

**MA THESIS and PHD DISSERTATION GUIDELINES**  
**PLEASE REVIEW THE FOLLOWING CHECK LIST BEFORE**  
**SUBMITTING YOUR DISSERTATION or THESIS**

- **All pages are included in dissertation**
  - **Title page - dated correctly - the month and year you plan to graduate**
  - **Copyright page included with each copy (optional)**
  - **Abstract with each copy**
  - **Acknowledgements, if included, are stated in a professional, concise manner and do not exceed one page**
  - **Table of Contents included**
- **Fonts used in the document are embedded**
- **Document is in one PDF file**
- **ENTIRE PDF file has been reviewed by the student to ensure formatting was not lost in a Word to PDF conversion**
- **Margins must be at least 1 1/2" on left side of paper; 1" on the top, right side, and bottom of page (page numbers must not intrude into the 1" bottom margin)**
- **The top margin for pages with chapter headings should be 2". If you are using Campbell/Ballou Style Manual, chapter heading margins should be 1 1/2"**
- **Doctoral survey – submitted to Office of Graduate Studies (PhD Students only)**

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## **PRELIMINARY STEPS**

The submission of your dissertation is a requirement for receipt of the doctoral degree, and a thesis is a requirement for receipt of some masters degrees. Your finished manuscript is a scholarly work that is the product of extensive research and related preparation. The dissertation and thesis are also a permanent record of original research. The University of Denver's Office of Graduate Studies is committed to the preservation and dissemination of the research contributions of its students; most of the requirements outlined in this booklet were established with that commitment in mind. Additionally, format requirements are described herein to meet the requirements of UMI Dissertation and Thesis Publishing (ProQuest Information and Learning). While the content of a dissertation or thesis is the prerogative of the student and his/her Dissertation/Thesis Committee, and the style of the writing determined by the Department, the format is established by Graduate Studies. This booklet outlines procedures that are designed to make preparation as efficient as possible. Please read and follow these procedures carefully to avoid time-consuming revisions in format.

## **PREPARING YOUR DISSERTATION/THESIS**

The guidelines that follow represent the minimal standards for professional preparation of your dissertation/thesis. If your dissertation/thesis does not conform to the minimum standards, you will be required to redesign and resubmit it. *Please read these guidelines carefully.* DO NOT USE PREVIOUSLY APPROVED DISSERTATIONS/THESES IN YOUR DEPARTMENT AS A GUIDE TO PREPARATION OF YOUR DISSERTATION/THESIS.

*The guidelines explained in this booklet must be used by all writers beginning Winter Quarter 2008.*

**You are encouraged to discuss with the Office of Graduate Studies any questions you might have about the format. It is strongly suggested that you submit several pages of your dissertation/thesis for review before you submit your final copies. This will help to avoid revisions which might prove time consuming and which might delay conferral of your degree. The Office of Graduate Studies can be reached at [gststu@du.edu](mailto:gststu@du.edu) or 303-871-2305.**

## SCHEDULING

There will be a number of deadlines that you must meet as you approach graduation. Please consult both the Office of Graduate Studies (gststu@du.edu) and your own department to be sure that you are well acquainted with the deadlines. At least one quarter before the end of your research, obtain a "Schedule of Deadlines" from the web site at [www.du.edu/grad](http://www.du.edu/grad), in the "Current Students" section.

The deadlines to apply for graduation are as follow:

Fall Quarter – July 15  
Winter Quarter – September 15  
Spring Quarter – January 15  
Summer Quarter – April 15

Check with your department advisor to select the proper style manual (see p. 6). The dissertation/thesis must be in accordance with a recognized style manual, formatted according to the Office of Graduate Studies requirements detailed in this booklet, and styled in conformity with the style manual you have chosen.

