



UNIVERSITY OF ILLINOIS SPRINGFIELD

## ***DISSERTATION GUIDELINES***

*Updated 7/2022*

**Office of Graduate Education**  
**One University Plaza, MS PAC 525**  
**Springfield, Illinois 62703**  
**Phone (217) 206-7230**  
**Fax (217) 206-7623**

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## INTRODUCTION

The Dissertation Guidelines of the University of Illinois Springfield were developed to ensure that the presentation of its students' dissertations meets the highest standards of quality. Doctoral candidates who are required to complete a dissertation must deposit final copies of the dissertation, organized and formatted in accordance with the established guidelines, with the Office of Graduate Education. The dissertation copies deposited become the property of the University of Illinois and will be published for archival use and made publicly available through the UIS Library in accordance with Article III, Section 4, of the University Board of Trustees' General Rules ([www.bot.uillinois.edu/governance/general-rules](http://www.bot.uillinois.edu/governance/general-rules) ).

The Department of Public Administration publishes a schedule of Dissertation Deadlines each semester. Doctoral candidates are expected to have read the Dissertation Guidelines and to be aware of the deposit deadlines. Although the Associate Vice Chancellor for Graduate Education is formally charged with ensuring that dissertations are approved and appropriately formatted before deposit, the doctoral candidate, in consultation with the dissertation chairperson, is expected to have organized and formatted the dissertation accordingly before submitting it for the Associate Vice Chancellor's review. Candidates are especially cautioned not to rely on simply copying the format from a previous candidate's dissertation.

Doctoral candidates must successfully pass the dissertation defense requirement and receive a completed copy of the Dissertation Defense Approval Form from the Dissertation Committee before submitting the dissertation to the Office of Graduate Education for formatting review by the Associate Vice Chancellor. All dissertations submitted in partial fulfillment of the requirements for the Doctor of Public Administration degree at the University of Illinois Springfield must be organized and formatted according to the specifications outlined in the UIS Dissertation Guidelines. A dissertation will not be accepted for deposit until all corrections requested by the Associate Vice Chancellor have been made and all required materials have been submitted.

## INTELLECTUAL PROPERTY CONSIDERATIONS

### ➤ Copyright Ownership

Copyright is a form of protection provided by the laws of the United States (Title 17 of U.S. Code) to the authors of original works. Copyright protection exists from the moment a work is created.

It is the policy of the University to allow students to retain ownership of the copyright to the dissertation after deposit. However, according to Article III, Section 4, of the University Board of Trustees' General Rules, as a condition of accepting the degree, the doctoral candidate grants the University the non-exclusive royalty-free right to retain, use, and distribute a limited number of copies of the dissertation, together with the right to require its publication for archival use.

The University of Illinois uses ProQuest/ETD Administrator to publish and disseminate its doctoral research. Even though ProQuest will be publishing the manuscript, as the author of the dissertation, you retain copyright. You grant ProQuest a license to publish your work, but as the owner of the copyright to the dissertation, the doctoral candidate retains the right to publish, reproduce, display, distribute, prepare derivative works from, or perform all or any part of the work – except in circumstances where a candidate may not have sole ownership of the dissertation. Such circumstances may include having received support from a foundation or grant that specified the terms of ownership for resulting work, or previously publishing parts of your dissertation in a professional journal or book. Reproducing work owned by others is also limited. Doctoral candidates are strongly encouraged to become familiar with the limits of *fair use* and are advised to seek formal permission to use copyrighted materials. You are responsible for complying with copyright law as well as with the UIS policy on Academic Integrity.

If, after depositing the dissertation at UIS and publishing it through ProQuest, you decide to submit all or part of your dissertation for publication elsewhere, you should work with the new publisher to make sure that republication of material drawn from the dissertation meets the new publisher's standards for previously unpublished work.

### ➤ **Delayed Release Option**

A dissertation is a work of original scholarship written not only to satisfy a degree requirement but also to advance knowledge and understanding in the field. Therefore, it must be made widely available to the scholarly public. Accordingly, soon after degree conferral, dissertations are submitted to ProQuest for cataloguing and publishing. Approximately 3 to 8 months after degree conferral, submitted dissertations are available to the academic community through the UIS Brookens Library and the ProQuest Thesis/Dissertation database.

However, in some cases, delaying release of the dissertation by placing an embargo on the publication for a limited period is justified. Placing an embargo refers to withholding the publication of or access to the dissertation or restricting sale of the published dissertation for a certain amount of time (typically 1 or 2 years). It is important to note that embargo involves withholding the body of the dissertation but not the citation or the abstract; the citation and abstract are still made available online and in paper listings.

Acceptable reasons to embargo a dissertation include having:

- Patentable rights based on an invention or discovery that resulted from the dissertation research;
- An ethical or legal responsibility to prevent disclosure of sensitive or classified information regarding persons, institutions, or technologies;
- An academic or commercial press interested in acquiring the rights to publish the author's dissertation as a book (in other words, when a publishing contract is imminent);

- Extensive content within the dissertation that is likely to be submitted to a peer-reviewed journal; or
- Other issues in which disclosure may be detrimental to the rights or interests of the author.

