



## **Dissertation Process and Document Guidelines** **(plus guidelines for submitting to The Athenaeum)** **Spring 2020**

### **Academic Policies and Procedures.**

The Graduate Bulletin is the record of the academic policies and procedures for the dissertation. Go to Final Policies and Procedures section <https://uiw.smartcatalogiq.com/2019-2020/Graduate-Catalog/Final-Projects-Policies-and-Procedures> and select “Dissertations” to review these policies and procedures.

### **Dissertation Process Overview**

When the degree plan coursework is complete, some programs require students to take a qualifying exam to determine their eligibility to continue as candidates for the doctoral degree. Other programs may have different criteria for students to enter the dissertation phase of their program. Regardless, all students writing dissertations should complete the following forms and then become familiar with the dissertation clearance process, described on page 2.

After candidacy is approved, students formally enter the dissertation phase of the program. Progress through the dissertation process is announced by these forms:

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#### Forms Needed for the Dissertation Process

**Announcement of Dissertation Committee.** When you and your committee chair have agreed on who will serve on your dissertation committee, complete this form. Committee members’ signatures indicate their consent to serve on the committee. Committee Members, Program Director, and the Director of Graduate Studies must sign.

**Dissertation Proposal Approval.** This form records formal approval of your dissertation proposal. Student must initial to acknowledge research protocol statement. Committee Members, Program Director and the Director of Graduate Studies must sign.

**Dissertation Defense Announcement.** No less than two weeks (10 working days) prior to the scheduled public dissertation defense, use this form to announce that you will be presenting a public defense of your dissertation. Committee Members, Program Director, and the Director of Graduate Studies must sign. Submit a **structured abstract** at the same time as submitting this form.

**Dissertation Approval (Defense).** This form indicates that you have successfully completed a public defense of your dissertation. Committee Members, Program Director, and Director of Graduate Studies must sign. When form is approved, submit your dissertation document to the Athenaeum. This submission begins the process of format review and the dissertation clearance process.



### **Dissertation Clearance Process**

The dissertation clearance process confirms that the student has completed these steps:

- Account opened and dissertation uploaded to *The Athenaeum*;
- Survey of Earned Doctorates certificate of completion submitted;
- IRB protocols closed;
- Account opened and dissertation deposited in the UIW *ProQuest ETD Administrator*;
- Final format of dissertation approved.

When these steps have been completed, a dissertation clearance form is sent for signature to the Program Director and Director of Graduate Studies, and when complete is sent to the registrar to confirm the completion by the student of all program and university requirements.

### **Due Dates**

Dissertations and all approval forms, except the clearance form, must be on file at the Office of Research and Graduate Studies by these dates:

February 1	May Graduation
June 1	August Graduation
September 1	December Graduation

Dissertations submitted after these dates may not be reviewed in time to clear the student to receive the degree in the declared semester. If dissertation clearance cannot be granted until after close of the semester, then the Registrar may change the official degree posting date to the next semester.

**Plagiarism Check—SafeAssign:** The dissertation will be submitted to SafeAssign for a plagiarism check and a SafeAssign Originality Report will be generated and filed with the student submission. Issues identified in the SafeAssign report, if any, will be included with the format report generated for each student submission.

### **Format Review Process**

The dissertation is reviewed to check for adherence to UIW dissertation formatting standards as outlined in this dissertation guide. This is not a content review, although word, sentence, paragraph level errors and punctuation errors will be marked if noted, especially if they affect meaning or comprehension. The coordinator adds comments to the places in the document where revision is needed and produces a format memo outlining major categories of revision work needed. The marked up dissertation and format memo are returned to the student for further edits. Revised dissertations should be uploaded to the student's account in the Athenaeum, and the revised document is then checked again to ensure final format accuracy.



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### **How to Submit the Dissertation for Format Review**

The submission process is entirely electronic. Print copies of the dissertation are not accepted.

Follow these steps to submit your dissertation:

1. Open an account at The Athenaeum at this URL: <https://athenaeum.uiw.edu/>. Complete all information prompts and upload a pdf copy of the dissertation. The system automatically notifies the dissertation coordinator that there is a new document ready for review.
2. Review by the dissertation coordinator may take up to three weeks, depending upon the number of other dissertations and theses. Format corrections can be time-consuming and involve much back-and-forth between the student and the dissertation coordinator.
3. If the document is returned to the student for format corrections, a corrected copy must be uploaded to the account that was opened in The Athenaeum. Do not create a new account.
4. After all format corrections have been completed by the student, the final, approved copy will be deposited into The Athenaeum and will become the permanent document of record.
5. Dissertation students also must deposit the approved, final copy of the dissertation into ProQuest Dissertations and Theses Global database using UIW's ProQuest ETD Administrator. The URL for the ETD administrator can be found here: <https://www.etsadmin.com/main/home?siteId=617>.

### **Dissertation Document Guidelines—Summary**

Before submitting a dissertation to The Athenaeum—and to ProQuest—it must be formatted to UIW standards as stated in this manual. Students are entirely responsible for the dissertation content, citation integrity, writing mechanics, and correct formatting.

#### **All Pages**

- Page numbers: Placed in upper right hand corner; use same font as body text .
- 12 point typeface, can be 10 pt. in tables and figures (if necessary).
- One inch margins all sides, all pages.

#### **Preliminary Pages**

- Use provided templates.



### Chapter Pages

- **Line spacing.** Double space, except single space
  - in block quotes,
  - within table and figure notes,
  - within table titles and figure captions,
  - inside tables and figures (if necessary),
  - headings when more than one line, and
  - within reference entries.
- **Figures and tables.** Presented sequentially in the narrative and always preceded by a mention.
- **Headings.** Format headings per APA guidelines. Chapter headings are level one. Level one and two are always included in the table of contents. Including level three headings in the table of contents is optional.

### Reference Section

- All reference entries must have a corresponding in-text citation, and vice-versa.
- All references are formatted exactly to the appropriate style specifications and all URLs are current. Use the “doi” (digital object identifier) whenever possible.
- Line spacing: Single space within entries, but double space between entries.

### Dissertation Document—Order of Pages

#### Preliminary Pages (Use provided templates to ensure correct formatting.)

- Title Page
- Copyright Page
- Acknowledgments
- Dedication (optional)
- Abstract
- Table of Contents
- List of Tables (if tables are used in dissertation)
- List of Figures (if figures are used in dissertation)
- Other lists (if used in dissertation)

#### Narrative Pages

- Preface (optional)
- All chapter pages
- References
- Appendices



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### **Dissertation Document Format Requirements—Detailed**

Dissertation document format requirements combine UIW guidelines with those presented in the style manual required by the discipline or assigned by faculty supervisors.