Schedule your oral examination (defense). Arrangements for the appointment of the outside chairperson and the examining committee, and for scheduling the date, time and place of the oral examination must be made with the departmental advisor. The Graduate Studies Office must be notified, in writing on a special form supplied by the Office of Graduate Studies, at least 3 weeks prior to the date of the defense. You may obtain the Schedule for Oral Exam at [www.du.edu/grad](http://www.du.edu/grad) in the "Current Students" section. The final examination must be conducted at least three weeks before your intended graduation date. See the appropriate Schedule of Deadlines for exact dates.

The dissertation/thesis, in typed form, must be in the hands of the examining committee at least two weeks before the date of the oral examination. Check with your department as to the number of copies needed.

A PDF file of your approved dissertation or thesis must be submitted to UMI ETD Administrator for permanent filing. The PDF is submitted after the final oral examination but on or before the date specified in the Schedule of Deadlines for your quarter of graduation. The PDF will be made available as an Open Access file through Penrose Library and for purchase through UMI/ProQuest.

Before submitting the PDF of your dissertation/thesis, please consult the checklist found at the beginning of this booklet and arrange for a formatting review with the Graduate Studies.

**PLEASE KEEP THE OFFICE OF GRADUATE STUDIES INFORMED OF  
YOUR GRADUATION PLANS. EMAIL [GSTSTU@DU.EDU](mailto:GSTSTU@DU.EDU) OR CALL 303-  
871-2305 IF YOUR PLANS CHANGE.**

## **APPROVAL PAGE**

An approval page will be sent to your advisor/chairperson of your dissertation/thesis when you schedule your oral exam (defense). The page must be submitted to the Office of Graduate Studies by your advisor before the final copy of your dissertation/thesis will be accepted.

## **FORMATTING REQUIREMENTS**

The specifications that follow regarding arrangement of the dissertation/thesis, type, margins, spacing, paragraphing, page numbering, and information regarding form pages **take precedence** over specifications that may be given in your style manual (see p. 6). It is imperative that your dissertation/thesis conform to these specifications.

## **ARRANGEMENT OF THE DISSERTATION/THESIS**

The order in which you should arrange the elements in the final copy of your dissertation/thesis follows on page 4. The items with a check mark in the “Required” field are mandatory; the others are optional. Each element begins on a separate page. Samples of certain required pages are found on pages 9-16 of this booklet. Those samples should be followed as precisely as possible.

## **PAGE NUMBERS**

Your dissertation/thesis will have two sets of page numbers; one set for the front matter and one set for everything else. Pages of front matter are numbered in small Roman numerals (ii, iii, iv). Pages in the body of the text, endnotes if used, and the back matter (i.e., bibliography and appendix) are numbered in Arabic numerals (1, 2, 3). The first page of the first chapter is considered to be the first page of the body and should be numbered accordingly. Not every page number appears; that is, they are not typed on the page. On the title page the number is not shown, but the page is counted in the pagination.

You may choose to create your dissertation/thesis in one document, or you may create a separate document for each type of page numbering and then merge them together after they have been converted to PDF files. Instructions for changing the page numbering in one Microsoft Word document can be found in Appendix A. Instructions for merging several PDF files into one document can be found at [http://dissertations.umi.com/etd\\_tutorial\\_proquest.pdf](http://dissertations.umi.com/etd_tutorial_proquest.pdf)

**Position of Page Numbers:** If a page number is called for, it should be centered at the bottom of the page standing on an imaginary line one inch up from the bottom edge of the page. **PAGE NUMBERS SHOULD NOT INTRUDE INTO THE 1 INCH MARGIN.** Instructions for setting up the page number formatting in Word can be found in the appendix of this booklet.

