

ELF Guide to Formatting Dissertations

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*(Effective beginning with Spring 2011 graduation;
updated to reflect new WCU electronic submission and binding
requirements)*

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WORD TO THE WISE: Work closely with your dissertation chair AND give the same careful attention to the details of the format as you do to the content.

Guide to Formatting Dissertations

Effective date: Spring 2011

The *ELF Guide to Formatting Dissertations* provides instructions and regulations for style and formatting of dissertations in the Department of Educational Leadership and Foundations. This new edition *replaces all guides and templates* previously released by the Graduate School and the department.

Simplified rules, samples, and links are also provided. When in doubt, consult your dissertation chair or the Graduate School; do NOT use old dissertations, from this or any school, as a template.

In addition to the regulations here, you should also be familiar with other aspects of the dissertation process, as described in the Ed.D. Handbook. Final responsibility for the format and content of any dissertation remains with the student.

Much of the content in this document is adapted from *The Guide to Preparing Graduate Theses* published by WCU's Graduate School.

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1. Preparing the Dissertation

Read this section BEFORE you begin writing your dissertation.

1.1 Software Capabilities and Pre-formatting

Familiarize yourself with *recent versions* of Microsoft Office programs, especially Word. While the Graduate School does not endorse or recommend any brand of software, most students find it easiest to use these programs. In particular, make sure you understand the following functions:

- ☺ Tabs and tab “leaders” (especially for the Table of Contents)
- ☺ Headers and footers
- ☺ Pagination
- ☺ Sections and section breaks
- ☺ Rulers
- ☺ Show/Hide Characters button (“¶” on the toolbar)

Knowing how to use the functions above will save you hours of work and frustration.

Perhaps even more important are the functions you should NOT use. Unless you are *extremely* proficient with the software, we recommend that you severely limit (or turn off) the following tools:

- ☹ AutoCorrect and AutoFormat
- ☹ Preformatted headings, themes, or templates

These functions are the primary culprits when you have trouble with numbered lists and unwanted changes to headings and titles.

Be aware that although there are software programs to help with references, they do not all end up preparing your reference section accurately for APA style. It is YOUR responsibility to ensure accurate references in the correct format.

Above all, remember that the final draft of your dissertation must ultimately be **ONE electronic file**. Multiple files for each chapter are fine for now, but keep any formatting *as simple as possible* so you can combine chapters/files easily after you defend. When you have finished your dissertation, see Appendix A for more information.

1.2 Software Tips for MSWord Users

Here are a few more tips to help you with file and document management. See sections 1.1 and 2.3 for more information on software.

BEFORE starting a new document:

- Select “Print Layout” under the View tab to see how your document will look when printed.
- Set page margins according to the rules in this guide.
- The default tab setting in MS Word is ½”. **Do not change this setting.** All tabs and indentations in your dissertation must be ½”.
- Keep rulers (found under the View tab) visible at all times.
- Turn on AutoSave and save your document at regular intervals. Keep backup copies of everything.
- You may wish to turn OFF the “AutoFormat” function (founder under Tools). This will stop MS Word from automatically changing headings and numbering as you type.
- Do not pre-format or paginate chapters or sections.

DURING the writing of your document:

- For now, save the separate sections of your dissertation (individual chapters, etc.) in separate files. Use distinct file names, including a notation about the date or draft number.
 - e.g. Chap1-Intro-vers2.doc
- Use the **tab key** (default setting to ½”), **NOT** the space bar, to indent all paragraphs or tab any text.
- Be familiar with the Show/Hide Characters function (“¶”) on the toolbar. This tool toggles on and off, and shows hidden errors in spacing and format.
- Use Symbols and Special Characters (under the Insert tab) for foreign languages, statistical symbols, and special punctuation.
- Be sure to use embedded fonts (see section 2.3.1)

AFTER writing your document:

- When your dissertation is *finished* (i.e., a full draft is ready for committee review prior to the defense), combine your separate files into one master file.

- Prepare your abstract, Table of Contents and other “front matter” according to the rules and samples in this guide. (See Section 1.4: Formatting Guidelines and Appendix C.)
- *Insert a section break between the end of the front matter and the body of your dissertation.* This will allow you to put page numbers in the body of the text and make sure they continue from the previous section. (See Section 1.4: Formatting Guidelines)
- *Paginate your dissertation last,* then complete your Table of Contents. Be sure you have followed all formatting rules before submitting to the Graduate School.