#### **Language**

The dissertation must be written in English.

#### **Punctuation**

Punctuation guidelines are based on standard U.S. English as used in the formal academic context. Detailed usage guidelines are presented in the relevant style manuals.

#### **One Space After Final Punctuation in a Sentence**

It is perfectly acceptable to use two spaces after final punctuation in draft versions of the dissertation; however, it is essential to remove this double space before submitting for format review. Manuscripts showing more than a single space after final punctuation will be returned for correction.

#### **Typeface & Typeface Size**

Any clear, easy-to-read 12 pt. font is acceptable, with Times New Roman used as the default choice in many instances. Your dissertation chair or departmental guidelines may express a font preference. Whatever font is chosen, use that same font on all pages, including all body text, headings, page numbers, table titles, and figure captions. You may, however, use a different easy-to-read typeface, but no smaller than 10-point, inside tables and figures, in footnotes (if used), and in materials incorporated in the appendices.

#### **Font Styles**

Use regular font throughout. Italic and bolded fonts may be used only as described in the guidelines of departmental style manual. Script, slanted font, and typefaces with characters of different sizes are not used except as needed in figures.

#### **Margins**

1 inch margins all sides, top, bottom, left, and right. Document headers and footers should be set to .5" (1/2 inch).

#### **Page Numbering**

Number all pages consecutively in the upper right corner of the page. Assign a number to every page of the document, although for certain pages the number is suppressed. Use the same font for page numbers as used in the rest of the document. Do not embellish any numeral with punctuation or other typographical symbols. Preliminary pages are numbered using lowercase Roman numerals; the remainder of the text is numbered using Arabic numbers.



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**Preliminary Pages.** Use lower case Roman numerals (ii, iii, iv, etc.). The copyright page is the first page to receive a number (ii). The title page number is counted in the page count but the number is always suppressed.

**Narrative Text, References, and Appendices.** Place the page number in the upper right corner on all pages. Begin with page 1 immediately after the last preliminary page and continue in numerical order to the end of the document, including references and appendices. Landscape page numbers must be manually positioned so they are in the same position as the numbers on the portrait pages. For instructions on placing page numbers to landscape oriented pages, open this browser link:  
<http://support.microsoft.com/kb/211930/> .

### Justification

Justify only the left margin. Use a ragged (non-justified) right margin and allow all lines to wrap automatically at the right margin. Do not divide words with a hyphen at the end of a line of text. Left justify all block quotes and any other text that is further indented from the left margin.

### Line Spacing

**Preliminary pages.** Follow the special formatting requirements described in this manual for each of the preliminary pages. Preliminary pages include all pages from the title page up to, but not including, the body text.

**Narrative text.** Double space throughout all chapters, and do not add extra space between paragraphs. These elements are exceptions:

**Block quotes:** Single space all block quotes.

**Table titles:** Single space within the title when more than one line.

**Table notes:** Single space when more than one line, but double space between notes.

**Figure titles or captions:** Single space when more than one line.

**Headings:** Single space when more than one line.

**References.** Single space within reference entries and double space between entries.

**Appendices.** Each appendix is formatted according to its source.

### Line Spacing for Equations

The general rule is to leave ample space between the lines of the equation. Also, allow for additional space above and below the equation to separate it from the text or another equation. Displayed equations should be adequately separated from the text so that they are well spaced on the page.

### Indenting

**Paragraphs.** Indent the first line of all paragraphs about one half inch ( $\frac{1}{2}$ " ), or about five spaces. Use the tab key to set this indent; do not tap the space bar. All subsequent lines of the paragraph begin at the left margin unless a block quote..

**Block quotes.** Quotations of at least 40 words, or more than three lines, must be formatted as block quotes. Indent all lines of block quotes  $\frac{1}{2}$ " from the left margin and



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place the entire quotation on the new, indented margin. Do not indent or justify the right margin of the block quote. Single space all lines. If the quotation is more than one paragraph, indent the first line of this second paragraph (and any subsequent paragraphs) an additional ½ inch from the new margin.

### Headings

Headings applied in the body of the text are crucial guideposts for readers and reflect careful organization and logical development of the research project. The APA format preferences for headings are illustrated here:

#### APA Headings (6th edition)

Centered, Boldface, Uppercase and Lowercase

Left-aligned, Bold, Uppercase and Lowercase

Indented, bold, lowercase heading with a period. Begin body text after the period.

*Indented, bold and italic, lowercase heading with a period.* Begin body text after the period.

*Indented, italic, lowercase heading with a period.* Begin body text after the period.

#### APA Headings (7th edition)

Centered, Boldface, Uppercase and Lowercase

Left-aligned, Boldface, Uppercase and Lowercase

*Left-aligned, Boldface, Uppercase and Lowercase*

Indented, Boldface, Uppercase and Lowercase Ending With a Period. Begin body text after the period.

*Indented, Bold and Italic, Uppercase and Lowercase Ending With a Period.* Begin body text after the period.

When subdividing a section, always advance directly to the next level of heading; do not skip any levels. When adding subheadings within a section, plan to create at least two subsections—or use none.



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In UIW formatting for dissertations, the level one heading as defined by this stylebook is the chapter heading; the level one heading is not used otherwise in the dissertation. (And, although dissertations are divided into chapters, it is not necessary to use the name “Chapter” to indicate a chapter heading.)

Heading levels one and two must be listed in the Table of Contents; in many cases it is also appropriate to include level three headings. The spelling and wording of the text headings and those headings entered in the Table of Contents must match exactly, although because the preliminary pages follow different formatting requirements, the formatting of headings is changed when placed in the Table of Contents.

### **Tables, Figures, and Equations**

Tables and Figures are used to identify tabular or graphic representations in the document. When used in chapter narrative, tables and figures must be presented in the preliminary pages as List of Tables, and List of Figures. See templates and guidelines for construction of List of Tables and List of Figures pages.

If a table or figure is not referred to in the chapter narrative, do not include in the narrative; rather, such tables and figures are placed in the appendices and they are not identified in the List of Tables or List of Figures.

The APA manual presents detailed formatting guidelines for constructing tables and figures. Comprehensive table construction instructions are also available in *Presenting Your Findings: A Practical Guide for Creating Tables* (6th ed.), published by the American Psychological Association.

