

Guide for Writers of Doctoral Dissertations

Illinois State University

Overview of the Dissertation Process

Explore your topic and methods through preliminary research.

- Consult faculty members, your Milner Library subject librarian, and/or the Statistical Consulting Center as needed.
- Review university requirements for work with human subjects, animals or biohazardous material.
- Familiarize yourself with copyright and permissions requirements.

Choose a director, compose a committee, and develop a formal proposal.

- Obtain any required university IRB, IACUC and IBC permissions.
- Request any required permissions to use and/or reproduce copyrighted material.
- Continue consulting with Milner subject librarian and Statistical Consulting Services as needed.
- Review Graduate School regulations for your committee; consult your dissertation director and ask the department chair about any requests to be filed with the Graduate School for exceptions on committee members.
- In consultation with your dissertation director and committee members, write a formal proposal.
- In consultation with your dissertation director and committee members, establish a tentative timetable for submission of segments of the project.
- Defend the proposal in your department.
- File the proposal form with the Graduate School by the deadline.
- Plan ahead to meet continuous registration requirements until your dissertation is completed.

Write the dissertation.

- Familiarize yourself with all format requirements and set up your word processing program accordingly. Find out whether your program is single-approval or dual-approval for format examination.
- Set up a schedule to stay in touch with your dissertation director and committee members on a regular basis.
- Secure permissions for copyrighted material as needed, assemble letters for format examination.

As you enter the semester of completion...

- File for completion of your degree and any certificates that you are pursuing.
- Register for commencement if you will be participating and order your regalia (you are not required to participate.) Determine with your director which faculty member will be hooding you, and submit your commencement information form to the Graduate School format examiner *at least two weeks before the last day of classes*.
- Plan ahead to meet Graduate School deadlines for submitting a complete copy of the dissertation for format check and securing the **Right to Defend form**.

Submit the dissertation, secure the right to defend, and schedule the defense.

- **The last full week of each semester before the degree completion date (fall/spring/summer) is reserved for checking the final copies of students who are slated to graduate that semester.** Students who are graduating in the following semester may still turn in pre-defense copies during that time, and pre-defense format checking will resume after the degree completion date.
- For the format check, the dissertation must be complete, accurate, properly formatted and printed, single-sided. Electronic copies, single-spaced copies, or double-sided copies are not acceptable.
- **The Right to Defend form must be signed by the Graduate School format examiner before you schedule the defense with your department.**
- Send location, date, and time of defense to sdportr@ilstu.edu
- Complete remaining forms for degree completion.
- Make any changes required after the format check, then place copies of the dissertation on file in your department for pre-defense review.

Defend the dissertation. Note any required or recommended revisions.

- Make revisions as needed until the dissertation is acceptable to your committee and meets all disciplinary and university requirements; if yours is a dual-approval program, secure the departmental format approval form (not required for students from single-approval departments);

Submit final copies to Graduate School, along with required forms and fees (see the checklist at the end of this booklet). After the final copies are approved by the Graduate School, make any additional copies required by your program and submit those additional copies to your director.

The dissertation process

While completion of the dissertation is often seen as the finish line of the doctoral program, it also marks your entrance into a worldwide academic community. Defense, deposit, and dissemination of your dissertation all serve to make your ideas increasingly public. The dissertation process is designed to help you prepare to address that widening audience.

A dissertation is very different from a course paper or an independent study. Beyond your director, committee, and academic discipline, the dissertation is governed by rules set by the University Graduate School, the Office of Research Ethics & Compliance, Milner Library, the United States Copyright Office, and ProQuest Imaging. The entire dissertation process—preliminary research, proposal, research and drafting, revision, defense, final revision, and deposit—is integral to doctoral education. The Graduate School’s guidelines and deadlines support the dissertation process by assuring the opportunity for careful attention to each step.

Reading this entire guide now, asking questions in advance, and following all instructions carefully will help you to navigate the process as smoothly as possible.

Dates and deadlines <http://www.grad.ilstu.edu/downloads/datesanddeadlines.pdf>

Setting your own target dates a few weeks before the deadlines allows you to avoid the end of semester rush and offers a margin of safety in case of delay.

While your director and other members of your committee may be willing to extend the time on an informal deadline that you have agreed upon—for instance, a date when you will submit a particular chapter draft for review—they cannot extend any Graduate School deadline or waive any requirement described in this guide.

If you are unable to meet any one of the Graduate School’s requirements or deadline dates your graduation date may move forward to the next semester. In that event your graduate coordinator may choose to contact the Graduate School to request that you be permitted to participate in the Commencement ceremony in the semester you had originally planned, and you may request an updated transcript as soon as you have met all requirements.¹

¹ Upon completion of all requirements for the degree and final deposit of the dissertation, the student requests a transcript and marks “early check-out” on the transcript request form. A new transcript is then issued, including an official and dated notation line stating that all degree requirements have now been fulfilled and that the degree will be issued at the next graduation date.

Upon the recommendation of the dissertation director, the student’s graduate program coordinator may request the Graduate School’s permission for a student to walk in Commencement even if the student will not have met all graduation requirements by the deadline for that semester. Since no diplomas are issued at the ceremony, the student’s participation—including hooding, where applicable--will be identical to that of all other candidates for the

Preliminary research

Preparation for a dissertation begins with a thorough and thoughtful review of the research that has already been accomplished in your area, including recent theses and dissertations as well as publications. Sometimes students view the literature review as a sort of due diligence or patent search, an effort to be certain that no one has already written on their precise topic, but this step is much more than an avoidance of duplication. As you prepare to join an intellectual conversation in your field, your first task is to read, analyze, and acknowledge what has already been said.

Milner Library's subject specialist librarian in your discipline can help you locate all of the standard reference materials in your field, design effective search strategies, and alert you to new sources. There is no charge for that consultation. **The university's Statistical Consulting Center (SCC)** is available to assist you with any statistical material. Their help is also free.

<http://www.library.ilstu.edu/directory/specialists.php> <http://www.statscenter.ilstu.edu/>

Proposal & composition of the committee

Details of the proposal process vary from program to program. In consultation with your dissertation director, you will need to compose a dissertation committee of graduate faculty from your program, with the director of the committee and a majority of members holding full membership on the graduate faculty. If your topic is interdisciplinary or if there is a faculty member at another institution with special expertise in your area, the Graduate School may approve an exception to include one or more members from outside your department or outside this university. If most faculty members in your area are not yet full members of the graduate faculty, the Graduate School may approve an exception to include a greater proportion of associate members. All requests for exceptions must be supported by your department chair before they will be considered by the Graduate School. After you have successfully defended the proposal in your department and the Graduate School has accepted the proposal and the committee, your status as a dissertation student becomes official.