1.3 Arrangement of Contents

Your dissertation must include the following sections ***IN THIS ORDER***:

1. Title Page (required; with optional copyright)
2. Acknowledgements (optional)
3. Dedication (optional)
4. Table of Contents (required – page numbers begin after this section – see 1.4.3)
5. List of Tables (required - if tables used)
6. List of Figures (required - if figures used)
7. List of Abbreviations or Symbols (if used)
8. Abstract (required)
9. Body
10. References (required)
11. Appendices (if used)

Each of these sections begins on a new page. Information on each section begins with Section 1.4.2.

1.4 Formatting Guidelines

In general, writing style and formatting should follow the APA Publication Manual (5th edition for dissertations begun prior to January 2010, 6th edition for dissertations begun January 2010 or later). In some cases, WCU has specific rules that conflict with or supplement APA style. In these cases, follow WCU guidelines.

1.4.1 General Rules

Your *entire dissertation* must conform to these rules:

- Margins** Top, Bottom, and Right: one inch (1"). Left: ***one and a half inches*** (1½").
- Font** ONLY: 12 pt. Times New Roman or 10 pt. Arial. All text must be the ***same font and size***, including page numbers.
- Text** Double space body text. (Exceptions apply for title page, Table of Contents, footnotes, and other special text.) Do NOT justify the text. Tabs should be set at ½". New paragraphs must be indented ½". ***All text must be in black ink.***
- Chapters** Each chapter of the dissertation must begin on a new page. Do not insert blank sheets between chapters.
- Chapter Titles** CAPITALIZE and CENTER. Do not bold or underline chapter titles. Insert at least two blank lines (i.e. triple space) between titles and body text. Sub-headings within chapters should follow the heading levels described in the *APA Publication Manual*. See sample in Appendix C.
- Pagination** Page numbers must appear in the ***upper right hand corner, ¾" from the top of the page.*** For detailed rules, see 1.4.3: Pagination.
- Tables/Figures** Tables and figures must not exceed margins (see above). All tables/figures in the body of the dissertation must be **formatted and labeled** according to APA guidelines, although *word* tables may be single spaced. Depending on

dissertation length and number of tables/figures, **numbering** may be done consecutively through out the dissertation (e.g., Figure 1, Figure 2) or consecutively within the chapter (e.g., Table 4.2 is the second table in chapter 4). Tables and figures should appear within the chapter, near their first reference in the text, rather than at the end of the document. Triple space between tables and adjacent text. More extensive tables/figures should appear in an appendix. For more information, see 1.4.2: Section Rules. If tables or figures are not original, you must cite them and comply with PROQUEST/UMI's copyright rules.

1.4.2 Section Rules

Individual pages and/or sections of the dissertation must follow the rules below, as well as the “General Rules” (1.4.1). Samples of these sections are provided in Appendix C.

Approval Page (required):

Follow the sample and information in Appendix C. Approval pages may be printed on regular copy paper. Take blank approval pages to your defense; after a successful defense, your committee will sign in ink. [SPECIAL NOTE: If your dissertation title changes prior to final submission, it is your responsibility to make sure your approval page is correct AND that you notify the Graduate School if there is a change in title from the version you submitted on your graduation application.]

Title Page (required):

Follow the sample in Appendix C. The title should be in all caps and centered. Use your **full name** in the byline. The title page technically counts as page “1” of the dissertation, but **no number should appear on the page**.

Copyright (optional):

This is optional. Most students choose not to copyright their dissertations, though some exceptions apply. Ask your director for advice. If you plan to copyright your dissertation, you must include a copyright on the TITLE PAGE.

Acknowledgements (optional):

This page is optional, but most students choose to acknowledge their committee and others who assisted with the dissertation. Follow the sample in Appendix C, and remember to keep your language formal.

Dedication (optional):

This page is optional, but some students choose to dedicate their work. Follow the same format as the sample acknowledgements page in Appendix C.

Table of Contents (required):

This table is extremely important, and MUST be accurate. All titles, subheadings, and page numbers must correspond **exactly** to the body of the dissertation. **Single space the table.** Use **tab leaders** between titles and page numbers. For best results, wait until your dissertation is totally completed

before writing the Table of Contents. Follow the sample in Appendix C, and see the “General Rules” (1.4.1).

