



HIU DOCTORAL DISSERTATION FORMAT MANUAL

Humboldt International University

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Table of Contents

Introduction	4
General Format Requirements	4
Font	4
Margins	4
Pagination	5
Line Spacing	5
White Space	6
Orphans and Widows	6
Block Quotes	6
Seriation	6
Abbreviations	7
Quotations	7
Statistics/Mathematical Symbols	7
Thesis/Dissertation Arrangement	8
Preliminary Pages	8
Main Body of Text	8
Format Requirements for Preliminary Pages	9
Title Page - Required	9
Dissertation Committee Approval Page - Required	9
Declaration of Original Work/ Copyright Page - Required	10
Dedication(s) Page	10
Acknowledgment(s) Page	10
Abstract - Required	11
Table of Contents - Required	12
List of Figures Page	13
List of Tables Page	13
Format Requirements for Body of Text	14
Main Body of Text	14
Headings in Text	15
Chapter 1	15
Title of the Chapter	15
Levels of Headings	16
Second Level	16
Third Level	16
Fourth Level.	16
Fifth Level.	17
Tables & Figures	18
References	19

Online Citations	20
Online Copyrighted Materials	20
Figures and Tables From Copyrighted Printed Materials	21
Additional Reproduced Material	21
Reference List	22
Samples of References	22
Journal Article:	22
Book:	23
Website:	23
Chapter in an edited book:	23
Appendices	24
HIU Sample Format	25
Dissertation Submission	32

Introduction

Humboldt International University requires the use of American Psychological Association (APA) 7th edition format requirements. Doctoral Students must adhere precisely to the specifications required. Students are advised to purchase the current version of the APA Manual. Aspects of format and style not covered in this document are to be found in the seventh edition of the *Publication Manual of the American Psychological Association* (APA).

General Format Requirements

Font

- Font size for main text must be 12 points.
- Font size for titles of chapters and all headings must be 12 points.
- Font size for footnotes must be 10 points.
- Font size for captions in figures and tables must be 12 points.
- Font Times New Roman highly recommended.
- Font type must be consistent throughout the entire document, including page numbers.
- Font color must be black, without highlighting.

Margins

- Top, bottom, and right margins must be 1 inch for all pages
- The left margin must be 1.5 inches for doctoral thesis
- The title page, which has a top margin of 1.75 inches.

Pagination

- Use the page-numbering function of your text processing program to insert page numbers.
- Insert page numbers in the top right corner.
- The page number should show on all pages.

All page numbers must be centered at 1 inch from the bottom of the page. 20

- Page numbers on landscape pages should appear in portrait orientation.
- All pages are counted but not necessarily numbered (see below).
- The preliminary pages ARE counted BUT NOT numbered: Title page, Copyright page, and Dedication page (if included).
- Use lowercase Roman numerals (i, ii, iii, etc) for the following preliminary pages: Acknowledgment(s), Abstract, Table of Contents, List of Tables, and List of Figures.
- Use Arabic numbers (1, 2, 3, etc.) for the main body (starting with the first chapter), references, appendices, bibliography, and all other pages including photographs, illustrations, and drawings.

Line Spacing

- Double space general text material.
- Separate each table, figure, and other graphic from the text above and below it by two-line breaks.
- Single space text within entries for the references page(s) and double space between each entry.

White Space

White space within the manuscript should be avoided. Tables and figures should be incorporated as close to the text as possible.

Orphans and Widows

Avoid orphans (first line of a paragraph ending a page) and widows (a short line (one or two words) ending a paragraph at the top of a page) throughout the manuscript.

Block Quotes

A quotation of forty or more words should be placed in a freestanding block quote without quotation marks. Block quotes can be single or double space (this is a variation from APA) as long the spacing of the quotes is consistent throughout the manuscript. Block quotes should be indented five (5) spaces from the left margin. If there are additional paragraphs within the block quote indent an additional five (5) spaces. See APA 7th edition.

