



A Guide to Submitting Your Dissertation

Meeting Franklin University's Dissertation
Formatting and Publication Requirements



School of Doctoral Studies
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Introduction

Doctoral students must pass the format check assignment in DISS-9400 and publish their dissertation in the OhioLINK Electronic Theses and Dissertations Center (ETD) to graduate. Students should allow enough time for the format review, required revisions, and final publication of their dissertation.

Dissertation Completion Process

After the committee approves the student's dissertation, the student will receive an approval form signed by the committee. Once the student receives the approval form, they can submit their dissertation to the format check assignment in DISS-9400.

The format check assignment requires that dissertations satisfy the University's dissertation formatting requirements. After the initial format check review, students will receive information about what corrections are necessary to satisfy the requirements. Students will revise and resubmit their dissertation until their dissertation passes the format check.

Once their dissertation passes the format check, students will receive a combined PDF including their dissertation and the dissertation approval form. Students must then upload that combined PDF to the OhioLINK ETD.

For additional information, see: [The Format Check and Publication Process](#) (7 minutes, 48 seconds).

Responsibility

Doctoral students are responsible for ensuring that their dissertation satisfies the University's dissertation formatting requirements and OhioLINK publication requirements. Students are also responsible for completing the format check and publication process in time to meet graduation deadlines. Failure to do so may delay the student's graduation.

To ensure compliance with the University's dissertation formatting requirements, the format reviewer may make minor, non-substantive changes to the dissertation when generating the final PDF for the OhioLINK upload.

Using this Guide

This guide explains how to properly format dissertations to meet the University's requirements and how to publish a dissertation in the OhioLINK ETD. Because it is easier to meet the formatting requirements using Word styles and automatically creating the table of contents (TOC), the last part of this guide discusses how to format dissertation headings using styles and then auto-generate the TOC.

Additional Information

Additional information to help with the dissertation formatting and publication process is available on the [Finishing Your Dissertation](#) Guide. There is also a [“How to” Format Your Dissertation video collection](#) which explains the format check and publication process, and how to fix common dissertation formatting issues. The entire playlist is about 30 minutes.

Some of the formatting requirements reference the dissertation template. The dissertation template is linked in DISS-9400. Make sure to select the dissertation template which matches the methodology used in the dissertation – there are slight differences between the mixed-methods, qualitative, and quantitative templates.

Franklin University's Dissertation Format Requirements

Format Requirements

The University's dissertation format requirements are contained in the DISS-9400 format check assignment. They are also set forth in [Appendix A](#) of this Guide.

Format Check Self-Evaluation

DISS-9400 includes a format check self-evaluation checklist in the the reading & preparation materials for the format check assignment. Before submitting their dissertation to the format check, students should download the self-evaluation checklist and use it to review their dissertation. The checklist includes links to resources to help students address common formatting issues.

Common Dissertation Format Issues

This section addresses common dissertation formatting issues students have encountered in the past. It does not cover every requirement. Students are responsible for ensuring that their dissertation satisfies *all* formatting requirements, including those not discussed below.

Title Page

The dissertation's title page must match the formatting of the dissertation template. Students should check the following common title page issues:

1. The title of the dissertation must exactly match the title on the dissertation approval form;
2. The student's name on the dissertation must exactly match their name on the dissertation approval form (for example, if the approval form includes the full middle name, the title page must also use the full middle name rather than only a middle initial);
3. The order of the committee members must match the order of the committee on the dissertation approval form, committee member names must be preceded by "Dr.", and the listing of committee members must not include their degrees.

For additional information, see: [How to Format Dissertation Title Page \(1 minute, 25 seconds\)](#).