Proposal Approval Form for Research Leading to a Doctoral Dissertation or Master's Thesis

<http://www.grad.ilstu.edu/downloads/proposalapproval2.pdf>

Exception form for Thesis/Dissertation Committee Member (if needed)

<http://www.grad.ilstu.edu/downloads/thesisexceptionform2.pdf>

Research with or involving human subjects or animals, biohazards

<http://www.rsp.ilstu.edu/policy>

These types of research require advance review, permissions, and forms from the Institutional Review Board (IRB), Institutional Animal Care and Use Committee (IACUC) or the Institutional Biosafety Committee (IBC.) Failure to secure those permission forms and get them approved in advance carries serious risks. You may jeopardize your own funding, funding of others on campus, or even your ability to use your results in your dissertation. Your department has an IRB representative to answer questions, or you may contact Research Ethics & Compliance at (309) 438-8451.

Dissertations that are not in compliance with all university research approval requirements will not receive a Right to Defend form and will not be accepted for deposit and degree completion at the Graduate School.

degree. Diplomas are printed and mailed to all students approximately eight to ten weeks after the end of the semester in which the student completes degree requirements.

It is the student's responsibility, not the format examiner's, to assure that the proposed research is in full compliance with all research review requirements and that all required forms have been approved. Should the format examiner notice an apparent violation of the approval requirements, she will not be able to issue the Right to Defend, clear your dissertation for defense, or accept deposit for graduation unless/until Research & Sponsored Programs confirms that your research has been approved. Graduate School deadlines will not be extended for dissertations that are not in compliance with research requirements.

Securing permissions for use and/or reproduction of copyrighted material

Dissertations carry with them a level of legal regulation far beyond the rules for class projects or term papers. The early stage of research is the time to read up on the intricacies of citation, copyright and permissions, and to ask questions as needed. Details on what requires written permission versus what is considered "fair use" can be found at the web sites of the US Copyright Office or Milner Library <http://www.library.ilstu.edu/page/157> <http://www.copyright.gov/> ProQuest provides additional information, including sample requests for permissions, at http://www.umi.com/products_umi/dissertations/copyright/ Some copyright holders may require that you fill out a form that they supply.

Plagiarism and copyright law are separate issues. All borrowed material must be properly cited in order to avoid plagiarism, but quoting or reproducing material of particular types and lengths *also* requires written permission from the copyright owner. In other words, even if you cite all borrowed materials accurately and do not plagiarize at all, if any of those materials require copyright permission and you fail to obtain it then you will still be in violation of copyright law. Do not wait until you have finished writing to begin thinking about permissions: request them as soon as you decide to use the material. Locating the right person, writing your request for permission, and waiting for the response can take months. Be certain to keep copies of all correspondence with copyright owners.

Students who use surveys and other assessments developed by others should pay especially careful attention to the difference between permission to use an instrument in research and report the results versus permission to reproduce the instrument itself or parts of it. For example, the copyright holder may grant permission for you to use a certain psychological assessment test in your research and report your findings, but still withhold permission to reproduce questions from that test in your dissertation or reproduce the instrument in the appendix.

Co-authored works may require written permission from all co-authors.

Under certain circumstances, you may need written permission to include your own writing.

If you have already published some of the work that you plan to use in your dissertation, or if any of that work was done as "work for hire" on a grant or for an employer (for example, you were hired to write a training manual for your employer and you would like to include segments of that manual in your dissertation), it is possible that someone else now holds the copyright to that writing, even though you are the author. Find out well in advance who holds that legal copyright. If someone else—a grant agency, publisher, or a current or former employer, for instance—holds the copyright, then you will need to obtain written permission before you can include those items or segments of them in the dissertation.

It is the student's responsibility, not the format examiner's, to assure that the dissertation is in full compliance with permissions requirements before the deadline for the first format check. Should the format examiner notice an apparent violation of copyright law, she will not be able to issue the signed Right to Defend, which clears your dissertation for scheduling the defense, or accept deposit for degree completion until you do one of the following:

- a) provide a copy of a published statement that the copyright holder has agreed to make that material available for use and/or reproduction without permission;

- b) provide a written opinion from the university's copyright specialist stating that the material in question may be used and/or reproduced in a dissertation, placed in Milner Library, and sent to ProQuest for imaging and distribution without permission from the copyright holder;
- c) provide the appropriate written permission from the copyright holder for your use and/or reproduction of the material; or
- d) (with the approval of your committee) rewrite the dissertation to omit the material for which you needed permission.

Graduate School deadlines will not be extended for dissertations that are not in compliance with copyright law.

Establishing & maintaining a writing schedule

At the time of the proposal you and your dissertation director should establish a tentative schedule for the submission of draft chapters. As you write, stay in touch regarding deadlines for drafts and when you should send copies to your other committee members. Some directors and committee members are willing to read electronic attachments of early drafts instead of hard copies. Ask what your readers prefer.

Writing the dissertation

Across the country most graduate students now type their own dissertations directly into a computer.² It is strongly recommended that you use a standard word processing program and that you enter all text starting with your working notes and first draft. Check to find out which style manual your program accepts, and follow the most recent edition of that manual. Your dissertation must also conform to the university-wide requirements for all dissertations (later in this document.) If there is a conflict between the instructions in your style manual and the university-wide requirements, follow the university requirements.

You can make the dissertation process smoother by reviewing format requirements before you start entering text, setting correct format, and adding formatted entries to your reference pages as you go. Most students do a great deal of revision as they work on the dissertation, and committees often require further revisions after the defense. If you prepare your own text now you will be able to make any needed changes in preliminary or final versions at your convenience.

You may need to change the default settings on your word-processing program in order to meet format requirements. You may also want to bring a few sample pages to the format examiner early on, just to confirm that you have everything set up correctly. Please be aware that the Graduate School format examiner is assigned only to identify and bring to your attention any elements of the dissertation that do not meet requirements. It is your responsibility to make the document meet those requirements. The format examiner is not assigned to proofread; edit for grammar, spelling, content, or organization; make queries on copyright, permissions, or research regulations on your behalf; explain your discipline's style manual; diagnose or correct underlying errors in computer formatting; or teach you how to make changes in electronic files.

The body and notes of this brochure are **not** samples of dissertation format. Format rules for dissertations are discussed in the pages that follow, and sample pages are included at the end. Do not attempt to use a previous dissertation as your format guide; follow all current rules as written.

² The Graduate School does not endorse or recommend typists. Students who choose to hire typists should be aware that the format examiner communicates only with the student, never with the typist. Employing a typist does not guarantee that the document will meet university requirements, and it remains the student's responsibility to meet all requirements and deadlines.