List of Tables (required – if tables used in dissertation):

“Tables” are tabulated numerical data or word summaries used in the body of the dissertation (or appendix). See the *APA Publication Manual* for a description of tables. If you have tables in the body of your dissertation, you must create an accurate master list. For more information on tables, see section 1.4.1: General Rules. Follow the sample in Appendix C.

List of Figures (required if figures used in dissertation):

“Figures” are any non-textual materials, such as illustrations, charts, graphs, maps, photographs, drawings, diagrams, etc. as defined by the *APA Publication Manual*. If you have figures in the body of your dissertation, you must create an accurate master list. For more information on figures, see the “General Rules” (1.4.1). Follow the sample in Appendix C.

List of Abbreviations/Symbols (optional):

If you use abbreviations or symbols frequently, you should create a master list. Ask your director whether you need this list.

Abstract (required):

Consult with your director about how to write the abstract—a short (approximately 250 to 500 words) summary of your dissertation. Follow the sample in Appendix C to format your abstract. You will also have to submit this to PROQUEST/UMI (see Section 2.3: Electronic Submission).

Body (required):

The body of the dissertation must follow the “General Rules” (1.4.1).

References (required):

Citations must follow the guidelines provided in the *APA Publication Manual*. You are responsible for ensuring correspondence between your narrative and the reference list, and the accuracy of your references. EVERY reference in the body of your dissertation must be in your reference list and every reference in your list must be one cited in the body of your text. Your reference list MUST be in alphabetical order.

Footnotes/Endnotes (optional):

If used, endnotes and footnotes should be formatted according to the *APA Publication Manual*. For footnotes, both the superscript number within the body of the text and its reference must appear on the same page.

Appendix (optional):

Appendices, if used, must follow the same rules as body text. Font may deviate from the rules if a figure or exhibit cannot be represented in 12-point Times New Roman or 10-point Arial. If there is more than one appendix, include a cover page that lists the titles of appendices. If tables or figures are used, follow the rules in this guide and the *APA Publication Manual*. Multiple items that are related or grouped (e.g., a set of cover letters, a group of supplemental tables) may be included in a single appendix. If you have special materials, such as CDs or slides, see “Special Materials.”

If the rules in this guide conflict with APA rules, follow WCU rules. If there is no applicable rule in either this guide or APA, follow general APA style.

<p>The easy-to-use <i>Check Sheet in Appendix A</i> will help you follow all the rules in this section.</p>

1.4.3 Pagination

Page numbers must appear in the *upper right hand corner of all body text, 3/4” from the top of the page*. Use Arabic numerals (1, 2, 3, etc.).

Page numbers do NOT appear on the title page or Table of Contents

START “COUNTNG” WITH THE TITLE PAGE

PAGINATE EVERY PAGE AFTER THE TABLE OF CONTENTS

The first page of your dissertation (the Title Page) is page 1, but no number appears. The first page of the body of your dissertation *does* have a number in the top corner. See the sample in Appendix C.

	Counts towards pagination	Counts As Page Number	Print Page Number on Page(s)	What shows in the document
Example 1				
Approval Page	N	n/a	N	
Title Page	Y	1	N	
1-page Table of Contents	Y	2	N	
1-page abstract	Y	3	Y	3
First page of body (first chapter or intro)	Y	4	Y	4
Example 2				
Approval Page	N	n/a	N	
Title Page	Y	1	N	
2-page Acknowledgements	Y	2 & 3	N	
3-page Table of Contents	Y	4 - 6	N	
1-page List of Tables	Y	7	Y	7
2-page abstract	Y	8 - 9	Y	8, 9
First page of body (first chapter or intro)	Y	10	Y	10

Use *consecutive* Arabic numerals throughout; do not restart numbering at the beginning of sections/chapters. Continue pagination through the references and any appendices—these count as body text.

BEFORE you paginate your dissertation, consult the section on pre-formatting, (1.1). This section will help you understand the process better.

1.4.4 Special Materials

Photographs:

Photographs/pictures are considered “figures” and should follow the rules for figures explained in this section, including labeling. If any pictures are not your original material, you must follow PROQUEST/UMI copyright rules (www.etsdadmin.com/wcu Resources and Guides -> Copyright and your dissertation or thesis) for reprinting.

