Guidelines for Preparation of Theses and Dissertations

College of
Education, Health, and Human Services

Kent State University

Revised Summer 2011
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PREFACE

Theses and dissertations are works which are representative of the academic caliber of the University as well as of the student. These guidelines are designed to assist students and typists to maintain the high degree of accuracy and consistency which are hallmarks of well-written documents. It is assumed that the guidelines will be used in conjunction with the approved style guide.

The student is responsible for the scholarly and accurate preparation of copy including expression of ideas, grammar, typing, footnote form, reference form, etc. The material should be delivered to the typist exactly as it is to be typed.

SOURCES FOR FORM AND FORMAT

The *Publication Manual of the American Psychological Association*, Sixth Edition (2010) is the required guide used by the Graduate School of Education, Health, and Human Services. The use of any other style guidelines would need prior approval from the Associate Dean for Graduate Education.


The Appendices of this document contain examples of front matter, tables, figures, etc., prepared according to APA guidelines.

There are some components of dissertations/theses that are not addressed in the above style guide or are left to the discretion of the institution. This guide offers direction for these instances.

Please note some important information & changes in the 6th edition:

- There should be 2 spaces after periods that end a sentence in the body of the paper.
- The number of authors that must be listed on the references page is now 7 and you no longer use et al. on the references page.
- The preferred font is Times New Roman 12 pt.
- The paper should be double spaced.
- The method and level of headings is simplified in the new edition.
- Formatting of quotations of 40 or more words.
DOCUMENT PRODUCTION

Paper

Dissertations: Paper is used only for approval pages (2 originals).

Size: Letter – 8 ½ inches by 11 inches.

Only twenty-pound white bond paper with at least 50 percent rag content should be used for anything submitted in paper form. This paper will have a watermark.

While theses and dissertations must be submitted electronically, the page layout used should be based on the above paper size. Approval pages must conform to the above paper quality.

Margins

Allow one and a half inches for the top and left margins. Use one inch for the bottom and right margins. Use a ragged right margin; do not justify lines.

NOTE: This does differ from the APA 6th Edition Manual.

Special care must be taken to ensure that illustrations, graphs, and tables do not extend beyond top, bottom, or side margins. Materials extending beyond the margins must be retyped or reduced by photocopy to allow for correct margins.

Indent the first line of every paragraph and the first line of every footnote. For consistency, use the tab key, which should be set at five to seven spaces or one-half inch.

Do not divide words at the end of a line, and do not use the hyphenation function to break words at the ends of lines. Let a line run short rather than break a word at the end of a line. (APA 6th, 2010, p. 229)

Spacing

There should be two (2) spaces after periods that end a sentence in the body of the paper. Double-space between all text lines of the manuscript. Double-space after every line in the title, headings, footnotes, quotations, references, and figure captions. Although you may apply triple or quadruple spacing in special circumstances, such as immediately before and after a displayed equation, never use single-spacing or one-and-a-half spacing except in tables or figures. To obtain proper spacing for the front matter, refer to the samples presented in the Appendix of this manual.
Pagination

NOTE: APA 6th edition guidelines differ from what follows. Please adhere to the pagination guidelines below. APA leaves this up to the discretion of the institution.

Every page in the thesis or dissertation must be assigned a page number. However, the numbers are not typed on the title page for the document, the Abstract, on the title pages for the Appendices, or on the title page for the references. Type a number on all other pages. Use lower case Roman numerals for pages containing front matter and center page numbers one inch from the bottom.

Use Arabic numerals for the text beginning on page 1 of chapter 1. The page number should be centered one inch (on the seventh line above the edge) from the bottom on the pages which begin the chapters, the Appendices, and the reference section. For the remainder of the text, place page numbers in the top right-hand corner one inch from the right edge of the paper and one inch (line seven; text begins on line 10) from the top.

Numbering must run consecutively throughout the text and Appendices with no missing numbers. Each number may be used only once. The use of numbers such as 12a, 12b, etc. is not allowed.

The abstract is considered to be a separate document and should not be numbered consecutively with the text.

Typeface

Twelve point font is required. Choice of font type should be made conservatively, considering the ease of reading and should be uniform throughout the document, though Times New Roman is preferred. Smaller type may be used in tables and charts, if necessary. When photocopying a table or chart from another source, it may be necessary to reduce the data in order to meet margin requirements. The reduction must not affect the readability of the information.