Deadlines will not be extended for students whose dissertations fail to meet department and/or university requirements. You will need to make any necessary changes and print (or reprint) your dissertation in time to meet all published deadlines.

University-wide requirements for all dissertations

These requirements apply to all dissertations, regardless of whether the student's program has chosen single format approval or dual format approval. In the event of a conflict between a program's style manual and university-wide format requirements, the dissertation must follow the university format.

1. Print or copy page quality Laser-printing is preferred. High-quality photocopying is acceptable.

- Crisp, dark black characters are required.
- All pages must be single-sided.
- Erasure, ink-removal, correction fluids and correction strips are not acceptable; any page containing an error must be reprinted and replaced.
- There are no smudges or stray copy machine marks.

2. Paper specifications for the three final copies

- Recycled paper that meets all stated criteria is acceptable.
- Erasable paper is not acceptable.
- Use of Illinois State University or any state or academic institution's watermarked stationery is prohibited. (No special paper is required for the copy submitted for the right to defend, but it follows all other requirements for final copies.)

For the two final library copies (archived and shelved, not returned)

- unlined 8 ½ X 11 white paper
- at least 25% rag or cotton content
- at least 20 lb weight
- At least one of the two library copies must carry original ink (black preferred, blue acceptable) signatures on each page that requires a signature; the other library copy may have photocopied signatures on those pages
- Each of the two library copies must include 4 blank sheets of the same paper each (8 total) for use in binding.

For the one final ProQuest imaging copy (sent to ProQuest, not returned)

- unlined 8 ½ X 11 Bright White bond
- 24 lb weight, no cotton content required
- no signatures are required on the ProQuest copy
- the ProQuest copy requires one blank page of the same paper

3. Font

- Arial, Courier New, Georgia, Times New Roman, Trebuchet MS and Verdana are pre-approved fonts (standard forms of these fonts only, no script, italic or ornamental variations.) Consult your director to find out which font is most commonly used in your field and use that one font throughout.
- Italics may be used for non-English words and for titles as directed by the style manual specified by your program. Underlining in place of italics is acceptable if permitted by your style manual. Use of either italics or underlining must be consistent throughout.

Students who would like to use a different standard legible font must present a sample page of text marked with the name of the font, and secure advance written approval from their dissertation director and then from the Graduate School format examiner, who will sign and date that sample page and place it in the student's file. For creative works such as visual poetry that may involve non-standard fonts or formats, the student needs to secure

advance written approval from both the dissertation director and format examiner prior to the deadline for format check.

4. Type size and line spacing

- 10, 11, or 12 point and consistent throughout. Adjustment in type size is permitted within tables and figures.
- Follow exactly the spacing requirements for each of the pages unique to dissertations (see item #7.)
- Double-space the body of the manuscript. Triple or quadruple spacing is permissible to set off figures or illustrations. Single spacing is permitted if directed in the style manual specified by your program for quotations set in as paragraphs, captions, items in tables, lists, graphs, charts, footnotes/endnotes, bibliographic entries, and lists in appendices.
- Keep two lines of text with each new heading. Otherwise, "widows" and "orphans" are acceptable.

5. Margins

- Preliminary pages unique to the dissertation have their own requirements (see item # 7.)
- 1.5 inch left, 1 inch right, 1 inch top, and 1 inch bottom on all pages *except* 2 inch top margin on the first page of each chapter, the first page of the reference section, and the first page of each appendix.
- All material including page numbers, figures, footnotes/endnotes, and full-page images must be inside the margins.
- Justified right margins are strongly discouraged; your text should be “ragged right.”
- In setting up any centered headings, titles, or numbers, centering should take place within the 6.0-inch-long typing line (the center point of the line is 4.5 inches from the left edge of the paper due to the wider margin on the left hand side.)

6. Format and placement of page numbering

- Do not number your annotation, abstract, title, copyright, and approval pages.
- Number preliminary pages (acknowledgements, contents, tables list, figures list, etc.) with lowercase Roman numerals (i, ii, iii, iv).
- Number all other pages, including references and appendices, with Arabic numerals (1, 2, 3, 4).
- No headers, footers, titles, names, decorative hyphens, periods or other devices may be added to the page numbers.
- Number font must match text font (same type and size)
- The total number of pages identified on the Annotation and Abstract pages must match the page number on the last page of the dissertation (last page of references if there are no appendices, otherwise the last page of the last appendix.)
- There are two choices on number placement. Consult your style manual to see which is more appropriate for your discipline. Whichever one you choose must be consistent throughout. Either all numbers are centered on the 1” bottom margin **or** all numbers are placed at the top right corner (at the intersection of the 1” top and 1” right margins) *except* on first page of each chapter, first page of reference section and first page of each appendix where the number is centered on the 1” bottom margin.

7. Pages unique to dissertations Format on these pages must match exactly the samples at the end of this guide.

- annotation page (your department may waive the signature requirement on the annotation page, in which case the names and signature lines are omitted from the page)
- abstract page (your department may waive the signature requirement on the abstract page, in which case the names and signature lines are omitted from the page)
- title page
- copyright page (if you choose to give copyright notice)
- approval page (this page requires committee names and signatures, cannot be waived)
- acknowledgments page (if you choose to include acknowledgments)
- contents page
- tables page (if you have tables that are not in an appendix)
- figures page (if you have figures that are not in an appendix)

8. Copyright law

□ In addition to proper citation of all borrowed material, all dissertations must comply with applicable US copyright law.

9. Compliance with university research regulations.

□ All dissertations involving human subjects, animals, or certain hazardous substances must comply with applicable university regulations (IRB, IACUC, IBC) and present approved compliance forms.

10. Diagrams, photos, and other illustrations

- Computer-generated text and images are preferred.
- All photos, illustrations, lettering and drawing must be of professional quality.
- Black and white is preferred. Color is acceptable, but please consider that color coding of data may be compromised by copying.
- All final copies must have identical photos or illustrations.
- Adhesive tape and glue are not acceptable.

11. Oversized or unusual materials (for example, maps or CDs) Consult the format examiner before preparing your final copies. You will receive individual instructions for folding, placing and securing materials to meet Milner Library requirements for shelving and archiving, as well as ProQuest's requirements for mailing and imaging.

This concludes the university-wide requirements.

On matters of format beyond university requirements, has your program selected single-approval, or dual approval?

All students follow both university requirements and department requirements. **In the event that a style manual conflicts with university-wide requirements, you must follow the university-wide requirements.** The difference between single and dual approval lies only in who will perform the check and sign the approval for each type of requirement. All programs are single-approval unless they have filed a dual-approval form with the Graduate School.

