



# THESIS AND DISSERTATION GUIDE

School of Graduate Studies - East Tennessee State University

Guide for Preparation of  
Electronic Theses and Dissertation (ETD) Manuscripts

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Updated November 2015

	Page
The Electronic Submission Requirement.....	5
Introduction to Thesis and Dissertation Preparation.....	6
Proper Acknowledgment of Cited Works.....	7
Use of Copyrighted Material .....	7
Approval from Research Compliance Reviews .....	8
Purpose of this Guide.....	8
Definitions.....	9
Format Specifications .....	9
Computers.....	9
General Preparation Information .....	10
Headers and Footers.....	10
Margins .....	10
Justification.....	10
Pagination .....	10
Divisions of Text.....	10
Illustrations .....	11
Format Options .....	11
Standard Format.....	12
Style Manuals.....	12
Organization of the Manuscript .....	13
Title Page.....	13
Abstract .....	13

Copyright Page .....	14
Registering Your Copyright .....	14
Dedication Page.....	14
Acknowledgments.....	14
Table of Contents .....	14
Lists of Tables and Figures .....	15
Headings and Subheadings.....	15
Tables and Figures .....	15
Titles.....	15
Numbering.....	15
Placement Within the Body of the Manuscript .....	16
Horizontal Tables and Figures .....	16
Formatting Tables .....	16
Typeface .....	16
Required Components .....	16
Continued Tables.....	17
Table Footnotes .....	17
Formatting Figures.....	17
Typeface .....	17
Captions.....	17
Legends .....	17
Continued Figures .....	17
Figure Footnotes.....	17
Bibliography / References / Works Cited.....	18
Appendix.....	18
Multiple Appendices.....	18
Vita.....	18
Alternate Format .....	18
Style Manuals.....	18
Organization of the Manuscript .....	19
Title Page.....	19
Abstract .....	19
Copyright Page .....	20

Registering Your Copyright .....	20
Dedication Page.....	20
Acknowledgments .....	21
Table of Contents .....	21
Lists of Tables and Figures .....	21
Headings and Subheadings.....	21
Tables and Figures .....	21
Titles .....	22
Numbering.....	22
Placement Within the Body of the Manuscript .....	22
Horizontal Tables and Figures .....	22
Bibliography / References / Works Cited .....	22
Appendix .....	23
Multiple Appendices .....	23
Vita .....	23
Authorization for Release of Your Manuscript – Standard and Alternate Format .....	23
Contacting the School of Graduate Studies .....	23
Submitting your Manuscript .....	23
The Review Process .....	24
Resubmitting your ETD .....	25
Approval .....	25
Access to your ETD .....	25
Deadlines and Requirements.....	26
Checklist of Requirements .....	27
Sample Pages .....	28
Title Page .....	27
Abstract.....	29
Table of Contents .....	30
List of Tables .....	32
List of Figures .....	33
Heading Levels – Graduate School Example .....	34
Heading Levels – APA and Graduate School Blend .....	35
References.....	36

Vita..... 37  
Instructions for Copyright Permission Letters ..... 38  
Sample Permission Letter to Use for Copyrighted Material..... 39

## The Electronic Submission Requirement

Since spring semester of 2001, all theses and dissertations are submitted online. Students do not deliver and pick-up paper copies of their thesis or dissertation during the School of Graduate Studies review process. Manuscripts are received, reviewed, and returned electronically. Due to this electronic process, students no longer have to pay binding fees, purchase special paper, or pay duplication charges. Instead, a microfilming fee replaces the binding fee for thesis/dissertation students.

Thesis and dissertation manuscripts are available from the catalog of the Sherrod Library, accessible online (<http://www.sherrod.etsu.edu>) and on Digital Commons (<http://www.dc.etsu.edu/>). In addition, they are archived and included in a web site (<http://www.umi.com/>), and archival copies are housed on microfilm at the ETSU Archives of Appalachia. Theses and dissertations submitted prior to spring semester 2001 are available in print in the Sherrod Library.

Students and their faculty mentors determine whether their manuscripts are served openly to the world, restricted to the ETSU campus, or withheld as a part of the submission process. The withheld option is a popular choice that allows the ETD process not to interfere with the students' publication efforts.

Thesis and dissertation preparation has always required knowledgeable typing competence and now requires even stronger word processing skills. Previously, some students pieced together their paper manuscript from a variety of word processing files. The electronic submission process requires that all students prepare their manuscript as a single comprehensive word processing file including all required figures, tables, or other material imported into the file.

After the oral examination and approval of all faculty members on students' advisory committees, students convert their manuscript to a portable document format file (PDF) and submit this PDF file through the Digital Commons web site (<https://dc.etsu.edu/cgi/login.cgi>). A Turnitin report will be required as part of the paperwork students need to turn in to complete the Graduate School review process. This report will be generated by the Committee Chair and needs to be turned in with the Manuscript Review form by the deadline listed in the catalog. The full Turnitin report should be e-mailed to Emily Redd ([redd@etsu.edu](mailto:redde@etsu.edu)) for filing. Concurrently, the student will take the ETSU ETD Release form and UMI ETD Release forms to the School of Graduate Studies, along with any needed compliance documents related to human subjects or copyright permissions. The School of Graduate Studies offers workshops each semester to assist with submission requirements.

Departments and students wishing to have bound copies of a thesis or dissertation can arrange for professional binding through ProQuest, the university bookstore, or other sources listed under Resources on the ETD web site.

## Introduction to Thesis and Dissertation Preparation

Institutions granting graduate degrees are committed to assisting graduate students and faculty members in meeting the goals of consistency, logical organization, correctness, and attractiveness in theses and dissertations. Manuscript development is one of the most comprehensive tasks graduate students must face. This manual was designed to assist students in achieving these goals by providing guidance in meeting the requirements for manuscript preparation established by the School of Graduate Studies at East Tennessee State University (ETSU). Parts of the guide have been taken with permission from the TCGS Guide to the Preparation of Theses and Dissertations written by Ann L. Lacava of the University of Tennessee, Knoxville, published by the Tennessee Conference of Graduate Schools in 1992. The ETSU *Guide for Preparation of Theses and Dissertations* shall be referred to as the *Guide*, and the term *manuscript* shall include theses and dissertations. It is our goal to assist you in the final stages of preparing a near perfect document that will reflect well on you, your committee, your department, and ETSU in future decades. Your main resource in the early stages of preparation is your advisory committee and this guide. More specific details are presented below.

If you are reviewing this document early in your manuscript stages, the material in the next few paragraphs may be helpful. If you are at the manuscript preparation stage, you should already have completed the steps suggested in these paragraphs.

The amount of time necessary for completing the work involved in creating a manuscript will vary depending upon the nature of the project. Several semesters may be required to do the research that forms its basis. Additionally, writing a manuscript takes time and cannot be completed quickly.

