



# Guide to Theses and Dissertations: Preparation and Electronic Submissions

## General Preparation and Organization

Although various individuals and committees are a part of the thesis/dissertation evaluation process, the ultimate responsibility for all aspects of thesis or dissertation preparation remains with the student. The general organization, specific subdivision of the text and the method of documentation must be determined by the student in consultation with the chair/co-chair and other members of the advisory committee. These matters should be addressed in the early stages of the student's consultation. An early decision is especially vital concerning the particular journal, book or style manual to be used as a model or guide in the preparation of the thesis. Selecting a style manual as a model is especially useful when the whole thesis or dissertation or portions of it are planned for publication. Please do not use another thesis/dissertation as a model because a particular style or example in a previous model may not meet current guidelines. All doctoral graduates are required to complete a Survey of Earned Doctorate, which can be accessed at <https://sed.norc.org/showRegister.do>

### I. STEPS FOR COMPLETING A THESIS OR DISSERTATION

1. After consultation with the faculty advisor and the Chair of the department where the student is completing the major, the student secures the agreement of a member of the graduate faculty to serve as the dissertation or thesis advisor. In the event that the dissertation or thesis advisor leaves A-State, it is the responsibility of the Department Chair, in consultation with the remaining committee members and the student, to appoint another advisor or to assume that position.
2. For a doctoral dissertation, the student and the dissertation advisor will select committee members for approval by the Department Chair, the graduate program Director, and the College Dean. The committee will consist of 3-5 members. Consult the current Graduate Bulletin to determine the committee structure for the degree sought. The dissertation advisor will chair the committee. For the master's thesis, the thesis advisor will select at least two additional graduate faculty to serve on a thesis committee for the student. One member of the committee may be from outside the department. The thesis advisor will chair the thesis committee.

3. A dissertation or thesis committee form, found on the Graduate Programs website, must be completed and submitted for approval to the Graduate Program Director, Department Chair, and College Dean.
4. Following study and consultation with the dissertation or thesis advisor and the committee members, the student will select a research problem or topic.
5. A dissertation or thesis proposal approval form, found on the Graduate Programs website, must be completed and submitted to the dissertation or thesis committee for approval and sent to the graduate program Director and College Dean for signatures.
6. The student studies the *Guide to Theses and Dissertations: Preparation and Electronic Submissions* and reviews any questions with the advisor or committee chair.
7. The student completes the research and study outlined in the proposal. Then the student prepares the research document in accordance with the *Guide to Theses and Dissertations: Preparation and Electronic Submissions*.
8. Upon approval of the research document by the committee, the advisor completes the thesis/dissertation defense form, found on the Graduate Programs website. The student is required to pay for three copies (Library, thesis/dissertation advisor, and the department) of the bound document.

## **II. GENERAL CONTENT AND ORGANIZATION**

### **Order**

1. Title Page
2. Copyright Page (Optional)
3. Abstract
4. Dedication and/or Acknowledgement(s) (Optional)
5. Table Of Contents with page references
6. List of Tables with titles and page references (if applicable)
7. List of Figures or Illustrations with titles and pages references (if applicable)
8. List of Abbreviations (if applicable)
9. List of Symbols (if applicable)
10. Chapters, including introductions (if included), main body (with larger divisions and more important minor divisions indicated by suitable, consistent headings)
11. Appendices (if applicable)
12. Bibliography/References

## **Components**

### **Title Page**

The title page of a thesis/dissertation should bear the following information:

1. The title of the thesis/dissertation, centered and 2" below the top of the page in capital letters. Double space in between if more than one line.
2. Your name, centered 1" below the title.
3. The following statement, within the full margins, 1" below your name.  
"A Dissertation (or Thesis) presented to the faculty of Arkansas State University in partial fulfillment of the requirements for the Degree of"
4. The following should be 2 spaces below the statement, DOCTOR OF EDUCATION (PHILOSOPHY) OR MASTER OF XXXXX IN XXXXXX
5. On the lower half of the page, centered, the words "ARKANSAS STATE UNIVERSITY" and one line below that, the month and year in which you will graduate.
6. At the bottom of the page, centered, "Approved by" followed by each committee members name.
7. This page is not numbered but is counted.
8. The font should be consistent in size and style with the rest of the document.

