3.03.

The all-caps chapter/section title is Capella-designated format; it is not part of the APA heading hierarchy.

At the writer’s discretion, chapter/section titles and level 1 and 2 headings that extend beyond one line may be single-spaced.

Note that each subheading must have at least one counterpart at the same level under a particular heading.
List Formatting

Creating a well-formatted list is as easy as 1, 2, 3. Here’s how: Ignore formatting and type the first entry (single- or double-spaced) in your list, without a number. Next,

1. 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.

2. 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.

3. 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.

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.

Three approaches to effectively communicating in writing are (a) writing from an outline, (b) setting aside the rough draft, and (c) getting feedback.

This example shows a list within a paragraph, which is initiated by a letter, not a number. Also note that a colon is not used before the list begins. (When do you use a colon? Refer to APA 4.05.)
Block Quotation Formatting

Paragraphs are double-spaced throughout the manuscript. However, APA does allow for institutions, such as Capella University, to create their own style requirements for doctoral publications. In this example, the block quote is single-spaced, which Capella allows.

If the quotation consists of 40 or more words, display it in a freestanding block of text and omit the quotation marks. Start such a block quotation on a new line and indent the block about a half inch from the left margin (in the same position as a new paragraph). If there are additional paragraphs within the quotation, indent the first line of each an additional half inch. . . . At the end of a block quotation, cite the quoted source and the page or paragraph number in parentheses after the final punctuation mark. . . .

If any incorrect spelling, punctuation, or grammar in the source might confuse readers, insert the word sic, italicized and bracketed, immediately after the error in the quotation. (APA Publication Manual, 2009, pp. 171–172)

This block quotation example is single-spaced and indented from the left margin; note that it is not right justified or indented from the right.

Note also that the end punctuation comes after the quotation, not after the citation. See APA 6.03.
Reference List Formatting


Create a hanging indent with paragraph formatting or the ruler, not by inserting line breaks or tabs or multiple spaces.

Note: The first reference is from the 2012 APA Style Guide to Electronic References, available at APA.org. The other examples are from APA Chapter 7.
CHAPTER 2. CREATING TABLES AND FIGURES

Whether to Include a Table or Figure

Be judicious in using tables and figures in a dissertation/capstone. 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 5, p. 125.

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 5.03.
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 5.18 and 5.21.

Read APA 5.01–5.03 before deciding what data to include in tabular form, and read APA 5.20–5.21 before deciding to use a figure.

Formatting Tables and Figures

- **Tables** are identified by rows and columns of data, either text or numeric.
- **Figures** are charts, graphs, maps, diagrams, drawings, and photographs.

Capella follows APA guidelines for tables and figures, with any exceptions explained below and shown in the samples at the end of this chapter.

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 5.05.
2. In the appendices: Number tables and figures separately from those in the chapters/sections. Refer to APA 2.13. Also refer to Appendix Tables and Figures in Chapter 1 in these guidelines.
3. In text, refer to tables/figures by number, not as “the table/figure above” or “below.” Refer to APA 5.10.

Table Titles

1. Place table titles above the table, flush left, in 12 points. Capitalize proper nouns and all words four letters and over. See APA 5.12 for tips on writing table titles.
2. Table titles that extend beyond one line may be single-spaced at the discretion of the writer; use the same format for all tables.
3. Table titles may be placed on the same line as the table number or on the line below, at the discretion of the writer; use the same format for all tables.
**Text Within the Table**

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 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. Column headings and table text may be single-spaced at the discretion of the writer (but leave a space between rows).
5. See TABLE SAMPLES 1 through 3 in this chapter.

**Rule Lines in a Table**

1. Called “rules” in APA and “borders” in Word, rule lines 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 rule line above and one below the heading row. Insert one other rule line below the last row of the table. (See the TABLE SAMPLES in this chapter.)
3. Add other horizontal lines only if they are necessary.
4. Do not add vertical or perimeter rule lines (APA 5.17).
5. Refer to the table examples in APA Chapter 5.

**Tables from Excel or SPSS**

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

**Notes to a Table**

1. See the discussion of types of notes in APA 5.16.
2. General notes to a table follow the word *Note*, in italics, below the bottom rule of the table.
3. A note for a table reprinted or adapted from another source must include more than the author and date. See the discussion on Including Tables and Figures From Another Source, below.
4. Set table notes in 10 points, single-spaced; see TABLE SAMPLE 4 in this chapter.

**Figure Captions**

1. Place figure numbers and captions below the figure, flush left (or centered if the caption is if short).
2. Capitalize only the first word and all proper nouns. All captions must be 12 pt.
3. See APA 5.23 for tips on writing effective captions.
4. Captions that extend beyond one line may be single-spaced at the discretion of the writer.
5. See Figure Sample 1 at the end of this chapter.

**Shading and Color in a Figure**

“Limit the number of different shadings used in a single graphic. . . . If more than three shadings are required, a table may be a better presentation of the data” (APA 5.25, Preparation of Figures, p. 161). Use color only when it “adds significantly to the understanding of the material” (APA 5.04, Formatting Tables and Figures, p. 127).

Any colors used in a figure will be seen and printed in a manuscript that is submitted digitally to dissertation publisher ProQuest.