Italics

Use italics for: titles of books, periodicals, and microfilm publications; genera, species, and varieties; introduction of a new, technical, or key term or label (after a term has been used once, do not italicize it); letter, word or phrase cited as a linguistic example; words that could be misread; letters used as statistical symbols or algebraic variables; some test scores and scales; periodical volume numbers in reference lists; and anchors of a scale. (APA, 2001, pp. 100-101) Underscoring is not used.
Seriation

Identify the elements in a series within a paragraph using a lowercase letter typed in parentheses. For example: The children were (a) grouped according to age, (b) instructed to write the alphabet, and (c) graded on the basis of neatness.

Use commas to separate three or more elements that do not have internal commas; use semicolons to separate three or more elements that have internal commas. When a series consists of a vertical list, such as itemized conclusions or steps in a procedure, identify the elements by an Arabic numeral followed by a period but not enclosed in or followed by parentheses. The periods immediately following the numerals must be aligned. The first letter of each element should be capitalized. Periods are omitted at the ends of elements unless the elements consist of whole sentences or paragraphs. *Figure 1* provides an example of the correct presentation of a vertical list.

Using the learned helplessness theory, we predicted that the depressed and nondepressed participants would make the following judgments of control:

1. Individuals who . . . [paragraph continues].

2. Nondepressed persons exposed to . . . [paragraph continues].

3. Depressed persons exposed to . . . [paragraph continues].

4. Depressed and nondepressed participants in the no-noise groups . . . [paragraph continues].

*Figure 1.* Seriation

In any series, with or without enumeration, any item should be syntactically and conceptually parallel (APA 6th, 2010, pp. 63).
Front Matter

Typing Front Matter

The format for the pages of the front matter is illustrated in the Appendixes of these guidelines. The pages should be typed exactly as illustrated.

The completion date appearing on the title page, approval page, and abstract should correspond with the awarding of the degree rather than the defense of the thesis or dissertation.

Organization of Front Matter

If a copyright registration is to be secured, the front matter must be presented in the following manner:

1. Title Page (page i, page number does not appear)
2. Copyright Page (page ii) (optional)
3. Approval Page (page iii)
4. Abstract (no page numbers and not included in page count of document)
5. Acknowledgments (page iv)
6. Preface (page v) (optional)
7. Table of Contents (page vi)
8. List of Figures (if applicable, page vii)
9. List of Tables (if applicable, page viii)

In the event that no copyright registration is sought, the approval page must be numbered ‘ii’ and the numbers of the acknowledgment, preface, table of contents, list of figures, list of illustrations, and list of tables will follow the sequence indicated in the list above.

Title Page

The title page must be prepared as illustrated in Appendix A.

Note that all material is centered and that the title of the thesis or dissertation is presented in uppercase letters.

Copyright Page

Authors are protected by federal statute against unauthorized use of their unpublished manuscripts (APA 6th, 2010, p. 19). The copyright notice informs the reader of a dissertation that the material is protected by copyright laws. Although the dissertation may be placed under copyright at a later date, it is desirable to do so before
submitting. Registration of copyright provides a public record and is usually a prerequisite for any legal action (APA 6th, 2010, p. 20).

The essential information to be given is the copyright symbol ©, Copyright, year, by the full legal name of the writer. The year listed should be the same year which appears on the title page of the dissertation. See example Appendix B.

The sheet with the copyright notice should be inserted in the dissertation and numbered with small Roman numeral ii.

Approval Page

The approval page must meet the paper requirements as outlined on page 5 of these guidelines. The approval page should contain one signature line for each member of the thesis or dissertation committee. The names of those signing the thesis or dissertation must be typed a single space below the signature line. See Appendix C for a sample dissertation approval page or Appendix D for a thesis approval page. Dissertation examination committees normally include one or two individuals who are not members of the thesis or dissertation committee and who do not sign the approval page. The individuals who do not sign are the graduate faculty representative and the moderator (sometimes the same person serving both functions).