Many students are understandably protective of their dissertation work and some hope to publish their dissertations after graduating, but have no definite plans at the point of dissertation deposit. It may be helpful to review additional information about embargoes and publishing options by visiting the following ProQuest web pages:

[http://www.etsadmin.com/UMI\\_EmbargoesRestrictionsGuide.pdf](http://www.etsadmin.com/UMI_EmbargoesRestrictionsGuide.pdf)  
[http://www.etsadmin.com/UMI\\_PublishingOptionsGuide.pdf](http://www.etsadmin.com/UMI_PublishingOptionsGuide.pdf).

You are also encouraged to consult with your dissertation chairperson or academic department chairperson.

If you decide that you would like to embargo your dissertation, you must complete a UIS Dissertation Publication Embargo Request form (Appendix A) prior to deposit and file the form with UIS Office of Graduate Education. If the request is approved, you will also need to select the delayed release option when completing the ProQuest Dissertation Submission process.

Approved requests will result in the dissertation being held by the UIS Brookens Library and by ProQuest for the approved embargo period. The dissertation will then be released for publishing and cataloguing after the embargo period ends.

### ➤ **Using Your Own Previously Published Material in Your Dissertation**

Doctoral candidates who wish to publish some part of their dissertation research **before** depositing the dissertation are strongly encouraged to consult with their dissertation chairpersons. It is possible to embargo ProQuest dissertation publication and sales for up to two years so that the dissertation does not compete with journal or publisher distribution (see Delayed Release Option section above, beginning on page 4).

If you plan to publish any part of your dissertation research prior to the formal dissertation deposit, you are strongly encouraged to consult with your dissertation chairperson on how best to handle that portion of your dissertation manuscript for the final deposit. Your options may include (a) securing a written release from the initial publisher so that you can include the material in your dissertation; (b) referring to the previously published materials only by citation in your dissertation; or (c) omitting the previously published material completely from the final deposit copy.

If you have published any portion of your dissertation research as a journal article or a book chapter (whether as sole author or as a co-author), it is likely that you no longer own the copyright to your work. If any portion of your work has already been published, you may

have transferred the copyright to the publisher. You will need to check your publishing agreement to determine whether the publisher owns the copyright to your work. If so, you would need to request permission to reprint the previously published material you want to include in your dissertation. A sample permission letter is available from ProQuest at [http://media2.proquest.com/documents/UMI\\_CopyrightGuide.pdf](http://media2.proquest.com/documents/UMI_CopyrightGuide.pdf).

***If you plan to use previously published material in your dissertation, please be advised that copies of the letter granting permission must be submitted with your dissertation at the time of deposit with UIS.*** Seeking and obtaining permission to use copyrighted material can be a lengthy process, and there is no assurance that the owner will grant permission; therefore, you should request permission well in advance of the deposit deadline and be prepared to remove the copyrighted material from your dissertation if permission is denied.

In addition to obtaining permission to use the copyrighted material, you must indicate, in the dissertation, that it contains previously published material. It is sufficient to state that fact in a footnote to the appropriate chapter title in your dissertation. The footnote should reference the previous publication, cite basic bibliographic information, and state that the copyright owner has granted permission to reprint the material. If the reprinted material is derived from a co-authored paper, the footnote must acknowledge the contribution of the other authors, including any figures, tables, or data that were not created by the author.

### ➤ **Using Others' Previously Published Material in Your Dissertation**

If you are using material created by someone else (for example, a table or figure from a published work, or a copyrighted survey or test), **it may not be sufficient to simply cite the source**. Students may legally use copyrighted works in their dissertations without securing permission and without paying royalties **only if the use of such work is allowed under the doctrine of fair use** (U.S. Code 17, Section 107). Please note, however, that the doctrine of fair use is limited and may not apply to your intended use. You are strongly encouraged to consult the U.S. Copyright Office's definition of fair use when deciding whether to seek formal written permission to reproduce someone else's material in your dissertation. Information on fair use is available at <http://www.copyright.gov/title17/92chap1.html#107>.

If your use of someone else's material falls outside the scope of fair use, you will need to identify the owner of the work's copyright and determine whether the copyright has expired. If the copyright is in effect, you will need to obtain written permission from the copyright owner granting you permission to use the material in your dissertation.

***If you plan to use previously published or otherwise copyrighted material in your dissertation, please be advised that copies of the letter granting permission must be submitted with your dissertation at the time of deposit with UIS.*** Seeking and obtaining permission to use copyrighted material can be a lengthy process, and there is no assurance that the owner will grant permission; therefore, you should request permission well in

advance of the deposit deadline and be prepared to remove the copyrighted material from your dissertation if permission is denied.