**Placing the Table or Figure on the Page**

1. Insert a table or figure shortly after it is first discussed in the text.
2. Tables are aligned left; figures are centered or aligned left.
3. For a uniform look, use the same font size, spacing, and overall layout from table to table. As mentioned above, tables from Excel or SPSS must be formatted correctly.
4. To help fit tables on the page, Capella allows the following adaptations (for a uniform look, make any change consistent from table to table). At the discretion of the writer,
   - Table text may be single-spaced (but leave a space between rows).
   - Table text may be reduced to 10- or 11-pt.
   - Table title may be placed on the same line as the table number.
   - Page margins on the left and right may be reduced to 1 in.
5. Do not split a short table between pages; move it to the next page if it doesn’t completely fit.
6. If a table is longer than a single page,
   - Repeat the table number and add the word “continued” on the other page(s) of the table.
   - Repeat column and row headers (see Table Sample 2 in this chapter).
7. To separate a table or figure from paragraphs on the same page, add an extra space above and below the graphic.
8. Avoid leaving excessive white space on the page preceding a table or figure; ideally, the text should fill at least two thirds of a page. To accomplish this, move text forward from below the table or figure (split a paragraph, if necessary, but do not split a sentence).
Including Tables and Figures From Another Source

Is it Necessary?

Unless a table or figure reprinted or adapted from another source is critical to your discussion, you probably do not need it.

Permission to Reprint or Adapt

You must have permission to copy or reproduce (“reprint”) or modify (“adapt”) any table or figure from a copyrighted source. Refer to APA 5.06 and 8.04; also read Chapter 3 in these guidelines.

Citing Tables and Figures From Another Source

The source note for a table or figure reprinted or adapted from another work must not consist merely of an author-date citation. The components of a source note, besides author, title, and publication information, also include the page number that graphic falls on in the source work, and, if the work is copyrighted, copyright and permission statements. See APA 5.06.

- **Citing a table from another source**: The citation is placed in a note below the bottom table rule. See TABLE SAMPLE 4 in this chapter.
- **Citing a figure from another source**: The citation is placed at the end of the caption. See FIGURE SAMPLE 1 in this chapter.
- **Refer to Table 3 in Chapter 3 of these guidelines on how to correctly cite tables and figures from another source. Also refer to the table and figure samples in APA Chapter 5.**
Table and Figure Samples

Capella allows some table adjustments to help fit them on the page (note that these are not requirements). The table samples in this section differ from APA recommendations in the following ways: (a) The table number and title are on the same line; (b) the table text is 10 points, single-spaced; and (c) the table note is 10 points, single-spaced. So your tables have a uniform look, any adjustments you make should be consistent from one table to the next.

<table>
<thead>
<tr>
<th>TABLE SAMPLE 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>Table X. Alternative Hypothesis Results</td>
</tr>
<tr>
<td>Factors</td>
</tr>
<tr>
<td>-----------------</td>
</tr>
<tr>
<td>Supervision frequency</td>
</tr>
<tr>
<td>Employment</td>
</tr>
<tr>
<td>Education</td>
</tr>
<tr>
<td>Substance abuse/use</td>
</tr>
</tbody>
</table>

In this sample, decimal tabs were set so that the numbers would be aligned. Note that there is not a box around the table or rule lines between the rows and columns.

Tables created in Excel, SPSS, or other software should be reformatted (correct font, size, rule lines) before they are imported into the dissertation.
**Table Sample 2**

Table X. Alternative Hypothesis Results (continued)

<table>
<thead>
<tr>
<th>Factors</th>
<th>$N$</th>
<th>$t$</th>
<th>$P$</th>
</tr>
</thead>
<tbody>
<tr>
<td>Supervision frequency</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Employment</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Education</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Substance abuse/use</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*Note. N = number of subjects; t = t test statistical value; $p =$ degree of significance.*

This sample shows how to continue a table on a second page. The table number and title are repeated, and the word “continued” added. Column and row heads are also repeated.

If there are any notes, they are placed on the last page of the table.
### Table Sample 3

Table X. Descriptive Statistics for the Dependent Variables Across the Independent Variable

<table>
<thead>
<tr>
<th>Method</th>
<th>Style</th>
<th>Mean</th>
<th>SD</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Interview</td>
<td>1.00</td>
<td>12.26</td>
<td>5.14</td>
<td>41.00</td>
</tr>
<tr>
<td></td>
<td>2.00</td>
<td>21.04</td>
<td>9.67</td>
<td>12.00</td>
</tr>
<tr>
<td></td>
<td>Total</td>
<td>14.25</td>
<td>7.34</td>
<td>53.00</td>
</tr>
<tr>
<td>Likert-type</td>
<td>1.00</td>
<td>39.46</td>
<td>14.51</td>
<td>41.00</td>
</tr>
<tr>
<td>scale</td>
<td>2.00</td>
<td>58.85</td>
<td>15.88</td>
<td>12.00</td>
</tr>
<tr>
<td></td>
<td>Total</td>
<td>43.85</td>
<td>16.81</td>
<td>53.00</td>
</tr>
<tr>
<td>Open-ended</td>
<td>1.00</td>
<td>64.78</td>
<td>9.67</td>
<td>41.00</td>
</tr>
<tr>
<td>survey</td>
<td>2.00</td>
<td>67.65</td>
<td>8.39</td>
<td>12.00</td>
</tr>
<tr>
<td></td>
<td>Total</td>
<td>65.43</td>
<td>9.39</td>
<td>12.00</td>
</tr>
</tbody>
</table>

In this sample, table cells were used to create the rows and columns. The columns are aligned by decimal. Table text is 10 points, single-spaced, with double-spacing between rows.
**Table Sample 4**

(bottom rule of table)


(bottom rule of table)

*Note.* From *Title of Book* (p. 103), by A. N. Author and C. O. Author, 2009, Place of Publication: Publisher. Copyright 2009 by Name of Copyright Holder. Reprinted [or Adapted] with permission.

Note that neither author-date citation style nor reference list style is used in the note for a table or figure from another source.

Tables or figures reprinted or adapted from another source must show, in a note below the table or in the figure caption, a reference that includes copyright and permission statements, as shown in the examples above (APA 2.12).