The input and review of your Chairperson and advisory committee is one of the most important parts of the process leading to completion of the degree. Each committee member must be a member of the graduate faculty *and* approved to serve on graduate committees by the department Chair and by the School of Graduate Studies.

Prior to beginning work on your manuscript, you must secure a faculty member to act as the Chair for your committee and, with his or her guidance, develop an advisory committee according to the policies of the School of Graduate Studies and the established procedures of your program.

The committee has the following duties: approve your program of study and candidacy application, approve the proposed thesis or dissertation project, monitor the project, approve the final written manuscript, conduct a comprehensive examination of the manuscript, review revisions to the manuscript, suggest corrections, and approve the manuscript for submission to the School of Graduate Studies.

In addition, the Chair of your committee has the following responsibilities: provide primary oversight for the process, inform the School of Graduate Studies of the defense by the

date specified in the catalog, monitor the corrections of the manuscript, confirm that the student and the committee chair have proofread and approved the final version of the manuscript BEFORE electronic submission, run a Turnitin report and examine the results to make sure the citation meets best practice, sign the Manuscript Review form, and guide the student in making revisions if the manuscript is returned for major revisions and corrections. Committee Chairpersons will also be contacted via e-mail by Emily Redd after the submission of the thesis or dissertation to confirm that the correct file was uploaded for review.

The student's responsibilities are as follows: meet all deadlines established by the School of Graduate Studies and your graduate program, be continuously enrolled (every semester, including summer) after enrolling for thesis or dissertation until your manuscript is approved by the School of Graduate Studies, and be responsible for the content and format of your manuscript. Because conferral of a graduate degree implies personal integrity and knowledge of scholarly methods, there are several areas in which graduate students should be particularly cautious.

#### Proper Acknowledgment of Cited Works

A manuscript represents original scholarly activity. Any material taken from another source must be documented, and in no case should one present another person's work as one's own. East Tennessee State University uses the definition of plagiarism given in *Black's Law Dictionary* (Black, H. C., West Publishing Co., St. Paul, MN, 1968, p. 1308): "The act of appropriating the literary composition of another, or parts or passages of his/her writings, or the *ideas or language* [italics added] of the same, and passing them off as the product of one's own mind."

It must be understood that plagiarism may occur without exact duplication of another's written work. If in doubt, students should check with the major professor and the School of Graduate Studies about the use of appropriate citations. Plagiarism will be treated according to ETSU's Academic Misconduct Policy.

#### Use of Copyrighted Material

If extensive material from any previously copyrighted work is used in your manuscript beyond the "fair use" allowance, you alone are responsible for obtaining written permission from its copyright owners. The publisher usually has the authority to grant permission to quote large excerpts from the copyrighted work (see next paragraph for details), to use a figure or table from a copyrighted work, or can refer requests to the copyright owner or designated representative. The copyright owner may charge for permission to quote and the source should appear in your bibliography or reference list. Copies of these permission letters must be submitted and can be turned in by e-mail ([redd@etsu.edu](mailto:red@etsu.edu)), in person, or by standard mail to the School of Graduate Studies.

In determining the extent of a written work that may be used without permission, consider the proportion of the material to be quoted in relation to the substance of the entire

work. See *The Chicago Manual of Style* (2003) pages 135-139 for a discussion of fair use. In general, use of any work in its entirety is hardly ever acceptable (p. 136, section 4.27). In no case should a standardized test or similar material be copied and included in a manuscript without written permission. According to Circular 21 (Reproduction of Copyrighted Works by Educators and Librarians, p. 11), “there shall be no copying of or from works intended to be ‘consumable’ in the course of study or of teaching.” These include workbooks, exercises, standardized tests and test booklets, and answer sheets and like consumable material.

### Approval from Research Compliance Reviews

Compliance with federal regulations governing the use of human subjects, animal care, radiation, legend (proprietary) drugs, recombinant DNA, and the handling of hazardous materials in research is monitored by a number of federal agencies. Because of these regulations, research compliance is an area of importance to graduate students. If the thesis or dissertation research involves activity in any of these areas, students must verify that they have complied with the appropriate approval procedures prior to the initiation of the manuscript related to the research. Information concerning procedures for the use of *human subjects* may be obtained from the Institutional Review Board in the Office of Research and Sponsored Programs (<http://www.etsu.edu/research/orspa.htm>). Information regarding procedures for obtaining permission to use *animals* in research may be obtained from the Division of Laboratory Animal Resources (<http://www.etsu.edu/com/dlar>). Information regarding use of *radioactive materials* may be obtained from the Radiation Safety Officer (<http://www.etsu.edu/ospa/rso>), and information regarding use of recombinant DNA may be obtained from (<http://www.etsu.edu/research/recombinantDNA.htm>). Other issues related to compliance should be addressed to the office of the Vice Provost for Research in the Office of Sponsored Programs. The review is made in order to protect the rights of the human subjects, the welfare of the animals, and the safety of the investigators and the university community. A copy of each signed review must be included with the preliminary submission of the ETD manuscript and will be kept on file in the School of Graduate Studies.

### Purpose of this Guide

This *Guide* is designed to be a basic source of information for manuscript preparation. It establishes the technical parameters within which all students must work. These include the margins and sequence of pages within the manuscript. Because many graduate students will publish during and after their graduate education, it is necessary for students to understand the various elements of a manuscript and the general publication formatting requirements in academic publishing.

*Be wary about using an existing thesis or dissertation as a format guide because requirements may have changed or it may not have been prepared correctly.*

The style manual listed for your department or program must be followed consistently in the preparation of manuscripts, except where its instructions conflict with the guidelines in



this *Guide*. You must be consistent in using the same manual for all parts of your manuscript. Style manuals undergo revision; be sure you are using the latest edition of the selected manual. If you have any questions regarding the format of your manuscript, consult your committee Chairperson or contact the School of Graduate Studies. Rapidly changing technology makes it impossible for this *Guide* to reflect accurately all appropriate processes for presentation. If you wish to use an existing or new process, technology, or procedure that is not covered in the *Guide*, please obtain approval from the School of Graduate Studies *prior to* the submission of your manuscript.

### Definitions

Point: the character height. One point is 1 / 72nd of a vertical inch.

Style: refers to whether the typeface is italic, boldface, upright, inverted, or another enhancement.

Font: a set of characters (numbers, letters, and special symbols) that have the same typeface, size (pitch and point), and style.

Text: a generic term that designates the main body of a manuscript and distinguishes this from the preliminary pages (or front matter), tables, figures, references, and appendixes.

Preliminary Pages: sometimes called front matter. These serve as a guide to the contents and nature of the manuscript. The student is expected to reproduce the ETSU preliminary pages consistently so that ETSU theses and dissertations have a common look.

Table: an arrangement of data (numbers and/or words) in rows and columns. Tabular data allow the author to convey precise information to a reader in a structured format.