### **Copyright Page (optional)**

If you wish to copyright your dissertation or thesis, you must include a copyright page with the following information single-spaced and centered at the bottom half of the page:

©Year  
Full Name (exactly as it appears on the title page)  
ALL RIGHTS RESERVED

This page should immediately follow the title page and is numbered. The font should be consistent in size and style with the rest of the document.

### **Abstract**

The word ABSTRACT should be centered 2" below the top of the page. Immediately below that, center your name (as it appears on the title page) followed by the title of the thesis/dissertation. Skip one line and begin the content of the abstract. It should be double spaced and conform to margin guidelines. An abstract should not exceed 150 words for a thesis or 350 words for a dissertation. The title identified on the abstract must exactly match the title identified on the title page.

This page should immediately follow the copyright/title page and should be numbered. The font should be consistent in size and style with the rest of the document.

### **Dedication and/or Acknowledgements (optional)**

A dedication is an honorific statement from the author to a person or group to whom the author commends the effort and product of the dissertation.

Acknowledgements are the author's statement of gratitude to and recognition of the people and institutions that helped the author's research and writing.

The word DEDICATION or ACKNOWLEDGEMENT should be centered 2" below the top of the page. Skip one line and begin the content of the dedication/acknowledgement. It should be double spaced and conform to margin guidelines.

These pages should immediately follow the abstract page and is numbered. The font should be consistent in size and style with the rest of the document.

### **Table of Contents**

The words TABLE OF CONTENTS should be centered 2 " below the top of the page. The Table of Contents should not contain listings for the pages that precede it, but must list all parts of the thesis/dissertation that follow it. Include the bibliography and all appendices and the page numbers at which these divisions begin. The bibliography and appendices should not be assigned chapter numbers. If the chapters in the thesis/dissertation contain subheadings of one or more levels, include them in the Table of Contents. The subheading(s) should be indented to the right of the margin for chapter titles. Information listed in a table of contents must exactly match the capitalization and wording of titles for the parts, chapters, and subheadings used in the thesis/dissertation.

Page numbers in the Table of Contents should be located just inside the right-hand margin with leaders (lines of dots) filling out the space between the entry and the page numbers. If an entry takes up more than one line, break up the entry about three-fourths of the way across the page and place the rest of it on a second line, single spacing the two lines. Double-space between entries.

This page should immediately follow the Dedication/Acknowledgement page (if any) or the Abstract page and is numbered.

The font should be consistent in size and style with the rest of the document.

### **List of Tables (if applicable)**

Assign each table in your thesis/dissertation an Arabic numeral. You may number tables consecutively throughout the entire work (Table 1, Table 2, etc.), or you may assign each table a two-part Arabic numeral, the first number designating the chapter in which it

appears, followed by a period, followed by a second number to indicate its consecutive placement in the chapter. Table 3.2, for example, would be the second table in Chapter Three.

The heading for the list of tables should appear 1” from the top of the page, centered and in all caps: LIST OF TABLES.

Double-space between the heading and the first entry. The number of each table (in Arabic) and its title should be located on the left margin of the paper with two spaces separating the table number and the title.

Page numbers (in Arabic) are located just inside the right margin of the paper with leaders filling out the space between the entry and the page number. Single-space a table and its title if it takes up more than one line and double-space between each entry. The table number and title in your list of tables should exactly match the number and title appearing in the thesis/dissertation.

This page should immediately follow the Table of Contents page and is numbered.

The font should be consistent in size and style with the rest of the document.

This is the first page to appear on the Table of Contents page.

### **List of Figures/Illustrations/Abbreviations/Symbols (if applicable)**

The heading for the list of figures should appear 1” below the top of the page, centered and in all caps: LIST OF FIGURES or LIST OF ILLUSTRATIONS, etc. Otherwise, follow the instructions given above for the list of tables.

These pages should immediately follow the List of Tables page and are numbered.