Note: If the work is not copyrighted, the copyright and permission statements are excluded. In all cases, however, you do have to correctly cite the work.
Score Correlation

Key: POR=Profitability on Rooms, LC=Leadership Competency

Units 1 to 13

Figure X. Score correlation. Regression scatter graph shows perfect positive correlation between POR and LPI average scores. From *Book Title* (p. 103), by A. N. Author and C. O. Author, 2005, City, ST: Publisher Name. Copyright 2005 by Name of Copyright Holder. Adapted with permission.

Note that figure captions are placed below the figure. Because of its length, this caption is aligned left rather than centered under the figure.

Any clarifying comments and source notes follow the descriptive title. See the figure examples in APA Chapter 5.
CHAPTER 3. COPYRIGHT COMPLIANCE AND FAIR USE

What Is Copyright Compliance?

Protection of intellectual property is a subject of much focus and rapid change. 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.

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 http://dissertations.umi.com/capella/

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 raises questions about quotations from preexisting materials that extend for more than one and one half single-spaced pages. . . .

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.
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.
- 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/capstone.

Contact the copyright holder if the publication itself does not indicate terms of use. Please read APA 5.06, 6.10, and 8.04.

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.

Permission Needed to Reprint

1. You must have 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/capstone (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.

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. Begin the permissions 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. ProQuest warns that publications may be delayed for copyright compliance issues.

2. 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 APA on page 237 or in the ProQuest publishing agreement, which you can link from http://dissertations.umi.com/capella/

3. Your request to reprint material must include information on the “media” in which your dissertation/capstone 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).

4. 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.

Correctly Citing Reprinted Material

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. Use Table 3 as a guide to make sure you are complying with copyright law and following APA style.
## Table 3. Correctly Citing Reprinted Material

<table>
<thead>
<tr>
<th>Type of reprinted material</th>
<th>Do you need permission to reprint this material?</th>
<th>How should you word the citation?</th>
<th>Where should you place the citation?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Table or figure, unmodified</td>
<td>Yes, if the work is copyrighted. See APA 5.06. Also refer to &quot;Finding the Copyright Holder&quot; in Chapter 3 of these guidelines.</td>
<td>The citation must take this form (as shown in APA 2.12): &quot;From [Title], by [Author], [date], [Publ. information]. Copyright [year] by [Name of Copyright Holder]. Reprinted [Adapted]* with permission.&quot;</td>
<td>In the table note or figure caption. See APA 5.06 and 8.04. Also see Chapter 2 and the table and figure samples in these guidelines.</td>
</tr>
<tr>
<td>Table or figure, modified</td>
<td>Yes, as above.</td>
<td>As above.</td>
<td>As above.</td>
</tr>
<tr>
<td>Survey or other instrument, unmodified</td>
<td>Yes, if it is copyrighted. Refer to &quot;Should you include surveys or other instruments?&quot; on p. 12 of these guidelines. See p. 233 of APA 8.04.</td>
<td>As above.</td>
<td>At the beginning of the reprinted material. See p. 236 of APA 8.04.</td>
</tr>
<tr>
<td>Survey or other instrument, modified</td>
<td>You must have permission of the copyright holder to modify the instrument for your research, but you typically do not need permission to print an instrument that you have substantively modified.</td>
<td>You must include a complete citation on a modified instrument, as above.</td>
<td>As above.</td>
</tr>
</tbody>
</table>

*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.
CHAPTER 4. ANONYMITY OF PARTICIPANTS AND RESEARCH SITES

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 deidentify the text to the fullest degree possible regarding participants and also research and recruitment sites (current exception: capstone deliverables).

Participant Deidentification Guidance

Individual participants must not be identifiable to internal readers (at a research site) or external readers. 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 APA publication manual under “Protecting the Rights and Welfare of Research Participants” (pp. 16-18).

Participant Deidentification

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. The manuscript must not include other personally identifiable information of a participant, such as addresses, e-mail addresses, or telephone numbers.

3. Keep demographic descriptions to a minimum, with only necessary information relevant to the topic.

4. Demographic descriptions of individual participants should not include so many items, particularly lists of descriptive items joined together, such that an individual participant can be identified by internal (at the research site) or external readers.

5. In quantitative studies, demographic categories with fewer than five cases should be combined within tables and reported in a manner such that individual participants cannot be identified by internal or external readers.

6. In qualitative studies, omit demographic descriptors (age, race, etc.) unless they are relevant. Descriptions should not allow identification of participants by internal or external readers. As much as possible, report necessary descriptions in aggregate for the sample and not individually for each participant.
7. Descriptions of participants should not lead to participant identification when combined with information about other participants or the research site.

8. Omit job titles of participants if including them allows internal or external readers to determine who participated.

9. Omit participant quotes if they are so specific as to identify any participant, recruitment site, or research site.

10. Capella requires that doctoral 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 site number (e.g., for Site A, use Participant 1A (P1A), etc.; for site B, use P1B, and so forth).

11. When the manuscript is complete, 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 publication than to have the issue raised by a participant after publication. **Note:** Unless the participant consent form explicitly informs 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).

12. 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 deidentification should be upheld so others outside the group cannot be identified.

**Acknowledgments Within the Manuscript**

1. Omit from the acknowledgments section of the manuscript any information that could identify a recruitment site, research site, or individual participant.

2. In the acknowledgments, you may thank by name experts who review data collection tools and editors who helped with writing. Descriptions of their role should be succinct and accurate. Do not name their institutional affiliation or site location. Do not name them in the manuscript body. Summarize their input; don’t attribute specific comments to a specific expert or editor.

3. You may thank statisticians and transcriptionists by name in the acknowledgments section; however, do not name their institutional affiliation, company, or site location. You must, in the manuscript body, describe the scope of the work that these individuals performed, but the individuals should not be identified by name. The manuscript should also contain statements regarding the signing of confidentiality agreements. (Check the IRB Manager to verify that appropriate agreements were signed.)