File type: jpeg is recommended. .gif and .tif files are also acceptable.

Recordings and Others:

Musical or sound recordings, electronic slideshows, and other special materials that are not part of the dissertation document should be uploaded separately when the dissertation is submitted to the Graduate School. Any visual/sound file that is not original material must follow PROQUEST/UMI copyright rules (www.etsdadmin.com/wcu Resources and Guides -> Copyright and your dissertation or thesis).

File types:

Video: mpeg is recommended. .avi and .mov (Apple) are also acceptable.

Audio: wav is recommended. .aif, .midi, and .snd are also acceptable.

Oversized Materials, Slides, and other Special Cases

The use of non-electronic slides or special printouts is not recommended. If you have unusual materials or circumstances that cannot be reproduced electronically, consult your dissertation director.

For more information on how to include media files with the final dissertation you submit to the Graduate School visit Proquest/UMI (www.etsdadmin.com/wcu Resources and Guides -> Including supplementary digital materials).

Do not embed media files in the final PDF version of your dissertation.

2. Defending and “Printing”

After you complete your dissertation, you may find the defense and printing process stressful. In order to avoid mistakes and delays, read this entire guide *as early as possible*. Also refer to the EdD Handbook for information about the defense process.

2.1 Oral Defense and Signatures

Your director will notify you when you are ready to defend your dissertation, and she/he will schedule your defense. Oral defense deadlines for each semester are listed in the Ed.D. Handbook. You are **STRONGLY** advised to schedule well in advance of the deadline, since you may need time for an additional meeting if your committee requires another meeting. Ask your director for help in preparing for your defense.

Before you go to your defense, prepare two copies of a blank *Approval Page*. ***You are responsible for making sure these pages are accurate and correctly formatted.*** These pages do not need to be printed on special paper. Take your approval pages with you to the defense. After your successful defense, your dissertation chair will instruct you on having your committee to sign their approval.

Send one copy of your signed approval sheet to the Graduate School. Retain one copy for your records.

Your dissertation director should grade you for your dissertation course or remove “IP” grades after your successful defense.

For more information on your dissertation defense, consult with your director and refer to the EdD Handbook. See the following sections for information on what to do after you defend.

2.2 Evaluation of Dissertation

Once you have defended successfully, your director will advise you about further revisions that the committee may require and the process for having those changes reviewed and approved. Once your director has given you clearance, your final, formatted dissertation must be submitted electronically to the Graduate School via ProQuest/UMI at www.etsadmin.com/wcu.

You cannot graduate until your final dissertation is approved by the Graduate School and is submitted successfully for cataloging and printing.

Do NOT submit your dissertation to the Graduate School until it is finished, defended, and formatted according to the rules in this guide.

Format your final dissertation according to the rules in this guide, then check it using the Check Sheet in Appendix A. If you have not hired a copy editor, you are advised to have someone read your dissertation who can evaluate it for grammatical and/or spelling errors. Also use spell check throughout your writing.

No later than the deadline corresponding with your graduation term, submit your completed, defended dissertation to PROQUEST/UMI Dissertation Publishing (see section 2.3 for details).

<u>Term</u>	<u>Submission deadline</u>
Spring	April 10
Summer	July 10
Fall	November 10

Your dissertation will be checked against the rules in this guide. If there are errors in your dissertation, you will be asked to correct them and re-submit. Time is of the essence in this situation. Best work prior to submission will make things easier for you, your director, and the reviewer in the Graduate School.

Make only the corrections requested by the Graduate School. If necessary, you may fix any additional minor proofreading errors you notice. Do NOT make content changes to your dissertation at this time. If you change your dissertation beyond what you are told by the Graduate School, you will have to start the checking process all over again.

When your final dissertation is approved as above, the Dean of Graduate School and Research will sign your approval page and you will be cleared to graduate.

See the following section for instructions on completing this process.

2.3 Electronic Submission and Binding

In order for your final dissertation to be approved by the Graduate School, you must submit a Portable Document Format (PDF) version to the Graduate School (via PROQUEST/UMI Dissertation Publishing www.etsdadmin.com/wcu). This submission must follow all the rules in this guide. In addition, you must purchase at least **three** bound hard copies (one for WCU's Hunter Library, one for the Department of Educational Leadership and Foundations, and one for your director). You may also purchase additional copies for yourself, your other committee members, and others.