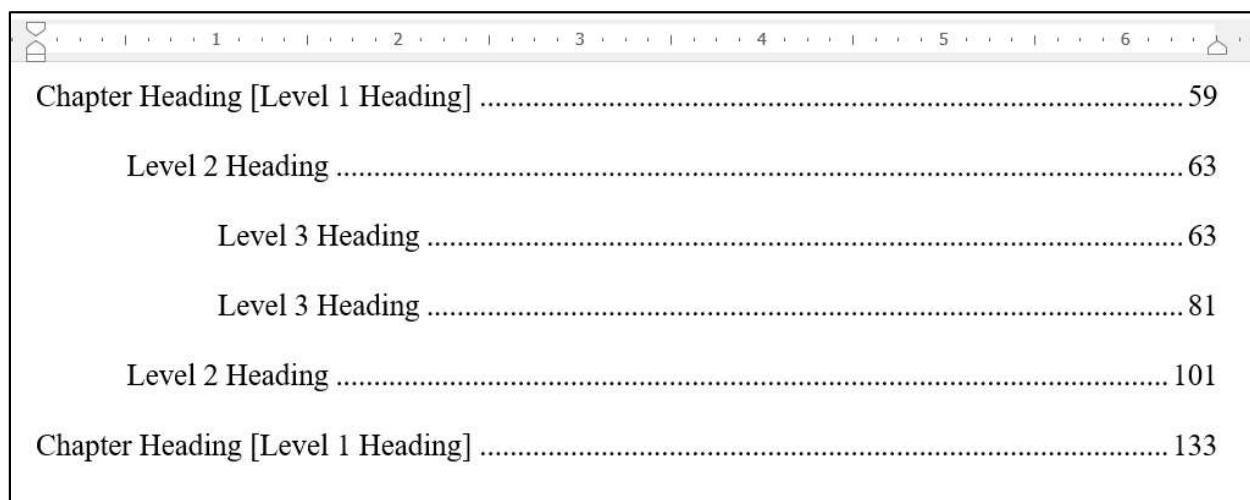
Table of Contents (TOC)

The dissertation may include up to 5 levels of heading. The first level is the main chapter heading (Chapter 1, Chapter 2, etc.).

Subheadings of the main Chapter heading are designated as level 2 headings, subheadings under a level 2 heading are level 3 headings, etc.

All of the first 3 levels of headings in the dissertation (and only the first 3 levels of heading) must be in the TOC. If a dissertation includes level 4 and level 5 headings, they should not be included in the TOC.

The level 1 headings should be flush left, the level 2 headings should be indented ½ inch, and the level 3 headings should be indented another ½ inch. The following screenshot shows an example of the required indentation. The original uses the required indentations, but because this is a screenshot resized to fit below, the image's sizing is not exact.



Chapter Heading [Level 1 Heading]	59
Level 2 Heading	63
Level 3 Heading	63
Level 3 Heading	81
Level 2 Heading	101
Chapter Heading [Level 1 Heading]	133

For additional information, see: [How to Format the Table of Contents \(3 minutes, 9 seconds\)](#).

Tables and Figures

Tables and figures must be formatted according to APA requirements. *For additional information, see: [How to Format Figures and Tables in Your Dissertation \(8 minutes, 2 seconds\)](#).*

Tables

The [APA Style website](#) provides information on table formatting. Here are the requirements for table formatting:

- Tables should be numbered consecutively throughout the dissertation (Table 1, Table 2, etc.). This includes tables in the appendix.
- The word “Table” followed by the table number, in bold, should be the first line.
- One double spaced line below the table number is the table title, using Initial Capitalization, and *italic font*.
- The table will appear below the title. Column headings should be centered and use sentence case, the contents of the left column should be left-aligned, and the content of the other cells should be centered (unless left-alignment is necessary for readability).
- Borders should not be used to surround every cell in a table, and should not be used as a means to separate data (use spacing to separate data).
- Notes, if used, should be double-spaced. For general notes, the word “Note” is in italics, followed by a period. The note itself is non-italicized regular font and ends in a period.
- There should be a blank line above or below the table (as necessary) to separate the table from the text. If the table is at the top or bottom of the page, the blank line above (top) or below (bottom) is not necessary.

- Multi-page tables should have headings repeated on following page(s) - see <https://tinyurl.com/6rhu6r7m> for instructions on how to use Microsoft's repeat table headers on subsequent pages feature.