<b>Front Matter</b>		
<b>Required</b>	<b>Item</b>	<b>Page Numbering</b>
✓	Title Page (see p. 9-10)	Page i, but number does not appear on page
	Copyright Page (see p. 11-12)	No page number
✓	Abstract (see p. 13-14)	Small Roman numerals (starting with page ii)
	Acknowledgments	Continue small Roman numerals
✓	Table of Contents (see p. 15-16)	Continue small Roman numerals
	List of Tables	Continue small Roman numerals
	List of Figures	Continue small Roman numerals

<b>Body of Text</b>		
<b>Required</b>	<b>Item</b>	<b>Page Numbering</b>
✓	Text	Arabic numbers (starting with page 1)
	Endnotes	Continue Arabic numbers

<b>Back Matter</b>		
<b>Required</b>	<b>Item</b>	<b>Page Numbering</b>
✓	Bibliography	Arabic numbers continued from the body of text
	Appendix (Appendices)	Continue Arabic numbers

**YOU MUST ASSUME FULL RESPONSIBILITY FOR SEEING THAT ALL PAGES ARE INCLUDED, THAT ALL ARE IN THE PROPER ORDER AND THAT THE ABSTRACT IS INCLUDED IN EACH COPY.** The Office of Graduate Studies is an intermediary between you and the University. The Office of Graduate Studies, the binding department of Penrose Library, and ProQuest will not assume responsibility for missing pages.

## TYPE

Style and size of type should be consistent throughout the dissertation/thesis. Exceptions may be made for material such as tables reproduced from some other medium, oversized tables or figures, and for material in the appendix, but all material must be legible and conform to margin requirements.

**Embedded fonts are required.** 10 pt. Arial or 12 pt. Times New Roman are recommended. Decorative fonts are not allowed and bold and italics should be used sparingly. Please see instructions on how to embed fonts at [http://dissertations.umi.com/etd\\_tutorial\\_proquest.pdf](http://dissertations.umi.com/etd_tutorial_proquest.pdf)

If you choose to do your own word processing, you must be knowledgeable of all aspects of format. No substitutions will be accepted.

## MARGINS

The finished dissertation/thesis must have the margins indicated below. It is essential to adhere to these margins. Any deviation will require the dissertation/thesis to be redesigned and resubmitted which might delay conferral of your degree. All parts of your dissertation/thesis must conform to these margin requirements.

**\*\*Please note that margin requirements extend to material in the appendix. Avoid intrusions into established margins.\*\***

**Top margin must be 1 inch.**

**Note:** The top margin to a chapter heading must be 2 inches if following MLA, APA, Turabian or any other manual (except Campbell/Ballou). If you are following Campbell/Ballou, the top of the first page of a chapter must have a 1½ inch margin.

**Left margin must be 1 ½ inches.**

The wider left margin provides room for the binding.

**Right margin must be 1 inch.**

It is recommended that divided words be kept at a minimum so there will not be a row of hyphens down the right margin. Divide words as indicated in a standard dictionary. No word should ever be divided by two letters, i.e., de-sign. At least three letters should be used, if necessary, i.e., con-vention.

**Bottom margin must be 1 inch.**

This margin is measured from the bottom edge of the page to the foot of the page number. **Page numbers must not intrude into the 1" margin.**

**Note: All marginal requirements are minimum distances.**

**See Abstract A for instructions on how to set up margins, including footer margins, in Microsoft Word.**

## PARAGRAPHS

Indent the first line of each paragraph. The first line of a paragraph may not appear at the bottom of the page, nor may the last line of a paragraph appear at the top of the page. These are known as "widows" and "orphans". When the last line of a paragraph appears alone at the top of a page, it is called a *widow*. When the first line of a paragraph appears alone at the bottom of a page, it is called an *orphan*. **There must be at least two lines of a paragraph at the bottom of the page, or at the top of the page.**

## SPACING

Double-space everything with the following exceptions (**these requirements take precedence over your style manual**):

Single-space long, blocked quotations. A quotation that would continue for more than three lines of your typed text is considered "long" and should be blocked and single-spaced.

Single-space lines within footnote/endnote entries (but double-space between entries). This may not be an issue, since you may choose to use parenthetical citations instead of footnotes or endnotes.

Single-space lines within table and figure titles. Single-space material within tables and figures if you wish.

Single-space within chapter entries in the table of contents and in the lists of figures and tables. Double space between chapters and figure/table entries within your table of contents and lists (see the sample page 15-16).