Seriation

Reference APA 7th Edition:

Within a paragraph or sentence identify elements in a series with lowercase letters in parentheses.

Use numbers in a list. Separate paragraphs in a series, such as itemized conclusions or steps in a procedure, are identified by Arabic numerals followed by a period but not enclosed in or followed by parentheses.

Simple bullets may be utilized instead of a number. Punctuation and spacing rules would remain the same as the associated structure with numbers.

Abbreviations

When in the reference list, be sure that the name of the organization is spelled out first, then the acronym in parentheses follows, with a period at the end. See APA Manual, 7th edition, (p 172-178).

Quotations

Direct quotations should be used sparingly and should not exceed 10% of the chapter in which they appear. All direct quotes must be introduced and provided with a context before they are added and must subsequently be discussed in the context of the topic.

Quotations of more than 40 words need to be blocked, no quotation marks are used, and the reference and specific page number are enclosed in parentheses after the period that ends the quotation. See APA Manual, 7th edition, (p 270-278).

Statistics/Mathematical Symbols

Common statistical/mathematical symbols must be appropriately presented and punctuated. See APA Publication Manual 7th ed., (p 182-189).

Italicize all statistical symbols. When stating percentages use the % symbol after the numeral. For statistical/mathematical copy, the following information must be supplied:

- State the alpha level used for statistical tests
- When reporting means, always include an associated measure of variability, such as standard deviations, variances, or mean square errors
- Report correlations, proportions, and inferential statistics (F, t, and chi square) to two decimal places, and percentages in whole numbers

Thesis/Dissertation Arrangement

This section describes how a thesis/dissertation must be arranged. For the purpose of this Manual, the thesis/dissertation consists of two parts: the preliminary pages and the main body of the document.

Preliminary Pages

- Title Page
- Dissertation Committee Approval Page
- Declaration of Original Work/Copyright Page
- Dedication(s) Page (optional)
- Acknowledgment(s) Page (optional)
- Abstract Page
- Table of Contents Page
- List of Figures Page (if applicable)
- List of Tables Page (if applicable)

Main Body of Text

- Beginning with Chapter 1.
- References
- Appendices (if applicable)

Format Requirements for Preliminary Pages

Title Page - Required

Include the following information on the title page:

- Humboldt International University
- Title of Dissertation (Project, Proposal, Thesis)
- Two specific statements separated as indicated on the sample dissertation:

“A Dissertation Thesis submitted in partial satisfaction of the requirements
for the degree of Doctor of in (Concentration)
.....”

- The student’s name
- When submitting the final revised manuscript for APA format review, the date will be month, year of final clearance.
- The name of your dissertation Chair should be included on the title page.

Center the chairperson’s name underneath the month and year the dissertation was cleared for APA format. (e.g., John Smith, Ph.D. – Dissertation Chairperson)

For format and placement of content on the Title Page, refer to sample of dissertation.

Dissertation Committee Approval Page - Required

This page contains the name of the doctoral student and a specific statement, as indicated on the sample dissertation. Committee Chair and member names, credentials, and roles are typed on the form. For format and placement of content, refer to the sample dissertation.

Declaration of Original Work/ Copyright Page - Required

- The Statement of Originality and the Copyright shall be presented on a single page which shall not be numbered.
- The Declaration of Originality 1 inch at the top of the page and the Copyright 1 inch at the bottom of the page.
- The Declaration of Original Work must be included and re-dated with each submission of the proposal and final report.
- A signature is not required. Including the dated page in your manuscript indicates that you attest to all content contained therein.
- At the end of the page you will find the copyright statement about the work (see example at the dissertation sample).

For more information regarding copyright issues, visit: <http://www.copyright.gov>

Dedication(s) Page

- The Dedication(s) page is optional.
- The heading Dedication or Dedications must appear at the top of the page

Acknowledgment(s) Page

The Acknowledgment(s) page is optional, but most theses/dissertations do include a brief statement of thanks or recognition of any special assistance.