Figures

The [APA Style website](#) provides information on components of figure formatting. Here are the requirements for figure formatting:

- Figures should be numbered consecutively throughout the dissertation (Figure 1, Figure 2, etc.). This includes figures in the appendix.
- The word “Figure” followed by the figure number, in bold, should be the first part of the figure.
- One double spaced line below the figure number is the figure title, using Initial Capitalization, and *italic font*.
- The figure will appear below the title. Figures must include alt text, as discussed below.
- Notes, if used, should be double-spaced. For general notes, the word “Note” is in italics, followed by a period. The note itself is non-italicized regular font and ends in a period.
- There should be a blank line above or below the figure (as necessary) to separate the figure from the text. If the figure is at the top or bottom of the page, the blank line above (top) or below (bottom) is not necessary.

Appendices

The Franklin University determination / IRB approval letter must be included as an Appendix to the dissertation. A copy of this letter is available in Cayuse.

[The Cayuse page](#) of the OAS website provides information about how to identify and access the Franklin University Determination / IRB approval letter. See the FAQ titled "How can I get a copy of my IRB approval letter?".

The IRB letter can either be pasted as text or an image. However, if pasted as an image, alt text is required (as discussed below).

Headings

Chapter Headings

The required chapter headings depend on the type of dissertation. All chapter headings should be formatted as level 1 headings using the Word Heading 1 style.

The first required headings for Chapters 1, 2, and 5 are identical for all methodologies:

- Chapter 1: Introduction
- Chapter 2: Literature Review
- Chapter 5: Conclusions, Implications of the Study, and Recommendations

The Chapter 3 heading for *Qualitative* and *Quantitative* is:

- Chapter 3: Methodology

For *Mixed-Methods*, the Chapter 3 heading is:

- Chapter 3: Methodology (Mixed-Methods)

The Chapter 4 heading for *Mixed-Methods* and *Quantitative* is:

- Chapter 4: Data Analysis Results

The Chapter 4 heading for *Qualitative* is:

- Chapter 4: Findings

Formatting Headings

Headings must be formatted as follows:

Level 1 (Main Chapter Head): Centered, Bold, Title Case
Level 2: Subheading of Level 1, Flush Left, Bold, Title Case
<i>Level 3: Subheading of Level 2, Flush Left, Bold, Italic, Title Case</i>
Level 4: Subheading of Level 3, Indented, Bold, Title Case, Ending with Period.
Text of paragraph continues on same line.
<i>Level 5: Subheading of Level 4, Indented, Bold, Italic, Title Case, Ending with</i>
<i>Period.</i> Text of paragraph continues on same line.

For additional information, watch the how-to video: [How to Properly Format Dissertation Headings \(3 minutes, 44 seconds\)](#).

Franklin University's Digital Accessibility Standards

Digital Accessibility Standards Overview

To ensure the widest possible audience for doctoral dissertations, Franklin University dissertations must comply with the University's Digital Accessibility Standards (DAS) which require:

1. The dissertation must be properly exported to PDF and include required document tags;
2. The student has included a PDF file of the dissertation which includes full text;
3. The PDF accessibility flag is checked;
4. The text language of the PDF is specified;
5. Figures and images include valid alternate text;

6. The PDF document properties include the title, author, keywords, and subject;
7. At least one heading level is included in the text and the document has appropriate headings;
8. If color is used, it must not be the only means of conveying information and the text contrast of colors must not trigger a hard to read text contrast error.

How to Satisfy the DAS

Follow these instructions to make sure your dissertation satisfies the University's Digital Accessibility Standards. The explanations below assume that students create their dissertation in Microsoft Word on a Windows computer before exporting or saving to the PDF format.

To ensure accessibility, students should follow the "Saving Your Word File to PDF" instructions below.

"Properly Exported to PDF and Includes Required Document Tags"

The dissertation PDF must include the required document tags and accessibility features, which will occur when the dissertation is properly exported to PDF.

For additional information, see: [How to Properly Export from Word to PDF \(1 minute, 40 seconds\)](#).

"A PDF File Which Includes Full Text"

Dissertation PDFs should be full text, as opposed to image files. Properly generating a PDF file from a Word document should meet this requirement. To verify, open your PDF and make sure you are able to select or highlight text.

"The PDF Accessibility Flag is Checked"

Properly exporting from Word to PDF should meet this requirement.

"The Text Language of the PDF is Specified"

Properly exporting from Word to PDF should meet this requirement.