**Using Copyrighted Material in a Table or Figure.** If a table or figure, or information in a table or figure, is *copied or adapted* from another source, place a copyright permission footnote in the table or figure note in the form of a complete citation; such sources must also be cited in your references/bibliography. Tables or figures may not be reproduced in whole from another source without express written permission from the author. Modifications, too, must often be used only with permission. This permission must be noted in the table or figure and the actual permission letter is included as an appendix. For APA formatted documents, the procedure for indicating such permissions is presented in table 12.1 of APA 7th edition, with examples shown in table 12.2.

**Placement of Tables and Figures.** Place tables and figures in the document *as soon as possible* after they are first referred to. However, the narrative may continue even if reference to another table or figure is made—the table or figure does not need to immediately follow. Two or more tables or figures can be placed sequentially in the document even if the narrative referencing them is separated by several pages.

If a page break is inserted in the text to allow for the placement of a table or figure on a separate page, leaving a blank space on the bottom of the preceding page, fill that blank space with text.





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Text must be placed on table and figure pages if there is room for at least two lines of text. Do not wrap text around figures or tables.

Spacing and format of all tables, figures, and equations should remain consistent throughout the document.

**Table definition.** To be designated as a table, the information presented must be arranged in rows and columns (at least 2 of each). Table titles should precisely reflect the table's content. The table should be designed to display information in a way that clarifies the textual description. Tables should be prepared in the following manner:

Present the table as directly as possible after the first reference to it, but do not split a table if it can fit on a single page. Rather than divide the table between pages, you may begin the table at the top of the next page and fill the remainder of the previous page with narrative. Align all tables flush left with the margin.

**Table Number.** Unless your stylebook prescribes otherwise, assign all tables a number, beginning with 1 (Table 1, Table 2, Table 3, and so on), and never mix with letters (Table 1a, Table 1b, Table 1c, and so on). Tables are numbered sequentially beginning with their first appearance in the document (not per chapter). The table number is placed above and begins at the table's left margin. Do not use punctuation after the table number. The table number is also entered in the List of Tables.

**Table Title.** Assign all tables a unique title. Be brief, but exact. The title is placed two line spaces below the table number and begins at the table's left margin. The title is italicized and all major words are capitalized. Do not use punctuation after the table title.

The table title does not extend beyond the table margins. Although longer titles are discouraged, if the title is longer than one line begin the next line a single line space (not double space) directly below the first line, and flush with the table's left margin.

List all table titles in the List of Tables. List only the table title and not any parenthetical words following the title. The wording and punctuation of the title (but not the format) must exactly match the title in the List of Tables.

**Landscape Tables.** A table can be set in the landscape position if necessary. The top of the table in this case is parallel to the binding edge of the document, and so the first element below that binding edge would be the table number, followed by the table title, followed by the table and any table notes. See instructions under Page Numbering for placement of the page number.

**Horizontal Lines.** Tables use only solid, unembellished, horizontal lines. Do not mix thin and thick lines. Use lines above and below column headings, below column spanners, and below the last line of data on the last page of the table to denote completion of the table. Table lines must



be separated from text above and below with sufficient space to ensure that the horizontal line does not become an underline.

**Color and Shading.** Tables do not use color or shading.

**Table Notes.** Tables can have three kinds of notes, general, specific and probability—this is the

#### Example of table

Table 4

*Correlation of Ratings for Resort and Snow Quality*

	Cost	Lift	Depth	Powder
Cost				
Lift	-.953*			
Depth	-.055	-.091		
Powder	-.130	-.036	.990**	

*Note.* Table courtesy of Dr. Judith Beauford, Professor Emerita of Education, University of the Incarnate Word. Adapted from “Tables and Figures: A Picture is Worth a Thousand Words.” Copyright 2011 by Judith Beauford.

\* $p < .05$ , \*\* $p < .01$ .

APA preference. Table notes are unique to each table. Copyright permission footnotes for tables are entered as general notes. Table notes are single spaced within a note, but place a double space between notes.

**Figure definition.** A figure is any kind of visual presentation of information including illustrations, photographs, graphs, drawings, diagrams, maps, and so on. As with tables, each figure must be precisely and uniquely titled. Figures, like tables, are referred to in text by their figure number, and every figure referred to must be listed in the List of Figures. Figures placed in the appendices do not need to be identified in the List of Figures and do not need to be referenced in the text.



Example of figure APA 6th ed.

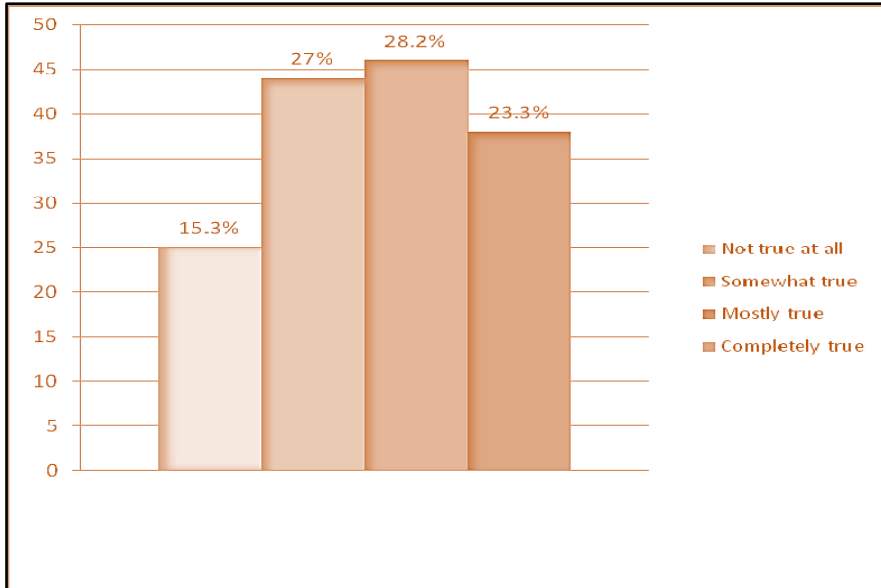
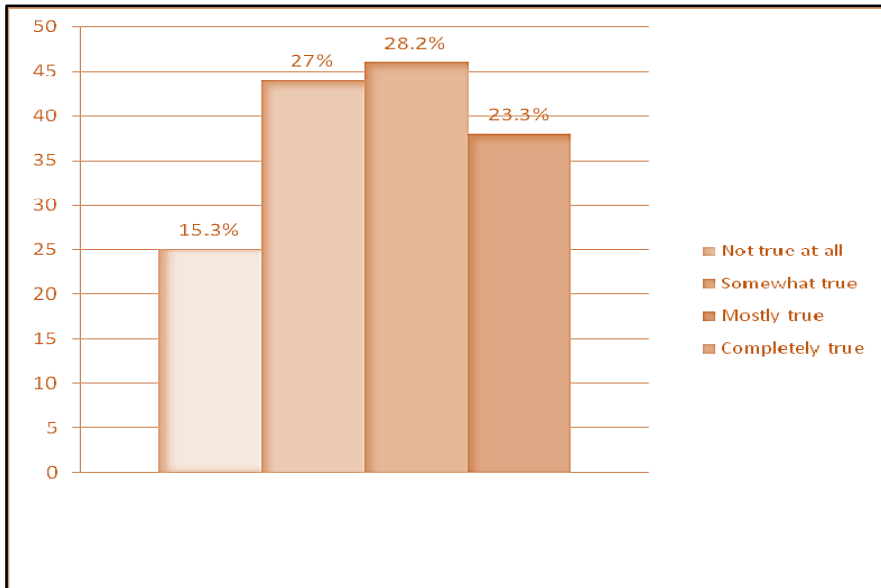