4. In the acknowledgments, you may thank by name on-site preceptors who oversee data collection. Do not name the preceptor’s institutional affiliation or site location. Don’t list preceptors on the title page as coauthors of the manuscript unless their work meets the definition of authorship as stated on p. 18 of the APA manual. Many preceptors’ work will not meet this definition, so an acknowledgment may be most appropriate.
Site Deidentification Guidance

Dissertations are published in ProQuest and available to all interested readers. Capstone papers are stored internally via Refworks; 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 deidentification 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 deidentification may also include site concerns regarding liability or security if findings are published. Therefore, it is crucial that you comply with requirements of site permission and site deidentification.

Note: The requirements for writing a manuscript are different from 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 report/deliverable. These other documents do require specific site identification. Approval of these other documents does not constitute permission to name the site when writing the doctoral manuscript.

Speak with your mentor about site deidentification before writing the first chapter of the doctoral manuscript. Doing so will assist with appropriate selection and summary of literature. In addition, compliance with the site and participant deidentification guidance in this document will help 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 Deidentification Dos and Don’ts

In all doctoral manuscripts:

Do’s

1. Do refer to your IRB application, the IRB application help text, and the IRB page in Campus for context and guidance. Note: Ask for necessary and supported exceptions to the site deidentification guidance when applying for IRB approval. Site permission letters and consent forms will need to align with the intended site and participant descriptions in the manuscript. If you or a 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.

2. Do read any guidelines on site deidentification from your school or program.

3. Do refer to organizations in general terms (see “Allowable Identifiers” below) rather than by actual name.

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

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

Don’ts

1. Don’t name any recruitment or research site.

2. Don’t describe a recruitment or research site in a manner such that it can easily be identified.

3. Don’t write the name of the recruitment or research site or identifiable information of any individual at the site in the acknowledgment section of the manuscript.
4. Don’t use or include any personal communication that reveals the recruitment or research site.

5. Don’t describe your specific job titles or role at a site if those descriptions make the site identifiable. Exception: If the job title or role constitutes a formal conflict of interest, then the conflict of interest and mitigating strategies must be disclosed at the beginning of the manuscript.

6. Don’t include specific geographic or demographic details that allow a recruitment or research site to be identified.

7. Don’t name the recruitment or research site with a pseudonym that is distracting, plausible, or actually exists elsewhere (see “Allowable Identifiers” below).

8. Don’t 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 deidentify private documents when they are described in the manuscript. Example: “As stated in the organization’s 2017 annual report, ROI continues to grow.”

2. The most common and best practice is to refer to the location of the recruitment or research site by U.S. region.
   a. 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.
   b. Regions used by the U.S. Census can be found on a U.S. Census “Regions and Divisions” map, found at [https://www2.census.gov/geo/pdfs/maps-data/maps/reference/us_regdiv.pdf](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 deidentified.
   a. You must determine first that there are at least 20 sites within the state that could be potential locations where the research occurred. All descriptors in the manuscript must be taken into consideration when you make this determination.
   b. You must then address the issue of site identification within the “ethical considerations” or similar section of the manuscript. You must describe attempts made to mitigate risks to the site and participants via site deidentification. You must also write that the site is one of “##” similar sites within the state that qualified for inclusion, thus the site itself is not immediately identifiable. You must verify and then write that the degree of identification complies with the site permission requirements. (Check your original site permission letter in IRB Manager to verify alignment.)
   c. Reminder: Individual participants must remain deidentified. The likelihood of individual participant identification should be 1% or less (no more than one in 100 people can meet eligibility criteria within the stated area of the research). If 20 potential sites are in the state, but if only one person (e.g., the CEO) is
eligible at each site, then the participants are not sufficiently deidentified. You must then use 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, you may name MSA. Cite the population of the MSA in the manuscript. However, the MSA can be specified only if the site and participants remain deidentified. The process outlined in Item 3 above must be implemented (verify there are at least 20 sites within the city, write the manuscript as directed, and continue to deidentify participants). If the MSA cannot be named, 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, 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. (Verify your original military permissions and military research review authorizations in IRB Manager.)

### Regular Exceptions to Site Deidentification 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 deidentified. 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., SurveyMonkey, 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.

### Specific Exceptions to Allow Site Identification (Application Required)

In rare circumstances, you may have 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 deidentification guidance is to request it within the IRB application. The site permission letter must clarify the site’s requirements for deidentification, and this must align to your 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 IRB will evaluate the exception request alongside the vulnerability of participants, sensitivity of the topic, legal issues, and other institutional risk factors when it determines whether to approve or disapprove the request. If you 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 IRB Compliance Specialist at irb@capella.edu. Exceptions are only granted in rare circumstances. Certain guidelines must be met. Examples of insufficient rationale: “It will be too hard or time consuming to write the manuscript.” “I’ve already written it up using specific articles and would need to rewrite Chapters 1 and 2.” 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. Several precincts cover that area of Chicago, but there are fewer than 20 potential precincts [an exception is needed]. There are enough law enforcement personnel who 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 that the specific area of Chicago may 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 IRB Compliance Specialist can be consulted to assist with writing the site identification exception language in the manuscript.

**Publishing Embargoes**

An embargo means that the dissertation/capstone will not be published. In extremely rare cases, a manuscript may need to be embargoed when the research site cannot be deidentified and participants are at risk. In these circumstances, the need for an embargo will be reviewed and determination made by the IRB Compliance Specialist.
CHAPTER 5. QUESTIONS, COMMON PROBLEMS, AND TIPS

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/capstone. The primary audience for the APA Publication Manual is researchers who are preparing manuscripts to submit to journals. APA allows that an academic institution’s style may deviate from APA style requirements.

The most frequent discrepancies questioned by Capella learners and faculty are discussed in Table 4, as are some features of the sixth edition of the APA Publication Manual.