### ➤ **Notice and Registration of Your Copyright**

UIS does not require doctoral candidates to include the notice of copyright in their dissertations – it is optional. In addition, registration of the copyright is not required for the dissertation deposit or for copyright protection. Copyright law no longer requires published works to display a copyright notice in order to secure legal protections. However, registration of the copyright provides additional benefits that you may wish to consider. Registration is important ultimately if legal action is required due to unlawful infringement, and many publishers continue to carry the notice because the practice is considered an important means of discouraging infringement. For American publications, registration is required before an infringement lawsuit may be filed. Registration before the act of infringement also grants additional legal rights, particularly the ability to receive statutory damages and attorney's fees incurred during an infringement action.

For further information about copyright registration, including procedures and current fees, see the U.S. Copyright Office web site at <http://www.copyright.gov/>.

Candidates who choose to register their copyright may do so themselves through the U.S. Copyright Office at <http://www.copyright.gov/register/literary.html>. Alternatively, for an additional fee, you may request that ProQuest register your copyright (see Dissertation Guidelines, page 16).

### ➤ **Copyright Information and Resources**

Doctoral candidates are encouraged to consult the following copyright resources:

U.S. Copyright Office (includes information on *fair use* of copyrighted material).  
<http://www.copyright.gov/>

Copyright Law & Your Dissertation or Thesis  
[http://www.proquest.com/documents/copyright\\_dissthesis\\_ownership.html](http://www.proquest.com/documents/copyright_dissthesis_ownership.html)

How to Investigate the Copyright Status of a Work (U.S. Copyright Office)  
<http://www.copyright.gov/circs/circ22.pdf>

Copyright Information for Graduate Students (UIUC)  
<http://www.grad.illinois.edu/thesis/faq>  
<http://www.grad.illinois.edu/thesis/copyright>

## ORGANIZATION AND FORMAT OF DISSERTATIONS

All dissertations submitted in partial fulfillment of the requirements for the Doctor of Public Administration degree at the University of Illinois Springfield must be organized and formatted according to the specifications outlined. Doctoral candidates are strongly advised to review these guidelines carefully and to consult with their dissertation chairperson or the Associate Vice Chancellor for Graduate Education if they have any questions regarding preparation of the final copy for deposit. A formatting checklist is provided in Appendix D (p. 31) to help candidates ensure correct formatting of the dissertation.

### Basic Specifications

UIS dissertations should be prepared in accordance with these guidelines, using the basic style of the *Publication Manual of the American Psychological Association*, 7<sup>th</sup> ed. (2019). Students who completed chapters prior to 2021 using the 6<sup>th</sup> ed. may continue to use the 6<sup>th</sup> ed. throughout the manuscript.

The UIS Learning Hub offers workshops on the American Psychological Association's (APA) citation style, and an online tutorial is also available through the Hub's web site at <http://www.uis.edu/learning-hub>.

Candidates may also wish to consult one or more of the following web resources on APA style:

Cornell University

[http://campusgw.library.cornell.edu/newhelp/res\\_strategy/citing/apa.html](http://campusgw.library.cornell.edu/newhelp/res_strategy/citing/apa.html)

OWL at Purdue University

<http://owl.english.purdue.edu/owl/resource/560/01/>

Rochester Institute of Technology

<http://infoguides.rit.edu/citationguide>

The Ohio State University Libraries

<http://guides.osu.edu/citation>

Candidates may find a few formatting differences between the UIS Dissertation Guidelines and the *Publication Manual of the American Psychological Association* because the Publication Manual is designed to ensure consistency in publishing format, rather than in university library deposit format. Page margins are one example of such a formatting difference. Such differences are discussed on page 45 of the *Publication Manual of the American Psychological Association* (7<sup>th</sup> ed.). If explicit points of difference are encountered between the Publication Manual and the UIS Dissertation Guidelines, the UIS Dissertation Guidelines take precedence. When in doubt, candidates are encouraged to consult the Associate Vice Chancellor.



### Page Margins

**The left margin must be one and one-half (1 ½) inches wide** to allow for binding; all other margins must be at least one (1) inch wide. Margin areas should be clean; no publishing headers are allowed. Dissertations having any marks extending beyond these margins will **not** be accepted for deposit. Page numbers must be at least one inch from the edge of the page.

### Fonts and Font Size

Any legible font, except those that are script, italic, or ornamental, is acceptable. **A 12-point font is required.** All print should be letter quality with dark black characters that are consistently clear and dense.

### Spacing

The dissertation, including the Abstract, Acknowledgments, Vita, and Introduction, must be **double-spaced**. Spacing should be used consistently throughout the document. Double-spacing is required throughout most of the manuscript; however, when single-spacing would improve readability, it is usually encouraged. Single-spacing can be used for table titles and headings, figure captions, references (but double-spacing is required between references), footnotes, and long quotations. Long quotations may also be indented five spaces or ½ inch.