Figure 9. Adequacy of non-academic training on abuse.

Example of figure APA 7th ed.

Figure 9.

Adequacy of Non-Academic Training on Abuse





**Copyright Permission for Figures.** Permission must always be obtained to use figures taken from another source, even if modified. The permission record must be noted in the figure notes (or caption) and the permission letter must be included as an appendix in the document.

**Figure Number.** The figure number is entered in the List of Figures in the preliminary pages. Assign all figures a number, beginning with 1 (Figure 1., Figure 2., Figure 3., and so on), and never mix with letters (Figure 1a, Figure 1b, Figure 1c, and so on). Figures are numbered sequentially beginning with their first appearance in the document. In APA 6th edition, the figure number is placed below the figure, begins flush with the figure's left margin, is italicized, and ends with a period (*Figure 1.*, *Figure 2.*, *Figure 3.*, and so on). In APA 7th edition, format the figure number exactly the same as the table number..

**Figure Caption.** Figure captions (or titles) are entered in the List of Figures included with the preliminary pages. For APA 6th edition guidelines, begin the figure caption on the same line as the figure number and end it with a period, whether or not it is a complete sentence. For APA 7th edition guidelines, format the figure caption exactly the same as the table title. The caption or title should be concise, but complete enough to describe the figure. If using 6th edition, include in the caption explanations of units of measurement, symbols, acronyms, and abbreviations, if these are not explained in the figure legend; copyright permission footnotes and source notes are also placed in the caption. If using APA 7th edition guidelines, these elements are included in a figure note, the same way as providing a table note.

**Color.** Color may be used in any figure, depending on context and readability criteria.

**Facing Page Captions.** This applies only if using APA 6th edition guidelines. Should there be no room on the figure page for a caption, the figure number and caption may be placed—centered—on the facing page, which is otherwise left blank. Captions on a facing page are to be used only when absolutely necessary. Facing page captions may be used for figures only, never tables.

**Figure Legend.** A legend explains the symbols used in the figure. The legend is placed inside the figure and uses the same typeface as the rest of the figure.

**Landscape Figures.** A figure can be set in the landscape position if necessary. The top of the figure in this case is parallel to the binding edge of the document, and the figure number and caption (or title) rotate along with the figure. The page number remains as if the page was in the usual or portrait position.

**Photographs.** Photographs and other illustrative materials obtained from non-electronic sources can be scanned into electronic files for inclusion in the document and should be output into files at a resolution setting of at least 300 dpi (dots per inch). Quality reproduction of halftones



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requires high-quality, high-contrast black-and-white originals. All photographs must observe the standard document margins.

**Reductions.** Tables, charts, figures, or other illustrative items that are reduced to fit within the margins must be large enough to be easily legible. The minimum size for numbers and capital letters is 1.5 millimeters.

**Equations.** Prepare and number equations according to the APA manual guidelines (pp. 123-124). The formatting preference for simple equations is to continue them in the line of text. However, if equations extend above or below the line of text, set them off from the rest of the text by placing them on their own line with a single space above and below. If these displayed equations are to be referred to later in the text then number them consecutively throughout the document, with the number placed in the right margin. Subsequent references to numbered equations in text are written out, for example, *Equation 1*, *Equation 2*, and so on. Since these are proper names, do not abbreviate or refer to in the ordinal form. A list of equations is not required.

**Samples of Equation.** If the equation can go in line with the text, then place it here:  $a^2 + b^2 = c^2$ , as in this presentation of the Pythagorean Theorem. Otherwise, for equations that are better presented in a larger format, wider than one line of text, the standard format is to place the equation like this,

$$(x + a)^n = \sum_{k=0}^n \binom{n}{k} x^k a^{n-k} \quad 1$$

with the punctuation preceding the equation determining how text begins on the line immediately after the equation. The equation number is placed on the right margin.

### References

The references/bibliography section follows directly after the final chapter page. Format the title of this section in title case, but do not bold. Reference entries are formatted hanging indent style; use the paragraph formatting function to format reference entries (do not use the tab button to indent). All references are single spaced, but add a double space between entries. All published material and any other sources mentioned in the text must be included, with the exception of personal communications.

### Appendices

The appendices section follows directly after the final references section page. If there is only one Appendix, it can simply be labeled Appendix (accompanied by the appendix title). When including multiple appendices, use the heading APPENDICES in your Table of Contents.

Appendices should be prepared in the following manner:



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1. If there is only one appendix, simply insert the page or pages of that appendix immediately after the final references page, and label the first appendix page Appendix. Do not add a letter as there is only one appendix.
2. If there is more than one appendix to be included, insert a page after the end of the references section and place the title “Appendices,” centered on the page. This title is formatted in title case and is not bolded. Include this page in the total page count, but suppress the page number. Your appendices pages will follow this separator page.
3. At the top of the following pages, place the heading Appendix A (B, C, etc.), for each of the appendices. Each appendix page heading is located at the top of the page, and centered. Following the heading place the title of the Appendix, and use the same format. Double-space titles requiring more than one line.
4. The page number style and location of each appendix is to be consistent with the page numbering system used in the body of the document. Every page in each appendix, including photocopied material, must have a page number.
5. All inserted appendix material must stay within the one inch document margins and so may be reduced if necessary. The typeface may vary from that of the text if reproduced material.
6. Materials in the appendices must be reproduced on one side of the page only.