The font should be consistent in size and style with the rest of the document.

## **III. FORMAT**

Format, style and method of presenting text, bibliographies, etc., vary from discipline to discipline. Each department offering graduate degrees will choose the research manual that is accepted for published research in that discipline. **In spite of the style differences, general uniformity is expected in all research documents.** The same spacing, margins and page numbering must be used throughout the research document.

### **Margins**

All copies of a thesis/dissertation must have the following uniform margins:

Left: 1.25” throughout the entire document

Right: 1.25” throughout the entire document

Bottom: 1” throughout (with allowances for page numbers)

Top: 1” throughout with a few exceptions

Exceptions: the TITLE PAGE, first page of the ABSTRACT, DEDICATION, ACKNOWLEDGEMENT, TABLE OF CONTENTS, and the first page of each CHAPTER (including the Introduction, if any), begin 2” from the top of the page.

### **Font Type and Size**

To ensure clear and legible text for all copies, choose a medium width font that is either 10 or 12 points in size. Superscripts and subscripts (e.g., footnote numbers) should be no more than 2 points smaller than the font size used for the body of the text.

Font size and type should be consistent throughout the document. Page headings, such as TABLE OF CONTENTS, ABSTRACT, CHAPTER I, etc., should be capitalized, but the font size and type will remain consistent with the rest of the document.

### **Spacing**

The text of a thesis/dissertation must appear in a single column on each page and double-spaced throughout. Exceptions are blocked quotations, notes, captions, legends, and long headings, which are singled-spaced with a space between items.

### **Indentation**

Indent paragraphs four spaces throughout the thesis/dissertation. For blocked quotations, indent the entire body four spaces from the left and right margins, with the first line indented an additional four spaces.

### **Pagination**

Use small Roman numerals (i, ii, iii, iv, etc.) on all pages preceding the first page of chapter one or the introduction. The title page counts as page i, but the number is suppressed. Therefore, the first page showing a number will be page ii (the copyright page or abstract page).

Arabic numerals (beginning with 1, 2, 3, 4, etc.) start at chapter one and include the text, illustrations, notes and any other materials that follow. Center all page numbers at the bottom of the page. If the document contains landscape pages (pages in which the top of the page is the long side of a sheet of paper), make sure that the page numbers nevertheless appear in the same place as they do on other sheets for consistency.

## Footnotes and Endnotes

Footnotes appear at the bottom of the page and endnotes come at the end of each chapter or at the end of the entire text. Whatever system of footnoting is adopted should be followed consistently throughout the entire manuscript.

## Appendices

If the thesis/dissertation has appendices, they should appear at the end of the document (not the chapter to which they pertain) and their margins should conform to the rest of the document. When there is more than one appendix, assign each appendix a number or a letter heading, (APPENDIX 1D, APPENDIX ONE, or APPENDIX A) and a descriptive title. All headings and titles must appear in the Table of Contents. All appendix pages should be numbered with Arabic numeral, continued from and subject to the same guidelines as the rest of the document.

## Bibliography/References

You are required to list all the references you consulted. Because the form of bibliographical entries varies from discipline to discipline, consult and be consistent in applying, one of the published manuals listed at the beginning of this Guide and/or a professional journal in your discipline for the proper form. Citations are single-spaced within each entry and double-spaced between entries. Consult with your thesis advisor or dissertation advisor to determine which of the following headings should identify this section: BIBLIOGRAPHY, SELECTED BIBLIOGRAPHY, WORKS CITED, REFERENCES or SOURCES CONSULTED. References at the end of each chapter (like endnotes) must begin on a separate page with a 1” margin at the top of the page.

## Fees

The fees listed below are estimates and are subject to change at ProQuest’s discretion.

<b>Publishing Services</b>	<b>Doctoral Dissertations</b>	<b>Master’s Theses</b>
Traditional Publishing	\$0	\$0
Open Access Publishing	\$95	\$95
Copyright Service	\$55	\$55
Student Copies (starting at)	\$34 each	\$34 each
Three Required Copies	\$129	\$129

## IV. SUBMISSION

A Checklist and Sample Pages are provided at the end of this guide. To expedite the submission process, make sure your work conforms to these guidelines before you visit the submission site.