Table 4. APA-Capella “Discrepancies” and Other Features of APA Style

<table>
<thead>
<tr>
<th>Item</th>
<th>APA style</th>
<th>Capella style</th>
</tr>
</thead>
<tbody>
<tr>
<td>Abstract</td>
<td>APA 2.04: “Word limits vary from journal to journal and typically range from 150 to 250 words.”</td>
<td>Limited to 400 words.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>See Chapter 1 of these guidelines.</td>
</tr>
<tr>
<td>Block quotations</td>
<td>Block style means that the first line of the paragraph is not indented.</td>
<td>Block quotations follow APA style, except that they may be single-spaced.</td>
</tr>
<tr>
<td></td>
<td>The block quotation example in APA 6.03 is indented one-half inch, has a ragged right margin (i.e., text is not justified), and is double-spaced.</td>
<td></td>
</tr>
<tr>
<td>Heading styles</td>
<td>APA does not have an all-caps heading style. Note in APA 3.02–3.03 that headings are in a boldface font.</td>
<td>Use all-caps, boldface for chapter titles (dissertations), section titles (capstones), and appendix titles.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>See Chapter 1 of these guidelines.</td>
</tr>
<tr>
<td>Placement of tables and figures</td>
<td>APA 8.03: Each table and figure should be placed on a separate page.</td>
<td>Insert a table or figure shortly after it is discussed in the text.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>See Chapter 2 of these guidelines.</td>
</tr>
<tr>
<td>Item</td>
<td>APA style</td>
<td>Capella style</td>
</tr>
<tr>
<td>-----------------------------</td>
<td>---------------------------------------------------------------------------</td>
<td>-----------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Single- or double-spacing</td>
<td>APA 8.03: Double-spacing is required throughout the manuscript, with the exception of single-spacing in tables and figures.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Writers may single-space elements such as headings that are longer than one line, block quotations, and the reference list.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>See the entire list of elements that may be single-spaced, on p. 9 in these guidelines.</td>
<td></td>
</tr>
<tr>
<td>Spacing between sentences</td>
<td>APA 4.01: Use two spaces after the period that ends a sentence.</td>
<td>Use one or two spaces; be consistent.</td>
</tr>
<tr>
<td>Spacing above headings</td>
<td>APA 8.03 indicates that writers &quot;may apply triple- or quadruple-spacing in special circumstances, such as immediately before and after a displayed equation.&quot;</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Besides equations, an extra space (return) above level 1 headings will help to set off a new topic from the preceding discussion. In a very long chapter, readability can also be improved by an extra space above level 2 and level 3 headings.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>See Chapter 1 of these guidelines.</td>
<td></td>
</tr>
<tr>
<td>Typeface, type size</td>
<td>APA 8.03 indicates the preferred typeface for APA publications is Times New Roman, 12 pt.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Use Times New Roman, 12 pt.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Tables and figures may be set in a sans serif typeface, such as Arial, and a smaller size, to make it easier to fit them on the page. For a uniform look, use a consistent typeface and font.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Table notes must be no smaller than 10 pt.; the text may be single-spaced (see Chapter 2 in these guidelines).</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Follow the recommendations for the preparation of figures in APA 5.25.</td>
<td></td>
</tr>
</tbody>
</table>
Working in Microsoft Word

This section does not discuss how to use MS Word or point out the differences in the versions of Word in use today. What it does do is to briefly mention frequent sources of frustration for writers and common errors noted by the Doctoral Publications reviewer.

You do not need to be an expert word processor, but you will find the manuscript preparation process much more rewarding if you are familiar with the basic functions of MS Word. Being aware of features such as margins, document rulers, the default formatting of paragraphs, headings, and tables, and so on, can ease your frustration.

You should also know where more information can be found. First, refer to Digital Literacy on Campus iGuide’s Technical Skills tutorials. Also, YouTube (www.youtube.com) is a useful place to search for tutorials. The best way to use YouTube is to search for a specific function you’d like to do, for example, "how to find and replace text in Word 2010."

Frequent Sources of Frustration

Aligning page numbers in the Table of Contents. All page numbers on the Table of Contents, List of Tables, and List of Figures must be aligned vertically. Options for doing this include setting a right tab or setting the Table of Contents as a two-column table with the page numbers in a column aligned flush right.

Curly quotation marks. Pasting text from document to document often changes “curly” quotation marks (which match the style of serif fonts such as Times New Roman) to “straight” ones. If this bothers you and you want to make them consistent, search the text of your document by using the Find and Replace feature of MS Word.

Ellipses. APA 6.08 indicates that ellipsis points are typically not needed at the beginning or end of a direct quotation, including a block quotation. However, when they are used, the ellipsis points should be spaced out: . . . (not ...). Note that your word processing program might automatically compress the spacing as you type.

Hanging indent. Create a hanging indent for the reference list on one of two ways. Either use the ruler and move the bottom marker to one-half inch, or change the indents in paragraph formatting.

Headings. If the paragraph format includes an indented first line, then your headings likely will have an indent until you remove it. If some centered headings look a bit off-center, remove the indent with the ruler or in paragraph formatting.

Hyperlinks. Microsoft Word defaults to live hyperlinks. However, there are two reasons not to use hyperlinks.

- From a content longevity standpoint, hyperlinks to external documents are unreliable because websites and pages frequently go offline or are revamped, making the hyperlink useless.
- From a typographical standpoint, hyperlinks are preset to appear in underlined colored text that must then be revised (with the exception of a hyperlinked Table of Contents.)

In the reference list, allow URLs to wrap from one line to the next by adding a space after a slash or before a period (see APA p. 192); remove the hyperlink with that feature of your Word program.