The approval page must also provide a signature line for the director of the school in which the thesis or dissertation was completed. The name of the school director signing the thesis or dissertation must be typed a single space below the signature line. See samples in Appendices C/D. The signature lines for the four schools are specified below:

- Director, School of Health Sciences
- Director, School of Foundations, Leadership and Administration
- Director, School of Lifespan Development and Educational Sciences
- Director, School of Teaching, Learning and Curriculum Studies

Two approval pages with all signatures, except that of the Dean must be submitted to Administrative Affairs and Graduate Education by the established deadline. The approval pages must be signed with original signatures in permanent black ink. Fountain pens or felt-tip pens may be used for the signatures. Ball point pens are not acceptable.

It is the student’s responsibility to obtain the signatures of the committee members and school director. It is suggested students take the approval pages of the thesis or dissertation to the final oral defense. If no changes in the document are necessary, signatures of committee members may be obtained immediately following the defense. In the event that changes will be required, it will be necessary to circulate a revised document and obtain signatures at a later date.
The Office of Administrative Affairs and Graduate Education will obtain the Dean’s signature after the final, proofed, or edited copy of the dissertation has been submitted. Dissertations and theses must be submitted electronically at www.ohiolink.edu/etd by the established deadline. A list of important dates for the semester, including final upload dates, can be found at http://www.kent.edu/ehhs/ogs.

Acknowledgments

The acknowledgment pages are used to thank individuals or institutions that have assisted the writer in carrying out a study. The generic head, ACKNOWLEDGMENTS, should be centered one and a half inches from the top of the page. Margins for the text of this section should be the same as for the body of the thesis or dissertation.

Table of Contents

All parts of the thesis or dissertation, except the title page, approval page, Abstract, and copyright page are listed in the Table of Contents. The titles of major divisions Acknowledgments, Preface, List of Figures, List of Tables, Chapter Titles, Appendices, and References should be presented in the Table of Contents in all capital letters. Numbers designating chapters should be given in the Table of Contents as they are in the text.

As illustrated in Appendix E, page numbers should be right justified. A line of periods one space apart should be used to guide the eye of the reader from the table of contents entry to the page number, single spaced with double spacing between chapters. Each additional heading level should be indented 3 spaces to the right from the previous heading level. The title TABLE OF CONTENTS is centered between the typing margins leaving a one and a half inch top margin.

Each level of heading must appear in the Table of Contents in the order of its rank, and the capitalization and wording must agree exactly with the capitalization and wording used in the body of the document. Regardless of the number of levels of subheadings within a section, the heading structure for all sections follows the same top down progression. (APA 6th, 2010, page 62)

Levels of Headings

Theses and dissertations are complex studies and may require several different levels of headings. Specifications for five levels of headings are listed below.
When a thesis or dissertation contains subheadings of several levels, the author has considerable latitude in determining the number of levels to include in the Table of Contents. However, each level of heading must appear in the Table of Contents in the order of its rank, and the capitalization and wording must agree exactly with the capitalization and wording used in the body of the document. If more than one level of heading is included in the Table of Contents, each level must be indented three spaces to the right of the preceding higher level.

---

Level 1 → **Centered, Boldface, Uppercase and Lowercase Heading**

Level 2 → **Flush Left, Boldface, Uppercase and Lowercase Heading**

Level 3 → **Indented, boldface, lowercase paragraph heading ending with a period.** (First line of paragraph begins 2 spaces following heading level period)

Level 4 → **Indented, boldface, italicized, lowercase paragraph heading ending with a period.** (First line of paragraph begins 2 spaces following heading level period)

Level 5 → **Indented, italicized, lowercase paragraph heading with a period.** (First line of paragraph begins 2 spaces following heading level period)

NOTES:

1. Chapter titles are NOT part of the levels of headings and should be: centered, bold, and all caps.
2. For all paragraph heading levels (3, 4, and 5) the first sentence of the paragraph should begin 2 spaces following the period and not on the following line.

Figure 2. Levels of heading parameters
CHAPTER IV

INTRODUCTION

Prevalence and Chronicity of ADHD

Areas Impacted by ADHD

School.  Paragraph begins

Social impact.  Paragraph begins

Home/family.  Paragraph begins

Figure 3. Five levels of headings illustration. The numbers written in parentheses at the right side of the figure indicate the level of the heading.

Quotations

If the quotation comprises 40 or more words, display it in a freestanding block of text and omit the quotation marks. Start such a block quotation on a new line and indent the block about a half inch from the left margin (in the same position as a new paragraph). If there are additional paragraphs within the quotation, indent the first line of each an additional half inch. Double-space the entire quotation. At the end of a block quotation, cite the quoted source and the page or paragraph number in parentheses after the final punctuation mark.

