College of Management and Human Service
School of Education and Human Development
School Psychology Program

GUIDELINES FOR
DOCTOR OF PSYCHOLOGY IN SCHOOL
PSYCHOLOGY (PSY.D.)
DISSERTATION PREPARATION
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CHAPTER 1: INTRODUCTION

The policies, format and style requirements in this manual reflect The University of Southern Maine’s standards for scholarship and quality of work. It is the student’s responsibility to follow and meet the requirements when writing a dissertation. **Students should not follow the format of a previously written dissertation, nor should they rely on a former version of this manual.** If clarifications are needed, students should consult with their dissertation committee chair. Manuscripts that do not fully comply with the guidelines will not be accepted.

A dissertation is the culmination of a doctoral student's career, and it represents original scholarly research and writing. It is a contribution to knowledge and will be available to other scholars through *Dissertation Abstracts International*. Its content and style reflect on the author, the faculty members who have guided the research, and The University of Southern Maine. Hence, these guidelines have been developed to ensure high quality, professional, and ethical standards for research writing at the University of Southern Maine. **THE MANUSCRIPT AUTHOR IS RESPONSIBLE FOR MEETING ALL REQUIREMENTS SET FORTH IN THIS MANUAL.** To avoid delays or disappointment, students should confer with their dissertation chair frequently throughout the writing process to be sure they understand all requirements.

Psy.D. students should read and refer to related guidelines and requirements in the *Psy.D. Program Handbook*.

1.1. The Dissertation Committee

The role of the dissertation committee is to guide the student through the research and writing process by providing suggestions and feedback as to the contents, direction, timeline, style, and other aspects of the dissertation. The dissertation will be reviewed by the dissertation committee for content and research accuracy. Even though the committee’s recommendations may have significant impact on the project’s final form, it is the student who is ultimately responsible for the content and style of the dissertation.

Psy.D. doctoral dissertation committees are comprised of at least three members; of these three, at least two must be Psy.D. Program faculty members. The third member can be another USM graduate faculty member or a psychologist from the community. All dissertation committee members must be approved by the Psy.D. Program faculty. The University of
Southern Maine does not use the term "reader" for any member of the committee; each committee member is a full, voting member. A student wishing to recognize someone as a “reader” can do so in the Acknowledgements.

1.2. Legal and Ethical Issues

1.2.1. Regulations Regarding Research Methods. Complying with the various federal, state, and University regulations regarding research methods and ethics is a joint responsibility of the student researcher, the dissertation advisor and The University of Southern Maine. The writer of a dissertation which involves human subjects, animal care, radiation, recombinant DNA, certain drugs and/or hazardous materials/wastes must have received clearance from the respective University authorities prior to initiating the research project. Evidence of such approval must be noted on the student’s Final Dissertation Acceptance Form. The full text of the respective policies and regulations and any additional information can be obtained from the USM Office of Research Integrity and Outreach (ORIO).

1.2.2. Copyright. Although USM does not require dissertations to be copyrighted, students should be concerned about copyright law both in using the work of others and in protecting their own work. Information about the various issues surrounding copyrights can be found in Kenneth D. Crew’s Copyright Law and the Doctoral Dissertation: Guidelines to Your Legal Rights & Responsibilities. A regularly updated version of the text can be found online at: http://www.proquest.com/en-US/products/dissertations/copyright/

1.2.2.1. Obtaining Copyright for One’s Own Dissertation. Students have full rights as authors from the moment they create their work; hence, they can acknowledge their privileges by including a copyright notice in their manuscripts even if they have not filed for registration. Still, obtaining formal copyright protection may have the following advantages. First, it will allow the student to file an infringement lawsuit and claim “statutory damages” and attorneys’ fees if someone copies the work beyond “fair use.” Eventually, it may also allow the work to be added to the Library of Congress Collection.

Students whose research has been externally funded, should review the terms of that support to see if they are allowed to claim ownership of the results of the research. If manuscripts are written in collaboration with other authors and/or published in any form, they might be subject to copyright regulations. In these cases, the text of the copyright notice included in the
dissertation should meet the policies outlined in the funding or publishing agreement.

1.2.2.2. Using Copyrighted Materials. For additional information regarding the use of copyrighted materials please visit the U.S. Copyright Office website at http://lcweb.loc.gov/copyright.