Numbered lists. Use the Numbered list or Bulleted list buttons to easily format your lists with a hanging indent, meaning the second and subsequent lines are aligned under the text
in the first line. However, you should adjust the indent before the number or bullet to one-half inch because Word’s default indent for vertical lists is only one-quarter inch.

**Placement of page numbers.** Use the footer option to set the lowercase Roman numeral page numbers for the preliminary material (see Table 2 of this chapter) and the Arabic page numbers for the body of the manuscript. Never type the page numbers at the bottom of the “screen page,” as this causes enormous issues during the revision process.

**Section breaks.** Working with section breaks is by far the most frustrating aspect of working on a large document such as a dissertation or capstone report. Writers using the Capella writing templates should take care not to accidentally delete section breaks. These section breaks have been set to ensure that the formatting of each section is correct. It is important to write with the Show/Hide button clicked on so that formatting elements such as section breaks and page numbering are not inadvertently deleted (¶ is the icon for the Show/Hide button on the standard toolbar).

**Spacing between sentences.** Capella allows one or two spaces between sentences. Whichever you choose, be consistent.

**Spacing with dashes.** Use an em dash—with no space on either side of the dash—to indicate a break in thought in a sentence. The em dash is longer than a hyphen or an en dash, which look like - and –, respectively (see APA 4.08).≈

**Spelling.** MS Word’s built-in dictionary may question words that are spelled correctly in your discipline or according to Webster’s. The spell checker also may question words with prefixes (APA 4.13 discusses hyphenation; Tables 4.1, 4.2, and 4.3 cover basic hyphenation rules). If you are in doubt, follow the spelling used in your discipline, APA, or Webster’s 11th.

**Tab key versus the space bar.** The standard default indentation for the first line of a paragraph (as well as the bullet or number in a vertical list) is one-half inch. Writers should never use the space bar to indent new paragraphs. Not only is the eye less accurate than the ruler, but also the individual width of typeset letters will affect the spacing so that indentations of new paragraphs become imprecisely aligned.

**Table rule lines.** When creating tables, the Word program automatically shows the rule lines (called “borders” in Word and “rules” in APA) around the cells in the table, as does SPSS and other statistical software. As discussed in Chapter 2 of these guidelines, and in APA 5.17, writers should not use perimeter or vertical rule lines in a table, and should be judicious in the use of horizontal rule lines. See the TABLE SAMPLES in Chapter 2. To insert or remove rule lines, use the table formatting function of Word; consult your Help menu if you are unsure.

**Template.** MS Word’s default formats (fonts, indents, line spacing, heading style, and so on) can cause confusion and frustration for writers not familiar with formatting features of Word. Therefore, it’s recommended that you use the dissertation/capstone writing template for your program, available on each school’s research page on Campus iGuide. The template has been designed to ensure that the margins, headers and footers, section breaks, font, and spacing are consistent and meet the publisher’s requirements. Be wary of using paper samples or cutting and pasting over an old document. Rather, download the writing template for your program from your school’s research page on Campus iGuide. Writers who choose not to use the template may end up spending hours correcting inadvertently introduced formatting errors.

**Text wrap.** The text wrap function automatically brings the line of text from the right margin to the left margin of the next line. Word processing novices should take special care to use the automatic text wrap function rather than adding a line break or a hard return.
This principle also holds for block quotations, which should be enabled so the text wraps from one line to the next. Do not enable automatic hyphenation; words should not be split at the end of a line.

**Common Errors Flagged by the Doctoral Publications Reviewer**

The following issues regarding both APA and Capella styles are frequently noted by the reviewer in the Doctoral Publication Review. These issues are listed alphabetically.

**“And” versus the ampersand, “&.”** See APA 6.12 on the use of the word *and* versus the symbol &. Join the names in a multiple-author citation in manuscript text with the word *and*. Join the names with & in parenthetical citations, tables and captions, and the reference list.

**Anchors of scales.** Anchors of scales take italics. Do not use underlining or quotation marks. See the example in APA 4.21.

**Block quotations.** Format all direct quotations of 40 or more words as block quotations. See Chapter 1 of these guidelines and APA 6.03. Note that block quotations are indented one-half inch from the left—the length the first line of a paragraph is indented. Do not indent the right side of the quotation.

**Boldface and underlining.** Except in headings, APA publications do use bolded text. Underlining is not used.

**Color.** Adding color to a document is quite easy, but ease of use does not mean color should be used. Note that no text in your narrative should be in color. Before adding color to a figure, ask yourself if it adds significantly to the understanding of the material. See the discussion of color and shading in Chapter 2 of these guidelines.

**Commas in a series.** Use a comma to separate three or more words or phrases (without internal punctuation) in a series. Place the comma before the conjunction that joins the last item to the others (e.g., “bachelor’s, master’s, and certificate learners”).

**Confidentiality.** The reviewer will flag confidentiality problems when you have named or provided specific information on a participant or research/recruitment site in your study. Even when you have permission to use the name of a person or organization, you want to be careful not to accidentally share information that should not be shared. Capella’s policy is to deidentify the text to the extent possible. See Chapter 4 in these guidelines.

**Definitions.** Definitions should be drawn from research from within the field. Generic encyclopedias and dictionaries are not considered scholarly sources; the online encyclopedia Wikipedia should be avoided since the material is subject to text changes and might not have the consensus of experts in a particular field. Refer to Capella Library’s “Can You Use Wikipedia?”

**Ethical Issues.** The ethical issues involved in your research must be discussed in the manuscript. The writing template provides a heading for this discussion in the methods chapter. Topics to discuss include IRB compliance and the informed consent process, protection of confidentiality, conflict of interest, and data storage. See Chapter 4 of these guidelines.

**First-Person Pronouns.** Some schools (e.g., School of Education) caution learners not to use first-person pronouns—*I, me, my, myself, we, our, us*—when referring to themselves (exceptions: Dedication and Acknowledgments).