Please also note the need for careful attention to the unique spacing of components on the Title and Dedication pages. See pages 20 and 23 of the Dissertation Guidelines (Appendix B).

### Electronic Copy

Candidates may send an electronic copy of the formatted dissertation, preferably as a MSWord document, to the Associate Vice Chancellor for preliminary review and feedback on the formatting.

### Pagination

Each page of the dissertation must be numbered except for the Notice of Copyright page, the Title page, and the Certificate of Committee Approval form. Page numbers should be placed in the space between the **top of the page** and the first line of text, in the **upper-right corner at least one inch from the right edge**. Preliminary pages are numbered in **lower case Roman numerals**. **Arabic numbers** are used to number the pages of the dissertation text and the reference section, beginning with 1 and continuing through to the end of the document.

### Headings

Review pages 47-49 of the *Publication Manual of the American Psychological Association* (7<sup>th</sup> ed.) carefully in order to determine the level, position, and font parameters that are most appropriate for the organization of your dissertation. The levels and formatting of headings and subheadings must be applied consistently throughout the dissertation.

### Citations

Reference citations in the text should be in APA style. See pages 253-69 of the *Publication Manual of the American Psychological Association* (7<sup>th</sup> ed.). The UIS Learning Hub offers an online tutorial and a guide to help students with APA style citations. See: <http://www.uis.edu/learning-hub>.

### Tables, Figures, and Other Illustrative Material

Tables and figures should be incorporated at an appropriate place in the text of the dissertation. If the table or figure is small and can be easily incorporated into the page containing the text referring to it, it can be placed on that page. If not, the table or figure should be placed on a separate page immediately after the page on which it is first mentioned.

**All** illustrative material must fit within the page margins. Dissertations with any material extending beyond the margins will **not** be accepted for deposit.

Although the use of color is acceptable for illustrations, for the purposes of microfilming, you should use labels or symbols rather than colors since microfilming is a black-and-white photographic process.

### Paper

All copies of the dissertation must be submitted on high-quality, bright white/high contrast paper, of at least 20-pound weight, measuring 8.5 x 11 inches. A higher-quality, heavier-grade bond paper with a lower acid content is recommended for a more professional appearance and for longer durability. Photo-duplicated copies of the dissertation are acceptable if they are of high quality and on appropriate paper. Print must be single-sided on each page; double-sided copying is not permitted.

### Printers

Dissertation print should be high quality, preferably produced with a printer of laser quality. Corrections made with correction fluids or tapes are not acceptable. Do not rely solely upon the margin settings for your printer. Measure the margins on a sample page and on the Title Page to be sure page margins and spacing are in compliance.

## **List of Dissertation Components**

A complete dissertation comprises the following components, in this order:

*Preliminary Pages*

- |   |   |
|---|---|
| 1. Blank Page                             | for protection during binding   |
| 2. Notice of Copyright                    | optional, no page number  |
| 3. Title Page                             | count as page i, but no page number should appear                                   |
| 4. Certificate of Committee Approval Page | count as page ii, but no page number should appear                                  |
| 5. Abstract (traditional form)            | 300-350 words, begin page numbering with iii and continue for all preliminary pages |
| 6. Dedication                             | optional  |
| 7. Acknowledgments                        | optional  |
| 8. Table of Contents                      |   |
| 9. List of Tables                         | if applicable   |
| 10. List of Figures                       | if applicable   |
| 11. List of Abbreviations                 | if applicable   |

*Dissertation Text*

The text should be divided into chapters and sections. The chapters should be numbered using Arabic numbers, beginning with 1. Each chapter must begin on a new page.

*Reference Sections*

1. References (continue page numbering in Arabic numbers following the text)
2. Appendixes – optional, include page numbers
3. Vita – include page numbers

## **Description and Special Formatting of the Dissertation Components**

Notice of Copyright (*Optional*)

As previously explained, copyright privileges reside with the author, and copyright protection exists from the moment the dissertation is created. Since revision of U.S. copyright law in 1978, it is no longer necessary for you to include a copyright notice on your dissertation or to register the document with the Library of Congress for protection. Copyright law no longer requires published works to display a copyright notice in order to secure legal protections. Many publishers, however, continue to carry the notice

because the practice is considered an important means of discouraging infringement. Whether you include a notice of copyright on your dissertation or not, you retain the right to publish all or any part of your original work by any means at any time.

If you choose to include a copyright page, your copyright notice must appear on a separate page in this fashion:

© Copyright by [your name as it appears on the title page], 202x

The notice must be centered vertically and horizontally, and no other information may appear on this page.

### Title Page

The Title Page must be formatted as shown on page 20 (Appendix B). The Title Page is counted as page i, but **the page number does not appear on the Title Page.**

### Certificate of Committee Approval

This page is typically prepared by the academic department and should be proof-read for accuracy of information. It should be dated and must have the signatures of all committee members. It is counted as page ii, but **the page number does not appear on the page itself.** See page 21 (Appendix B).