This provides an opportunity to thank those who have been of assistance in completing your doctoral work. Commonly, committee members, colleagues, mentors, family members and institutions or individuals that supported the research, are acknowledged. The heading, ACKNOWLEDGMENTS, appears centered, in all capital letters. Text should be double-spaced.

Abstract - Required

- The abstract is prepared by the candidate for inclusion in the dissertation and for the official Final Oral announcement.
- The abstract should contain a statement of the problem or issue studied, the research objectives and/or questions, the research methodology employed, and a summary of the results (findings) and conclusions.
- The abstract can be no more than 250 words. Every word and number within the abstract must be counted as one word.
- All numbers within the abstract should be represented as numerals unless they begin a sentence.
- The first sentence of the first paragraph is not indented (flush left). The title of the abstract and supporting information contained on the abstract page are not included in the 250-word count. Place the abstract on its own page after the title page (i.e., page 2).
- Write the section label “Abstract” in bold title case, centered at the top on the page, and place the abstract below the label.
- Abstract may appear in structured format and written in a single paragraph without indentation.
- The abstract addresses the following (usually 1–2 sentences per topic): key aspects of the literature review, problem under investigation or research question(s), clearly stated hypothesis or hypotheses, methods used (including brief descriptions of the study design, sample, and sample size), study results findings, implications (i.e., why this study is important, applications of the results or findings)

Table of Contents - Required

- The table of contents should include a listing of all preliminary pages which follow it, chapter headings, and concluding materials.
- Essentially, there are two columns within the table of contents: one for the heading and the other for the page designation.
- The heading column text should be connected to the page designation by periods, one space apart (period leaders). Page numbers are always justified right.
- The heading of this page may be listed as TABLE OF CONTENTS or CONTENTS.
- It should be centered, all capital letters. Wording of the headings should match the wording used in the manuscript.
- The following division - DEDICATION, ACKNOWLEDGMENTS, VITA, ABSTRACT, REFERENCES, APPENDIX - should be in upper case in the Table of Contents as well as in the text.
- The levels of subheadings included in the table of content must be consistent throughout the manuscript.
- There must be a minimum of two levels of headings in your Table of Contents, but more levels of heading are not required, even if chapters include more than 2 levels.
- Chapter numbers in the Table of Content should be formatted identically to those in the text. Double-spacing is utilized between items in the table of contents; however, single-spacing is required between subheadings and/or two-line headings.
- The subheadings listed on the table of contents should have the initial letters of key words capitalized. If the subheading of any level is longer than one line, the second line of the subheading must be indented so that it is aligned with the text above it, and the page number should follow the period leaders after the last word of the

subheading.

- No levels within the table of contents should be bold, underlined, or italicized.

List of Figures Page

- The heading List of Figures should appear at the top of the first page, should be in bold centered and without punctuation. Each consecutive page of the List of Figures should bear the heading "List of Figures (Continued)".
- This page has a 1-inch top margin.
- The List of Figures should have column headings above the listings, with "Figures" on the left and "Page" on the right, for each page of the "List of Figures".
- In the List of Figures, all figure numbers and titles shall be numbered exactly as they appear in the body text, with the heading "Figures" on the left and "Page" on the right appear in the body text as far as numbering, wording, capitalization, and punctuation are concerned.
- Figures should be numbered consecutively with Arabic numerals in the order in which they are cited in the text. (See the Tables and Figures section in the Manual example).
- Double space between entries or use a single-spaced blank line between entries.
- Separate figure captions from page numbers with right-justified tabs and ellipses. (not periods).
- These pages are counted and numbered with lowercase roman numerals.
- Do not list figures appearing in the Appendices in the List of Figures.

List of Tables Page

- The heading List of Tables should appear at the top of the first page, should be bold centered and without punctuation marks, Each consecutive page of the List of Tables should have the heading "List of Tables (Continued)".