**Heading hierarchy.** Refer to the HEADING SAMPLE in Chapter 1 of these guidelines for Capella’s heading formats. One way to check for proper heading levels is to go through the
hard copy of the manuscript with a different colored highlighters, using one color for each level. This will help you to see heading levels that don’t follow APA 3.02 and 3.03.

**Hyphenation.**

- A word should not be split at the end of a line—do not enable the automatic hyphenation.
- APA 4.13 discusses hyphenation; in that section, Tables 4.1 through 4.3 cover basic hyphenation rules. Note that most self- words take hyphens, and prefixes such as multi, non, pre, and post typically do not. Many compound adjectives take hyphens when they precede the word they modify. The *Merriam-Webster’s Collegiate Dictionary* (11th ed.) is APA’s preferred dictionary, and it is an excellent resource if you have a question about hyphenation.

**Multiple works in an in-text citation.** Two or more works cited within the same parentheses must be in alphabetical order and separated with a semicolon (APA 6.16).

**Paragraph spacing.** The standard paragraph spacing for all text is double-spacing, with 0 pt. set before and after. When the point spacing is off, it creates more space between paragraphs than is standard or necessary, which detracts from readability. Use the formatting features of your word processing program to correct any paragraph spacing errors.

**Placement of the page number, chapter/section title, and first line of text.**

1. The page number must be centered in the footer, at least 0.75 inch from the bottom of the page. The footer margin in the dissertation/capstone template is set at 1 inch.
2. The title on the first page of each chapter/section should begin at the same distance from the top; the writing template sets the chapter/section titles 2 inches from the top of the page.
3. The top line of text on all other pages of the manuscript must begin at the top margin setting, which is set at 1 inch.

**Placement of punctuation with quotation marks.** Be aware of the rules governing placement of punctuation with closing quotation marks. See APA 4.08: Place periods and commas within closing single or double quotation marks. Place other punctuation marks inside quotation marks only when they are part of the quoted material.

**Possessives.** Writers often have trouble with the possessive form of nouns that end in *s*. The possessive of the plural noun *individuals*, for example, is formed by adding an apostrophe—*individuals’*. The possessive of a name that ends in *s*, such as *Knowles*, is formed by adding an apostrophe *s*—*Knowles’s*. Refer to APA 4.12.

**Quotation marks, single versus double.** Single quotation marks are used *only* within a quote that is in double quote marks to set off material that in the original source was enclosed in double quote marks (APA 4.08). Refer also to APA 4.21 on the use of italics to set off linguistic examples.

**Reference list.** The reviewer will scrutinize the reference list against APA style. Here are some common errors for which explanations and remedies may be hard to find.

1. The reference list is not a comprehensive bibliography. Therefore, every reference must be cited in text, and every in-text citation must be correctly referenced (see “Citing References in Text” on p. 174 of APA).
2. If an author is not given, do not use “Anonymous” unless the work is signed as such (see APA 6.25 on page 183). Follow APA 7.01–7.06, examples 9, 14, 30, and 47 for formatting works with no author.

3. When the author is the name of an organization or agency, spell out the name (see APA 6.27); the abbreviation should be used only for in-text citations (see APA 6.13).

4. When an author is not given and the entry begins with the title of an article or book, alphabetize the entry by the first significant word, not “A,” “An,” or “The” (see APA 7.02 on page 203).

5. Do not add a URL when you have provided the DOI.

6. If you use only the Abstract from a work, the reference must state “[Abstract]” after the article title or must refer to “Abstract” in the periodical title, as indicated in examples 16, 17, and 43 in APA 7.01–7.05.

7. An article retrieved from an online journal or a database should never show a Capella URL, because it is not retrievable (except by Capella subscribers) and because Capella does not maintain these sites. Replace the capella.edu link with the DOI (if one has been assigned) or else the open Web home page URL of the journal or book publisher (refer to APA 6.32).

**Statistical symbols and mathematical copy.**

1. Many statistical symbols, including \( n, N, \) \( t \) test, and SD, take italics or are capitalized. Please see APA 4.45. Table 4.5, in particular, is quite helpful.

2. APA 4.46 discusses the spacing requirements for mathematical copy.

**Verb tenses.** The reviewer may point out problems with past and present tense verbs (see APA 3.06 and 3.09). In a piece of writing—even in a single paragraph—verb tenses shift naturally. Here are examples of natural tense changes due to context and information:

1. Actions referring to past events: Use the simple past tense, as in “researchers examined” and “Creswell (2007) reported.”

2. Actions that are true or that continue to be true: Use the simple present tense, as in “results suggest” and “Chapter 4 contains.” These general truths are variously referred to as ongoing present, eternal present, and literary present.

3. Actions referring to future events: Use the simple future tense, as in “participants will sign.” However, to reflect the fact that your study has been completed, change those future actions to past tense—“participants signed.”

**Useful Resources for Writers**

**Doctoral Publications Formatting Guidelines**

Writers are urged to carefully read the Doctoral Publications Formatting Guidelines. These guidelines have been created specifically to assist writers in preparing their manuscripts.


Many faculty members suggest that writers “use APA” or “look in APA” for formatting. For this reason, Capella’s requirements adhere closely to APA (see APA-Capella “Discrepancies,”
above, for specific distinctions). Thus, if writers have not already done so, they should purchase the APA Publication Manual.

**APA Website**

Visit [http://www.apastyle.org](http://www.apastyle.org) for tips from writing experts in the style blog and guidance on supplemental material.

**Capella’s Preferred Dictionary**

The *Merriam-Webster’s Collegiate Dictionary* (11th ed.) is the standard dictionary for both Capella and APA. Because Microsoft Word’s default dictionary frequently flags correctly spelled words as errors, writers should consult *Webster’s*.