Figure: any diagram, drawing, graph, chart, map, photograph, illustration, or other pictorial representation of textual matter. Figures generally illustrate information or show relationships, rather than present precise data.

Appendix: supplemental material attached at the end of the manuscript. In some cases, tables or figures are placed in an appendix to avoid interrupting the text.

### Format Specifications

#### Computers

Students are encouraged to be proficient users of word processing if they plan to prepare their own manuscripts. The use of professional assistance in manuscript word processing is still encouraged and is necessary for students with limited word processing skill. The manuscript

should be developed as a comprehensive, cohesive, single document, in a single computer file, with a common set of margins, indents, and spacing. Never use the space bar to format text, to create a tab, or to insert a page break so that your document can maintain the desired format and be transformed into a stable electronic document.

### General Preparation Information

If you hire a manuscript preparer or an editor, be sure to provide him/her with a copy of these guidelines. *You* are still responsible for the accuracy and format of the paper.

Consult your departmental style manual concerning long quotations. Any easily readable *standard* type style and line spacing is acceptable, with the expectation that it must look good, be consistent with your other quotations, and be consistent with the disciplinary style guide (script, for example, is not considered standard type). Times New Roman and Arial are recommended. Select 12 point fonts only. In the case of figures or tables, type size may be reduced *if necessary* but must remain large enough to be easily legible.

### Headers and Footers

With the exception of page numbers, do not use page headers, page footers, running headers, or running footers in your manuscript.

### Margins

One-inch margins on all sides are preferred. Do not go under one inch or over 1.5 inches. All information including titles and footnotes must conform to these margins and centered headings should be centered relative to the edges of the page.

### Justification

Left justification is required unless your format guides specifically restricts the document to have full justification. All notations or writing must be large and clear enough to be read with ease. The print quality in the labels must be equal to the print quality in the text. Titles and notes added by the student must be in a font size and style consistent with the body of the manuscript.

### Pagination

With the exception of the Title Page, all pages of the manuscript are to be numbered in ascending order. The title page has no page number but is considered page 1. Remaining pages are numbered in Arabic numerals: 2, 3, etc., beginning with the second page and should be centered at the bottom.

### Divisions of Text

The manuscript should be divided into logical chapters and numbered consecutively with Arabic numerals. Center the heading of each new chapter in all caps (CHAPTER 1 on the first line and the TITLE on the second line) at the top of a new page. The text may be subdivided in a variety of ways, depending on the style manuals chosen by the departments, but the scheme must be consistent throughout a manuscript. The appearance of the headings must vary for each level of subdivision, unless a numbering system is used to indicate levels. An example is provided later in this document under 'Headings and Subheadings.'

## Illustrations

It is common in many areas of study for a manuscript to include illustrations such as reproductions of works of art, line drawings, facsimiles of manuscript pages, maps, photographic prints, color slides, chemical formulas, computer printouts, videos, or musical scores. Illustrations are best integrated within the word processing document, for example through scanning and then importing the scanned material. Use of copyrighted materials must include documented permissions. Care should be taken to align illustrations between the margins as previously specified.

## Format Options

The School of Graduate Studies recognizes two format options for electronic theses and dissertations, the Standard Format and the Alternate Format. *Please be sure to check with your program, department, and committee chair to determine which of the formats you should follow when writing your thesis or dissertation.* Different programs may have different requirements and you want to be sure you are following the correct format BEFORE you start writing.

The *Standard Format* has been in use for many years and all theses and dissertations approved prior to spring 2006 follow that format. This format organizes the manuscript into one integrated body of work with distinct chapters that may include: Introduction, Literature Review, Methods, Results, and Discussion, followed by References and Appendixes. Information on specific style guides to be used for the Standard Format can be found below in the section “Standard Format: Style Manuals.”

The ETSU Graduate Council approved the *Alternate Format* for use in spring 2006. It is designed as an option for programs whose students either will be publishing their work in a peer-reviewed journal or have published their thesis/dissertation work in such a publication prior to actually writing the thesis/dissertation. In the Alternate Format, the thesis or dissertation can consist of a paper or a collection of papers of which the student is an author or co-author. This format has some of the same requirements as the Standard Format; however, one or more chapters of the thesis or dissertation take the form of a journal article(s). It is expected that a master’s thesis will have one journal article where the student is first-author and that a doctoral dissertation will have two or more journal articles included and that the student will be first-author on at least one of these articles. Please note that journal articles should be inserted in the format in which they will be published, not in the submission format, so tables and figures should be included with the text immediately after they have been introduced. The advisory committee may permit inclusion of multi-authored articles in a dissertation as long as the student’s contribution to those articles and the relationship of the research described in those articles to the dissertation is made clear in the Introduction. Students need to check with their program director and advisory committee to determine the requisite number of journal style papers expected to meet degree requirements.

The thesis or dissertation must be more than a collection of manuscripts; all components must be integrated into a cohesive unit. The work must represent research conducted while the student was enrolled in the graduate program, must be a product of the thesis or dissertation study, and must not have been used to obtain another degree. More specific information is

presented below in the section “Alternate Format: Style Guides.” *NOTE:* when previously published copyright material is presented in a thesis or dissertation, the student must include signed waivers from the copyright holder and submit these to the ETD office at the School of Graduate Studies with the final submission, if not submitted previously.

## Standard Format

### Style Manuals

This *Guide* is not meant to provide you with information specific to the style manual(s) used in your discipline. If you have *any* questions concerning details of the preparation of a manuscript that are not covered in this *Guide*, consult the style manual appropriate for your department. The following list reflects current style guides and thesis and dissertations programs using the listed guide. If you use citations of electronic documents, your manuscript must provide proper citations. If your style guide does not have an electronic citation section, many publishers maintain a web site with such information. Listings of URL’s must show the date accessed, and you must seek all standard biographic information available to accompany the URL.

ACS: *The ACS Style Guide: A Manual for Authors*. Washington, DC: American Chemical Society: Chemistry.

APA: *Publication Manual of the American Psychological Association*. Washington, DC: American Psychological Association: Communicative Disorders, Counseling, Criminal Justice, Early Childhood, Educational Leadership, Liberal Studies, Nursing, Physical Education, Kinesiology & Sports Studies, Psychology, Public Health, Reading, Sociology, Speech & Language Pathology, and Technology.

ASA: *ASA Style Guide*. Washington, DC: American Sociological Association: Sociology.

AMA: *American Medical Association Manual of Style*. Baltimore, MD. Williams & Wilkins: Clinical Nutrition.

Campbell: Campbell, W. B., Ballou, S. V., & Slade. C. *Form and Style: Theses, Reports, Term Papers*. Boston: Houghton Mifflin: Art-MFA.

CSE: Council of Science Editors, Committee of Form and Style. *CSE Style Manual*. Washington DC: American Institute of Biological Sciences: Biology, Biomedical Sciences, Environmental Health, Geosciences, and Health Sciences.

LaTeX: Mathematics.