- The List of Tables should have column headings above the listings, with "Tables" on the left and "Page" on the right, for each page of the List of Tables.
- In the List of Tables, all table numbers and titles shall be listed exactly as they appear in the body of the text, with the heading "Table" on the right.
appear in the body of the text with respect to numbering, wording, capitalization, and punctuation.
- Tables should be numbered consecutively with Arabic numerals in the order in which they are referenced in the text. (For more information, see the Tables and Figures section on page 27 of the
the manual for more information.)
- Use double spacing between entries or a single-spaced blank line.
- Separate table headings from page numbers with right-justified tabs and ellipses (not ellipses.)
periods).
- These pages are counted and numbered with lowercase Roman numerals.
- Do not include in the List of Tables that appear in the Appendices.

Format Requirements for Body of Text

Main Body of Text

- Divide the text into its major parts/chapters/subsections.
- The major parts may contain such subjects as introduction, literature review, methodology, results, discussion, references, and other pertinent topics that are necessary for a complete understanding on the part of a sophisticated or professional reader.
- Each chapter should begin on a new page.
- If your thesis or dissertation includes a list of nomenclature and symbols, include the list as

an appendix.

- Pages are counted and numbered with Arabic numerals. Regardless of the number of preliminary pages, the first text page must be Arabic numeral 1, and the pagination must continue with consecutive Arabic numbers throughout the body and end matter of the thesis/dissertation.

Headings in Text

- Chapter headings (level 1 headings) must be bold face and centered beginning on a new page.
- The title of the chapter should be bold faced and centered a double-spaced line beneath the chapter number.
- Chapters may be numbered using uppercase Roman numerals or Arabic numerals; however, chapter numbering should be consistent throughout the entire document. In addition, chapter numbers should appear in the body of the text exactly as they appear in the table of contents.
- The chapter number and title must be displayed as shown below:

Chapter 1

Title of the Chapter

- Body text should begin a double-spaced line below the chapter title.
- Headings must be 12-point font.
- Headings and subheadings must have at least two full lines of body text below them. If only one line of text fits below a heading, move the heading to the next page.
- All chapter headings, section titles, and appendix titles must be worded in the body of the text exactly as they appear in the table of contents.

Levels of Headings

The APA Manual 7th ed. outlines 5 possible heading styles organized by level. Chapter headings will be the only level 1 headings, and any headings that come after chapter headings will follow the APA heading structure, beginning with level 2 (flush left, bold, uppercase).

There should never be another level 1 heading directly under the chapter title. **Headings should always follow the same top-down progression.**

Examples are provided below with directions for formatting each level of heading in the body of the text:

First Level (Chapter Number)

Title of Chapter

A level 1 heading is centered, boldface, and the first letter of the first word and the first letter of all major words in the heading are capitalized. The paragraph text should begin on the following line indented .5 inches from the left margin.

Second Level

A level 2 heading is situated flush left, boldface, and the first letter of the first word and the first letter of all major words in the heading are capitalized. The paragraph text should begin on the following line indented .5 inches from the left margin.

Third Level

A level 3 heading is boldfaced and italicized. The first letter of the first word and the first letter of all major words in the heading are capitalized. The paragraph text should begin on the following line indented .5 inches from the left margin.

Fourth Level.

A level 4 heading is indented, boldfaced, and followed by a period. The first letter of the first

word and the first letter of all major words in the heading are capitalized. The paragraph text should begin directly following the heading.

Fifth Level.

A level 5 heading is indented, boldfaced, italicized, and followed by a period. The first letter of the first word and the first letter of all major words in the heading are capitalized. The paragraph text should begin directly following the heading.