**Capella Library**

Capella’s online library provides guides and tutorials, databases and resources, and a link for asking questions of a reference librarian.

**The Chicago Manual of Style**

Writers who have specific formatting or style issues not covered by these guidelines or the APA Publication Manual should consult *Chicago Manual of Style*, which APA itself used as a reference in preparing its style. *Chicago* will provide the answers on formatting epigraphs, on why the preliminary material takes Roman numerals, on capitalization of job titles and educational degrees, and on other highly specific topics. Finally, it has an excellent discussion on forming possessives.

**Grammar Girl**

Refreshing, engaging, and succinct, this website covers issues of grammar, punctuation, style, and word choice in weekly podcasts. Browse the archives for such topics as formatting numbered lists, colon use, *that* versus *which*, and so much more. Grammar Girl is writer focused and does a great job of citing sources and anticipating points of confusion: [http://grammar.quickanddirtytips.com](http://grammar.quickanddirtytips.com)

**A Grammar and Mechanics Reference That Works for You**

The APA Publication Manual provides only skeletal information on grammar and mechanics, so writers may find it helpful to use a supplemental reference. There is no “right” text or reference source; it is a matter of personal preference. At a minimum, writers can consult the “Handbook of Style” at the end of *Webster’s*.

**Show Me the Numbers: Designing Tables and Graphs to Enlighten**

This book by Stephen Few is both an overview of table and figure design and a handbook on designing your own tables and figures. In addition to discussion of what makes a good table or figure, Few provides many examples of what makes a poorly designed table or figure. Few writes in an informative yet accessible tone. The book also contains a number of exercises to help writers discover the best way to present their data in table or figure format.

**Thinking With Type**

This site is a companion to Ellen Lupton’s book of the same name. Writers who struggle with paragraph spacing, page layout, or incorporating tables and figures neatly in the manuscript can gain some graphic design hints. This accessible site provides a gentle overview of typography and page design: [http://www.papress.com/thinkingwithtype/index.htm](http://www.papress.com/thinkingwithtype/index.htm)
Edward Tufte

Tufte is the world's premier advocate for improving the visual display of quantitative information. Writers seeking guidance on creating aesthetically appealing, highly readable tables and figures will find much to ponder in Tufte's work. Use this site for inspiration rather than “how-to” instruction: http://www.edwardtufte.com/tufte/

Outside Editors, Proofreaders, Writing Facilitators, and Word Processing Specialists

**Things to keep in mind.** Learners may choose to hire someone to assist them in the writing process. If you do choose to hire someone, note the following suggestions:

1. Clarify expectations. What do you expect from the person you hire in terms of fee, turnaround time, delivery method, and so on?
2. Clarify how you want to receive your feedback.
3. Make certain that the individual is well-versed in APA style. Do not take the editor’s word for this; ask specific questions. For example, try to stump the editor with an arcane item from APA or from your format editing review.
4. Provide the individual with the writing template and the *Doctoral Publications Formatting Guidelines.*

**What type of help do you need?**

*Editors.* Content editors focus on the entire manuscript. You can expect a content editor to comment on the manuscript’s overall organization and development as well as grammatical and mechanical issues.

*Proofreaders.* A proofreader will read the manuscript differently than an editor will. Proofreaders and copy editors comment less on the actual content and more on the prose itself: You can expect specific line item corrections such as spelling, misplaced modifiers, missing references, and so on.

*Word processing specialist.* A word processing specialist will focus on the actual hands-on production of the document. This service can range from table and figure formatting to pagination to proper presentation of the references.

*Writing facilitator.* A writing facilitator or writing coach will work one-on-one with a writer to address whatever needs the writer may have. For example, a writing facilitator can work with you on grammatical issues, overall content organization, or on reference and fact checking.
Proofreading the Final Draft of Your Dissertation/Capstone Report

After you’ve completed editing and formatting changes, do a final spell check and proofread the manuscript.

1. Be aware that Word’s default dictionary frequently flags correctly spelled words as errors. Use *Merriam-Webster’s Collegiate Dictionary* (11th ed.) as the more reliable source for spellings questioned by your computer dictionary.

   Also confirm that author names are spelled correctly. Make a master list from primary sources and check every name. When you do a spell-check, be sure not to “Ignore” an incorrect spelling.

2. Print out your manuscript. Many errors pop out on the printed page that look fine on the screen. One proofreading technique is to read aloud. It takes some time, but your ear often hears problems your eye may not catch.

   Proofreading is a final check of the document to ensure that it is polished, professional, and typographically clean—pay attention to the smallest of details: periods, commas, apostrophes, beginning and ending quote marks, and other punctuation marks; spelling and capitalization; and so on. This step should always be done by the writer, even when the manuscript has been edited by someone else.

Final Checklist Before Publishing

1. After you’ve made final corrections, look over your manuscript in Print Layout and correct any of these spacing problems:

   - *Odd page breaks and blank pages.* There should be no blank or half-filled pages of text in the middle of a chapter or a short table/figure without other 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.

   - *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 titles and figure captions appear on the same page as the table or figure.

   - *Inconsistency of spacing above headings.* An extra space above headings will set off new topics on the page; make the space above headings uniform.

   - *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 and figures uniform.

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

3. Update page cites in the Table of Contents, List of Tables, and List of Figures.
<table>
<thead>
<tr>
<th>V#</th>
<th>Date</th>
<th>Initials</th>
<th>Description</th>
</tr>
</thead>
<tbody>
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<td>V6.0</td>
<td>11/1/2018</td>
<td>CP</td>
<td>Updated version number on title p.; team names p. 4; deidentification info on pp. 33ff.</td>
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<tr>
<td>V6.1</td>
<td>11/8/2018</td>
<td>JB/CP</td>
<td>Minor layout and punctuation cx; corrected DPT email address</td>
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