### Abstracts

Two separate abstracts are required for dissertation deposit – one in the traditional style that is included within your manuscript, and a separate one formatted specifically for the ProQuest submission.

**DISSERTATION ABSTRACT:** This is a short synopsis of the contents of the dissertation, which is placed as Item #5 in the Preliminary Pages of the Dissertation, and carries page numbers, beginning with iii. It should be 300-350 words and double-spaced. *Please use the Word Count function (found under the Review file tab in MSWord) to ensure that the abstract does not exceed the word count limits.* The heading **ABSTRACT** should be centered at the top of the page. The paragraph style for the abstract should be consistent with the paragraph style used for the dissertation text.

**UMI ABSTRACT:** In addition to the standard dissertation abstract, doctoral candidates must provide two copies of a **separate** abstract that is formatted in a manner specified by the University of Michigan (see Appendix B, p. 22). This abstract accompanies, but is not integrated into the dissertation. The UMI Abstract will be scanned by ProQuest for inclusion in *Dissertation Abstracts International* and, therefore, should have **no page number.**

### Dedication

*This is optional.* Some students may wish to dedicate their work to a family member, friend, or mentor. See page 23 (Appendix B) for an example.

### Acknowledgments

*This is optional.* The text should be double-spaced. See page 24 (Appendix B) for an example.

### Table of Contents

The Table of Contents should list all major sections, including the references, appendices, and vita. *A listing of subsections is optional.* **The wording must match exactly the wording of titles and headings used in the text.** Page numbers listed for the headings must be correct. The Table of Contents should be single-spaced within and double-spaced between each entry. The use of leader dots is encouraged. Nothing that comes prior to the Table of Contents should be listed in the Table. See page 25 of Appendix B for an example. Please be sure to manually proof-read the Table of Contents to ensure accuracy; do not rely exclusively on specialized software packages.

### List of Figures or Tables

These should be created to be consistent with the formatting of the Table of Contents. The List of Figures should include the figure number and title for all figures included within the text. The List of Tables should include comparable information for all tables. **The wording should match exactly the title wording in the text. The use of leader dots is encouraged.** Each list should be single-spaced within entries and double-spaced between entries.

### List of Abbreviations

The List of Abbreviations should include an alphabetical list of all abbreviations and the words to which the abbreviations refer. Use single spacing within entries and double spacing between entries.

### Text and Headings

All headings and subheadings should be consistent throughout the text. No headers or footers giving the titles of chapters or sections are allowed. All major sections or chapters should begin on a new page, but subsections should not begin on a new page. There should be at least one line of text after a heading that appears at the end of a page – if not, the heading should be placed on the following page. See pages 47-49 of the *Publication Manual of the American Psychological Association* (7<sup>th</sup> ed.), as well as page 26 of Appendix B in the Dissertation Guidelines.

### Figures, Tables, and Other Illustrative Material

All illustrative material must fit within the page margins. Dissertations with any material extending beyond the margins will **not** be accepted for deposit.

Tables or graphs should be clearly labeled, including the word Figure or Table, a number, and a title. The numbers should be consecutive through the dissertation, following either a straight sequence (e.g., 1, 2, 3, 4, etc.) or a decimal approach (1.1, 1.2, 1.3, where the first digit is the chapter number and the digit after the decimal point is the illustration

number.) See pages 201-02 of the *Publication Manual of the American Psychological Association* (7<sup>th</sup> ed.) for examples of the formatting for **table headings**. An example of a **figure title or caption** can be found on page 227.

**Figures that must be presented in landscape, rather than portrait, orientation** must be placed so that the top of the figure is at the left (binding) edge of the page. This includes the figure caption, which will appear next to the right (unbound) edge of the page. Page numbers are **not** rotated; they will be located in the same place as on all other pages.

**Multiple-Page Figures** must carry the figure number and “(continued)” on each page. Do not repeat the figure caption. When your tables are longer than a page, you should determine how best to “break” the table for presentation on two or more pages.

**Oversized Figures** that cannot be effectively reduced to fit within the required margins or cannot be meaningfully broken into multiple-page components may be printed on an oversized, folded page. The page should be folded to fit within the dissertation such that the page unfolds to the right (unbound) side.

### References

All dissertations must include a list of references that is formatted in compliance with the *Publication Manual of the American Psychological Association* (see pages 281-352 of the 7<sup>th</sup> edition for specific examples of reference types). The references list should be single spaced within an entry and double spaced between each entry. Page breaks should occur only between entries, i.e., a reference entry should not be split across two pages.

The list of references should match the citations in the text of the dissertation. Only those references actually cited in the text are included in the References.