MLA: Gibaldi, J., & Achert, W. S. *MLA Handbook for Writers of Research Papers, Theses, and Dissertations*. New York: Modern Language Association: English, Liberal Studies.

Turabian (used in conjunction with the Chicago Manual of Style): Turabian, K. L. *A Manual for Writers of Term Papers, Theses, and Dissertations*. Chicago: University of Chicago Press: Art History, Computer and Information Sciences, Liberal Studies, and History.

**Organization of the Manuscript:**

Arrange the manuscript in the following order.

- \*Title page
- \*Abstract
  - Copyright page (if desired)
  - Dedication page (if desired)
  - Acknowledgments (if desired)
- \*Table of Contents
  - List of Tables (if desired or when there are more than five)
  - List of Figures (if desired or when there are more than five)
- \*Body of Manuscript
- \*Bibliography / References / Works Cited
- Appendix /Appendixes
- \*Vita

Those pages with a ‘\*’ must be included in all theses or dissertations, *including* those in creative writing. Each manuscript must constitute an integrated presentation.

Title Page. (See sample) The format of the title page must be followed as provided in the sample pages of this guide. The title should be no longer than 150 characters, including letters, punctuation, and spaces. The names of the thesis committee and keywords are included on the title page. The date must be the month and year of *graduation*, not the month in which the manuscript is completed. Degrees are awarded in May, August, and December; only one of these three months may appear on your title page. This page is considered page 1 though it bears no number. Subsequent pages should be numbered accordingly. The titles of theses and dissertations will be entered into electronic storage. To facilitate indexing by microfilm editors and easy retrieval by future users, you are encouraged to: select title words that will represent the subject of your manuscript in clear, specific, descriptive, and unambiguous terms; include all appropriate accents or diacritical marks; and use word substitutes for formulas, symbols, superscripts, Greek letters, or other non-alphabetical symbols.

Abstract. (See sample) An abstract is a brief summary of the content and purpose of the manuscript. It should be self-contained, fully intelligible without reference to the body of the paper, and suitable for publication by abstracting services without rewriting. Editors of abstract services shorten any abstract that exceeds 150 words for a thesis or 350 words for a dissertation. Thus, it is expected that abstracts conform to the required length so that the author retains complete control over its content. The abstract should include: a concise statement of the problem or area of investigation, a brief discussion of methods and procedures used in gathering data or obtaining the information used to create the manuscript, a condensed summary of the findings, the conclusions reached in the study, a succinct statement of the significance of the

work, full names of places and persons, as well as all pertinent proper nouns that will assist automated retrieval, clear and accurate display of symbols, accents, and diacritical marks, and transliterations for characters other than Roman or Greek letters and Arabic numerals. The first sentence of each paragraph in the abstract is not indented.

Copyright Page. (Optional) You have the option to copyright your manuscript. Revisions in the federal copyrighting statutes now guarantee the rights of copyright to the author of any thesis, dissertation, or other scholarly work from its original transcription to the time of publication, whether registered with the Library of Congress or not. Your ownership continues to exist even if you make the work public without including a copyright notice. Adding such a notice, however, alerts others that copyright is claimed and tells them who owns it, if they want to use your work. To give a copyright notice, insert this page after the abstract. Within the required margins, center the phrase: Copyright [year] by [your name]. This step protects your work in over fifty countries that have ratified the Universal Copyright Convention. If you want to seek protection in the Latin American countries that did not sign that convention but that abide by the Buenos Aires Convention, then add the additional line: All Rights Reserved. For example:

Copyright 1987 by John J. Knowall

All Rights Reserved

Registering Your Copyright. In contrast to the common-law protection, this notice provides statutory protection by *registering* your work under the U.S. Copyright Act of 1978. This offers some advantages. A lawsuit for copyright infringement may be filed only if the copyright notice was registered. It also establishes an irrefutable date for the manuscript's creation. To register your copyright notice, you may request that ProQuest do it for you for a \$55 fee when you complete their Agreement Form, or you may obtain a form for copyright registration directly from the Government and file for \$35 (<http://www.copyright.gov>).

Dedication Page. (Optional) A numbered page should be included at this point if the student wishes to dedicate the manuscript. Please use standard indented paragraph format.

Acknowledgments. (Optional) This page contains expressions of appreciation to those who have assisted in the preparation of the manuscript. Acknowledgments should be brief and refer to those individuals who have assisted the student in obtaining the graduate degree. Permissions to quote copyrighted material and acknowledgments of support from grants or special funding can also be placed in this section. Please use standard indented paragraph format.

Table of Contents. The arrangement of the Table of Contents should follow the format used for the headings and subheadings throughout the manuscript. Titles listed in the Table of Contents must be worded *exactly* as they appear in the text and headings and subheadings contained in the body of the manuscript must be included in the Table of Contents. List all

preliminary pages as well as all appendix titles. An example of the Table of Contents is provided in the sample pages in this guide.

Lists of Tables and Figures. (As required) The inclusion in the preliminary pages of a list of figures or a list of tables shall depend on the number of figures or tables (for fewer than 5, a list is not required). Consult the professional style manual appropriate for your department to learn the criteria for including these separate lists. When included, titles in the lists must match the titles in the body of your manuscript verbatim.

Headings and Subheadings. Headings may follow the departmental style guide, and if there is no specified style, they should conform to the following:

## CHAPTER 1

### INTRODUCTION

The chapter title is all capital letters and centered.

#### First Level Subheading

The first level subheading has initial capital letters and is centered and underlined OR italicized.

#### Second Level Subheading

The second level subheading has initial capital letters, is underlined OR italicized, and is flush with the left margin.

Third Level Subheading. This is an indented paragraph heading, followed by a period and is underlined OR italicized.

Tables and Figures. For electronic theses and dissertations, the School of Graduate Studies requires that tables and figures be included with the text immediately after they have been introduced as long as the length does not interfere with readability. If a table or figure is too lengthy it can be moved to an appendix. When designing and presenting tables and figures, follow the forms given in the style manual approved by your department.

Titles. Because tables and figures are separate entities, they must be numbered independently. Each table or figure must have a unique title descriptive of its contents. In most style guides the table title appears at the top of the table and figure captions appear at the bottom of the figure. Figures containing parts must be given a general title, after which the figure may be broken down into parts A and B. No two figures may have exactly the same title. The formatting of the titles must be consistent for all tables and figures.

Numbering. Tables and figures should be numbered consecutively throughout the

manuscript, including the appendix, using Arabic numerals.

Placement Within the Body of the Manuscript. Text is primary in importance; tables and figures are secondary. The text, therefore, shall dictate where tables and figures are placed. Your goal for reasons of both aesthetics and the practical limitations of space should be to fill each page. Readability, however, is paramount. Thus, if filling a page with both text and a figure (or a table) interferes with readability, then readability shall take precedence. Each table or figure should immediately follow on the page in which it is first mentioned (except as noted below). All tables and figures must be referred to by number, not by expressions such as “the following table” (or figure).