Appendices may include detailed statistical data, questionnaires, form letters, results of pilot studies, figures, or tables providing supplementary information. Do not include letters and documents from individuals or institutions that may reveal the identity of confidential subjects, or take care to remove or completely block out identifying information when including such materials. If the student’s research involved protected subjects or materials such as those regulated by the University’s Human Subjects Institutional Review Board, the Institutional Animal Care and Use Committee, or the Institutional Biosafety Committee, a copy of the signed letter of research protocol clearance must be included as an appendix.

No copyrighted material in excess of “fair use” may appear in the appendices without the express written consent of the copyright holder. Any material that might exceed generally accepted fair use guidelines must be accompanied by a letter from the copyright holder granting the author permission to reproduce (not just use) the material. The most common potential copyright infringement in this regard is the reproduction of standardized tests. It is important to understand that permission to use an instrument or test in one’s research (whether by paying a fee or through some other arrangement) does not constitute permission to reproduce that instrument in a dissertation.



## Formatting Instructions For Preliminary Pages

### Order of Pages

**Preliminary Pages** (Use provided templates to ensure correct formatting.)

- Title Page
- Copyright Page
- Acknowledgments
- Dedication (optional)
- Abstract
- Table of Contents
- List of Tables (if tables are used in dissertation)
- List of Figures (if figures are used in dissertation)
- Other lists (if used in dissertation)

### Narrative Pages

- Preface (optional)
- All chapter pages
- References
- Appendices

### Title Page

The title page for theses and dissertations must be prepared according to the following instructions. The title page is counted in the page numbering of the dissertation, but the page number is suppressed. The subsequent introductory material (Acknowledgments, Table of Contents, List of Tables, and so on) is numbered using lower case Roman numerals (ii, iii, iv, and so on). Punctuation is not used on the title page.

**Document title.** The title must be identical in wording to the title listed in your approval forms; also, it must be identical in wording and formatting to the title shown in the document abstract. Titles should contain no more than 20 words. Use words in the title whenever possible, not symbols, acronyms, formulas, superscripts, subscripts, or Greek letters. Center the title of your document 1.75 inches from the top of the page. Format the title in all capital letters. If your title is more than one line in length, the subsequent lines should be single-spaced with the longest line being the first line (i.e., an inverted pyramid shape). If possible, arrange the line breaks logically (for example, divide the title after a colon or before a clause).

**by.** Five lines below the title, centered and in lower case letters, place the word “by” in all lowercase letters.

**Author’s name.** Four lines below “by” and centered, place the author’s name exactly as it appears on the abstract, the acknowledgments, and approval forms. Format the author’s name in all capital letters.



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**Document type.** Ten lines below the author’s name and centered, place the name of the document type: “A DISSERTATION.” Format the document type name in all capital letters.

**Presentation block of three lines.** Two lines below the document type and centered, place the following (single space between each line):

**line one:** Presented to the Faculty of the University of the Incarnate Word

**line two:** in partial fulfillment of the requirements

**line three:** for the degree of

**Name of degree.** Three lines below the presentation block and centered, place the official name of degree sought. Format the official degree name in all capital letters and there is no punctuation after the degree name.

**University name.** Two lines below the name of the degree, centered, and in all capital letters, place the institution name: UNIVERSITY OF THE INCARNATE WORD. Do not use “The” in front of the name and there is no punctuation after the institution name.

**Graduation month and year.** Two lines below the institution name and centered, formatted in title case, place the graduation month and year. This date will include one of three possible months, December, May, or August, followed by the appropriate year. Do not place a comma between the month and year and there is no punctuation after the year.

### Copyright Page

The copyright page is the second page of the dissertation and is the first page to receive a page number (Roman numeral ii). All subsequent pages are numbered consecutively. (Doctor of Nursing Practice projects do not use a copyright page—see separate DNP guidelines). The copyright page includes the following information centered vertically and horizontally on three single-spaced lines in the middle of the page:

Copyright by  
Your Name  
Year

An alternative copyright notice, using the copyright symbol, can be presented, centered vertically and horizontally on one line in the middle of the page:

© Year Your Name

### Signature Page

A signature page is not used in dissertations.

### Acknowledgments

Acknowledgments are a courteous way of recognizing people to whom the student is indebted for guidance, assistance, or special aid, including dissertation chair and members, faculty





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mentors, colleagues, family members, friends and editors. The acknowledgments should be expressed simply and tactfully. It is best practice to secure permission of those to be cited in acknowledgments.

The acknowledgments page should be prepared according to the following instructions and be similar in appearance to the sample illustrated on the following page.

1. Center the heading ACKNOWLEDGMENTS in capital letters 1.75 inches from the top of the page.
2. On the third line (a triple space) below that heading, begin entering the text. Indent each paragraph 0.5 inch and double-space the text.
3. On the third line (a triple space) below the last line of text, beginning at the center of the page and moving right, place the author's name. The name must be identical to that appearing on the abstract, title page, and approval forms and is formatted in title case (i.e. upper- and lower-case letters).
4. The acknowledgments section is numbered in lowercase Roman numerals, with numbers placed in the top right corner of the page. Any subsequent pages are numbered consecutively.
5. If acknowledgments text exceeds one page, center ACKNOWLEDGMENTS—Continued as a heading on the extra page(s) 1.25 inches from the top of the page. Continue the text beginning on the third line (a triple space) below this heading.

### **Dedication**

If a dedication is used, use the acknowledgments template to format this page and simply change the page heading from acknowledgments to dedication.

### **Abstract Page(s)**

An abstract is written in past tense and is a succinct statement of the problem, methodology, findings, and conclusions of the study. Authors should prepare the content of the abstract with care; dissertation abstracts, regardless of any embargo restrictions placed on the publication of the dissertation, are immediately published exactly as submitted by ProQuest and in *The Athenaeum*, UIW's institutional repository of scholarly work. In this way abstracts are distributed nationally and internationally. Scholars reviewing indices to dissertations use the abstract to determine the value and relevance of the study.

The Office of Research and Graduate Studies may suggest edits to abstracts or will ask students or their committee chairs to edit text of abstracts as needed to ensure the quality of scholarly writing.

### **Preparing the Abstract**

Abstracts must be prepared according to the following instructions.



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**Word count.** The purpose of an abstract is to present a succinct picture of your research. Strive for brevity; researchers and readers prefer concise, ordered abstracts. However, neither ProQuest nor The Athenaeum have word count limits.