“Figures and Images Include Valid Alternate Text”

Right click on the figure or image in Word. Select “edit alt text”. Enter one or two sentences of alternate text which describe the figure or image. This standard includes the requirement not just that the image includes alt text, but that the alt text be “valid.”

For additional information, see: [How to Create Alt Text and Add it to Word \(4 minutes, 42 seconds\)](#).

“The PDF Document Properties Include the title, Author, Keywords, and Subject”

These items are all entered in the document properties in Word.

Title. Copy the title of your paper from the title page. From the top menu bar in Word, select “file” and click on “info.” In the right hand column, under properties is an entry for “title” with “add a title” next to it. Click on “add a title” and paste the document’s title. Click on the back arrow to return to the document and save.

Author. The student’s name should appear as the author. Select “file” and click on “info.” In the right hand column, near the bottom, is “related people.” If the student’s name is not listed, select “add an author” and add the student’s name. If someone else’s name is listed, right click on their name and select “remove person.” Click on the back arrow to return to the document and save.

Keywords. Select “file” and click on “info.” In the right hand column, under “properties” is an entry for “tag” with “add a tag” after it. Click on the box for “add a tag” and put the keywords separated by commas. Click on the back arrow to return to the document and save.

Subject. The “subject” is the subject of the degree, not the entire degree. For example, if the degree is “Doctor of Education in Organizational Leadership”, the subject is just “Organizational Leadership.”

Select “file” and click on “info.” In the right hand column, under “properties” is an entry for “subject” with “specify a subject” after it. Click on the box for “specify a subject” and put the subject. Click on the back arrow to return to the document and save.

Here is a list of degrees and associated subjects:

- *Doctor of Business Administration (D.B.A.)* - Business Administration;
- *Doctor of Education (Ed.D.) in Instructional Design Leadership* - Instructional Design Leadership;
- *Doctor of Education (Ed.D.) in Organizational Leadership* - Organizational Leadership;
- *Doctor of Healthcare Administration (DHA)* - Healthcare Administration;
- *Doctor of Professional Studies (D.P.S.) in Instructional Design Leadership* - Instructional Design Leadership.

For additional information, see: [How to Format Dissertation Document Properties \(3 minutes, 3 seconds\)](#).

“At Least One Heading Level is Included in the Text and the Document Has Appropriate Headings”

To ensure compliance with the standard, use document styles from the home tab in Word to select headings.

For additional information, watch the how-to video: [How to Use Styles to Format Dissertation Headings \(2 minutes, 23 seconds\)](#).

“If Color is Used, It Must Not Be the Only Means of Conveying Information and the Text Contrast of Colors Must Not Trigger a Hard to Read Text Contrast Error”

While use of color is permitted, it cannot be the sole means of providing information. Manually review the dissertation for uses of color and make sure that color is not the sole means

of conveying information. If the dissertation uses color alone to convey information, an alternate means of conveying that information must also be provided. For more information, see the [color box](#) on the Finishing Your Dissertation Guide.

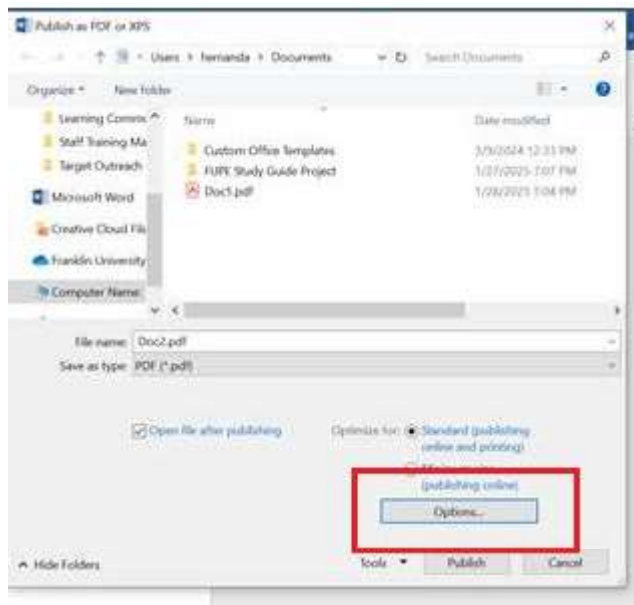
Use of color must include sufficient contrast. Run the accessibility checker in Word by going to “review” from the menu bar. Click on the “check accessibility” icon. If you get a “hard to read text contrast” error, change the text contrast and run the report again to make sure that the new color resolved the error.