Others have contradicted this view:

Co-presence does not ensure intimate interaction among all group members.

Consider large-scale social gatherings in which hundreds or thousands of people gather in a location to perform a ritual or celebrate an event.

In these instances, participants are able to see the visible manifestation of the group, the physical gathering, yet their ability to make direct, intimate connections with those around them is limited by the sheer magnitude of the assembly. (Purcell, 1997, pp. 111-112)

Figure 4. Sample quote
Figures

Any type of illustration other than a table (photographs, drawings, charts, or graphs) is referred to as a figure. Whenever possible, figures should be computer generated. All figures produced by hand must be neatly drawn and lettered, using India ink or other black opaque ink. Ball point pen is not acceptable. All figures must fit inside the regular margins of the paper. Oversize materials should be reduced in size to conform to the margins.

All full-page figures must have page numbers in the upper right corner. Each figure should be labeled as “Figure 1,” “Figure 2,” and so on consecutively throughout the document, including the appendix. The word “Figure” and the number are italicized but the caption is not. The figure number and caption should appear below the figure.

If more than three figures are used, a List of Figures should follow the Table of Contents. The capitalization and wording of the entries in the List of Figures should agree exactly with the captions and the wording used in the body of the document. A sample List of Figures is provided in Appendix F on page 24. The title LIST OF FIGURES is centered between the prescribed typing margins leaving a one and a half inch top margin.

Tables

Tables are of two kinds: text tables (small tables inserted in the text) and formal tables (larger tables requiring an entire page or most of a page). Every table in the document should be mentioned in the text.

Tables must be labeled as “Table 1” and so on consecutively throughout the document, including the Appendix. The word “Table” and the number for each are not italicized, but the table title is italicized. Each table label and title is set above the body of the table. It is important that the capitalization and wording of entries in the List of Tables agree exactly with the wording used in the table titles. The general instructions regarding margins of figures also apply to tables. Smaller type may be used if needed.

If more than three tables appear in the paper, a List of Tables must follow the Table of Contents and List of Figures. The title LIST OF TABLES is centered between the typing margins leaving a one and a half inch top margin (see Appendix G).

Appendices

Appendices may be used to present detailed information which, if included in the text, would obstruct clear presentation of the argument. The word APPENDICES should be placed in the center of a blank page preceding APPENDIX A, and counted as a numbered page but no page number is placed on the page. The word APPENDIX A and the title of the appendix should be placed in the center of a blank page preceding each appendix. This page is counted as a numbered page but is not physically numbered. Begin each appendix on a separate page. Center the word Appendix and the identifying
capital letters (A, B, etc., in the order in which they are mentioned in text) at the top of the page. Center the title of the appendix, and use uppercase and lowercase letters.

Begin the text of the appendix flush left, followed by indented paragraphs. Ordinarily an appendix should not have footnotes (documentation can be inserted in the text). Materials placed in the Appendices must meet the standards of pagination, margins, etc. The initial page of the appendix is number at the bottom center with additional pages numbered top right. (See examples below of the appropriate sequence & formatting)

References

In association with a dissertation or thesis, the term “references” implies a list of sources consulted in the preparation of the document. Scholarly ethics require that authors not list works which have not actually been consulted. All works that have been cited in the footnotes or in the text must be included in the references. The word REFERENCES should be placed in the center of a blank page preceding the References. This page is counted as a numbered page, but no page number is placed on the page. The title REFERENCES should be centered and one and one half inch from the top of the page. The references should have a hanging indent and can be either doubled spaced or single spaced within an entry but must be double spaced between entries. They are placed last in the document, after Appendices. (See examples below of the appropriate sequence & formatting)
Abstract

The abstract should be a maximum of 250 words in length for both doctoral dissertation and master’s theses. The abstract should describe the problem or topic, any important or distinctive methods used in the research, and the principal conclusions reached.

The doctoral dissertation abstract must conform to the requirements of *Dissertation Abstracts International* without further editing or revision. Therefore, the directions below should be followed carefully.