**Title.** The abstract should appear exactly the same as presented on the title page, formatted in all caps and in inverted pyramid shape. (NOTE: Do not include the word “Abstract” on the abstract page.) Center the title of your document 1.75 inches from the top of the page.

**Author’s name.** Place and center on the third line (a triple space) below the title, and follow the author’s name with a comma and the appropriate abbreviation for the degree to be received. The author’s name must be identical to that which appears on the title page, signature page, and approval forms. Do not include periods in the degree abbreviation.

**Institution name.** Place and center the name University of the Incarnate Word on the second line (a double space) below the author’s name, followed by a comma and the year the degree is conferred. Format in title case.

**Abstract text.** Begin the abstract text flush left on the third line (a triple space) below the institution name. The text is double-spaced and any subsequent paragraphs use the standard paragraph indent. If the abstract uses a second page, begin the text at the top margin and no heading is used.

**Keywords.** Do not supply keywords. ProQuest and The Athenaeum will ask you to enter keywords when you upload your dissertation.

### Table of Contents

List only pages that occur after the table of contents. Do not list pages preceding the table of contents, nor the table of contents itself. The first item in the table of contents list is typically the list of tables or list of figures.

You may create your table of contents manually or use your word processing software to create an automatic table of contents. These tables of contents create links between the document headings and the table of contents so that updates made to headings in the text will, after selecting the table of contents update button, update the headings in the table of contents.

If manually creating a table of contents, please use the following instructions.

1. Center the heading TABLE OF CONTENTS in upper case letters 1.75 inches from the top of the page. Primary page headings—the list of tables, titles of chapters, references, appendices—are left-justified and use upper case letters in the Table of Contents. For second- and third-level headings, use the same capitalization that is used in the body of the text. Do not use bold for any entry in the table of contents.



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2. Use the tab key to indent the second and, if used, third levels headings within a chapter from the previous level. The indent is measured from the first letter of the chapter title.
3. Double space between each entry and each level of heading, and single space within multiple line headings, but do not further indent the second line of a multiple line heading. Headings requiring more than one line should be divided so that the first line is the longest and each succeeding line is shorter.
4. The text in headings must be identical in level and wording to those in the document.
5. First and second-level headings must be included in the Table of Contents. It is the author's discretion to include level three headings; consult with the dissertation coordinator if questions arise.
6. Use lower-case Roman numerals to number each page of the Table of Contents, and place the number in the upper right page corner.
7. If the Table of Contents is longer than 1 page, the second and subsequent pages begin with this heading:

### Table of Contents—Continued

This heading is centered 1.25 inches from the top of the page. On the third line (a triple space) below the heading, continue placing the TOC entries. If a page break occurs within a listing of chapters or appendices, repeat the level one heading three line spaces below the page heading. Do not include the dot leaders and page number, just the heading.

8. Dot leaders should extend from the last word of each entry to the page number indicating where each entry is located. Do not leave a gap between leader dots and page numbers.
9. If there is only one Appendix, it can simply be labeled APPENDIX. When including multiple appendices, use the level one heading APPENDICES in your Table of Contents and create an Appendices half page at the appropriate place in the text. You do not have to create the half page if you have only one appendix. Each appendix is identified with an upper case letter (i.e. A, B), a title, and is listed in the Table of Contents as a level two heading. List a page number for the Appendices half page and for each appendix.
10. If you have a section named References or Endnotes at the end of the document, this heading will precede Appendices in the Table of Contents. The section itself immediately follows the text of the document. However, it is possible to have references or endnotes concluding each chapter. If there is a chapter section for references or endnotes, this would normally be included in the Table of Contents as a second-level heading.



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### **List of Tables, List of Figures (and other lists)**

All lists are prepared the same way. For tables, prepare a List of Tables. For figures, a List of Figures. For best results, use the templates.

1. Center the heading LIST OF TABLES or LIST OF FIGURES in capital letters 1.75 inches from the top of the page.
2. When both are needed, the List of Tables page(s) precede(s) the List of Figures page(s). If other lists are used, (e.g. List of Maps), those list page follow the List of Figures.
3. On the third line (a triple space) below the heading, begin entering the table/figure listings—single space within entries and double space between entries. Titles should be entered exactly as they appear in the text. Capitalization of the first letter of each word in headings (except articles, conjunctions, and prepositions that are less than 4 letters in length such as *a, an, and, but, by, for, of, the, etc.*) is optional. Capitalization in headings, if used, must be consistent throughout the document.
4. Headings requiring more than one line should be divided so that the first line is the longest and each succeeding line is shorter.
5. Use dot leaders for each entry. The leaders should extend from the last word of each entry to the page number indicating where each entry is located. Do not leave a gap between leader dots and page numbers.
6. Each page is numbered with a lowercase Roman numeral numbered consecutively.
7. If your List of Tables or List of Figures is longer than 1 page, the second page heading is

List of Tables—Continued  
or  
List of Figures—Continued

This continuation heading is centered 1.25 inches from the top of the page. On the third line (a triple space) below the heading, continue entering the text.

When you deposit work in The Athenaeum, the UIW Libraries must have your permission to display your work.

After you have created an account and go to deposit your work, the first page you see will be the submission agreement page, which contains brief submission instructions, list of submission steps, and the submission agreement.

Complete step-by-step instructions depositing work in The Athenaeum follow the submission agreement page.



## Submission Agreement

### SUBMISSION INSTRUCTIONS FOR THESES AND DISSERTATIONS

Before you submit your document for publication into The Athenæum, be sure you have easy access to the following items from your thesis or dissertation. You may copy and paste the information or type directly into the boxes provided.

- Title
- Abstract
- Keywords
- PDF file of document

### SUBMISSION PROCESS

1. Read and accept the submission agreement below.
2. Complete all elements of the submission form.
3. Upload a PDF copy of your thesis or dissertation.
4. Supplementary files may be uploaded, if necessary. (These files can also be added later, so don't worry if you do not add them now.)
5. Click "Submit." You will receive an email confirming your submission.
6. Your submission will be reviewed and you will be notified about its status, including information about required format revisions, if any.

### SUBMISSION AGREEMENT

I grant the University of the Incarnate Word and my academic department the non-exclusive rights to copy, display, perform, distribute and publish my work to the repository known as The Athenæum and to make it available in any format in perpetuity as part of an institution, department, or The Athenæum communication or distribution effort. I understand that once my work is submitted, a bibliographic citation to my work will remain visible in perpetuity, even if my work is updated or removed. I understand that my work's copyright owner(s) will continue to own copyright outside these non-exclusive granted rights.