If yours is a single-approval program the Graduate School format examiner will check for compliance with *both* the university-wide requirements *and* the style guide or manual chosen by your department. The format examiner can tell you which manual/s your department has registered with the Graduate School. In instances where the manual offers two or more options, check with your dissertation director to see which option is appropriate for your work. Follow that one consistently throughout your document.

If yours is a dual-approval program the department will check any matters of format/style that fall outside university-wide requirements, and the Graduate School format examiner will check for compliance with the university-wide requirements. In instances where the style manual specified by your department offers two or more options, check with your director to see which option is appropriate for your work. Follow that one consistently throughout your document. **Students from dual-approval departments will need to bring a signed departmental format approval form along with the dissertation when they submit for final format review at the Graduate School.** (Students from single approval departments do not need this form.) Ask your department chair whether the departmental format authority is the same faculty member for all dissertations in the department, or the individual director for each dissertation. Consult that departmental format authority on any questions of format/style other than university rules. Consult the Graduate School format examiner on questions regarding university rules.

Format approval form for dual approval departments (available online in the dissertation section of www.grad.ilstu.edu)

Approaching the defense

Eventually a day will come when your director and committee members agree that you are ready to schedule the defense. The term for this event harkens back to the Middle Ages, when candidates were expected to stand in public and defend their arguments against all comers in order to demonstrate that they were worthy of the academic title they sought. Defenses are still public. They are advertised throughout the university and anyone is welcome to attend. Most programs provide details of the defense in their graduate handbooks. Your graduate coordinator can answer any further questions on how you should prepare.

Plan the defense well in advance to assure that all members will be available, and that you will have time to meet all university deadlines before and after the defense. Most faculty members are not on contract over the summer, so students who anticipate summer defenses need to check beforehand whether or not their committee members will be available in time for them to meet deadlines for August graduation. The Graduate School will not waive deadlines or rush format checks.

First format check

Once your director and committee members have confirmed that you are ready to defend, and not later than 10 business days before the tentative date of the oral defense, you will need to present a complete, accurate and properly formatted copy of your dissertation to the format examiner in the Graduate School, 309 Hovey Hall. Since this is not a final copy it does not need to be on any specific type of paper, but it must meet all other format requirements. The dissertation must be left in the Graduate School office for 3 full business days for this first format check. Partial days do not count. The examiner will contact you to make an appointment to discuss the findings.

Securing the Right-to-Defend form & scheduling the defense

No later than 7 business days before the oral defense, you must meet with the examiner to discuss the format check findings. Providing that the dissertation meets university requirements, the dissertation examiner will sign the Right-to-Defend. If the dissertation does not yet meet requirements for defense, you will need to make any necessary changes before the Right-to-Defend form will be issued.

With a signed Right-to-Defend form you are cleared to schedule your defense with your department. You then make two examination copies and place them in your department office for review by interested persons prior to the oral defense.

What to expect at the defense

Your director can answer any questions about the specifics of defenses in your program. In most defenses the candidate first summarizes the research and findings in a talk, and then answers questions. After that, the candidate leaves the room while the committee members discuss the defense, and finally the candidate is called back in to hear the result. Typically the meeting ends in congratulations, but it is possible to fail a defense. It is very common for committees to require revisions, perhaps even substantial ones, based on points that arise at the defense. Committees may also make suggestions, which a candidate is free to accept or reject. Keep careful notes so that you are clear on which revisions are required by your committee and which are optional, because any required changes must be completed and approved before you can submit your dissertation for the final format check and deposit. The final result of the defense is reported on the Outcome of Dissertation Defense form, available at the Graduate School web site.

Revision & deposit

Once you have completed all required revisions and incorporated any suggestions as you choose, you are ready to deposit the dissertation. Submit to the dissertation examiner in 309 Hovey....

- 3 final copies of the dissertation, unbound, prepared in accordance with the *Guide for Writers of Dissertations*
- 1 copy of the Departmental Format Approval--only if your program is dual-approval (available online at www.grad.ilstu.edu)
- 1 copy of the Outcome of Dissertation Defense form, with all required signatures (available online at www.grad.ilstu.edu)
- 1 extra copy of your abstract and title pages, unsigned
- 8 extra blank pages of the paper used for the final copies for Milner Library
- 1 extra blank page of the paper used for the ProQuest imaging copy
- the Doctoral Dissertation News Release form (optional-available online at www.grad.ilstu.edu)
- agreement pages of the ProQuest Doctoral Dissertation Agreement Form (pages and instructions are posted at www.grad.ilstu.edu; read all instructions, then print out, complete and submit only the agreement pages)
- one check or postal money order made out to Proquest to cover fees for imaging your dissertation
- An index card or a piece of paper with an address, phone number, and/or e-mail address where you can be reached for the next six months in the event that any issue arises during imaging at ProQuest or binding of your dissertation for the library. If you are not certain of your future contact information, please provide contact information for a family member or friend through whom you can be reached.

Use a check only if you are certain that the account will still be open in 9 months; otherwise purchase a money order (the Normal Post Office is 2 blocks east of Hovey on North Street). Confirm the amount with the dissertation examiner beforehand since the fees are subject to change. As of August 2008 the fee is expected to be \$65 for required basic imaging or \$160 for basic imaging plus optional open access. Students who wish to have Proquest register their copyright will need to add another \$65 to either amount listed above. Students are not required to register their copyright. Those who choose to do so may instead work directly with the US Copyright office at copyright.gov

The committee members and the department or college office may require additional final copies of the dissertation, and may require particular types of paper or binding for those additional copies. The instructions in this guide govern only the copies to be deposited in the Graduate School.

Survey of Earned Doctorates: This survey is optional. Doctoral students are encouraged to complete the national survey and mail it in. A postage-paid envelope for you to submit the completed survey is available from the dissertation examiner.

Illinois State University Policy on Intellectual Property

1. The original records (including software) of an investigation for a graduate thesis or dissertation are the property of the University but may be retained by the student at the discretion of the student's major department.
2. The University shall have, as a condition of the degree award, the royalty-free right to retain, use, and distribute a limited number of copies of the thesis or dissertation, together with the right to require its publication for archival use.

A variety of other factors may affect copyright ownership. Please see Section 4.1.40 (Copyrights). A. (Ownership) of Illinois State University's policy on Intellectual Property available on the University's web site at <http://www.policy.ilstu.edu>.