First, go through your text making sure that each level of heading is in keeping with APA Style rules:

Level	Format
1	Centered, Bold, Title Case Heading Text begins as a new paragraph.
2	Flush Left, Bold, Title Case Heading Text begins as a new paragraph.
3	<i>Flush Left, Bold Italic, Title Case Heading</i> Text begins as a new paragraph.
4	Intended, Bold, Title Case Heading, Ending With a Period. Text begins on the same line and continues as a regular paragraph.
5	<i>Intended, Bold Italic, title Case Heading, Ending With a Period.</i> Text begins on the same line and continues as a regular paragraph.

Note: In the title case, most words are capitalized

Tables & Figures

Tables usually present quantitative data, however, sometimes a table consists of words utilized to present qualitative information.

Any type of illustration other than a table is considered a figure. Each figure must fit onto one page.

Because Tables and Figures must be accurate and easy to read, care is required in spacing, size, placement of table titles and figure captions, and placement of tables and figures with respect to the text. All tables and figures which were designed to augment the written presentation are located within the text (this is a variation to APA style). They should be incorporated as close to the text as possible (avoid white space).

Tables may use vertical lines as well as horizontal lines if used consistently in the manuscript. Italics instead of underlining should be used for table headings and figure captions. Tables and/or figures may be printed in color if they add to the presentation of information.

Tables, as well as Figures are numbered (Arabic) consecutively from the beginning of the manuscript. The first table within the manuscript is Table 1 and subsequent tables are numbered in order. The first figure is labeled as Figure 1, with subsequent figures numbered sequentially. Numbering should be consecutive within the entire manuscript. Occasionally, tables or figures may be presented as an appendix, in which case they are not always numbered, but rather given a specific Appendix placement. For example, multiple tables presented in Appendix B should be labeled as Table B1, B2, B3, etc. Please see APA 7th edition for more details.

A List of Tables and a List of Figures are prepared and included in the final manuscript as

part of the preliminary pages. Please see the section on Preliminary Pages.

APA has specific guidelines regarding the preparation of Figures and Tables. Refer to the 7th edition style guides for specific information.

If tables are more than one page long, type (continued) in the bottom right-hand corner of the table and repeat the column heads on the subsequent pages of the table. See APA manual 7th ed.

Tables must be integrated into the body of the manuscript if using a chapter format or tables are to be placed after the references if using a manuscript format. See APA Publication Manual (7th ed.), for placement of tables in the manuscript format. For chapter format, each table should be placed immediately after it is mentioned in the text.

Figures must be numbered consecutively. Figures are to be integrated into the body of the manuscript if using a chapter format or figures are to be placed after the references using a manuscript format. If using a manuscript format, a figure caption must accompany each figure. See APA Publication Manual (7th ed.). For figures, vary the size of lettering by no more than 4 points within a figure.

Note: For manuscript style dissertations (i.e., non-chapter format), dissertations must include literature tables (located in Appendix A) following the references.

Immediately thereafter, a separate set of references for these tables must follow.

References

Perhaps one of the most important aspects of document preparation is the method of citing resources and references. It is expected that candidates cite their references and do not plagiarize other authors. Quoting or paraphrasing another's work always requires that a reference to this primary or secondary source be made.

The student should refer to the style guide for specifics of making the references and the associated reference list.

APA uses an author-date parenthetical method of citation within the manuscript text. A reference list is prepared for placement at the end of the manuscript. All references cited in the text must appear on the reference list; conversely, each entry in the reference list must be cited in the text. In other words, only those references quoted or paraphrased are included on the reference list.

A bibliography, which would cite additional background sources or sources for further reading is NOT included with a manuscript prepared according to APA style.

Online Citations

APA 7th edition guidelines require that brackets be used directly around the content of certain electronic citations, with no spaces (e.g., [bracketed content] should look like this).

When citing electronic sources, it is preferable to include the year, month, and date of publication if this information is available. In cases where the month and date are not known, the year of publication should be used instead.

It is important to note that APA 7th edition no longer requires the use of "Retrieved from" before URLs or DOIs, with some exceptions for unarchived resources. When citing these sources, including the retrieval date informs readers that the version of the work they access may differ from the original version used in the citation.