1.4. Style Manual for Dissertation Format

Psy.D. dissertations generally follow the formatting requirements of the most recent version of the Publication Manual of the American Psychological Association (APA). The notable exceptions to the APA style are (a) the left margin must be 1.5 inches and the top, right, and bottom margins 1 inch, (b) all tables and figures must be inserted in the text immediately following their first mention, and (c) additional sections to include a copyright statement, table of contents, lists of tables and figures, and author biography must be included. Specific formatting details for these requirements are explained below.

1.5. Deadlines

There are specific deadlines and time frames for review and submission of the dissertation. Once the dissertation is submitted to the committee, committee members have 20 working days (e.g., 4 weeks) to review it and give the student feedback. There are also deadlines for meeting all degree requirements. Psy.D. students must have met all degree requirements, including final submission of the approved dissertation before they can graduate. USM confers degrees three times a year in May, December and August. Psy.D. students must have met all degree requirements, submitted the final dissertation, and applied to graduate in order for the degree to be conferred.

1.6. Forms

As students approach graduation, certain forms are required to facilitate the graduation process. With the exception of the Application for Degree form, the remaining forms can be found in the Psy.D. Handbook http://usm.maine.edu/school-psychology/student-handbook. All of the dissertation forms must be completed and submitted online using the TK20 portal.

1.6.1. The Application for Degree Form. This form indicates that the student plans to graduate in May, August, or December of a given year and can be found at
Students must complete this form by downloading, printing, and mailing or faxing it to the Registrar’s Office. IMPORTANT: No student (dissertation or non-dissertation) will be allowed to graduate without filing this form!

The deadlines for each semester are:

- May: March 15
- August: July 15
- December: November 15

1.6.2. Permission to Schedule Psy.D. Dissertation Defense Session. When all members of the dissertation committee agree that a dissertation is ready to be defended the student submits Form D5 via TK20. Once the date of the dissertation defense is scheduled, the student’s adviser will send an invitation to all faculty, staff, and students in the School of Education and Human Development.

1.6.3. The Final Dissertation Acceptance Form. Once the student has passed an oral defense of the dissertation, s/he must submit Form D6 via TK20. This form must be signed by all members of the dissertation committee, the School Psychology Program Director and the Dean of the College.

1.6.4. The Completion of Requirements Form. This form is initiated when the student applies for graduation and must be completed and signed by the advisor. It should indicate that the student has met all of the requirements for the degree. In addition to passing the oral dissertation defense, the student must have passed all courses with a grade of B or better, completed and passed the internship, completed the study completion form for IRB, and submitted the final dissertation to the ProQuest online dissertation portal. A student's diploma and final transcript will not be issued without meeting all these requirements.

1.7. Dissertation Submission

Students must submit an electronic copy of the final, and committee approved, dissertation. The University of Southern Maine uses the ProQuest/UMI online dissertation submission service. When students submit their final dissertation copy to their adviser, they will be given instructions about how to access and register for electronic dissertation submission. The process for submitting the final digital copy of the dissertation involves logging into the ProQuest/UMI website and submitting the file as specified at the site. There are costs associated with this process that the student must pay. Students are expected to pay the minimum
submission amount. The only method of payment is by credit card and it is done online during the submission process. Students interested in learning about all possible costs should visit the ProQuest/UMI website prior to submitting the final version of the dissertation. Once a student’s dissertation has been submitted to ProQuest/UMI it will be accessible via the internet according to the conditions specified at the time it was submitted.
CHAPTER 2: PARTS OF THE MANUSCRIPT

2.1. Order of the Manuscript

The following is a list of the required parts of the dissertation in the order in which they should appear in the manuscript.

1. Title Page
2. Copyright Notice
3. Library Rights Statement
4. Abstract
5. Dedication/Preface (optional)
6. Acknowledgments (optional)
7. Table of Contents
8. List of Tables (if any)
9. List of Figures (if any)
10. List of Abbreviations, Plates, Equations, Theorems, Symbols, Definitions etc. (if any)
11. Text of the Manuscript
12. Endnotes (if any)
13. References in APA format
14. Appendix or Appendices (if any)
15. Biography of the Author

There are certain requirements as to the content and appearance of the above parts. Students should read the following descriptions carefully.