I warrant that

1. I am the copyright owner of my work, or
2. I am one of the copyright owners and have permission from the other owners to submit my work, or
3. My institution or department is the copyright owner and I have permission to submit my work, or
4. Another party is the copyright owner and I have permission to submit my work.

Based on this, I further warrant to my knowledge:

1. My work does not infringe any copyright, patent, or trade secrets of any third party,
2. My work does not contain any libelous matter, nor invade the privacy of any person or third party, and
3. That no right in my work has been sold, mortgaged, or otherwise disposed of, and is free from all exclusive claims.

I agree to hold the institution, department, The Athenæum, and their agents harmless for any liability arising from any breach of the above warranties or any claim of intellectual property infringement arising from the exercise of these non-exclusive granted rights.

Please check this if you agree to the above terms.

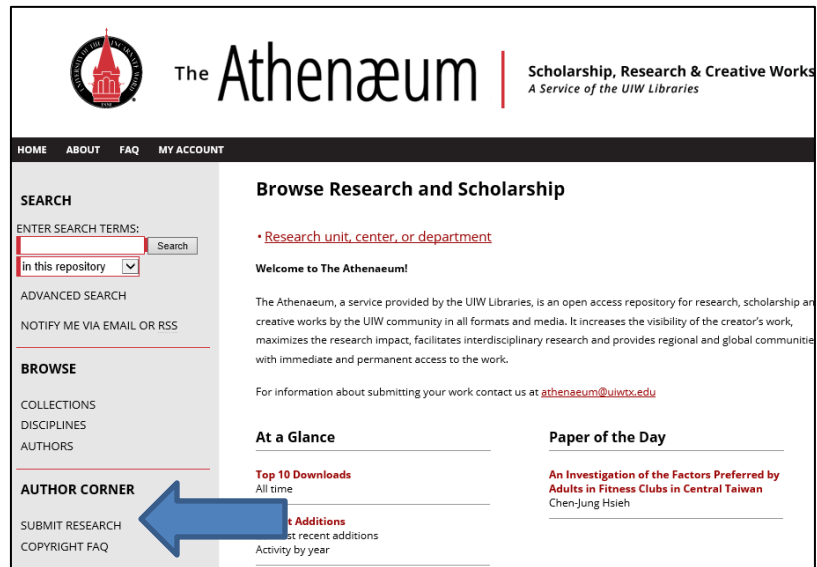
Continue

## Submitting Your Thesis, Doctoral Project or Dissertation to The Athenæum: Step-by-Step

1. Go to **The Athenæum** homepage at <http://athenaeum.uw.edu/>

(Link can also be found on the Mabee Library webpage under Quick Links.)

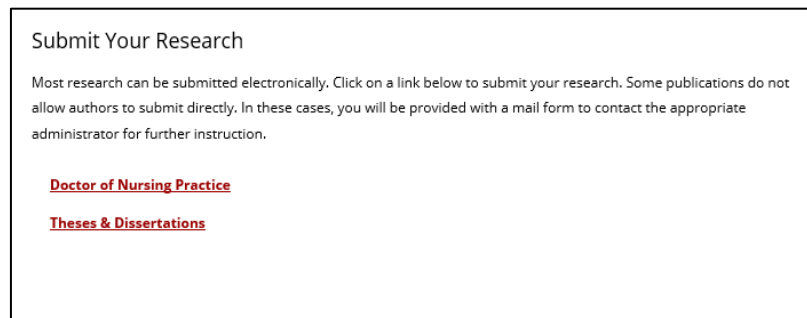
2. On the homepage locate **Author Corner** and click on the link for **Submit Research**.



The screenshot shows the homepage of The Athenæum, a service provided by the UW Libraries. The header includes the logo and the text "The Athenæum | Scholarship, Research & Creative Works | A Service of the UW Libraries". The navigation menu includes HOME, ABOUT, FAQ, and MY ACCOUNT. The main content area is titled "Browse Research and Scholarship" and features a search bar, a "Welcome to The Athenæum!" message, and sections for "At a Glance" and "Paper of the Day". The "AUTHOR CORNER" section is highlighted with a blue arrow pointing to the "SUBMIT RESEARCH" link.

3. At the **Submit Your Research** page, select either Doctor of Nursing Practice or Theses & Dissertations.

You will be directed to a Login page

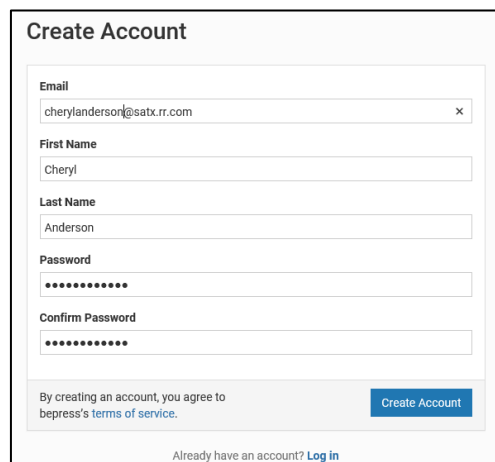


The screenshot shows the "Submit Your Research" page. It features a heading "Submit Your Research" and a paragraph explaining that most research can be submitted electronically. Below the paragraph are two links: "Doctor of Nursing Practice" and "Theses & Dissertations".

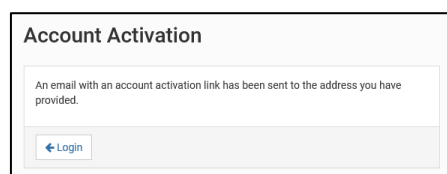
4. If you have never before used The Athenæum -

**Sign up** to create an account. After you have entered all information and selected the Create Account button, follow the prompts to complete the sign up process.

**Important:** Use your permanent email address, not your UIW email address. This way you will receive notifications about your work's download statistics after graduation and your [student.uiwtx.edu](http://student.uiwtx.edu) address has expired.



The screenshot shows the "Create Account" form. It includes fields for Email, First Name, Last Name, Password, and Confirm Password. A "Create Account" button is visible at the bottom right. Below the form, there is a link for "Already have an account? Log in".



The screenshot shows the "Account Activation" page. It features a heading "Account Activation" and a message: "An email with an account activation link has been sent to the address you have provided." Below the message is a "Login" button.

5. If you have already created an account in The Athenaeum, type in your email and password. Then select **Login**.

6. You will see a **Submission Agreement** page containing Submission Instructions, Submission Process and Submission Agreement. Read the agreement carefully before checking the box if you agree to the terms. Then press **Continue**.