The Graduate School now requires Electronic Theses and Dissertations (ETDs) instead of printed copies. Some advantages of ETDs over hard-copy manuscripts include:

- Ease of use;
- Simplified approval and printing processes;
- Broader exposure for your research;
- The ability to link directly to your dissertation from your homepage and/or electronic CV;
- Professional development experience as you learn the basic skills of scholarly publishing in an electronic format;
- The option to have your dissertation accessible to any potential reader at any time.

*Beginning in Fall 2010, all dissertations will be archived through ProQuest and the North Carolina Online Collection of Knowledge and Scholarship (NC DOCKS).

After you have prepared and defended your dissertation *according to the guidelines in this manual*, submit your dissertation online as directed below. You will have to order your bound copies, which you can order and pay for at the same time you submit the dissertation.

2.3.1 Embedding Fonts and Preparing the Digital Manuscript

Make sure all your fonts are embedded fonts (Times New Roman 12 pt or Arial 10 pt). Manuscripts without embedded fonts can cause all punctuation and formatting to disappear when the document is printed from the digital file, and causes delays in the online publishing process.

The manuscript will be submitted as:

- Adobe PDF file
- NO compression
- NO password protection

For a complete description of preparing the digital manuscript and embedding fonts, see www.etsadmin.com Resources and Guidelines. These instructions derive from those documents.

To Embed Fonts (in MSWord)

1. On the Tools menu, click Options, and then click the Save tab.
2. Select the Embed TrueType fonts check box.
3. Save the document.

Alternatively, if you have Acrobat Professional available to you:

1. Open your document in Microsoft Word
2. Click on the Adobe PDF tab at top. Select "Change Conversion Settings."
3. Click on Advanced Settings.
4. Click on the Fonts folder on the left side of the new window. In the lower box on the right, delete any fonts that appear in the "Never Embed" box. Then click "OK."
5. If prompted to save these new settings, save them as "Embed all fonts."
6. The Change Conversion Settings window should show "embed all fonts" in the Conversion Settings drop down list and it should be selected. Click "OK" again.
7. Click on the Adobe PDF link at the top again. This time select Convert to Adobe PDF. Depending on the size of your document and the speed of your computer, this process can take 1-15 minutes.
8. After your document is converted, select the "File" tab at the top of the page. Then select "Document Properties."
9. Click on the "Fonts" tab. Carefully check all of your fonts. They should all show "(Embedded Subset)" after the font name.
10. If you see "(Embedded Subset)" after all fonts, you have succeeded.

2.3.2 File Conversion

Read the ProQuest/UMI Formatting Requirements available under Resources and Guidelines at www.etsadmin.com/wcu.

Before beginning the submission process, you should combine the text of your dissertation into *one document* and convert it into *one PDF* file. You have a few options here. Visit Creating PDFs under Resources and Guidelines at www.etdadmin.com/wcu, which offers online conversion of up to five files per registered account, as well as extensive information about what you will need to submit your dissertation electronically. If you are having difficulty with the electronic formatting of your dissertation, you may also contact Sue Grider in the Coulter Faculty Commons at 828-227-2279 or at sgrider@email.wcu.edu for assistance.

If you have access to the required software (a full version of Adobe Acrobat, for example) and are familiar with the process, you may convert the file yourself.

2.3.3 *Submitting Your Dissertation Online*

Before you submit your dissertation online to the Graduate School, be sure you can answer “Yes” to all these questions:

- Do you have an abstract of your dissertation to upload?
- Have you created a PDF version of your full, defended, and corrected dissertation?
- Have you properly saved/converted any additional files or special materials (see 1.4.4 and 2.3.2)?
- Have you consulted PROQUEST/UMI’s copyright rules (www.etdadmin.com/wcu Resources and Guidelines) regarding your use of pictures, recordings, and long quotations of others’ work?
- Have you discussed with your director whether you should copyright your dissertation? Have you discussed the “open” and “traditional” options for your published dissertation? (see #6 below)
- Have you discussed with your director whether you will need more than three bound copy of your dissertation?
- Do you have a credit or debit card close at hand?