When more than one table or figure is introduced on a page of text, each follows in the order mentioned unless grouped later in the document. If multiple tables or figures are placed together on a page, there should be at least one half inch between them.

Whenever a table or figure is situated in a place (such as an appendix) where more than one page of text separates it from the point at which it is first mentioned in the text, its location must be clearly indicated at the first mention (for example, “See Table 3, Appendix B”) and is not repeated thereafter.

Horizontal Tables and Figures. It may be necessary to place some tables or figures in a horizontal (landscape) orientation on the page. The page margins should be the same for all pages in the manuscript. The margin at the top of the page and the placement of the page number must be consistent with the rest of the manuscript. Place the table or figure, and its caption, so that it can be read when the page is in landscape view.

#### Formatting Tables

Typeface. The font used for the manuscript must also be used for tables. Its size may differ, depending on the fit of the information within the margins.

Required Components. Consult the professional style manual appropriate for your department to learn the criteria for placing and justifying the title. The use of ruling or horizontal lines in tables helps the reader distinguish the parts of a table. Vertical lines are accepted but not recommended. One characteristic that identifies tabulated material as a table, however, is the presence of at least the following horizontal lines: table opening line, which appears after the table title and before the columnar headings; columnar heading closing line, which closes off the headings from the main body of the table; and table closing line, signaling that the data are complete. (Anything appearing below the closing line is footnote material.)

Tables must have at least two columns that carry headings at the top providing brief indications of the material in the columns. The headings appearing between the table opening line and the column heading closing line must apply to the entire column down to the table closing line. This is especially important in tables that continue onto additional pages. It is never appropriate to change columnar headings on continued pages. One method of avoiding this problem is to use subcolumnar heads. These are headings that appear below the column



heading closing line, cut across the columns of the table, and apply to all the tabular matter lying below them. Use solid lines in tables rather than other forms of graphic lines.

Continued Tables. Tables may be continued on as many pages as necessary provided the columnar headings within the columnar block remain the same. The columnar block is repeated for each page. The table title is not repeated, but continuation pages are indicated with a designation such as “Table 5 (continued)” in the upper left corner. Tables too large to fit within margins must be reduced.

Table Footnotes. If the table or data within the table are taken from another source, include the word *Source(s)* followed by a citation. If changes are made in a table taken from another source, indicate this by using the phrase “Adapted from....” All Table references and references within a table must be included in the bibliography or reference list.

### Formatting Figures

Typeface. Because figures are considered illustrations, regardless of the nature of their content, any print that is part of the figure can be in any typeface provided it is neat and legible. The figure title (or caption) and page number must be in the *same* base typeface as the rest of the manuscript because this material is considered to be part of the regular body of the manuscript.

Captions. Consult the professional style manual appropriate for your department to learn the criteria for placing and justifying figure captions.

Legends. Explanatory material for figures may be placed within the figure, either above or below the title, or continued after the period following the title. If a figure has a long legend that must be placed on a separate sheet because of the size of the figure, this page must be placed immediately before the figure. The page number assigned to the legend page is considered to be the first page of the figure. The figure title would appear on the legend page together with the legend.

Continued Figures. A figure containing several related parts too large to be included on a page may be continued onto other pages. The first page contains the figure number and complete title; subsequent pages contain the remainder of the figure and a designation such as “Figure 3 (continued)” in the upper left corner above the figure.

Figure Footnotes. Footnotes are placed after the figure title (at the bottom) but are not separated by a dividing line. If the figure or information within the figure is taken from another source, include the word *Source(s)* followed by a citation. Permission from the author is needed for direct copies. If changes are made in a figure taken from another source, indicate this by using the phrase “Adapted from....” All figure references and references within a figure must be included in the bibliography or reference list.

### Bibliography / References / Works Cited

A list of works referred to in the text follows the body of the text in a separate section. Properly title this section on the first page in all CAPS and use hanging indent format. Follow the bibliographical style outlined in your style manual for the entries. Consult style guides and publisher web sites for information on electronic citations. URLs must be accompanied by the date accessed and all other standard bibliographic information.

### Appendix

An appendix usually contains material that is related to the text but that is not considered suitable for inclusion in the body of the manuscript. Properly label each of the appendices on the first page with the Appendix letter and title. Typing, margins, and spacing standards required for the manuscript apply to all appendix material.

APPENDICES (this heading will only be on the first page)

Appendix A

Title of Appendix A

### Multiple Appendices

May be used if supplemental materials are varied and numerous. List each appendix title in the Table of Contents, indented under the more general heading Appendices.

### Vita

This provides a brief account of one's academic career and qualifications. A vita must be included as the last page of your manuscript. Exclude any information that is inappropriate to job related considerations or that you may deem an invasion of privacy. Limit your vita to one or two pages by selecting only the most relevant information for each section. The format for the vita is shown in the sample pages of this guide.

### Alternate Format

### Style Manuals

This *Guide* is not meant to provide you with information specific to the style required by peer-reviewed journals in your discipline. If you have *any* questions concerning details of the preparation of the journal article chapter(s) that are not covered in this *Guide*, consult the "Guide to Authors" of the journal where your manuscript(s) will be published. *It is the responsibility of the student and his or her advisory committee to assure that the journal style is followed.* If you use citations of electronic documents, your manuscript must provide proper citations. If your journal does not have an electronic citation section, many publishers maintain a web site with such information. Listings of URLs must show the date accessed, and you must seek all standard bibliographic information available to accompany the URL.

### Organization of the Manuscript:

Arrange the manuscript in the following order.

\*Title page

\*Abstract

Copyright page (if desired)

Dedication page (if desired)

Acknowledgments (if desired)

\*Table of Contents

List of Tables (if desired or when there are more than five)

List of Figures (if desired or when there are more than five)

\*Body of Manuscript (details below)

Chapter 1 – Introduction/comprehensive review of the topic and literature, including statement of hypotheses under investigation by the student

Chapter 2...n – One journal article for a thesis, including the abstract, or a series of journal articles, including abstracts, presented as separate numbered chapters for a dissertation. These articles should be restyled, if necessary, to conform to margin and formatting required by the School of Graduate Studies as presented in this guide.

Chapter n+1 – Dissertations must have a final chapter that integrates and discusses the material presented in the journal articles and addresses directions for future study. A thesis advisory committee may require a similar chapter.

\*Comprehensive Bibliography / References / Works Cited

Appendix /Appendixes

\*Vita

Those pages with a ‘\*’ must be included in all theses and dissertations, *including* those in creative writing.