Copyrighting your dissertation

As detailed on the web site of the United States Copyright Office <http://www.copyright.gov/> by the act of creating and writing a work you already own the copyright (subject to certain exceptions if any of the work was created for hire or previously published.) You may choose to place a copyright notice page at the beginning of your dissertation without paying any fees or filing any forms. The US Copyright web site also explains the difference between *notice* and *registration*. You may register your copyright yourself by submitting forms and payment directly with the United States Copyright Office, you may request that ProQuest register the copyright on your behalf, or you may choose not to register.

Imaging & distribution of dissertations

Illinois State University and many other universities that grant doctoral degrees have arranged for the imaging and distribution of their dissertations by ProQuest Information and Learning of Ann Arbor, Michigan. ProQuest receives one copy of each dissertation completed at Illinois State University with the right to publish the abstract of the dissertation in Dissertation Abstracts International, as well as the right to distribute copies of the dissertation, and the non-exclusive right to reproduce and distribute in any format in whole or in part. The candidate for the doctoral degree must complete forms and pay for basic imaging. The imaging copy is not returned.

ProQuest /UMI has requested the following notice

As the author of the dissertation manuscript, you will be asked to certify that any previously copyrighted material used in your work, beyond "fair use," is with the written permission of the dissertation author/copyright owner. ProQuest Information and Learning /UMI will not be held responsible for any damages that may arise from copyright violations. Copies of permission letters from copyright owners must be attached to the Agreement Form. If permissions are not supplied, copyrighted materials may not be (micro)filmed. ProQuest also recommends study of the discussion of "fair use" in the current edition of Copyright Law & Graduate Research: New Media, New Rights and Your New Dissertation by Dr. Kenneth Crews <http://www.umi.com/hp/SupportDServices/copyright/>. Note: Since ProQuest sells copies of final dissertations, which constitutes commercial sales, copyright permission is sought for resale as well as for inclusion in the dissertation. Letters of permission for dissertations will be sent to ProQuest for permanent filing.

Continuous Registration

Doctoral students who are writing a dissertation and who have completed all other degree requirements must maintain continuous registration each semester. This may be accomplished with coursework, with additional dissertation hours, or with one semester hour of dissertation audit. The continuous registration requirement does not apply to the summer term unless the student is graduating at the end of that term (August). This regulation applies to any doctoral student regardless of the catalog under which the student entered.

A doctoral student who has completed a minimum of 15 semester hours of 599 Doctoral Research, has a "Research Proposal Approval Form" and a "Plan of Study" on file in the Graduate School office, may apply for one hour of dissertation audit, 599.01. Permission must be obtained from the Graduate School office in order to register for 599.01.

After students have registered for one semester hour of 599.01, they will automatically be registered and billed for one semester hour of 599.01 each semester until continuous registration is interrupted, either by non-payment of the tuition bill, withdrawal from the program, or by successfully meeting all graduation requirements. Any student interrupting continuous registration for a period of more than one year will be withdrawn from the degree program. Any student requesting reinstatement in a degree program must direct such a request in writing to the department and, if departmentally approved, to the Graduate School. If reinstatement is approved, the student must complete an application for readmission and pay tuition for the delinquent semesters.

Under certain circumstances a student may enroll in 599.90 rather than 599.01. Consult the Graduate Catalog for further information on 599.90

Commencement

Participation in the commencement ceremony is not required. No diplomas are distributed there; all diplomas are mailed 8-10 weeks after the semester ends. Doctoral graduates who plan to participate in the ceremony must register beforehand and purchase regalia, including cap, gown and academic hood. They may invite as many guests as they wish. No advance registration or ticket is required for guests.

Doctoral candidates enter the ceremony carrying the hood and bring it with them when they are called to the stage. The Director of the Graduate School announces the candidate's name, degree, faculty member who will be hooding (usually the committee chair), committee chair and any co-chairs, and the topic of the research. Assisted by the Provost, the hooding faculty member places the hood over the candidate's head and adjusts it. The faculty member and the Provost shake the candidate's hand. The candidate walks across the stage to receive the diploma cover and then returns to his or her seat for the remainder of the ceremony.

Students are usually hooded by the chair of the committee if that person will be present at commencement. Otherwise another faculty member or the department chair may hood the student. Students who wish to be hooded by a committee member from outside the university need permission from both their department chair and the dean of their college. Those permissions (e-mail messages will suffice) are forwarded to Steve Klay, university commencement coordinator.

In addition to filing for degree completion and registering with Commencement Services, all doctoral candidates must submit a commencement data form to the dissertation examiner no later than two weeks before Commencement day. That form is used to prepare the cards used by the reader at the ceremony.

Commencement data form for doctoral candidates (available online in the dissertation section of www.grad.ilstu.edu)

Advice from successful writers of dissertations

Writing a dissertation can be great intellectual fun, but it is not for nothing that it has also been described as an "especially grueling form of academic education."³ In contrast to the social contact and camaraderie of courses, research and writing can be isolating and lonely. Without those due dates and class hours, it can be difficult to reserve time for research and writing when you are facing a host of other responsibilities at work and at home. Many students who once looked forward to finishing their classes so that they could get to the dissertation are surprised when they discover a certain nostalgia for coursework. Here are some observations that have helped other students get through difficult patches in their research and writing.

As with any project, the first step is to break it down into manageable steps. While it is not realistic to put "write a dissertation" on your list of things to do today, you can plan ahead to read or write for a set time each day. Make yourself work every day for that scheduled amount of time, whether or not you are feeling in the mood to research or write. Treat your dissertation as you would a job. You don't wait for that "special work mood" to strike before you go to work.

Set informal deadlines for submission of chapters to your director, and regard them as seriously as due dates for term papers. Cite your deadlines to explain why you cannot take on other tasks: *I'd like to help you paint that fence this weekend, but I owe my dissertation committee a chapter by Monday.*

Check in often. Sometimes the most important time to contact your director is when you would rather not, because you have gotten stuck and are starting to fall behind schedule. Your first impulse may be to avoid contact and hope that the director forgets that chapter one was due last week. Resist that impulse and instead call or e-mail as soon as you stop making progress, even if it is well before the next due date. A quick consultation can help you get back on track.

Once you do get that first chapter draft written, it is best not to hover over it for months, making minor revisions until you think it is just perfect. Holding on to that first draft too long can make you resistant to criticism and perhaps even resentful. *How can my director say this section isn't clear? I already rewrote it sixteen times.* Submit the first draft for comment immediately, and expect to make quite a few changes. Once you have submitted a draft, do not just wait for it to come back. Start working on another chapter.