If you answered “Yes” to all of these questions, create a new user account and submit your dissertation online:

1. Go to the WCU Graduate School’s website and follow the links to online submission, or go to www.etdadmin.com/wcu.
2. Click Submit My Dissertation/Dissertation.

3. Click Create an Account and follow the instructions from there.
4. You will be sent an email to confirm your account. After clicking the link in your email, you will be directed back to the PROQUEST/UMI website to complete your registration.
5. Read “Before You Begin” and click Continue at the bottom of the page.
6. Choose a Publishing Option and agree to the Publishing Agreement:
 - a. Traditional: dissertation sales eligible for royalties but not available via the internet – the Graduate School recommends this option. No student fee required.
 - b. Open Access: no royalties but dissertation available free to all via the internet (including search engine access). Student pays required fee.
 - c. Do *not* select delayed publishing.
7. Fill out all required information and continue to the page where you upload your dissertation.
 - a. The Details page will require you to upload an abstract
8. Upload Information:
 - a. Before you upload your dissertation, make sure it conforms to the rules in this guide. *Your entire dissertation must be one PDF document.*
 - b. In some cases, you may have additional files to submit, such as concert recordings, slideshows, etc. You may upload them on the “Supplemental Files” page. **Do not embed media files** (sounds, slideshows, etc.) in your dissertation.
 - c. Any pictures, recordings, or other materials in your dissertation that are not your own originals must follow PROQUEST/UMI’s copyright rules.
 - d. Permission forms for reprinting copyrighted material must be uploaded on the “Supplemental Files” page.
9. If you wish to copyright your dissertation, you may elect to register it at this time. *There is a fee for this service.* It is not always necessary for doctoral students to copyright their dissertations. You may wish to talk to your director before you decide on “open” and/or “traditional” access and any other publishing issues.

10. ***Order Copies***

- a. You must send a bound (Hardcover) 8½” x 11” copy of your dissertation to Hunter Library. This copy should automatically be listed on the order form.
 - b. The department and your director each require an additional copy. You may also wish to provide copies to your other committee members. Consult your director. You may purchase additional copies through ProQuest or you may contact Hunter Library regarding bound copies *at the time of submission*. Hunter Library will bind copies of your approved thesis for a reduced binding/processing fee. **You must supply the copies to Hunter Library to bind.** Please contact Hunter Library for more information.
 - c. If you wish to order additional copies for yourself or others, you can do so from ProQuest now or later. If you are having copies bound through Hunter library, you must do so at the initial order time.
11. Review your order and fill in your payment information. Review your entire submission, and print or save the page for your records when you are finished.

2.3.4 Approval and Clearance to Graduate

You will immediately receive an email verifying your submission. The Graduate School is also notified via email of your submission.

The Graduate School *must approve the dissertation* before it can be published in the ProQuest/UMI database.

After your dissertation has been reviewed, you will receive an email regarding the Graduate School’s approval or denial of your submission. You will be notified of any changes that must be made. Consult your director if you need clarification about these changes.

- Log in to your PROQUEST/UMI account
- Go to “Revise Submission”.
- *Submit your changes as directed.*

After all changes and verifications are complete, your dissertation should be available online in WCU’s database within 8–12 weeks: <http://library.wcu.edu/>.

If you have additional questions that are not answered here, please visit the PROQUEST/UMI site (www.etsd.admin/wcu) and visit Support & Training or Resources & Guidelines.

Once the final, approved version of your dissertation has been submitted, paid for, and approved by the Graduate School, you are clear to graduate (upon completion of all other university and programmatic requirements).

- You must apply for graduation for the semester you wish to graduate.
- You must be enrolled at WCU in the semester in which you graduate.
- See your program director for details regarding application for graduation and continuing enrollment.

One bound copy will be sent directly to Hunter Library. If you ordered extra copies through ProQuest, these will be mailed directly to you. It is your responsibility to deliver copies required by the department and your chair. Please check with Hunter Library for delivery of copies submitted to them for binding.

APPENDIX A: Dissertation Check Sheet

General Issues Checklist

Be sure you answer YES to all the questions below, and follow the Format Checklist on the following pages before you submit your final dissertation to the Graduate School.