Title Page. (see sample) The format of the title page must be followed as provided in the samples in this guide. The title should be no longer than 150 characters, including letters, punctuation, and spaces. The names of the thesis committee and keywords are included on the title page. The date at the bottom must be the month and year of *graduation*, not the month in which the manuscript is completed. Degrees are awarded in May, August, and December; only one of these three months may appear on your title page. This page is considered page 1 though it bears no number. Subsequent pages should be numbered accordingly. The titles of theses and dissertations will be entered into electronic storage. To facilitate indexing by microfilm editors and easy retrieval by future users, you are encouraged to: select title words that will represent the subject of your manuscript in clear, specific, descriptive, and unambiguous terms; include all appropriate accents or diacritical marks; and use word substitutes for formulas, symbols, superscripts, Greek letters, or other non-alphabetical symbols.

Abstract. (see sample) An over-arching abstract is required when using the Alternate Format. This abstract may refer to individual abstracts of articles. When there are two or more articles with abstracts, great care must be taken in writing the over-arching abstract to ensure that readers can recognize this while maintaining the proper word maximum. The over-arching

abstract is a brief summary of the content and purpose of the manuscript. It should be self-contained, fully intelligible without reference to the body of the paper and suitable for publication by abstracting services without rewriting. Editors of abstract services shorten any abstract that exceeds 150 words for a thesis or 350 words for a dissertation. Thus, it is expected that abstracts conform to the required length so that the author retains complete control over its content. The abstract should include: a concise statement of the problem or area of investigation, a brief discussion of methods and procedures used in gathering data or obtaining the information used to create the manuscript, a condensed summary of the findings, the conclusions reached in the study, a succinct statement of the significance of the work, full names of places and persons, as well as all pertinent nouns that will assist automated retrieval, clear and accurate display of symbols, accents, and diacritical marks, and transliterations for characters other than Roman or Greek letters and Arabic numerals.

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NOTE: when previously published copyright material is presented in a thesis or dissertation, the student must include signed waivers from the co-authors and publishers and submit these to the ETD office at the School of Graduate Studies with the final submission, if not submitted previously.

Dedication Page. (optional) A numbered page should be included at this point if the student wishes to dedicate the manuscript.

Acknowledgments. (optional) This page contains expressions of appreciation to those who have assisted in the preparation of the manuscript. Acknowledgments should be brief and refer to those individuals who have assisted the student in obtaining the graduate degree. Permissions to quote copyrighted material and acknowledgments of support from grants or special funding can also be placed in this section.

Table of Contents. The arrangement of the Table of Contents should follow the format used for the headings and subheadings throughout the manuscript. Titles and subheadings in the Table of Contents must be worded *exactly* as they appear in the text. List all preliminary pages as well as all appendix titles. An example of a Table of Contents format is provided in the School of Graduate Studies sample pages. A heading contained in the body of the manuscript must be included in the Table of Contents.

Lists of Tables and Figures. (as required) The inclusion in the preliminary pages of a list of figures or a list of tables shall depend on the number of figures or tables. When included, titles in the lists must match the titles in the body of your manuscript verbatim. Tables and Figures should be consecutively numbered if a thesis includes a single article. For a dissertation or when a thesis contains more than one article, then a chapter-by-chapter numbering system should be used.

Headings and Subheadings. Headings may follow the style guide of the journal and if there is no specified style they should conform to the following:

## CHAPTER 1

### INTRODUCTION

The chapter title is all capital letters and centered.

#### First Level Subheading

The first level subheading has initial capital letters and is centered and underlined.

#### Second Level Subheading

The second level subheading has initial capital letters, is underlined, and is flush with the left margin.

Third Level Subheading. This is an indented paragraph heading, followed by a period and is underlined.

Tables and Figures. You have control over where the tables and figures will fall within the text of your manuscript; however, for electronic theses and dissertations, even those in the Alternate Format, the School of Graduate Studies prefers that tables and figures be included with the text immediately after they have been introduced. When designing and presenting tables and figures, follow the format in the “Guide to Authors” of the journal approved by your department

and/or advisory committee. Also, follow the “Guide to Authors” for citations and/or footnotes if the table, figure, or data within the table or figure are taken from another source.

Titles. Because tables and figures are separate entities, they must be numbered independently. Each table or figure must have a unique title descriptive of its contents. Follow the “Guide to Authors” of the journal to determine placement of titles. No two tables or figures may have exactly the same title.

Numbering. Tables and Figures should be consecutively numbered if a thesis includes a single article. For a dissertation or when a thesis contains more than one article, then a chapter-by-chapter numbering system should be used (1.1, 1.2, 2.1, 3.1 etc.).

Placement Within the Body of the Manuscript. Text is primary in importance; tables and figures are secondary. The text, therefore, shall dictate where tables and figures are placed. Your goal for reasons of both aesthetics and the practical limitations of space should be to fill each page. Readability, however, is paramount. Thus, if filling a page with both text and a figure (or a table) interferes with readability, then readability shall take precedence. Each table or figure should immediately follow the paragraph in which it is first mentioned (except as noted below). All tables and figures must be referred to by number, not by expressions such as “the following table” (or figure).

When more than one table or figure is introduced on a page of text, each follows in the order mentioned unless grouped later in the document. If multiple tables or figures are placed together on a page, there should be at least one half inch between them. If possible, it is preferred that a table or figure be incorporated within the text, provided it occurs in numerical order, is separated from the text by at least one half inch above and below, and follows its specific mention in the text.

Whenever a table or figure is situated in a place (such as an appendix) where more than one page of text separates it from the point at which it is first mentioned in the text, its location must be clearly indicated at the first mention (for example, “See Table 3, Appendix B”) and is not repeated thereafter.

Horizontal Tables and Figures. It may be necessary to place some tables or figures in a horizontal (landscape) orientation on the page. The page margins should be the same for all pages in the manuscript. The margin at the top of the page and the placement of the page number must be consistent with the rest of the manuscript. Place the table or figure, and its caption, so that it can be read when the page is in landscape view.

Bibliography / References / Works Cited. In addition to the reference section within the chapter(s) containing each journal style article, a comprehensive list of works referred to in the text follows the body of the text in a separate section. Properly title this section on the first page. Students will follow a standard style guide adopted by your department for the comprehensive references (see list on page 11).

Appendix. An appendix usually contains material that is related to the text but that is not considered suitable for inclusion in the body of the manuscript. For the Alternate Format, multiple appendices may be required. Material presented in an appendix may include details of methods, materials, and procedures sufficient for replication of the research, additional data pertinent to the work, etc. as deemed necessary and appropriate by the student's advisory committee. Properly label each of the appendices on the first page. Typing, margins, and spacing standards required for the manuscript apply to all appendix material.

Multiple Appendices. They may be used if supplemental materials are varied and numerous. List each appendix title in the Table of Contents, indented under the more general heading Appendices.

Vita. This provides a brief account of one's academic career and qualifications. The vita will be the last page in your manuscript and must follow the sample format on page 35 of this thesis guide. Exclude any information that is inappropriate to job related considerations or that you may deem an invasion of privacy. Limit your vita to one or two pages by selecting only the most relevant information for each section.