2.1.1. Title Page. The Title Page is the first page of the manuscript. It is considered page “i”, but the number does not appear on the page. The following should be included on the title page:

1. Title of dissertation in ALL CAPS, BOLD, and inverted pyramid format (centered)
2. The student’s full name as it appears in University records (centered)
3. Previous degree(s) earned (centered)
4. A statement of fulfilling requirements for the degree sought (centered)
5. Institution name: The University of Southern Maine (centered)
TIER II READING INTERVENTIONS: RESEARCH STUDY

By

C. Lee Goss

B.A. University of Virginia, 1981

M.S. University of Southern Maine, 2003

A DISSERTATION

Submitted in Partial Fulfillment of the

Requirements for the Degree of

Doctor of Psychology

(in School Psychology)

The University of Southern Maine

December, 2008

Advisory Committee:

Rachel Brown-Chidsey, Associate Professor of School Psychology, Advisor

Mark W. Steege, Professor of School Psychology

F. Charles Mace, Professor of School Psychology

Figure 2.1. Title Page example
6. The month and year of the student’s graduation date (centered)

7. The advisory committee members (left justified) Note: The order starts with the Advisor (or Co-Advisors). All names are followed by their title (i.e. Professor of Economics). Do not include administrative titles (i.e. Dean of the Engineering College). “Readers” are not committee members. They can be recognized in the Acknowledgements section of the dissertation.

2.1.2. Copyright Notice. A Copyright Notice is numbered but does not appear on the Table of Contents. All Psy.D. students are encouraged to formally register (copyright) their dissertations. The copyright notice should be placed as the sole text on a page immediately following the title page. The copyright notice is centered vertically and horizontally within the margins. The text of the notice may take either of these two forms:

Copyright 2001 Student’s name

or

© 2001 Student’s name

All Rights Reserved

2.1.3. Library Rights Statement. A Library Rights Statement is numbered but not listed on the Table of Contents, and must accompany the manuscript and it follows the same format as that of the dissertation. For the final digital copy, the student’s name can be typed in an italic or handwriting font.

2.1.4. Abstract. An Abstract is NOT numbered nor is it listed in the Table of Contents, and must be included in the manuscript. It is a clearly written, concise summary of the dissertation. It describes the problem, the procedures or methods used, and the results and conclusions of the research. Since doctoral abstracts are included in Dissertation Abstracts International, it is extremely important to write accurately. Formulas, diagrams or other illustrations are not included in the abstract. The maximum length for doctoral abstracts is 350 words. The heading is not counted in the word limit. The heading of the abstract should be centered and include:
TIER II READING INTERVENTIONS: RESEARCH STUDY

By C. Lee Goss, M.S.

Dissertation Advisor: Dr. Rachel Brown-Chidsey

An Abstract of the Dissertation Presented

In Partial Fulfillment of the Requirements for the

Degree of Doctor of Psychology

(in School Psychology)

December, 2008

The purpose of this dissertation is to describe a doctoral research study designed to implement response to intervention (RTI) techniques in reading for first grade students. RTI is an early intervention and prevention method for identification and effective intervention for students at-risk for developing academic problems. This research study focuses on research-based reading instruction and early identification and intervention for first grade students at-risk for developing reading problems. The effectiveness of two Tier II reading interventions, *Reading Mastery* and *Fundations 2*, are compared. The results indicated that all at-risk students made progress with supplementary intervention following eight weeks of intervention and weekly progress monitoring. A comparison of *Reading Mastery* and *Fundations 2* reading intervention results indicated that *Reading Mastery* students demonstrated the most significant progress. The findings are discussed in the context of the procedures necessary to implement and monitor RTI methods for students at-risk for developing reading problems in the early stages of literacy.

Figure 2.2. Abstract example in double spaced, title in bold capital letters and affiliations in inverted pyramid format.
1. Title of the dissertation in ALL CAPS, BOLD, and inverted pyramid format;
2. The author's full name;
3. The name of the dissertation advisor (including degree);
4. A statement that the dissertation is fulfilling requirements for a degree sought in a particular department; and
5. The month and year of the student’s graduation date.

The abstract should be a summary of the student’s research study, and not an introduction, or a version of the Table of Contents. Within the space limit of 350 words, the writer should convey to the reader concisely and accurately the research question, study design, results and implications for the field. The abstract should be well balanced to reflect not only the original elements of the work, but the overall spirit and structure as well. This balance is achieved if the abstract and the manuscript make sense without one another. A sample abstract is shown above.

2.1.5. Acknowledgments. This page is for the author to express professional and/or personal indebtedness to individuals who assisted with the research in both direct and indirect ways. Permission(s) to use previously copyrighted materials, receipt of grant funds, recognition of “Readers,” etc. are acknowledged on this page. Students must be consistent with the use of the third person voice throughout the dissertation, including this page. This section is optional, but, if included, it is numbered (lower case Roman numerals) and listed in the Table of Contents.