1. Have you successfully defended your dissertation?
 Yes No
2. Have you read and followed the *Guide to Formatting Dissertations*?
 Yes No
3. Has anyone besides you checked this final draft for spelling/grammatical errors?
 Yes No
4. Have you used the citation style specified by the *APA Publication Manual*?
 Yes No
5. Have you or a copyeditor checked your references?
 Yes No
6. In addition to the citation of sources, have you followed APA style for all body text, including tables, figures, and headings?
 Yes No
7. Are all pictures, recordings, and special/additional material your original work? If not, have you followed PROQUEST/UMI copyright guidelines for permission to reprint?
 Yes No

FORMATTING CHECKLIST

General Document

ALL PAGES

- Margins: Top, Right, and Bottom = 1";
Left = 1 1/2"
- Font: **all text** either 10 pt Arial or 12 pt Times New Roman.
- Pagination:
 - Title Page counts as page 1
 - Paginate all pages after the Table of Contents
 - Page numbers in upper right corner, 3/4" from top.
- Parts included and in **the following order**:
 1. Title page
 2. Acknowledgements (optional)
 3. Dedication (optional)
 4. Table of Contents
 5. Lists of Tables, Figures, Abbreviations/Symbols (if used)
 6. Abstract
 7. Body text
 8. References
 9. Appendices (optional)

Title Page

- Title in all caps
- Student's full legal name in byline
- Director and committee members listed
- Text matches sample and "General Rules" above
- Copyright included IF DESIRED and paid for
- No page number appears** (through to first page of body text)

Acknowledgements (optional)

- Heading centered and all caps, at least three spaces between heading and text

Dedication (optional)

- Heading centered and all caps, at least three spaces between heading and text

Table of Contents

- Heading centered and all caps
- At least triple space between Heading and text
- Titles of all chapters and subheadings match **exactly** with body
- Page numbers match **exactly** with body
- Single-spaced
- Headings and subheadings indented
- Page number references aligned right
- Tab leaders (periods) used between text and page numbers
- All** sections, chapters, and subsections/subheadings listed

Lists of Tables, Figures, Abbreviations

- See rules for Table of Contents. All labels in body **must** match front matter lists.

Abstract

- Heading centered and all caps, triple space between heading/text
- Matches sample in Appendix E

Body Text

- New chapters begin on new page, titles centered and in all caps
- Double space between chapter title and text
- Headings follow APA
- All text double-spaced (except for footnotes, etc.)
- At least triple space between text & tables/figures
- Tables/figures labeled and formatted according APA and are student's **original** work (follow PROQUEST/UMI copyright rules).

References and Appendices

- Page numbers, headings, margins follow same rules as body text

Appendix B: Online Submission Check Sheet

Sections 2.2 and 2.3 outline how to submit your dissertation online.

READ SECTION 2.3 before you submit your dissertation to PROQUEST/UMI Dissertation/Dissertation Publishing. Use this checklist to ensure you are ready to submit the electronic version of your defended dissertation.

BEFORE submitting online:

- Final, defended dissertation document formatted to WCU rules and converted to ONE .pdf file.
- Supplemental materials (slideshows, recordings, etc.) saved in approved file types.
- PROQUEST/UMI copyright rules observed for any reprinted materials, including pictures, quotes, recordings, etc.
- Abstract prepared
- Copyright and “open” vs. “traditional” publication discussed with director
- Number of bound copies determined, with help of director
- Personal funds available to pay for publishing fees, as well as (if needed) copyright, extra bound copies, etc.
- Be sure your document has embedded fonts (see 2.3.1)

Submit Online

Follow detailed instructions in 2.3.3 and 2.3.4

- Create a PROQUEST/UMI account
- Follow instructions to upload the single pdf of the dissertation (and any required supplemental materials such as the abstract, sound files, etc.)
- Order print copies
- Provide payment information (for submission, bound copies, and, if appropriate, copyright)

AFTER submitting online:

- Graduate School notification of approval or denial (with required changes)
- Changes submitted as required**

Appendix C: Sample Dissertation Pages

This appendix contains samples of the major pages in a dissertation. For specific formatting rules, see 1.4.2: Section Rules. Consult these rules first; only use the samples as a guideline. The list below gives special instructions and reminders.

Approval Page

Follow the sample and the rules in this guide.

Signatures must be in INK. Be sure to use your FULL name and the appropriate terms for your dissertation, term, and degree.