#### Authorization for Release of Your Manuscript – Standard and Alternate Format

Before you can submit your manuscript to the School of Graduate Studies for approval, your committee must authorize its release as a finished account of your graduate research. This typically takes two steps: you successfully defend your research and manuscript with your committee in an oral presentation; and you correct any issues raised during that defense. After this, your committee members will sign the authorization section of the Manuscript Review Form.

#### Contacting the School of Graduate Studies

*After* your committee has signed the Manuscript Review Form and is of the opinion that your manuscript is in its final form, you are ready to contact the Thesis/Dissertation Coordinator at the School of Graduate Studies (Emily Redd: [redd@etsu.edu](mailto:red@etsu.edu)) to begin the review process. There are several documents that need to be filed before your manuscript will be approved. These are listed below in the requirements checklist. Though some items may be filed after the review begins, you must have a completed and signed Manuscript Review Form and a full Turnitin report on file with the School of Graduate Studies, and confirmation that the correct version of your file was uploaded by your committee Chairperson before the Thesis/Dissertation Coordinator will consider your manuscript.

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Once you've given your Manuscript Review Form and the Turnitin report to the School of Graduate Studies, you may go to the ETD web site and set up your account. You do not have

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To set up your account, go to the ETD web site (<http://www.etsu.edu/gradstud/etd/>) and follow the My Account link. Click the “Sign up” button under “Create new account.” You will then be sent an e-mail to confirm your account. After you have confirmed your account you can log in and begin filling out the profile. This profile will be used to assist in cataloging your ETD in ETSU’s Digital Commons (a repository for scholarly works at ETSU) and the ETSU library, and to provide a commercial archiving service, ProQuest UMI, with the information it needs. The School of Graduate Studies also uses it to identify and track your thesis so please be accurate.

When you do this step, you will need at hand the following information: the exact names of your committee Chair and committee members; the exact title of your manuscript; the exact abstract from your manuscript; and some keywords that describe its contents. You will need to finish the profile in one sitting so have your final manuscript ready. The system will not allow the account to be created until the file is uploaded. Your manuscript should be in a single file—including figures, graphics, and tables. However, the submission site does allow for the exception where additional files are needed. Contact the School of Graduate Studies Thesis/Dissertation Coordinator (Emily Redd: [redd@etsu.edu](mailto:redde@etsu.edu)) if you think your manuscript needs several files.

Before you submit your manuscript, you must make a new version of it in a standard form, called PDF, or portable document format. You upload this version of your manuscript. PDF is a format that allows people to read your file but not change it. The program Adobe Acrobat can convert any printable file into PDF format. The School of Graduate Studies has installed licensed copies of Acrobat in many locations around campus and has offered all pertinent departments a copy for their students’ use. You may also use a general computer lab on campus, any Sherrod Library computer, or free online conversion services of your choosing.

### The Review Process

The School of Graduate Studies holds its own review of all graduate research manuscripts before they are given the approval of the university. This process ensures manuscripts are of high quality and are uniform across departments. The School of Graduate Studies views its review as an aid to students in creating a document that meets the standards of their discipline. However, the content and clarity of a manuscript are the responsibility of its author and the advisory committee.

The Dean of the School of Graduate Studies ultimately decides when to approve each manuscript. Before that decision, the Thesis/Dissertation Coordinator will check your manuscript for its adherence to the style guides of both your department and the School of Graduate Studies. Your manuscript will be returned to you via email, along with the format comments and



questions. Typically, manuscripts are submitted for review, returned, and resubmitted several times before they are approved. The number of these “submission cycles” is largely under your control: if you diligently follow the formatting requirements shown in the style guides you should be approved within a very few cycles. It is your responsibility, however, to meet all deadlines: regardless of how many cycles your manuscript goes through, it must be approved before the final approval deadline in order to graduate in a particular term. Therefore, you should promptly revise and resubmit your manuscript each time it is returned to allow enough time for further review.

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To resubmit your revised manuscript, connect the ETD web site (<http://www.etsu.edu/gradstud/etd/>) and follow the My Account link to log back in. Click on the title of your thesis, and then click on “Revise thesis/dissertation.” Scroll down to the bottom of your profile and browse to upload the new file. If at any time this does not work, email your PDF file to Emily Redd, the Thesis/Dissertation Coordinator at [redd@etsu.edu](mailto:redde@etsu.edu) to expedite the process.

If your manuscript requires extensive comments by the School of Graduate Studies the PDF will be sent back immediately requesting that you consult your departmental style guide and the Thesis and Dissertation Guide for further edits.

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### Deadlines and Requirements

There are two important dates in the School of Graduate Studies review process: the initial review deadline and the approval deadline. Both dates are listed in the graduate catalog and in the class schedule.

You must initially submit your manuscript for review by the deadline for the semester you intend to graduate. Otherwise, it will not be considered for review that semester. You may, afterwards, resubmit as many times as necessary, but for you to be eligible to graduate, the manuscript must receive final approval from the School of Graduate Studies by the approval deadline for that semester.

You must meet all the requirements of the School of Graduate Studies before ETSU will clear you for graduation. These are summarized in the following checklist. You can download the online version from the ETD web site (<http://www.etsu.edu/gradstud/etd/>)

## Checklist of Requirements

- [ ] Successfully defend your manuscript to your graduate advisory committee and get agreement from them to release the final approved copy to the School of Graduate Studies for review. Once the manuscript has been approved, submit your document to your committee Chair to run a Turnitin report. This report should be e-mailed to Emily Redd ([redd@etsu.edu](mailto:red@etsu.edu)) for filing. Your manuscript will not be reviewed until the School of Graduate Studies receives this report.
- [ ] Fill out the Manuscript Review Form and have your committee members sign the authorization section. If sending electronically, the signatures on the form must be clear or an original will be required. This form must be sent in to the Graduate School before the review process can begin: [http://www.etsu.edu/gradstud/etd/documents/manuscript\\_review\\_form.pdf](http://www.etsu.edu/gradstud/etd/documents/manuscript_review_form.pdf)
- [ ] Fill out and send in the original or a clear scan of the ETSU ETD Release Form: [http://www.etsu.edu/gradstud/etd/documents/ETSU\\_ETD\\_release\\_form.pdf](http://www.etsu.edu/gradstud/etd/documents/ETSU_ETD_release_form.pdf)
- [ ] Fill out the UMI Agreement form and turn it in to the Graduate School. Your decision on the ETSU ETD Release form should be made first and will determine how you fill out page 4 (pages 4 and 5 are required, all others are optional). Please download these instructions for help: [Instructions](#). UMI Agreement form link: <http://www.etsu.edu/gradstud/etd/documents/UMIAgreementForm.pdf>
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- [ ] If you have done all this, you have met the requirements for the initial review deadline. The Graduate School Thesis/Dissertation Coordinator will review your manuscript to make sure it conforms to your departmental style guide and the Thesis and Dissertation Guide. The comments will be returned to you via email.
- [ ] Resubmit your manuscript as many times as needed but earn approval before the final approval deadline. When it is approved, you will be notified via email.