You may single space entries in a bibliography/list of references if it is required by your style manual.

## STYLE MANUALS

The form and other procedures to be followed in preparing the dissertation/thesis manuscript must be in accordance with a recognized style manual. Styles may not be interchanged. Check with your department advisor before proceeding to ascertain the proper form, appropriate to your field.

You will be using the manual as a guide for styling your citations and your bibliography. In addition, you will consult it for directions on how properly to style quotations, certain abbreviations, capitalization, punctuation, symbols, and numbers for which usage differs from field to field. The important things are to follow your style manual and to be consistent; **however, the requirements outlined in this booklet take precedence over the instructions in your style manual.**

Campbell/Ballou, MLA, Turabian, and University of Chicago Press are all acceptable styles. Students writing theses in Psychology and certain other areas may use a form acceptable to such agencies as the American Psychological Association or comparable standardizing groups.

If your committee has no particular preference, Turabian is highly recommended. In an easy-to-understand format, it demonstrates both note style and parenthetical reference style.

## **NOTES, CITATIONS**

Citations may be made as footnotes, endnotes, or parenthetical references but one format must be used consistently throughout the text. Please check with your department or committee as to what form of citation is required.

## **ACKNOWLEDGMENTS**

Acknowledgments are not necessary but may be given for professional assistance and in cases where the author is grateful for any special or non-routine aid. The dissertation/thesis is a published, professional document, and acknowledgments, if included, should be expressed simply and reflect a professional tone and nature. **If you include an acknowledgments page, it must be double spaced, and should not exceed one page.**

## **BIBLIOGRAPHY**

The form of the bibliography must be consistent with the style manual used to format the whole text.

## **APPENDIX**

An appendix should be used for materials that supplement the text but are not appropriate for inclusion in it. Original data, summary tabulations, tables containing data of lesser importance, and lengthy quotations belong in the appendix. Questionnaires with their letters of transmittal and verbatim comments of respondents belong in an appendix.

Materials of different categories should be placed in separate appendices. When there is more than one appendix, each should be given a number or a letter (APPENDIX 1, APPENDIX 2, etc.; APPENDIX A, APPENDIX B, etc.)

**All material in the appendices must fit within the margin requirements outlined on page 5.**

## **ILLUSTRATIONS/PHOTOS**

Photos and illustrations should be digitally inserted into your text. Color may be used and will be maintained when viewing the dissertation/thesis electronically, but will be printed in black and white if a bound copy is ordered through UMI/ProQuest.

## **FINAL SUBMISSION OF YOUR DISSERTATION/THESIS TO UNIVERSITY MICROFILMS INTERNATIONAL (UMI)/PROQUEST**

The final submission of your dissertation/thesis must be made through the ETD Administrator system. This system can be accessed through any computer with internet access. When you schedule your dissertation/thesis oral exam, instructions on how to use the ETD Administrator system will be emailed to you.

When you submit your final document, it must be in the form of one PDF file with embedded fonts. A tutorial on how to embed fonts, convert Word to a PDF file, and how to merge several PDF files into one file can be found at [http://dissertations.umi.com/etd\\_tutorial\\_proquest.pdf](http://dissertations.umi.com/etd_tutorial_proquest.pdf). Adobe Acrobat Standard or Professional version is required to convert the Word file into a PDF. Acrobat is available on select computers in several locations around campus.

Although the Word to PDF conversion maintains most of the document formatting, some formatting may have shifted slightly; therefore, it is very important that you REVIEW YOUR ENTIRE PDF DOCUMENT BEFORE SUBMITTING TO ENSURE THAT THE FORMATTING HAS NOT SHIFTED IN AN UNACCEPTABLE MANNER.