NOTE: Do NOT include this page with your electronic dissertation submission. Submit in hard copy to the Graduate School after you defend. See 2.1: Oral Defense and Signatures.

Title Page

Follow the sample and the formatting rules in this guide. Be sure to use your FULL name and the appropriate terms for your dissertation and degree.

The *date* should be the month and year of your *defense*.

Be sure to list your director and committee members.

Include a copyright *only* if you have discussed this with your director and read PROQUEST/UMI's guidelines carefully.

Acknowledgements

Optional. See sample and follow format rules in this guide.

Keep your language formal here; avoid overly personal statements. Remember, this document will be publicly accessible!

Dedication

Optional. See sample and follow format rules in this guide.

Table of Contents

See sample and follow format rules in this guide. Be sure to use tab leaders.

This page can be difficult to complete; wait until your dissertation is *finished* before making this page.

List of Tables

See sample and follow the format rules in this guide. Same rules apply for Lists of Figures. Lists of tables, figures, and abbreviations are only necessary if these items appear in the dissertation.

Abstract

See sample and follow the format rules in this guide. *Date* should be the month and year of your *defense*.

NOTE: You will also have to submit this abstract separately to PROQUEST/UMI when you submit your dissertation for electronic approval.

Body of Dissertation

This sample is meant only as an illustration. Follow the rules in Section 1.4 to format your dissertation.

{SAMPLE APPROVAL PAGE}

DISSERTATION TITLE HERE
SINGLE-SPACED IN ALL CAPS

By

John William Doe

A Dissertation
Submitted to the
Faculty of the Graduate School
of
Western Carolina University
in Partial Fulfillment of
the Requirements for the Degree
of
Doctor of Education

Committee:

_____ Director

_____ Dean of the Graduate School

Date: _____

Spring 2010
Western Carolina University
Cullowhee, North Carolina

{SAMPLE TITLE PAGE}

GENDER THEORY AS MANIFESTED IN THE WORKS OF
WILLIAM SHAKESPEARE

A dissertation presented to the faculty of the Graduate School of
Western Carolina University in partial fulfillment of the
requirements for the degree of Doctor of Education.

By

Jane Ann Doe

Director: Dr. Sally Smith
Associate Professor
Department of Educational Leadership and Foundations

Committee Members:
Dr. Herman Glimsher, Educational Leadership and Foundations
Dr. Alan J. Smithee, Psychology

March 2007

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{SAMPLE ACKNOWLEDGEMENTS PAGE}

ACKNOWLEDGEMENTS

I would like to thank my committee members and director for their assistance and encouragement. In particular,

I also extend sincere thanks to the following people, without whom this dissertation would not have been possible: Albert Einstein, Lenny Bruce, and Sean Smith. Lastly, I offer my warmest regards and thanks to my parents for their continued support.

{SAMPLE TABLE OF CONTENTS PAGE}

TABLE OF CONTENTS

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{SAMPLE LIST OF TABLES PAGE}

LIST OF TABLES

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{SAMPLE ABSTRACT PAGE}

ABSTRACT

IMPACT OF NATIONAL BOARD CERTIFICATION ON STUDENT
ACHIEVEMENT

Amelia Cordelia Bedelia, Ed.D.

Western Carolina University (November 2009)

Director: Dr. John Smith

Text of abstract, summarizing the dissertation, here. Double space text.

Most abstracts are between 250 and 500 words. Standard formatting
rules apply; see the complete dissertation guide.

{SAMPLE BODY PAGE}

Chapter Title in all caps, centered, with at least two spaces after. No extra spaces required after 1" top margin

Page number in upper right - 3/4" from top

*- 1"-
Top
Margin*

7

CHAPTER ONE: BACKGROUND

This is sample body text to show you how a typical dissertation page should look. *Margins are not to scale, but everything else here follows WCU rules.*

Note the placement of the page number, and that this dissertation does NOT start on page "1."

Also note the chapter title is centered and in all caps. Body text begins three lines below the chapter title. Lastly, note the body text follows the rules in this guide, including tabs, fonts, etc. Use the Graduate School's guidelines to format the body of your dissertation properly.

Font: Either 12 pt Times New Roman or 10 pt Arial; all text in same font and size – including page numbers

*- 1.5"-
Left
Margin*

*- 1"-
Right
Margin*

*- 1"-
Bottom
Margin*