{Title, No More Than 150 Characters Long, Centered Between Left and Right Margins, Use  
Title Case with Initial Capitals Only}

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A {thesis/dissertation}

presented to

the faculty of the Department of {Department Name}

East Tennessee State University

In partial fulfillment

of the requirements for the degree

{Degree Title} in {Program Name}

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by

{Your Name}

{Graduation Month Year}

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{Committee Chair}, Chair

{Committee Member}

{Committee Member}

Keywords: {Keyword, Keyword, Keyword, Keyword, Keyword }

## ABSTRACT

{Title, No More Than 150 Characters Long, Centered Between Left and Right Margins, Use

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by

{ Your Name }

Limits on abstracts: Masters, 150 words or fewer; Ph.D. or Ed.D., 350 words or fewer. For comparison, this text contains 215 words. Read the following:

An abstract is a brief summary of the content and purpose of the manuscript. It should be self-contained and fully intelligible without reference to the body of the paper.

To retain complete control over the contents of your abstract, it should be suitable, without modification, for publication by an abstracting service. Editors will shorten an abstract that exceeds the above limits, so don't exceed them. To insure that your manuscript is retrievable using electronic searches, you should include full names of all significant places and persons and all pertinent proper nouns. Symbols, accents, and diacritical marks should be used and a transliteration for characters other than Roman or Greek letters and Arabic numerals should be included.

Your abstract should include: a concise statement of the problem or area of investigation, a brief discussion of methods and procedures used in gathering data or obtaining the information used to create the manuscript, a condensed summary of the findings, the conclusions reached in the study, and a succinct statement of the significance of the work.

For a discussion of the School of Graduate Studies requirements, see the ETD support site: [Guidelines > Style](#).

## TABLE OF CONTENTS

	Page
ABSTRACT.....	2
LIST OF TABLES.....	5
LIST OF FIGURES.....	6
Chapter	
1. INTRODUCTION.....	7
First Level Subheading.....	9
First Level Subheading.....	10
Second Level Subheading.....	11
Second Level Subheading.....	12
Third Level Subheading.....	13
2. SECOND CHAPTER TITLE.....	14
First Level Subheading.....	15
Second Level Subheading.....	19
Third Level Subheading.....	22
3. THIRD CHAPTER TITLE.....	23
First Level Subheading.....	25
Second Level Subheading.....	32

Third Level Subheading.....	33
4. FOURTH CHAPTER TITLE .....	42
First Level Subheading .....	45
Second Level Subheading.....	47
5. FIFTH CHAPTER TITLE .....	52
First Level Subheading .....	53
Second Level Subheading.....	54
6. SIXTH CHAPTER TITLE .....	56
First Level Subheading .....	57
Second Level Subheading.....	59
REFERENCES (BIBLIOGRAPHY or WORKS CITED) .....	60
APPENDICES .....	70
Appendix A: Description of Default Subheading Scheme .....	80
Appendix B: Using This Template for Paper Documents .....	90
Appendix C: Title of Appendix .....	100
VITA.....	101

## LIST OF TABLES

Table	Page
1. Title .....	8
2. Title .....	24
3. Title .....	40
4. Title .....	64
5. Title .....	88

NOTE: The numbering system may vary when using the Alternate Format



## LIST OF FIGURES

Figure	Page
1. Title .....	8
2. Title .....	24
3. Title .....	40
4. Title .....	64
5. Title .....	88

NOTE: The numbering system may vary when using the Alternate Format

# CHAPTER 1

## INTRODUCTION

This is how the first chapter of your manuscript should be formatted. Often it is titled 'INTRODUCTION.' Some departmental style guides require that the first chapter is titled 'INTRODUCTION,' but otherwise; you may use any title that suits your purpose. For APA users, you may either use this example or follow the blend on page 35. Notice the margins are 1 inch and the page number is at the bottom, center of the page.

### First Level Subheading

This example has been set up to meet the requirements of the School of Graduate Studies style guide for headings and subheadings for theses and dissertations. It is designed to provide a general format for discipline style guides that do not specify how to format chapter headings and subheadings. You may either underline or italicize the subheadings.

### Second Level Subheading

Paragraph text begins below the second level subheading. The second level subheading is flush with the left margin. Be sure to use title case for your subheadings. The first letter of each word is capitalized except for conjunctions with 4 or fewer letters.

Third Level Subheading. Third level subheadings are indented, begin the paragraph, and are not on a separate line from the text.

# Blend for APA and Graduate School Heading Requirements

## CHAPTER 1

### INTRODUCTION

#### **First Level Subheading Centered and Boldface**

#### **Second Level Subheading**

Paragraph begins here.

**Third level subheading.** Paragraph begins here.

***Fourth level subheading in sentence style.*** Paragraph begins here.

*Fifth level subheading in sentence style.* Paragraph begins here.

For the blend, you are following APA format (below) except the chapter headings are not included in the level count. Chapter headings must be centered, in all caps, and not bolded.

APA Headings	
Level	Format
1	<b>Centered, Boldface, Uppercase and Lowercase Headings</b>
2	<b>Left-aligned, Boldface, Uppercase and Lowercase Heading</b>
3	<b>Indented, boldface, lowercase heading with a period.</b> Begin body text after the period.
4	<b><i>Indented, boldface, italicized, lowercase heading with a period.</i></b> Begin body text after the period.
5	<i>Indented, italicized, lowercase heading with a period.</i> Begin body text after the period.

## REFERENCES (BIBLIOGRAPHY or WORKS CITED)

This bibliography is formatted using a very widespread style called a 'hanging indent.' The first line of each entry lines up with the margin. The other lines indent, causing the first line to 'hang.'

To use this page, select the first paragraph and replace it with your first entry. When that entry is finished, hit Return to move to a new paragraph.

This template uses single spacing within the entries and skips about a half line after each one.

These can be modified under Format | Paragraph....

## VITA

YOUR NAME

- Education: Public Schools, Erwin, Tennessee  
B.A. Economics, East Tennessee State University, Johnson  
City, Tennessee 1984  
M.A. English, East Tennessee State University, Johnson  
City, Tennessee 1997
- Professional Experience: Teacher, Gatlinburg-Pitman High School; Gatlinburg,  
Tennessee, 1984-1995  
Graduate Assistant, East Tennessee State University,  
College of Arts and Sciences, 1995 – 1997
- Publications: Smith, John J. (1996). "What Everyone Should Know."  
Universal Magazine. New York: Omnibus Press.  
pp.8-15.
- Honors and Awards: Who's Who in American Colleges.  
Outstanding Economics Student, East Tennessee State  
University.

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{Date}

{Name and address of addressee}

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Your name and signature

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---

[Type name and addressee below signature line]

Date: \_\_\_\_\_