Exporting From Word to PDF

The explanations below assume that students create their dissertation in Microsoft Word on a Windows computer before exporting or saving to the PDF format. Students using a Mac should see the Mac tab of the [Exporting from Word to PDF box](#) on the Finishing Your Dissertation Guide.

To create a PDF of the Word file to upload to the format check assignment, select “file” from the top menu bar, then select “export” and click on the option to “Create PDF/XPS Document.”

Before saving, click on the “options” button.



Make sure that the options under “include non printing information” for “document properties” and “document structure tags for accessibility” are selected. Also make sure that the option for “create bookmarks using:” is selected with “headings” selected underneath it. Then select “ok” and click “publish.”

The screenshot shows the 'Options' dialog box in Microsoft Word. The 'Page range' section has 'All' selected. The 'Publish what' section has 'Document' selected. The 'Include non-printing information' section is highlighted with a red box and contains four checked items: 'Create bookmarks using:', 'Headings', 'Document properties', and 'Document structure tags for accessibility'. The 'PDF options' section at the bottom has 'Bitmap text when fonts may not be embedded' checked.

For additional information, see: [How to Properly Export from Word to PDF \(1 minute, 40 seconds\)](#).

Uploading the Dissertation to OhioLINK's ETD

Students must upload a PDF of their dissertation which has passed the format check assignment and includes the signed approval form to the OhioLINK ETD. Students are responsible for making any changes requested by the OhioLINK ETD administrator during the process.

Sign-up

To submit to the OhioLINK ETD Center, students must sign-up for an account. To sign-up, go to the login page (<http://etdadmin.ohiolink.edu/>) and click “New User? Register Here!” Then, select “Submitter/Student Account,” and a form will display.

Complete the form. Required fields have a red asterisk (*). Keep in mind:

- The *name* used for the OhioLINK ETD submission must match the name on the dissertation title page.
- The full *Email Address* will be the username for logging in.
- *Current Contact Information* is the local mailing address.
- *Permanent Contact Information* is the contact information after graduation.
- *Show this email address in my ETD's public record* allows the option to display the student's permanent email address to the public; the default is “no”.

Optional: The ETD Center supports [ORCID Identifiers](#) that help distinguish one researcher from another, especially when names are similar, and serve as an online profile that can link to a researcher's works, funding, professional website, and other useful information. This information is optional.

When finished, click “Save and Continue.” Check the email address used in the signup for a temporary password to log in for the first time.

Log-in

For initial log in, use the temporary password. Find the login page here: <http://etdadmin.ohiolink.edu/>. Select “Change Password” to update the password to a permanent password.

Creating a New ETD Submission

Once logged in, select the “Create New ETD” button to start the ETD submission process. The submission process involves completing a multiple-page form and uploading a PDF and any other additional, supplemental files. Read the instructions and OhioLINK ETD Center Publication Agreement on first page, complete the page, and click the checkbox to agree and continue.

Saving and Submitting

“Save and Continue” is the only button that will save any changes on the current page. Clicking on save and continue will advance to the next page. Be sure to use this button before exiting the form.

“Exit” leaves the ETD submission form and returns to the submitter homepage without saving changes on the current page. A pop-up box will give the option to cancel and return to the page to save.

Previous goes back a page but does not save any changes on the current page. Skipping ahead to other areas on the progress bar will jump to that page but will not save any changes on the current page.

On the “Review” page, the “Submit My ETD” button appears when the submission form is complete and a PDF and any supplementary documents have been uploaded. Once submitted, the dissertation is sent to Franklin’s OhioLINK ETD Center administrator who will review the dissertation and, if necessary, request changes so that it aligns with Franklin University’s submission requirements. All requested changes must be made before the dissertation is published.

Once a dissertation is published in the OhioLINK ETD, no changes can be made. Therefore, students should review the PDF before submitting their dissertation for publication to ensure that there are no errors.