Candidates should **not** rely exclusively on software programs designed to automatically develop reference lists. **Always check your reference citations to ensure that citations and reference list entries are accurate, complete, and in agreement.**

### Appendices

Appendices represent supporting materials, such as sample data collections items or exemplars (e.g., survey forms, consent forms, questionnaires), procedural scripts, illustrations of complex statistical analyses or formulas, raw data, et cetera. A separate title page should be prepared for each appendix. If there is more than one appendix, they should be sequentially lettered as A, B, C, et cetera. Each appendix should begin on a new page. The title page for each appendix should be clearly labeled with the word Appendix and the designated letter on the first line, and with the appendix label (in caps) on the second line. Both lines are centered at the top of the page. See page 27 (Appendix B) for an example. The appendix materials should begin on the subsequent page.

### Vita

The vita is a professional listing of credentials that typically includes educational institutions (after high school), degrees and honors won, titles of publications, and teaching and professional experience. It should be short and concise. Your name should appear as the first item after the title “Vita.” See Appendix B (p. 28) for an example.

## **DISSERTATION DEPOSIT PROCESS**

In preparation for the electronic submission process, candidates should carefully review the resource information about ProQuest electronic dissertation submission, which can be accessed at <http://www.etdadmin.com/cgi-bin/main/resources>. A link to the ProQuest/UMI Manuscript Guide is provided on the web page.

The ProQuest Publishing Agreement will automatically be available to UIS candidates at the time of dissertation submission via the ProQuest/ETD Administrator system. ProQuest offers different publishing options, and publishing costs vary according to the option and additional services selected by the candidate. Although the dissertation will be submitted electronically to ProQuest, two paper copies of the approved and formatted dissertation will be needed for deposit with the UIS Library.

A dissertation deposit checklist is provided in Appendix E (pp. 33-34) to help candidates ensure that they prepare and bring the documents needed for the dissertation deposit.

### ➤ **Required Copies of Formatted Dissertation**

Each candidate must provide **two unbound paper copies** of the dissertation to the UIS Office of Graduate Education by the dissertation deposit deadline. One copy will be bound by Brookens Library for general circulation. The other copy will be bound and kept as a non-circulating copy in the Library’s Archives. Candidates will also submit an electronic copy of the dissertation to ProQuest.

A candidate who is interested in having **personal copies** bound may arrange this through ProQuest when submitting the dissertation or may use any other company. UIS does not endorse any particular binding company.

### ➤ **Required Forms**

In addition to the required number of paper copies of the dissertation, the doctoral candidate must turn in the following completed forms on or before the dissertation deposit deadline:

- (1) **Doctoral Completion Form**
- (2) **Signed Dissertation Certificate of Committee Approval**
- (3) **UIS Dissertation Submission and Copyright Release Form**  
(see Appendix C, page 29)
- (4) **One copy of the dissertation abstract formatted according to UMI guidelines** (see Appendix B, page 22 for a sample)
- (5) **A fully completed and signed UIS Dissertation Publication Embargo Request Form** (Must be completed even if no embargo is requested.)

#### ➤ **Required Fees and Costs for Optional Services**

- Doctoral candidates must pay the **UIS graduation fee** by the deadline indicated by the Registrar.
- At the time of the electronic dissertation deposit using the ProQuest system, the candidate may need to submit a **ProQuest publishing fee**, depending upon the publishing option selected.
- **Optional copyright registration fee.** Depositing doctoral students may elect to have the copyright registered by ProQuest for an additional fee, payable to ProQuest at the time of electronic deposit.

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**APPENDIX A**

**DISSERTATION PUBLICATION EMBARGO REQUEST FORM**



## Dissertation Publication Embargo Request

**Student Name:** \_\_\_\_\_ **UIN:** \_\_\_\_\_

**Title of Dissertation:** \_\_\_\_\_  
\_\_\_\_\_

I do not wish to request an embargo of my dissertation.

I request that the University of Illinois Springfield embargo my dissertation for the following reason(s):

- Patentable rights based on an invention or discovery that resulted from the dissertation research
- An ethical or legal responsibility to prevent disclosure of sensitive or classified information regarding persons, institutions, or technologies
- An academic or commercial press interested in acquiring the rights to publish the author's dissertation as a book (in other words, when a publishing contract is imminent)
- Extensive content within the dissertation that is likely to be submitted to a peer-reviewed journal
- Other (please explain): \_\_\_\_\_  
\_\_\_\_\_

I request that the dissertation be embargoed for a period of:  Six months  One year  Two years

### Student's Statement of Understanding

I understand that placing an embargo on the publication of my dissertation means that UIS Brookens Library will make available my dissertation citation and abstract, but will restrict access to Library copies of my dissertation for the time period indicated. Restricting access means that the full dissertation will be available to readers only with my written permission during the embargo period indicated below. Any readers given permission will only be allowed to view the embargoed dissertation in UIS Brookens Library Archives, and no photocopying of any part of the dissertation will be allowed. Upon expiration of the embargo period, my dissertation will be made available to readers in keeping with UIS Brookens Library policies. I also understand that it is my responsibility to select the delayed release option when completing the ProQuest Dissertation Submission process.

SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

### Required Approval

SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_  APPROVED  DENIED (attach explanation)  
DPA Program Director

Received in GEO on \_\_\_\_\_ by \_\_\_\_\_ Copy to Archives on \_\_\_\_\_

**APPENDIX B****FORMATTING EXAMPLES**

(Be sure to keep the 1 ½-inch margin on the left.)

DISSERTATION TITLE (2.25" down) (single space)

BY (4.0" down)

NAME OF STUDENT

B.A. or B.S., University Name, date

MPA or M.S., University Name, date

DISSERTATION (6.5" down)

Submitted in partial fulfillment of the requirements  
for the degree of Doctor of Public Administration  
University of Illinois Springfield, 202x

Springfield, Illinois (9.0" down)

**Dissertation Certificate of Committee Approval**

**UNIVERSITY OF ILLINOIS SPRINGFIELD  
DPA PROGRAM**

\_\_\_\_\_

**Date**

**WE HEREBY RECOMMEND THAT THE DISSERTATION BY**

\_\_\_\_\_

**ENTITLED** \_\_\_\_\_

\_\_\_\_\_

**BE ACCEPTED IN PARTIAL FULFILLMENT OF THE REQUIREMENTS**

**FOR THE DEGREE OF** Doctorate *of Public Administration*

**Dissertation Committee:**

\_\_\_\_\_

**Chairperson**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**[Formatting for UMI Abstract]**

**DISSERTATION TITLE**

Student Name, DPA  
Public Administration Department  
University of Illinois Springfield, 2002  
George Miller, Adviser

Text begins .....

(Sample UMI Abstract: The abstract must be formatted following this model and *must* be 350 words or less. The UMI abstract will be scanned by UMI for inclusion in *Dissertation Abstracts International* and therefore should have no page number.)

(Sample Dedication Page: The text should be centered vertically and horizontally and may be italicized if you wish. Use Roman numeral pagination)

*To Mother and Father*

## **ACKNOWLEDGMENTS**

[Note: do not include the English “e” after the “g”]

This dissertation would not have been possible without the support and assistance of many people. I especially appreciate the guidance and support provided by my dissertation adviser, Sally Smith. Her critiques and suggestions helped me refine my thinking and produce a more coherent scholarly dissertation. I also extend my thanks to the members of my committee, including John Clark, Edith Williams, and Sam Miner. And finally, I want to express my appreciation to my husband, parents, and numerous friends who gave me the support and time needed to finish this dissertation.

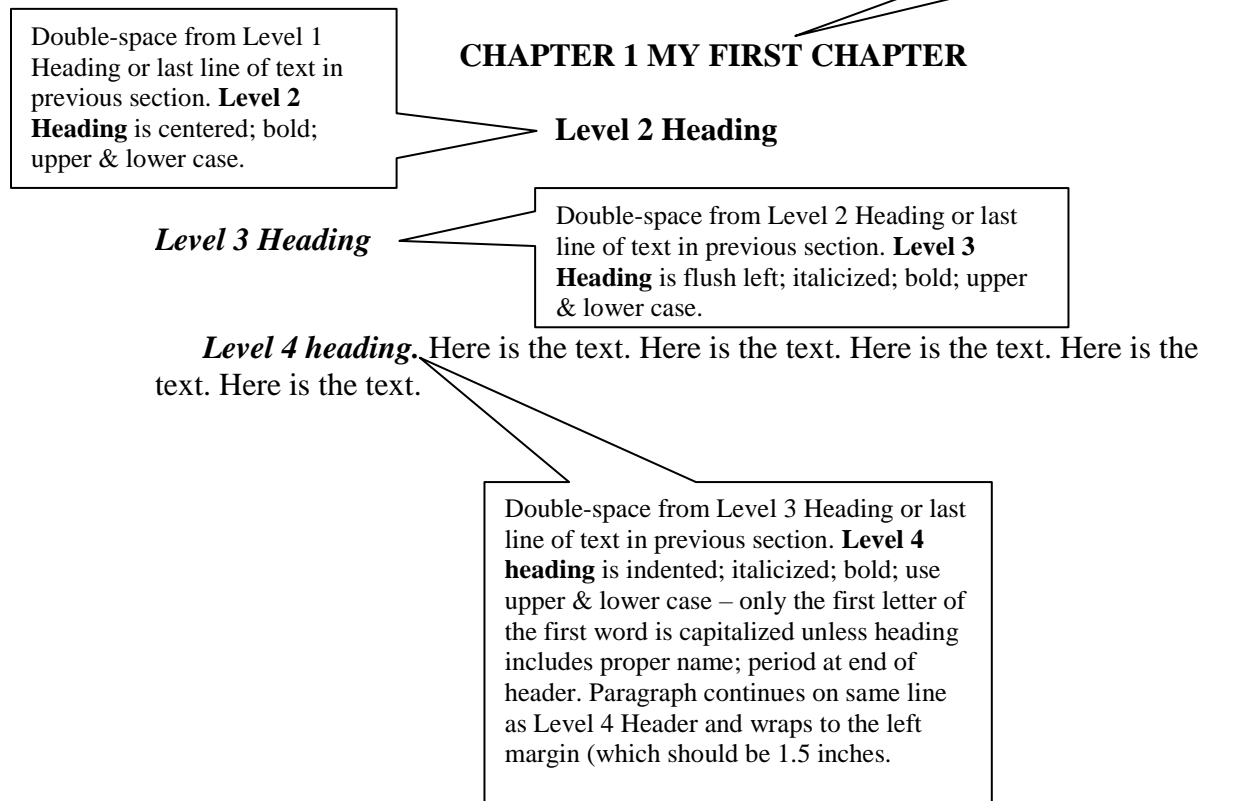
(Sample Acknowledgments page: The text should be double-spaced and the heading should be consistent with all other headings. Use Roman numeral pagination.)