The website address for submission is <http://www.etdadmin.com/astate> and technical assistance is 1-877-408-5027. Read and follow all instructions carefully. You will be contacted once your thesis/dissertation has been reviewed and are expected to submit required revisions in a timely manner.

**Fully approved documents are due by the deadline posted on the Academic Affairs Calendar. You are encouraged to submit your document as early as possible to provide ample time for necessary revisions. The time between initial submission and final approval may also vary due to factors such as proximity to deadlines, projected graduation date, etc. Please continue to monitor your email account for notifications until the document is approved.**

### SUBMISSION STEPS:

1. Create an account on the UMI submission site <http://www.etdadmin.com/astate>.
2. Convert your document to a PDF file.
  - You can use the UMI submission site converter up to five times.
  - This converter can convert Word or RTF files up to 100 MB.
  - If converted properly, the conversion to PDF format should not affect the quality of the original document.
3. Agree to the ProQuest/UMI publishing agreement.
4. Upload the PDF file and any supplemental files.
  - Acceptable file formats for supplemental files can be found on the UMI requirements page.
  - Although the UMI submission site discusses mailing in documents with very large supplementary files on a CD-ROM, ASU will not accept submissions in this manner.
5. Choose whether or not you would like UMI to file a copyright on your behalf. Keep in mind that there is a charge to copyright.
6. There is a standing order with UMI for three hardcover 8x11 copies. You can order more than three copies of the thesis/dissertation but the minimum order is three (Library, your advisor, your department). The books will be delivered to the Office of Admissions, Records, and Registration. The student's advisor will be contacted when the copies are available. student's copies will be mailed to him/her directly.
7. Choosing between Open Access and Traditional Publishing:
  - a. **What is Open Access?** The term "open access" means freely available for viewing or downloading by anyone with access to the internet. Sometimes a distinction is made for "limited open access" meaning that material is available free of charge to a limited group of authorized users. Our usage of "open access" means the former; that is, dissertations and theses published for Open

Access with ProQuest/UMI will be available at no charge for viewing or downloading by anyone with access to the internet, indefinitely.

**b. What is Traditional Publishing?**

Traditional publishing at UMI<sup>®</sup> corresponds with the model that generated the publishing industry as soon as mass-reproduction of printed material was possible. That is, the owner of intellectual property and author of the work contracts with the publisher to reproduce, distribute, and sell copies of the work. The publisher pays the author a certain portion of the revenue thus generated. That is why we also refer to our Traditional Publishing model as the "copy sales and royalty payments" model. It's been our business model since 1938, and we've paid out hundreds of thousands of dollars in royalties to the authors of dissertations and theses over the decades.

8. The document will be reviewed after submission. You will be notified via email if revisions are needed, and you must complete all required revisions in a timely manner (usually within 48 hours).

Revised 9/1/17

# Checklist

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## Title Page

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- Are the left and right margins 1.25”?
- Does the page show a 2” margin at the top?
- Does the statement correctly specify the title, full name, department, school granting your degree, graduation month and year and approvers?
- Is the font consistent in size and type with the rest of the document, including the heading?
- Is the graduation date correct?
- Is the page number (i) suppressed on the 1<sup>st</sup> page?

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## Copyright Page

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- Is the copyright page numbered in lower-case Roman numerals?
- Is the copyright information single-spaced and centered at the bottom of the page?

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## Abstract

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- Are the title and name worded exactly as it is on the title page?
- Does the page show a 2” margin at the top?
- Does the second page (if any) return to a 1” margin at the top?
- Is the font consistent in size and type with the rest of the document, including the heading?
- Is the text of your abstract no longer than 150 words (for a thesis) or 350 words (for a dissertations)?
- Is this page(s) numbered in lower-case Roman numerals?

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## Dedication and/or Acknowledgement(s) if any

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- Do the DEDICATION and ACKNOWLEDGEMENTS each begin on a new page?
- Does the first page of each show a 2” margin at the top?
- Do the second and subsequent pages of each return to the 1” top margin?
- Is the font consistent in size and type with the rest of the document, including the heading?
- Are these pages numbered in lower-case Roman numerals?