After the dissertation is published, students can log into their account and view, but not edit, the submitted information and download a copy of the dissertation.

The OhioLINK ETD Center Administrator will also share all submitted dissertations on the Franklin University Scholarly Exchange (FUSE).

Requirements

When submitting to the OhioLINK ETD Center, students must select full text for submission type. Students must also authorize that their work be added to the ProQuest dissertation database.

Appendix A: Franklin University Dissertation Formatting Requirements

General Document

One-inch margins

Times New Roman 12 point font

Double spaced

Each chapter begins on a new page

No running head

Formatting consistent with dissertation template

Definition of terms formatted as paragraph, with term in italics followed by definition

Portrait orientation

Title Page

Must match university template

Does not include committee member degrees

Committee member listing on title page matches order on the "Dissertation Defense and Manuscript Approval Form"

Committee member names preceded by Dr.

Month listed on title page matches the month listed on the approval certificate

Name matches the name on the approval form

Title must match the title on the "Dissertation Defense and Manuscript Approval Form"

No page numbers on title page

Abstract

1 ½ pages or less

Abstract paragraph(s) are indented like paragraphs in body of dissertation

No citations included in abstract

Starts on page iii

Page Numbers

Preliminary pages are lowercase Roman numerals

First page of Chapter 1 begins with Arabic numeral one (1)

Located in top right corner, ¾ inch from top edge, one inch from right edge

Consecutive numbering

Appendices

All appendices are titled

Page numbers are included in top righthand corner

Appendices are listed in the Table of Contents

Franklin University determination / IRB approval letter included

Tables and Figures

If three or more figures, a separate list of figures is required

List of Figures (if included) formatted consistent with requirements of dissertation template

Figures are formatted according to APA requirements

If three or more tables, a separate list of tables is required

List of Tables (if included) formatted consistent with requirements of dissertation template

Tables are formatted according to APA requirements

Tables and figures are numbered consecutively within the dissertation and if tables/figures are included in the Appendix, the consecutive numbering continues in the appendix

Accessibility

Dissertation was properly exported to PDF format and includes required document tags

The student has included a PDF file of the dissertation which includes full text

The PDF accessibility flag is checked

The text language of the PDF is specified

Figures and images include valid alternate text

The PDF document properties include the title, author, keywords, and subject

At least one heading level is included in the text and the document has appropriate headings

If color is used, it must not be the only means of conveying information and the text contrast of colors must not trigger a hard to read text contrast error

Headings

Consistent Headings

Level 1 headings are chapter headings and match template requirements

Headings adhere to the style of headings in the template

Heading titles align with table of contents

Level 2, 3, etc. headings are consistent and match template requirements

Table of Contents (TOC)

Double-spaced

Page numbers are correct

Page numbers are right justified

Starts with Chapter 1 (preliminary matters not included)

Includes all level 1, 2, or 3 headings, references, and appendices (and only those items)

Level 1 headings match the titles in the body of the paper and are left aligned

Level 2 headings are indented ½ inch under level 1 headings

Level 3 headings are indented ½ inch under level 2 headings

Entries are *not* bold, italic, or all capital letters.

Appendix B: Dissertation Policies

Embargo Policy

Franklin University generally does not allow dissertation embargoes unless justified on a case-by-case basis. Any embargo request must be approved by the Office of Academic Scholarship. The maximum time the Office of Academic Scholarship will approve for an embargo is one year.

Corrections to Published Manuscripts Policy

Franklin University does not permit changes to published dissertations, except for the following situations.

For minor typographical errors, the University will permit the student to submit a correction on a separate errata sheet which must identify the original dissertation, the location and nature of the error, and the correction. The errata form must be submitted to the Office of Academic Scholarship at oas@franklin.edu

If the Office of Academic Scholarship approves the correction, it will notify the dissertation committee and provide the errata to the ETD administrator who will post it as an additional file alongside the dissertation in the OhioLINK ETD Center and FUSE.

For cases of copyright infringement, or where a dissertation contains identifiable information on a study participant, the Office of Academic Scholarship may review the dissertation and determine whether the dissertation should be removed or corrected.