³ http://www.sharonbender.com/doctoral_dissertation.html

Students who come through the dissertation stage with flying colors are usually the ones who develop a realistic and productive attitude as well as a schedule. They start with sensible premises. *Of course this first draft of chapter one won't be perfect; I've never written a dissertation before. Reading the comments and revising will help me figure out how to improve it. As I get the hang of this type of writing my first draft of the next chapter will be better.* They envision the dissertation director as their mentor and ally rather than their judge. Those students will still be tired and frustrated sometimes, but at the end they will be confident scholars, ready to take on their next project.

Now consider the students who start with different premises, for instance *obviously the first draft should be perfect before I send it to my director; if the director has any suggestions it will be a sign that I have failed.* Students who adopt this approach are likely to take longer to finish, and to emerge feeling battered and bruised. As they see it, they were constantly failing to meet expectations (mostly their own, of course.) Not only will realism help keep you moving during your writing, at the end you will be better prepared to move on to the next stage in your career.

Steps to completion for doctoral candidates

Review Graduate School Dates & Deadlines online at www.grad.ilstu.edu

Completing these steps before the deadlines will reduce the risk of delaying graduation if substantial revisions are required after your defense or if the dissertation does not meet other requirements.

Submit copy for format check at least ten business days before the projected oral defense date

□ After completing and proofing your dissertation, submit the dissertation, and copies of any required copyright permission letters to the Dissertation Examiner in the Graduate School Office, 309 Hovey Hall. If you are using human subjects, animals or biohazardous materials you must also have IRB approval numbers on file with the Research Office. No special paper is required for this preliminary copy, but otherwise it follows the same specifications as your final copies.

Appointment for discussion of results. At least 7 business days before the projected oral defense.

□ When you have submitted your thesis, the format examiner will contact you to schedule a date and time to discuss the results. The format check normally takes three working days, so plan on at least that much time between submission and appointment. If your dissertation meets requirements, at that appointment the Dissertation Examiner will give you a signed Right to Defend form. You must have that form BEFORE you schedule a defense.

□ After you have the Right to Defend you may contact your department, file the required examination copies there, and schedule your defense. Send location, date, and time of defense to sdportr@ilstu.edu.

After the defense

□ Make all changes required by your committee and the dissertation examiner. If your committee also made suggestions but did not require them, those changes are optional.

□ Proofread and prepare your final copies to meet all specifications in the *Guide for Writers of Dissertations*. Use the "Preparing the final copies of the dissertation" sheet to confirm that your copies are ready for deposit.

At least two weeks before your planned Commencement ceremony.

□ Submit the Commencement Data form for doctoral candidates (available online at www.grad.ilstu.edu) to the dissertation examiner in 309 Hovey.

Final Deposit See Dates & Deadlines. Submit to the dissertation examiner in 309 Hovey

- 3 final copies of the dissertation, prepared in accordance with latest edition of the *Guide for Writers of Dissertations*
- 1 copy of the Departmental Format Approval--only if your program is dual-approval (available online at www.grad.ilstu.edu)
- 1 copy of the Outcome of Dissertation Defense form, with all required signatures (available online at www.grad.ilstu.edu)
- 1 extra copy of your abstract and title pages, unsigned
- 8 extra blank pages of the cotton content paper used for the final library copies
- 1 extra blank page of the Bright White paper used for the ProQuest imaging copy
- the Doctoral Dissertation News Release form (available online at www.grad.ilstu.edu)
- agreement pages of the ProQuest Doctoral Dissertation Agreement Form (pages and instructions are posted at www.grad.ilstu.edu; read all instructions, then print out, complete and submit the agreement pages)
- one check or postal money order made out to Proquest to cover fees for imaging your dissertation
- An index card or a piece of paper with an address, phone number, and/or e-mail address where you can be reached for the next six months in the event that any issue arises during imaging a ProQuest or binding of your dissertation for the library. If you are not certain of your future contact information, please provide contact information for a family member or friend through whom you can be reached.

Use a check only if you are certain that the account will still be open in 9 months; otherwise purchase a money order (the Normal Post Office is 2 blocks east of Hovey on North Street). Confirm the amount with the dissertation examiner beforehand since the fees are subject to change. As of August 2008 the fee is expected to be \$65 for required basic imaging or \$160 for basic imaging plus optional open access. Students who wish to have Proquest register their copyright will need to add another \$65 to either amount listed above. Students are not required to register their copyright. Those who choose to do so may instead work directly with the US Copyright office at copyright.gov

Survey of Earned Doctorates: This survey is optional. Doctoral students are encouraged to complete the national survey and mail it in. A postage-paid envelope for you to submit the completed survey is available from the dissertation examiner.

Preparing the final copies of your dissertation

To minimize the likelihood of further corrections, reprinting expenses, and delays in acceptance and graduation, please use this extra copy of the checklist to confirm each item as you prepare the copies.

University-wide requirements for dissertations Checked by Graduate School format examiner on all dissertations.

1. Print or copy page quality Laser-printing is preferred. High-quality photocopying is acceptable.

- Crisp, dark black characters are required.
- All pages must be single-sided.
- Erasure, ink-removal, correction fluids and correction strips are not acceptable; any page containing an error must be reprinted and replaced.
- There are no smudges or stray copy machine marks.

2. Paper specifications for the three final copies

- Recycled paper that meets all stated criteria is acceptable.
- Erasable paper is not acceptable.
- Use of Illinois State University or any state or academic institution's watermarked stationery is prohibited. (No special paper is required for the copy submitted for the right to defend.)

For the two final library copies (archived and shelved, not returned)

- unlined 8 ½ X 11 white paper
- at least 25% rag or cotton content
- at least 20 lb weight
- At least one of the two library copies must carry original ink (black preferred, blue acceptable) signatures on each page that requires a signature; the other library copy may have photocopied signatures on those pages
- Each of the two library copies must include 4 blank sheets of the same paper each (8 total) for use in binding.

For the one final ProQuest imaging copy (sent to ProQuest, not returned)

- unlined 8 ½ X 11 Bright White bond
- 24 lb weight, no cotton content required
- no signatures are required on the ProQuest copy
- the ProQuest copy requires one blank page of the same paper

3. Font

- Arial, Courier New, Georgia, Times New Roman, Trebuchet MS and Verdana are pre-approved fonts (standard forms of these fonts only, no script, italic or ornamental variations.) Consult your director to find out which font is most commonly used in your field and use that one font throughout.
- Italics may be used for non-English words and for titles as directed by the style manual specified by your program. Underlining in place of italics is acceptable if permitted by your style manual. Use of either italics or underlining must be consistent throughout.

Students who would like to use a different standard legible font must present a sample page of text marked with the name of the font, and secure advance written approval from their dissertation director and then from the Graduate School format examiner, who will sign and date that sample page and place it in the student's file. For creative works such as visual poetry that may involve non-standard fonts or formats, the student needs to secure advance written approval from both the dissertation director and format examiner prior to the deadline for format check.