The title of the abstract must be stated exactly as it is in the thesis or dissertation and it must be typed in CAPITAL LETTERS. The number of pages following the title of the dissertation or thesis should conform to the number of the last page of the dissertation or thesis, including the appendix and references.

Only the thesis or dissertation director’s name should appear. The title “Dr.” or “Professor” should not appear before the name but the degree of the dissertation director(s) should be listed after their name. The abstract itself should begin two or three spaces below the last line of the title. A sample abstract is provided in Appendix H.

Please note, the abstract is separate from the dissertation and is not included in the page count and is not physically numbered within the dissertation.

Defense Copy

The “defense” copy is a basis for the questioning of the candidate. As such, all parts (table of contents, list of figures, lists of tables, all data, reference, and Appendices) of the document must be included in typewritten form. All pages must be numbered appropriately. It is permissible that the pagination be done in pencil (use a very light pencil, if possible) to allow for ease of changes.

A copy of the completed dissertation or thesis should be submitted to the oral defense examining committee at least ten (10) working days before the oral defense. Although it is assumed that changes in the final copy might result from the actions of the oral defense procedure, the defense copy should be as complete as possible. The content, grammar, style, and format of the manuscript should be in their final form at the time of the defense.

NOTE: The defense copy needs to be clean, but can be on any type of paper, or in electronic format, as preferred by the committee.
PREPARATION OF FINAL COPY

Suggestions Regarding Editing

Dissertations and theses represent the highest level of research and scholarship produced by students of a university. Because scholars throughout the country and the world may refer to these documents, it is important that the style, format, and mechanics are handled in a highly professional manner as outlined in other sections of these guidelines. Final copy should be error free! This is the student’s responsibility.

Production of high-quality final dissertation or thesis copy is the responsibility of the degree candidate. Careful attention to details such as punctuation, vocabulary usage, coordination of headings with table of contents, format of reference, and organization of front matter, and appendices is necessary if the document is to reflect well upon the candidate and the committee.

Many professionals make a point of asking trusted acquaintances to review their written work to assist in identifying errors or inconsistencies. This practice is highly recommended to writers of theses or dissertations. An alternative means of insuring that all guidelines have been followed is to employ a professional editor who is familiar with the style standards (APA) used by the candidate and the format requirements described by these Guidelines.

Administrative Affairs and Graduate Education will maintain a reference list of individuals who have indicated that they are available to edit dissertations and theses. However, office staff will not be in a position to make recommendations regarding the work of specific editors.

Copyright of Dissertation

Plans for copyrighting should be completed before the final copy of the dissertation is prepared because the copyright notice must be inserted in the dissertation.

If the student desires University Microfilms to act as agent in securing a copyright, an agreement form must be completed and an additional fee must be paid. This fee covers the copyright registration. The Copyright Registration form can be found on the forms page at: http://www.library.kent.edu/page/10991. The completed form along with the payment must be submitted to the Administrative Affairs and Graduate Education office, White Hall, Room 409.
Final Submission and Printed Copies

In order to receive final formatting approval from the Office of Administrative Affairs and Graduate Education and be officially cleared for graduation, a student must submit their document by the established deadline as outlined below:

Both theses and dissertations must be submitted electronically at: http://www.library.kent.edu/page/10239.

Each term’s deadline date for electronic submission is posted in the Office of Graduate Student Services as well as on their website: http://www.kent.edu/ehhs/ogs. The deadline can be expected to fall approximately 3 1/2 weeks prior to the date of the graduation ceremony.

Once electronically submitted your document will be reviewed for any formatting issues. You will then be notified via email if the document is acceptable or if there are corrections needed. Once corrections are made, the revised version can then be sent electronically to the Luci Wymer: awymer@kent.edu in the Administrative Affairs office to take the place of the originally uploaded document. Note: Once the student has submitted to ETD, they do not go back into ETD to make changes.

Most masters and doctoral candidates choose to prepare at least one personal copy of the thesis or dissertation and a courtesy copy for the faculty member(s) who has served as director or co-director.

Please note that fees for bound copies are the responsibility of the student. Bound copies may also be ordered through ProQuest using the Author Discount Offer which can be found on their forms page: http://www.library.kent.edu/page/10991. If you choose to order bound copies please submit the completed form and chosen payment method to the Administrative Affairs and Graduate Education office, White Hall, Room 409.

In all cases, it is highly recommended that students employ the services of an editor to assist them in the final writing stages.