2.1.6. Table of Contents. The Table of Contents is a topic outline of the manuscript. It functions as an index to the work and must fully and accurately reflect the organization of the manuscript. All chapter titles and first level subsections must be included in the Table of Contents (TOC) and labeled exactly as they appear in the text. Other points:

1. The Copyright Page, Table of Contents, Abstract, and Library Rights Statement are NOT listed in the TOC.
2. All chapter divisions and subsections must be listed in the TOC. The headings system used for organizing the text of the manuscript, must be the same in the TOC.
3. Each Appendix must be listed by its title and page number. If there is only one Appendix, it is listed by the name “Appendix” and its title. Therefore, an Appendix “A” should not be listed unless there is an Appendix “B.”
4. Leader dots must be used to connect the chapter divisions/subsection headings to their
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Figure 2.3. Sample Table of Contents
5. respective page numbers. A minimum of 5 leader dots between the chapter divisions/subsections and the page numbers is required (e.g. the text of the headings should not extend into the area where the page numbers are placed).

6. The Biography of the Author page is the last page of the dissertation.

2.1.7. Tables, Figures, Theorems, Symbols, Abbreviations, Definitions. A TABLE is a columnar arrangement of information organized to save space and convey relationships at a glance. A FIGURE is a graphic illustration (chart, graph, diagram, photo, map or plate). Figures case be professionally prepared or drawn by the author. In either case, they must be of letter-quality print.

The Lists of Tables/Figures (if any) appear as individual pages. A List of Tables/Figures is necessary even if there is only one Table/Figure. If the text of the manuscript contains a set of theorems, symbols, abbreviations or definitions, those should be listed in a List of Theorems, Symbols, Abbreviations, or Definitions, respectively. These lists are also included in the Table of Contents. All words on Tables/Figures must be typed (not hand written). Computer-generated figures are acceptable if they are of letter-quality print and large enough to be readable on microfilm. Other points:

1. Tables/Figures must be numbered and titled. The title, caption, and key (if used to assist in interpreting the figure), should be placed on the same page as the Table/Figure. If this is not possible, a facing page must be used (see next page).

2. The Tables/Figures are numbered separately from each other. Each group can be numbered consecutively throughout the entire manuscript or by chapter using a decimal numbering system (e.g., the third table in chapter two will be Table 2.3., and the third figure in chapter two will be Figure 2.3.). The same system should be used for numbering both groups (e.g., if the tables are numbered by the chapter decimal system, so should be the figures).

3. All Tables/Figures must fit into the required page margins (see section 3.4 for including oversized materials).

4. The title and caption of the Table/Figure are part of the text and must be the same font size and style of the manuscript. It is acceptable for the font within the
5. table/figure to be as small as 10 point.

6. Tables/Figures must be placed in the text as they are mentioned. If the Table/Figure is larger than one-half of the page it must be placed on a page of its own.

7. Appendix Tables/Figures must be numbered separately (e.g., the third table in appendix A would be numbered Table A.3.) and must be included in the List of Tables/Figures respectively.

8. If using photographs they must be originals or high-quality reproductions. Whenever possible, color should be avoided as it does not reproduce on microfilm. All photographs must have captions.

2.1.8. Text of the Manuscript. Since a dissertation is usually of considerable length, a uniform organizational scheme should be applied to the whole text so that a reader can tell at a glance which ideas are of greater importance. For Psy.D. dissertations, the most recent version of the Publication manual of the American Psychological Association must be used. Breaking the text into too many small parts should be avoided. The text should be divided into chapters, parts, and other types of sections and the principles of division must be consistent throughout.

2.1.9. References. The full publication information of all sources cited in the manuscript should be provided in a References section which is placed after the text, but preceding the Appendix(ies). The layout as well as the title of the References must follow the current version of the Publication Manual of the American Psychological Association.

2.1.10. Appendices. The appendices contain material that is pertinent to the text, but not directly included (raw data, questionnaires, consent forms, etc.). If there is only one Appendix, it is called "APPENDIX" (not Appendix A) and is given a title. If there are two or more Appendices, each is labeled “A”, “B”, “C” etc., given a title, and entered on a new page. The titles of the Appendices should be listed in the Table of Contents. Pagination from the text must continue throughout the Appendices. If display pages are used, they must be counted in the pagination. The margins and font size used in the Appendices should be the same as in the text. A reduced copy of material may be included in an Appendix; however, the title and caption of such material must be the same font size and style of the manuscript.