### **FEES**

Fees are due when you submit the final copy of your dissertation/thesis. The fees are paid directly through the secure ETD Administrator system. ETD Administrator accepts Visa, MasterCard, and American Express. The fees for traditional publishing are as follow:

Doctoral Dissertation	\$65
Masters Thesis	\$55
Copyright Fee (Optional)	\$65

### **BOUND COPIES**

Some departments require that the student submit one hard copy for binding, and many students wish to receive bound copies of their dissertation/thesis for their own personal use. (Check with your department to find out if they require a bound copy.) The University of Denver has a relationship with the Denver Bookbinding Company to provide binding services to students. If your department requires it, or you wish to have your document professionally bound, you may submit paper copies of your document, in individual boxes, to the Office of Graduate Studies. You may submit up to six copies for binding. At the time you submit the copies for binding, you must also submit a check to cover the binding costs. The check should be made payable to Denver Bookbinding Company. The Denver Bookbinding Company's fees are as follow:

Each copy, up to 2 inches thick	\$15.00
Additional cost for each ½ inch thickness over 2 inches	\$3.50
Diskette pocket	\$2.00

It takes several months for the binding to be completed and then your copies will be returned to your department. Please contact your department if you wish to inquire if the bound copies are ready.

You may also order bound copies through UMI/ProQuest at the time of submission, but the fees are much higher than the Denver Bookbinding Company's fees.

### **SAMPLE PAGES**

The following pages contain discussions and samples of the required form for certain pages in the dissertation/thesis. Follow the centering, spacing, and capitalization as precisely as possible. If you have any questions regarding the wording or spacing for these pages, please email [gststu@du.edu](mailto:gststu@du.edu) or call 303-871-2305.

## **TITLE PAGE**

The title page should be as concise as possible, consistent with giving an accurate description of the dissertation/thesis. Be sure to spell out in English any symbols, formulas, Greek letters, and so on.

Center all materials between the margins. To be acceptable, the date on the title page must carry the **month and year of graduation** (not the month and year of the oral examination). Please be certain that the degree and the faculty are listed accurately wherever they appear.

**\*The appropriate nomenclature is:**

- the Faculty of Arts and Humanities
- the Faculty of Natural Sciences and Mathematics
- the Faculty of Engineering and Computer Science
- the Faculty of Social Sciences
- the Faculty of the University of Denver and the Iliff School of Theology Joint PhD Program

**\*The appropriate nomenclature for Conflict Resolution is:**

- the Faculty of the University of Denver

**\*The appropriate nomenclature for Education is:**

- the Morgridge College of Education

*(Sample Title Page)*

TITLE OF DISSERTATION (OR THESIS)

---

A Dissertation (or Thesis)

Presented to

(insert appropriate nomenclature)\*

University of Denver

---

In Partial Fulfillment

of the Requirements for the Degree

Doctor of Philosophy

---

by

Chris R. Doe

March 2008

Advisor: (insert advisor's name)

## **COPYRIGHT PAGE**

The copyright page is **optional**.

The essential components of the copyright notice are: copyright symbol ©, (note that the word "copyright" is not required); full legal name of author as it appears on the title page of your dissertation; the year in which the copyright will be established. Include "All Rights Reserved"; that clause supports your copyright under the Buenos Aires Convention, to which the United States and most Latin American countries belong.

### **Registering the Copyright of your Dissertation/Thesis**

The student has the right to have the dissertation/thesis copyrighted. UMI offers a copyright service to authors of all dissertations/theses it receives and will file on your behalf an application for registration of a claim of copyright on your manuscript so long as you authorize that application when you submit your document to ETD Administrator and pay the requisite fee. The charge for this service, which includes a filing fee and the cost of two positive microfiche copies to be deposited with the Library of Congress, must be paid in advance.

If you choose to have your dissertation/thesis copyright registered through UMI, your manuscript must contain a copyright notice.

*(Sample Copyright Page)*

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All Rights Reserved

## ABSTRACT

The abstract is a brief descriptive summary of the dissertation/thesis. It should include a definitive statement of the problem, a brief description of the research method and design, major findings and their significance, and conclusions.