4. Type size and line spacing

- 10, 11, or 12 point and consistent throughout. Adjustment in type size is permitted within tables and figures.
- Follow exactly the spacing requirements for each of the pages unique to dissertations (see item #7.)

- Double-space the body of the manuscript. Triple or quadruple spacing is permissible to set off figures or illustrations. Single spacing is permitted if directed in the style manual specified by your program for quotations set in as paragraphs, captions, items in tables, lists, graphs, charts, footnotes/endnotes, bibliographic entries, and lists in appendices.
- Keep two lines of text with each new heading. Otherwise, "widows" and "orphans" are acceptable.

5. Margins

- Preliminary pages unique to the dissertation have their own requirements (see item # 7.)
- 1.5 inch left, 1 inch right, 1 inch top, and 1 inch bottom on all pages *except* 2 inch top margin on the first page of each chapter, the first page of the reference section, and the first page of each appendix.
- All material including page numbers, figures, footnotes/endnotes, and full-page images must be inside the margins.
- Justified right margins are strongly discouraged; your text should be "ragged right."
- In setting up any centered headings, titles, or numbers, centering should take place within the 6.0-inch-long typing line (the center point of the line is 4.5 inches from the left edge of the paper due to the wider margin on the left hand side.)

6. Format and placement of page numbering

- Do not number your annotation, abstract, title, copyright, and approval pages.
- Number preliminary pages (acknowledgements, contents, tables list, figures list, etc.) with lowercase Roman numerals (i, ii, iii, iv).
- Number all other pages, including references and appendices, with Arabic numerals (1, 2, 3, 4).
- No headers, footers, titles, names, decorative hyphens, periods or other devices may be added to the page numbers.
- Number font must match text font (same type and size)
- The total number of pages identified on the Annotation and Abstract pages must match the page number on the last page of the dissertation (last page of references if there are no appendices, otherwise the last page of the last appendix.)
- There are two choices on number placement. Consult your style manual to see which is more appropriate for your discipline. Whichever one you choose must be consistent throughout. Either all numbers are centered on the 1" bottom margin **or** all numbers are placed at the top right corner (at the intersection of the 1" top and 1" right margins) *except* on first page of each chapter, first page of reference section and first page of each appendix where the number is centered on the 1" bottom margin.

7. Pages unique to dissertations Format on these pages must match exactly the samples at the end of this guide.

- annotation page (your department may waive the signature requirement on the annotation page, in which case the names and signature lines are omitted from the page)
- abstract page (your department may waive the signature requirement on the abstract page, in which case the names and signature lines are omitted from the page)
- title page
- copyright page (if you choose to give copyright notice)
- approval page (this page requires committee names and signatures, cannot be waived)
- acknowledgments page (if you choose to include acknowledgments)
- contents page
- tables page (if you have tables that are not in an appendix)
- figures page (if you have figures that are not in an appendix)

8. Copyright law

- In addition to proper citation of all borrowed material, all dissertations must comply with applicable US copyright law.

9. Compliance with university research regulations.

□ All dissertations involving human subjects, animals, or certain hazardous substances must comply with applicable university regulations (IRB, IACUC, IBC) and present approved compliance forms.

10. Diagrams, photos, and other illustrations

- Computer-generated text and images are preferred.
- All photos, illustrations, lettering and drawing must be of professional quality.
- Black and white is preferred. Color is acceptable, but please consider that color coding of data may be compromised by copying.
- All final copies must have identical photos or illustrations.
- Adhesive tape and glue are not acceptable.

11. Oversized or unusual materials (for example, maps or CDs) Consult the format examiner before preparing your final copies. You will receive individual instructions for folding, placing and securing materials to meet Milner Library requirements for shelving and archiving, as well as ProQuest's requirements for mailing and imaging.

This concludes the university-wide requirements.

Additional format requirements from departmental style manual

For dissertations from single approval departments, departmental manual requirements are checked by the Graduate School format examiner.

- In addition to meeting university requirements, illustrative materials meet departmental manual requirements.
- Format of each heading level follows departmental manual requirements and is consistent throughout.
- Parenthetical, footnote or endnote references follow departmental manual requirements.
- Formats of tables, figures, schemes, taxonomies follow departmental manual requirements and are consistent throughout.
- White space around titles, headings, page numbers, illustrative materials, etc. follows departmental manual requirements and is consistent throughout.
- All other departmental manual requirements have been followed.

For dissertations from dual approval departments, all items other than university-wide requirements are checked by the department format authority, who signs the approval form that must accompany the copies of the dissertation. The Graduate School format examiner does not check departmental requirements.

All university and department requirements must be met, and corrections made as needed. All items identified for correction in the pre-defense format check must be corrected in the final copies.

If the final copies do not meet requirements you will need to correct and reprint, and your graduation date may be delayed if those changes cannot be completed by the Graduate School deadline.

Sample pages follow (Samples of less commonly needed pages such as landscape format for charts and graphs are posted in the dissertation section of the Graduate School web site.) NOTE: Sample pages are reproduced on both sides of the page in this guide. In your dissertation, all pages must be single-sided.

See the Dissertation section of the Graduate School web site for tips on meeting format requirements.

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1.5" left margin; 1" right margin
1" bottom margin
no page number

THE TITLE APPEARS IN AN INVERTED PYRAMID STYLE
IN ALL UPPERCASE LETTERS
AND DOUBLE-SPACED

[Two double spaces]

John H. Doe

[One double space]

220 Pages

December 2008

[One double space]

The annotation objectively summarizes the dissertation in no more than thirty words and must be signed by the committee members. The date above is the date of graduation, not the date when the work is deposited in the Graduate School. The date accompanying the signatures is the date on which the members meet to approve the work as correct and complete.

The Signature block should be as close to the 1" bottom margin as possible. Your department chair or school director may waive the signatures on the Annotation. If you receive a waiver, omit the entire signature block.

APPROVED:

Date James B. Smith, Chair

Date Mary C. Jones

Date Thomas R. Brown

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1.5" left margin; 1" right margin
1" bottom margin
no page number

THE TITLE APPEARS IN AN INVERTED PYRAMID STYLE
IN ALL UPPERCASE LETTERS
AND DOUBLE-SPACED

Two or three double spaces between title and author's name.