See the About and FAQ tabs (at top of page) for information about posting your work in The Athenaeum or click on the Copyright FAQ link in the menu on the left side of the page.—

You will then see the document submission form.



7. **Title**—Type or paste in the full title of your document. Capitalize all words of the title except those listed in the instructions. **Do not use all uppercase or all lowercase.**

8. **Author**—The author field has three required elements: Your Email, Your Name and Your Institution. Your name and the email you used to create the account will already be populated into the appropriate boxes. If you did not include a middle name or initial, you may add either at this point. You must add your institution name: University of the Incarnate Word.

To add or change information to this field, click the humanoid figure to the far right. This is the “show/hide details” button. Clicking this button expands this field, allowing you to add or revise information.

THESES & DISSERTATIONS

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**REQUIRED Title**

Capitalize all words in title except these: a, an, and, as, at, but, by, for, in, nor, of, off, on, or, the, to, up.


Dissertation or Thesis Title:

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**REQUIRED Author**

Enter your name (or search for your name if you have previously submitted material to the repository). Email is your permanent email. Institution is always University of the Incarnate Word. Suffix refers to words such as Jr. and Sr., not Mr., Mrs., Jr., or Dr.

Search For An Author Using: Last Name, First Name, Email, or Institution

1 (cheryla@uiwtx.edu) Cheryl A. Anderson, University of the Incarnate Word 



9. **Date of Degree**—This is the date of your graduation as recorded at the Registrar’s Office. Provide one of UIW’s three possible degree dates: May, August or December, plus the year.

10. **Document Type**—If you are a DNP candidate, you will be using the Doctor of Nursing Practice submission form and you will need add nothing because the default name is selected for you: Doctoral Project. Students using the thesis and dissertation submission form should select the appropriate category from the drop-down list.

11. **Degree Name**—From the drop-down menu, select the appropriate name of your degree. Contact [athenaum@uiwtx.edu](mailto:athenaum@uiwtx.edu) if you do not see the name of your degree.

**REQUIRED Date of Degree**

Month Year

---

**REQUIRED Document Type**

Document Type:

**REQUIRED Degree Name**

Degree Name:

12. **Program**—From the drop-down menu, select the name of your program. Contact [athenaeum@uiwtx.edu](mailto:athenaeum@uiwtx.edu) if you do not see the name of your program.

**REQUIRED** Program

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Program:

<--Please Select Program--> ▾

13. **Advisor**—Enter the name of your project supervisor or committee chair. List only the name and not degrees, titles or affiliations, but if you have committee co-chairs they can be so identified.

14. **Advisor, other fields**—Include in each of these fields the names of other mentors/advisors, if any, or the names of committee co-chairs and committee members. List only names and not degrees, titles or affiliations, but a co-chair can be identified, if necessary.

Advisor

---

Enter the given name and family name (example: Bryan R. Cole). Advisor includes Committee Chair, Co-Chair, Committee Member, etc.

Advisor:

15. **Advisors**- Although not marked, these fields are nevertheless required. DNP students should enter the name of their project supervisor and clinic mentor(s). All other students must enter the names of their chairs, co-chairs, and committee members.

16. **Publication Embargo**—You may select to delay the publication of your work in The Athenaeum. Note that information about your work will still be available, including abstract, name, title and advisor’s name, even though the full text will not be available until the date designated in your embargo choice.

**REQUIRED** Publication Embargo

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You may request to delay the publication of your thesis or dissertation. This delay means that the full electronic document will not be available in The Athenaeum for viewing or download until the embargo period has expired. However, a description of your research will still be available, including name, title, advisor’s name, and abstract.

Embargo Period:

No Embargo Required ▾

17. **Keywords**—Enter the keywords, separated by semicolons, that will help direct other scholars to your work.

**REQUIRED** Keywords

---

Enter keywords or phrases, separated by semicolons. These will help identify and classify your dissertation or thesis; for example, geographical locations or scientific names not mentioned in your title or abstract might be listed.

Keywords:

**18. Subject Categories**—Locate and enter the subject area categories of your work. Some kinds of work have only one subject area, whereas interdisciplinary works may have several.

**REQUIRED Subject Categories**

Please select the subject category that best fits your dissertation or thesis. Subject Categories will help the indexing of your dissertation or thesis and the eventual retrieval of it by interested parties. Click [here](#) to view the complete list of disciplines.

Available:		Selected:
<input type="checkbox"/> Architecture		
<input type="checkbox"/> Arts and Humanities		
<input type="checkbox"/> Business		
<input type="checkbox"/> Education		
<input type="checkbox"/> Engineering		
<input type="checkbox"/> Law		
<input type="checkbox"/> Life Sciences		
<input type="checkbox"/> Medicine and Health Sciences		
<input type="checkbox"/> Physical Sciences and Mathematics		
<input type="checkbox"/> Social and Behavioral Sciences		

Select »  
« Remove

**19. Abstract**—Type or paste your abstract here.

**REQUIRED Abstract**

Learn how your abstract can [improve the discovery of your article](#) in Google and Google Scholar.

**Paste or Type Abstract:**

**B** *I* | | |  $x$   $x^2$  | HTML

|

**20. Comments by Author**—Leave messages in this comments box for the ETD coordinator or The Athenaeum administrators.

**Comments by Author**

Use this box if you need to communicate with The Athenaeum's administrator.

**Comments by Author:**

**B** *I* | | |  $x$   $x^2$  | HTML

|

21. **Upload Full Text**—Upload a file from your computer by selecting the radio button “Upload a file from your computer” and pressing “Enter or Return.” Then, select the Browse button to locate the correct file from within your folders. After you have made any required format corrections, you will use this same field to upload your revised DNP project.

22. **Additional Files**—If you have other files you wish to include, select the box under this category name. You will be prompted to upload your additional files after your click on the Submit button. After upload, click “Save.” This section is also used by the ETD administrator to add files related to the format review process, including SafeAssign Originality Reports (plagiarism checks), format review memos, and marked-up copies of the student papers.

23. **Click Submit**—Your initial order is complete. If you checked the Additional Files box, you will be prompted at this point to browse to and upload the additional files, click Save and then the Submit button, and your order is complete.

**REQUIRED Upload Full Text**

To locate your file: Click the **Browse** button to locate your manuscript on your computer.

**Full text of submission:**

Upload file from your computer

Import file from remote site

Link out to file on remote site

**Additional Files**

Please check this if you'd like to add additional files

This may take a while. **Please only click once.**