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(Recommended Heading Formats for a Four-Level Example)



Note: This recommendation differs from the five-level format in the APA style guide (p. 47-49), which is designed for journal publications. The candidate may use either format, but the formatting must be consistent throughout the manuscript.

**APPENDIX Q**

**[TITLE OF THE APPENDIX DOCUMENT]**

**VITA**

NAME OF AUTHOR: Sally Smith

**EDUCATION**

Syracuse University, Syracuse, New York

The University of Georgia, Athens, Georgia

**DEGREES AND HONORS**

Master of Public Administration, 1985, Syracuse University

Bachelor of Science in Business Administration, 1978, The University of Georgia

Doctoral Research Associate, University of Illinois Springfield, 2001, 2002

**PUBLICATIONS**

Smith, S. (2001). An analysis of the job satisfaction of city managers. *Urban Affairs Issues*, 27, 222-235.

**PROFESSIONAL EXPERIENCE**

Instructor, Introduction to Public Policy, XYZ Community College, Hometown, Illinois, 2001.

Management Analyst, U.S. Department of Housing and Urban Development, Washington, D.C. 1985-1988.

**APPENDIX C**

**DISSERTATION SUBMISSION AND COPYRIGHT RELEASE FORM**

**UNIVERSITY OF ILLINOIS SPRINGFIELD**  
**Dissertation Submission and Copyright Release Form**

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I agree to the unrestricted display of the bibliographic information and the abstract of the above title.

I retain all other ownership rights to the copyright of the work.

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(date)

**APPENDIX D****FORMATTING CHECKLIST**  
*(for Candidate's Use)*

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- Check all **page margins** to ensure they are at least one-inch at top, bottom, and right side, and 1.5 inches at the left side. Make sure that nothing extends into any of the margins.
- Check all pages for **print quality**. Verify that none of the pages has any smudges or printing blemishes.
- Check all pages, from beginning to end, to ensure that no pages are missing and all are numbered consecutively and correctly. All **page numbers** should be in the same location on the page – i.e., in the upper right corner. They must be one inch from the right edge.
- Check the **headings** in the text. Verify that all levels of headings are formatted and used correctly. Make sure that no headings occur in isolation at the bottom of a page (i.e., without at least one line of subsequent text for the section on the same page).
- Check the chapter titles and any section headings listed in the **Table of Contents** against those found in the text. For each title or heading, check to make sure that the page number listed in the Table of Contents is correct and that the wording, spelling, and numbering listed in the Table of Contents exactly matches that found in the text.
- Check the entries in the **Lists of Figures and Tables** (if included) against those found in the text. For each caption or heading, check to make sure that the page number listed is correct and that the wording, spelling, and numbering listed exactly matches that found in the text.
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- Check **tables** to verify that they are numbered consecutively and that on any pages containing rotated tables (i.e., tables placed in landscape orientation), the page numbers have not been rotated.
- Check each reference citation in the text and in the **References** section for correct style. Verify that each reference citation in the text has a corresponding and accurate entry in References, and that each entry in References is cited in the text.
- Check the word count of the **Dissertation Abstract** to verify that it does not exceed 350 words.
- Check the formatting of the separate **UMI Abstract** against the example in Appendix B, page 22 of the Dissertation Guidelines to verify that it conforms to the UMI requirements.



**APPENDIX E****DISSERTATION DEPOSIT CHECKLIST**

**UIS DISSERTATION DEPOSIT CHECKLIST****Doctoral Candidate's Name:****Date:****Contact Information:****Finalized Dissertation Documents:**

- Formatting-approved electronic copy submitted to ProQuest
- 2 unbound paper copies (for UIS Brookens Library Circulation and Archives)
- 1 copy of the **UMI Abstract** for UIS Brookens Library

**Required Forms:**

- One copy of the signed **Doctoral Completion Form**
- Original signed **Certificate of Committee Approval**
- Signed **UIS Dissertation Submission and Copyright Release Form**
- Fully signed **UIS Dissertation Publication Embargo Request Form**

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Associate Vice Chancellor for  
Graduate Education

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Date