JOHN H. DOE

*Center text on this page between the 1.5" left and 1" right margins, not to the edges of the paper.
In bottom information block, single-space first three lines of text; double-space last four lines of text.
Keep whole information block as close to the 1" bottom margin as possible.*

A Dissertation Submitted in Partial
Fulfillment of the Requirements
for the Degree of

DOCTOR OF PHILOSOPHY

Department of Educational Administration and Foundations

ILLINOIS STATE UNIVERSITY

2008

(Sample Copyright page)

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no page number*

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[OR]

Copyright 2008 John H. Doe

This page is optional.

The copyright line should begin on the 2" top margin and be centered between 1.5" left and 1" right margins.

For more information about the copyrighting process, see the Guide for Writers of Doctoral Dissertations.

2" top margin
1.5" left margin; 1" right margin
1" bottom margin
no page number

THE TITLE APPEARS IN AN INVERTED PYRAMID STYLE
IN ALL UPPERCASE LETTERS
AND DOUBLE-SPACED

Two or three double spaces between title and author's name.

JOHN H. DOE

*The dissertation approval page should be signed by the committee members; the date should be the date that the members meet to certify that the work is correct and complete.
In all signature blocks, align committee members by their first names.
Extend signature lines to the "r" in "Chair" (or to the end of the longest name).
Align DISSERTATION APPROVED with "Date."
Position whole signature block close to the 1" bottom margin.*

DISSERTATION APPROVED:

Date James B. Smith, Chair

Date Mary C. Jones

Date Thomas R. Brown

2" top margin
1.5" left margin; 1" right margin
page number on 1" bottom margin, centered

ACKNOWLEDGMENTS

The writer wishes to thank.....

The Acknowledgments page is not required. If you wish to dedicate your dissertation to one or more persons, you must do so in the Acknowledgments section, not on a separate dedication page. _____

J. H. D.

Double-space text.

The writer's initials should appear one double space below the last line of text near the right margin. Initials should correlate with the author's name on preceding pages and should be typed in all uppercase letters, with punctuation.

Place lowercase Roman numeral page number on 1" bottom margin, centered.

2" top margin on first page
1.5" left margin; 1" right margin
page number on 1" bottom margin, centered

CONTENTS

	Page
ACKNOWLEDGMENTS	i
CONTENTS	ii
TABLES	iv
FIGURES	v
CHAPTER	
I. THE PROBLEM AND ITS BACKGROUND	1
Statement of the Problem	1
Hypotheses	5
Definition of Terms	7
Limitations of the Study	9
Methodology	11
Collection of the Data	23
Analysis of the Data	27
II. REVIEW OF RELATED LITERATURE	30
General Literature Review	31
Specific Research	33
Similarities of the Theories	35
Differences in Demographics of Studies	37
Cultural Variations and Biases	40
General Themes	41
Resource Development	45
Summary	50
III. RESEARCH DESIGN	52
Statement of the Problem	53

1" top margin on secondary pages

Research Design Procedures	56
Collection of the Data	62
Materials	63
Measurements	65
Assessments	66
Statistical Measures	70
IV. ANALYSIS OF THE DATA	75
Statement of the Problem	76
Hypotheses	78
Statistical Analyses	80
Findings and Results	83
Barriers to Comprehensive Applications	84
Advantages of Generalized Modeling	85
Summary	90
V. SUMMARY, CONCLUSIONS, AND RECOMMENDATIONS	100
Summary of the Research Problem, Methods and Findings	104
Conclusions and Implications	114
Recommendations for Future Research	130
REFERENCES	200
APPENDIX A: Survey Questionnaire	210
APPENDIX B: Letter of Introduction and Direction	213
APPENDIX C: Sample Responses from Subjects at Research Site K-112	215

The above titles and headings are samples only. Titles and headings will vary based upon the subject matter and topic.

Chapter titles and headings in text must match verbatim their respective listings in Contents.

This includes uppercase and lowercase letters, abbreviations, punctuation, and spacing.

Align reference page numbers with the "e" in "Page." See example above.

Align chapter Roman numerals by their respective periods.

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1.5" left margin; 1" right margin
page number on 1" bottom margin, centered

TABLES

Table	Page
1. Organization and Location	9
2. Frequency and Percentage of Positive Responses on Returned Questionnaire	63
3. Cross Tabulation of Occupation Cluster	64
4. Cross Tabulation of College Graduates	67
5. Ratings of Human-Relations Skills	69
6. Ratings of Basic Skills	70

Table titles in text must match verbatim their listings on these pages. This includes uppercase and lowercase letters, abbreviations, and punctuation.

Place referenced page numbers across from last line of multi-line table titles.

Where these referenced tables appear in the text, maintain triple or quadruple spacing between text and top or bottom of each table.

Tables within appendices are not included in the Tables listing. (Tables in appendices are numbered "A-1", "A-2", "B-1", "B-2", "C-1", "C-2", etc.)

2" top margin on first page
1.5" left margin; 1" right margin
page number on 1" bottom margin

FIGURES

Figure	Page
1. Chart of Sales and Percentages for Product Item	3
2. Begin Secondary Lines of Multi-Line Figure Titles Even with Beginning Point of Introductory Lines	10
3. Place Referenced Page Number Across from Last Line of Multi-Line Figure Titles	21

Figure titles in text must match verbatim their listings on Figures page. This includes uppercase and lowercase letters, abbreviations, and punctuation. Place referenced page numbers across from last line of multi-line figure titles. Where actual figures appear in text, maintain triple or quadruple spacing between figure and surrounding text. Figures within appendices are not included in the Figures listing.

2" top margin on coversheet or first page
1.5" left margin; 1" right margin
page number on 1" bottom margin, centered

APPENDIX A

TYPE THE DESCRIPTIVE TITLE IN ALL UPPERCASE LETTERS,
DOUBLE SPACED, IN INVERTED PYRAMID FORMAT

Use a 2" top margin on each cover sheet or the first page of each appendix.

If not using a cover sheet, use a 2" top margin on the first page of the appendix.

On each introductory page, place page number on 1" bottom margin, centered between 1.5" left and 1" right margins.

On each secondary page, place page number on the 1" top and 1" right margin.

On each cover sheet or the first page of each appendix, type the appendix title in all uppercase letters, one double space below "APPENDIX A," using inverted pyramid format for multi-line titles.

If using cover sheets for appendices, use a separate cover sheet for each appendix.

If there is only one appendix, an alpha designation is not required.

When using a cover sheet with each appendix, there are two options from which to choose for the first page following each coversheet:

- 1. Use 2" top margin on first page following cover sheet, repeat APPENDIX A and title, center page number on bottom margin.*

All secondary pages will have page numbers on 1" top and 1" right margins, with first line of text beginning one double space below page number.

OR

- 2. On first page following cover sheet, do not repeat APPENDIX A and title, begin text or illustration one double space below the page number, which is located in the upper right corner.*