2.1.11. Biography of the Author. A Biography of the candidate must be included in the dissertation. It must be written in the third person and include the following information: place of birth, place of high school graduation, place and date of college graduation with degree(s) and
Formatting conventions:

1) This is a “facing page”. The text orientation follows that of the image(s).
2) The margins are reversed.
3) The image(s) face(s) the manuscript out.
4) Page numbers are placed in the same orientation as the rest of the manuscript.
5) On the List of Figures the title is only “Figure 2.4 Example of acceptable and unacceptable images.” Parts A,B,C and D are for further definition, and do not appear on the List of Figures.
6) The page number associated with Figure 2.4 on the List of Figures is 27 (where the caption is).
Figure 2.4 Examples of acceptable and unacceptable images.

A) Unacceptable picture.
B) Acceptable version of the same picture.
C) Unacceptable graphic.
D) Enhanced, acceptable version of the graphic.
major(s), professional or employment experience, scholarly publications, and memberships in professional or honorary societies. The last sentence must state, "S/He is a candidate for the degree Doctor of Psychology in School Psychology from The University of Southern Maine in [Month, Year]."
CHAPTER 3: STYLE AND FORMAT REQUIREMENTS

3.1. Typeface

The Times New Roman size 12 typeface must be used throughout the manuscript, including the page numbers, footnotes/endnotes. Exception: the font size within a Table/Figure and for footnotes may be smaller than that of the text but no smaller than 10 point. Italic print should not be used except for emphasis.

3.3. Margins

Margins on each page MUST be at least one and a half inches on the left (this allows for proper binding), one inch on the right, top, and bottom of the page. All tables, figures, appendices, and other illustrative material must conform to the margin specifications. If facing pages are included, the left and right margins should be reversed.

3.4 Oversize Material

Specific guidelines for oversize material are as follows:

1. When Tables/Figures are printed landscape, the page number must be placed in the same location as all other page numbers in the manuscript.
2. The text within the Table/Figure may be reduced but must be legible (10 point minimum). The title and caption font must be the same size and style as the manuscript.
3. If a Table/Figure fits within the margins of a page, but the title and caption do not, a facing page must be used (reverse margins). It immediately precedes the Table/Figure and “faces” it (page is face down in comparison to the other pages) and is printed on one side only. Facing pages are numbered consecutively within the text, as are all pages (see example in Chapter 2 above).

3.5. Pagination

Each page of the dissertation is numbered including optional pages. Page numbers should be placed on the top right of the page. All “front matter” pages are given lower case Roman numerals. All pages of the dissertation itself use Arabic numberals. They must not appear
closer than half an inch from the top and one inch from the right. The location and the font style of the page numbers must be consistent throughout the manuscript. The page numbers must not have any periods, hyphens, or slashes. Refer to the sample Table of Contents in Chapter 2 for examples of page numbers for each section.

3.6. Spacing

The text of the dissertation must be double-spaced as required by APA format. The References are also double spaced both within between citations using the formatting included in the APA Manual.

3.7. Widows/Orphans

Paragraphs composed of 3 lines or fewer must be kept together on the same page. This rule also applies to References and Titles included in the Table of Contents. The first or last lines of a paragraph or a block of text must not be left alone on the bottom (widows) or top of a page (orphans). This can be achieved by using the “Orphans/Widows Protection” or the “Keep Text Together” features of most word processors. Chapter divisions and subsections appearing at the bottom of the page that are not followed by text must be moved to the next page.

3.8. Documenting Sources

Psy.D. dissertations must use the most current version of the Publication Manual of the American Psychological Association. This style includes parenthetical citations with References at the end of the dissertation. The manuscript must also include a single, comprehensive list of References in APA style.

3.8.1. Formats for In-text and References Citation. All sources mentioned or used in the manuscript should be documented fully. This is achieved by including citations in the text, and then providing full information of the source in the list of References.

3.8.2. Citing Internet Sources. Internet sources such as websites, reference works, e-books, government documents, news articles, newsgroups, etc., should be fully documented. The APA manual includes a format for correct citation and referencing of internet sources.

3.8.3. Footnotes. APA format does not include the use of footnotes for citations and references. If needed, footnotes can be used to clarify specific information on a page. The font size of the footnotes and endnotes must NOT be smaller than 10 points.