Masters theses are published through OhioLINK only. You may not submit your thesis for publication with University Microfilms International (UMI).

Ph.D. dissertations must be published by University Microfilms International (UMI), Ann Arbor, Michigan. Through micro publication, the dissertation manuscript becomes readily available to the research community. Once the master microform is available, it can be retrieved on demand to produce either another microform or a paper copy of the dissertation. This enables individuals and institutions to obtain copies of the manuscript any time in the future.
Electronic Theses and Dissertations (ETD)

An electronic thesis or dissertation (ETD) is a digital version of a thesis or dissertation. In general, it is the same product as a paper thesis or dissertation, simply in electronic form. The ETD provides a technologically advanced medium for expressing, disseminating, and preserving the ideas expressed in these works. Electronic dissertations have been accepted since the Fall 2004 and are now mandatory. Electronic theses have been accepted since Fall 2006 and are now mandatory.

The library has been responsible for processing, cataloging, and archiving theses and dissertations in the traditional print format and has assumed the same role for ETDs within the framework of the OhioLINK ETD Center. The library provides training for students submitting an electronic dissertation or thesis. For more information on seminar dates and times, see the ETD web pages at [http://www.library.kent.edu/page/10195](http://www.library.kent.edu/page/10195).

When submitting your thesis or dissertation, also include the Abstract in the body of the thesis or dissertation after the signature page. It should not be included in any page numbering within the body of the thesis or dissertation.

The format of the approval page should include the typed names as well as the titles of the people who signed the paper copy (see Appendices C & D). The electronic version does not include actual signatures.
APPENDIXES (21)

Note: numbers in parentheses are approximate line that text should appear on.
COPING STRATEGIES AS PREDICTORS (10) OF COMPETENCE IN PARENTS OF CHILDREN (11) WITH ATTENTION-DEFICIT/HYPERACTIVITY DISORDER (12)

A dissertation submitted to the (28) Kent State University College (29) of Education, Health, and Human Services (30) in partial fulfillment of the requirements (31) for the degree of Doctor of Philosophy (32)

By (45)
Jacqueline A. Walsh (47)
August 1998 (48)

Note: numbers in parentheses are approximate line that text should appear on.
A dissertation written by Jacqueline A. Walsh

B.S., California University of Pennsylvania, 1984

M.S., California University of Pennsylvania, 1994

Ph.D., Kent State University, 1998

Approved by

_________________________, Co-director, Doctoral Dissertation Committee

_________________________, Co-director, Doctoral Dissertation Committee

_________________________, Member, Doctoral Dissertation Committee

Accepted by

_________________________, Director, School of Foundations, Leadership and Administration

_________________________, Dean, College of Education, Health and Human Services

Daniel F. Mahony

Note: numbers in parentheses are approximate line that text should appear on.
APPENDIX D

Thesis written by (10)
Robert B. Larson (12)
B.A., North Park College, 1979 (14)
M.A., University of Wisconsin-Madison, 1989 (16)
M.A., Kent State University, 1998 (18)

Approved by (28)

_________________________, Co-director, Doctoral Dissertation Committee (31)
(Type Name)

_________________________, Co-director, Doctoral Dissertation Committee (34)
(Type Name)

_________________________, Member, Doctoral Dissertation Committee (37)
(Type Name)

Accepted by (40)

_________________________, Director, School of Foundations, Leadership (42)
(Type Name) and Administration

_________________________, Dean, College of Education, Health and Human Services (45)
Daniel F. Mahony

Note: numbers in parentheses are approximate line that text should appear on.
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The purpose of this study was to examine the coping strategies that parents used in a stressful yet “successful” interaction with their child who had been diagnosed with Attention-Deficit/Hyperactivity Disorder (ADHD). These coping strategies were viewed as potential predictors of parenting sense of competence. Coping strategies were evaluated in terms of scores on the eight scales of the Ways of Coping Questionnaire (WOC), while parenting sense of competence was evaluated in terms of the three scores on the Parenting Sense of Competence Scale (PSOC).

The participants in this study were 50 parents of children 6-12 years old who had been diagnosed with ADHD. Participants completed the WOC and the PSOC. Multiple regression analyses were conducted and the results revealed that the WOC Escape-Avoidance Scale scores accounted for …