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## Table of Contents

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- Does the first page show a 2" margin at the top?
- Is the font consistent in size and type with the rest of the document, including the heading?
- Do the second and subsequent pages of the Table of Contents return to the 1" top margin?
- Are these pages numbered in lower case Roman numerals?
- Do the wording, capitalization and punctuation of all entries match those used in the text of your thesis or dissertation?
- Is each entry single-spaced, with a double space between entries?
- Are the corresponding page numbers accurate?
- Does the Table of Contents appear after the Dedication/Acknowledgement (if any) or the Abstract?

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## List of Tables and Figures/Illustrations

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- Does each list have a heading in all caps 1" below the top of the page?
- Is the font consistent in size and type with the rest of the document, including the heading?
- Are all lists of tables, etc. properly numbered, given a title and listed consecutively?
- Is each entry in the list single spaced, with a double space between entries?
- Do the wording, capitalization and punctuation of all entries in your lists match those used in the text of your thesis or dissertation?
- Are the page numbers accurate?
- Are these pages numbered with lower-case Roman numerals?

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## Chapters

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- Does the first page (only) of each chapter begin 2" from the top of the paper?
- Is the font consistent in size and type with the rest of the document, including the heading?
- Is the text double-spaced (except for blocked quotations, notes, captions, legends and long headings, which are single spaced)?
- Are paragraphs indented consistently throughout?
- Have you numbered footnotes (or endnotes) consecutively either within each chapter or throughout the work?
- Are note numbers properly formatted as superscript Arabic numerals or as Arabic numeral placed on the line and followed by a period?
- Do endnotes begin on a separate page?
- Are abbreviations used in notes consistent with those used in the bibliography?
- Is each note single-spaced, with a double space between notes?
- Are page numbers of the text in Arabic numerals (1, 2, 3, etc.) without any additional punctuation?

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## Appendices

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- Have you placed all appendices after the last chapter and before the bibliography?
- Have you assigned each appendix a number or letter and title?
- Does the page show a 1" margin at the top?
- Is the font consistent in size and type with the rest of the document, including the heading?

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## Bibliography/References

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- Are all entries single-spaced, with a double space between entries?
- If references are included at the end of each chapter, does each set begin on a separate page?
- Are abbreviations consistent with those used in the footnotes (or endnotes)?
- Does the page show a 1" margin at the top?
- Is the font consistent in size and type with the rest of the document, including the heading?

**SAMPLE**

**THE ENVIRONMENTAL IMPACT OF AMENITY-BASED SUBDIVISIONS:  
A CASE STUDY OF CHEROKEE VILLAGE**

**John Quincy Doe**

**A Dissertation (or Thesis) presented to the faculty of Arkansas State University  
in partial fulfillment of the requirements for the Degree of**

**DOCTOR OF EDUCATION**

**Arkansas State University  
December 2010**

**Approved by  
Dr. Laura Brown, Thesis Advisor  
Dr. Sam Brown, Committee Member  
Dr. Sally Brown, Committee Member  
Dr. Joseph Brown, Committee Member**

**SAMPLE**

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ii

14









# SAMPLE

## TABLE OF CONTENTS

	Page
List of Tables.....	viii
List of Figures/Illustrations.....	iv
Chapter	
I INTRODUCTION.....	1
The Problem.....	9
Purpose.....	10
Nature of the Study.....	12
Literature Review.....	13
Definition of Terms .....	14
Research Questions.....	16
II REVIEW OF THE LITERATURE.....	26
Emergence of the Study of College Choice.....	27
College Choice as a Process.....	57
APPENDICES.....	228
REFERENCES.....	255

**SAMPLE**

**LIST OF TABLES**

(same format for Figures, Illustrations, etc.)

Table	Page
1. Response rate by institution.....	117
2. Response rate by selected demographic variables .....	120
3. Means and significant t-tests of factors influencing the decision to apply to a program, by gender.....	131