For a complete list of how to cite electronic sources, please refer to the 7th edition of the APA Publication Manual.

Online Copyrighted Materials

Examples include printed Internet documents and "screenshots."

Copyright guidelines do not apply solely to printed material. Internet material is protected by copyright laws as well. Therefore, any screenshots or copies of pages from a website must have copyright permission from the website owner. Because a dissertation becomes published, the author must indicate that they have permission from the owner of the website to use material from the site. The same rules for reproduced figures and tables apply to Internet documents and screen shots.

When including Internet material and screenshots within a dissertation, they should be labeled as figures.

A note should immediately follow the caption stating: “Screenshot reproduced with permission of the website owner.”

Here’s an example of what the figure caption should look like:

Figure 1. Screenshot of Pepperdine’s home page. Screenshot reproduced with permission of the website owner.

Figures and Tables From Copyrighted Printed Materials

Copyright permission footnotes are required for all tables, figures and extensive quotes (exceeding 250 words) from published sources. For tables, the permission is indicated in the “Note.” For figures, the permission is indicated immediately after the figure caption, and the word “Note” is not used.

Additional Reproduced Material

If an author includes reproduced materials from an organization’s handbook, catalog, etc., beyond what is appropriate for a blocked quote, they must indicate copyright permission from the organization. For example, if a student has included word-for-word, a college’s

mission statement and philosophy within the appendix, they must indicate at the bottom that they have obtained permission from the college to reproduce the material.

Note that this is different from citing a source for a quote of the school's mission, included within the text of the manuscript.

Reference List

The dissertation will have a list of references as well as appendices. General guidelines are specified below; however, the candidate should consult the style guide for additional information.

With APA format, the list of references starts on a separate page following the concluding text. The word REFERENCES should be typed in upper case, centered, at the top of the page.

With APA style, the appendices come after the reference list.

Double-space between reference entries but single-space within each reference. You may also double-space throughout the entire reference list.

APA is once again giving preference to hanging indents in the reference list. The first line of the reference starts flush left; with the second and succeeding lines indented (5 spaces).

If it is difficult to format your reference list to hanging indents, APA also permits paragraph formatting for the reference entries, such that only the 1st line of each entry is indented. Please see APA Manual 7th edition for a detailed explanation (section 2.12 and 9.44 to 9.49). APA style does not require the inclusion of a bibliography beyond the reference list.

Samples of References

Journal Article:

Author, A. A., Author, B. B., & Author, C. C. (Year). Title of article. Title of Journal,

volume number (issue number), page range. DOI or URL if available.

Example:

Smith, J. D., Johnson, L. K., & Thompson, R. T. (2021). Effects of exercise on mental health outcomes in older adults. *Journal of Gerontology and Geriatric Medicine*, 3(1), 1-10.
<https://doi.org/10.29333/jggm/12943>

Book:

Author, A. A. (Year). Title of book. Publisher.

Example:

Jones, P. Q. (2019). The history of modern art. Oxford University Press.

Website:

Author, A. A. (Year, Month, Day). Title of webpage. Website Name. URL

Example:

National Institute of Mental Health. (2022, April 28). Depression. U.S. Department of Health and Human Services.
<https://www.nimh.nih.gov/health/topics/depression/index.shtml>

Chapter in an edited book:

Author, A. A. (Year). Title of chapter. In B. B. Editor & C. C. Editor (Eds.), Title of book (pp. xx-xx). Publisher.

Example:

Williams, K. M. (2020). The impact of social media on mental health. In J. K. Brown & M. D. Smith (Eds.), *Mental health in the digital age* (pp. 53-68). Springer.

Note: Make sure to consult the APA 7th edition manual for detailed information on how to

format references for different types of sources.

Appendices

Each Appendix begins on a separate page.

For each Appendix, an individual cover page can be used (if applicable, this is required for psychology doctoral students, and optional for education doctoral students), or the word, Appendix (with the seriating capital letter, A, B, etc.) can be used on the same page as the appendix item. Place the appendix label and title in bold and centered on separate lines at the top of the page on which the appendix begins. Use title case (see Section 6.17) for the appendix label and title.

If tables/ figures are included in appendices, precede each appendix table or figure number with the corresponding appendix letter (e.g., Table A1, Figure B1, etc). Tables/figures in appendices must be listed in the List of Tables/List of Figures.

If a cover page is utilized for each Appendix, the word Appendix with its letter designation should be centered and bold. Double-space and type the title of the appendix item, centered and in title case. The text of the cover page can be centered at the top of the page or centered in the middle of the page.

If there is only one Appendix, do not use an identifying letter; the word Appendix is sufficient. Appendices should be in the order in which they are mentioned in the text.

Margins must be maintained within appendix pages. Where necessary, reduce a page so that it fits completely without violating margins. Page numbers are needed and should be placed in the location utilized throughout the rest of the manuscript.

If using the manuscript format, Appendix A should be entitled the "Review of the

Literature" (including the reference list for the review).

All personal identifying information (i.e., phone numbers, addresses, email) should not be included in any of the appendices without approval.

HIU Sample Format

The following pages are formatted according to the requirements prescribed by the Manual and should be used as a guide when formatting your thesis/dissertation.

(LOGO)

Humboldt International University

TITLE OF DISSERTATION
(CENTERED, DOUBLE –SPACED, AND IN
ALL CAPITAL LETTERS)

A dissertation submitted in partial satisfaction of

the requirements for the degree of

Doctor of..... (Degree) ...

in..... (Concentration)

Author: Jane Doe Student

Chairperson: Dr. John Smith, Ph.D

Month,

Year

By (Student Name and Signature) _____

Under the guidance of a Dissertation Committee and approved by its members, it has been submitted to and accepted in partial fulfillment of the requirements for the degree of DOCTOR OF.....

Doctoral Committee:

John Smith, Ph.D., Committee Chair

Raul Perez Ph.D., Committee Member

Manuel E. Prieto, Ph.D. Committee Secretary

Javier F. Garcia, Ph. Committee President

Date _____

Declaration of Original Work

© Copyright by Jane Doe Student (year that dissertation is submitted for binding) All Rights Reserved

Dedication

I would like to dedicate this manuscript to my mother, Janette S. Mother.

Acknowledgments

I would like to express my appreciation to Professor John P. Professor for his guidance and help throughout this research. The skills and knowledge that I have gained are things that I will take with me in my next professional endeavor. I look forward to whatever challenges come my way knowing that I am prepared to take them on.

I would like to thank my husband for his unwavering love and support through this endeavor.

Table of Contents

Introduction	i
Abstract	ii
List of Figures	iii
List Of Tables	iv
Chapter 1	16
Introduction	
XXXXXXXX	
XXXXXXXX	
Summary	
Chapter 2	18
Introduction	
XXXXXXXX	
XXXXXXXX	
Summary	
Chapter 3	20
Introduction	
XXXXXXXX	
XXXXXXXX	
Summary	
Chapter 4	22
Introduction	
XXXXXXXX	
XXXXXXXX	
Summary	
Chapter 5	24
Introduction	
XXXXXXXX	
XXXXXXXX	
Summary	
Conclusions	25
Recommendations	26
References	27
Appendices	28

Dissertation Submission

- Be sure you have read and reviewed the information in this Dissertation Guidelines prior to finalizing your document and preparing it for submission.
- Submit your Dissertation Final Work complete to the LMS Platform
- Submit your Dissertation Final Work completed to the Committee Signature
- Prior to the Pre-Defense the Dissertation must be approved by all members of the Dissertation Committee and the Manuscript must be approved by the HU Information Coordinator.
- After the Defense, the Dissertation Chair must assign the corresponding grade in the SIS and send the corresponding documents to the HIU Administration.