The top of the page must contain your name, the title of your dissertation/thesis (exactly as it appears on your title page), your advisor's name, and the month and year that you earned your degree. The abstract must be **double-spaced**. It is recommended, but not required, that you limit your abstract to 350 words for a dissertation and 150 words for a thesis.

*(Sample Abstract)*

Author: Chris R. Doe

Title: TITLE OF DISSERTATION (OR THESIS)

Advisor: Advisor's Name

Degree Date: Month Year

## ABSTRACT

Type your abstract here. It should be double spaced and it is recommended that it not exceed 350 words for a dissertation or 150 words for a thesis.

## **TABLE OF CONTENTS**

The table of contents is required for all dissertations/theses. Double space between chapter entries, but single space any subheadings within a chapter.

Your table of contents should fit within the minimum margin requirements and should include a small Roman numeral page number.

*(Sample Table of Contents)*

## Table of Contents

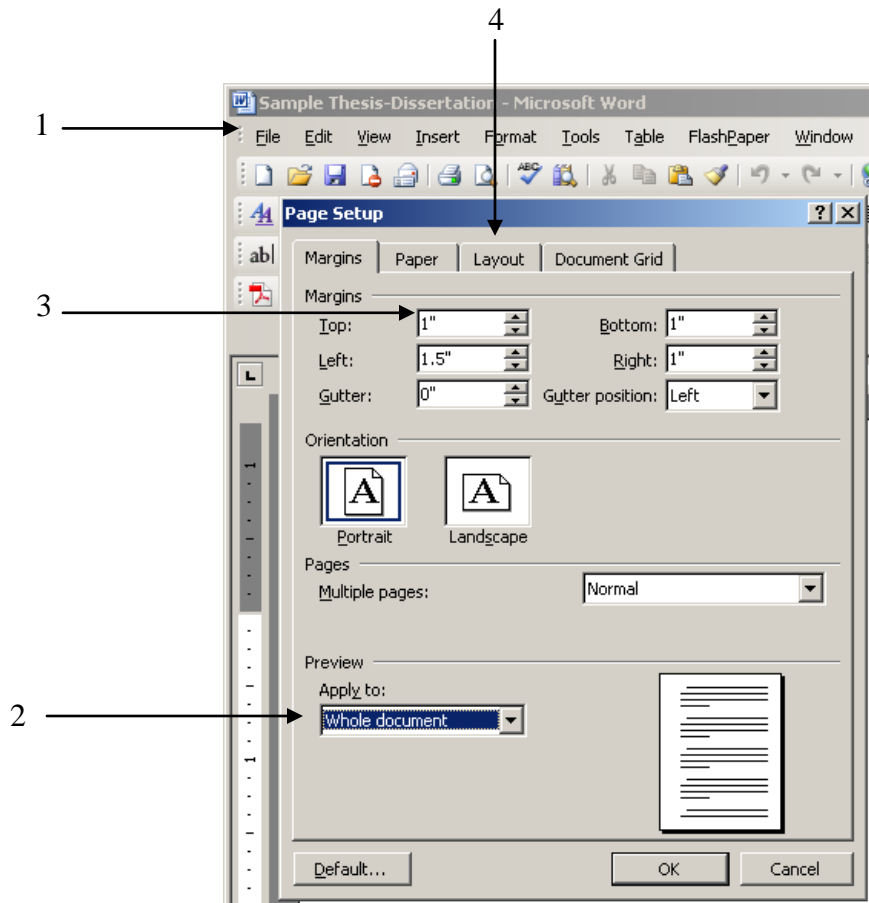
Chapter One .....	1
Subheading.....	1
Subheading.....	1
Subheading.....	1
Chapter Two.....	2
Subheading.....	2
Subheading.....	2
Chapter Three.....	3
Subheading.....	3
Subheading.....	3
Subheading.....	3
Chapter Four .....	4
Subheading.....	4
Chapter Five.....	5
Subheading.....	5
Bibliography .....	6
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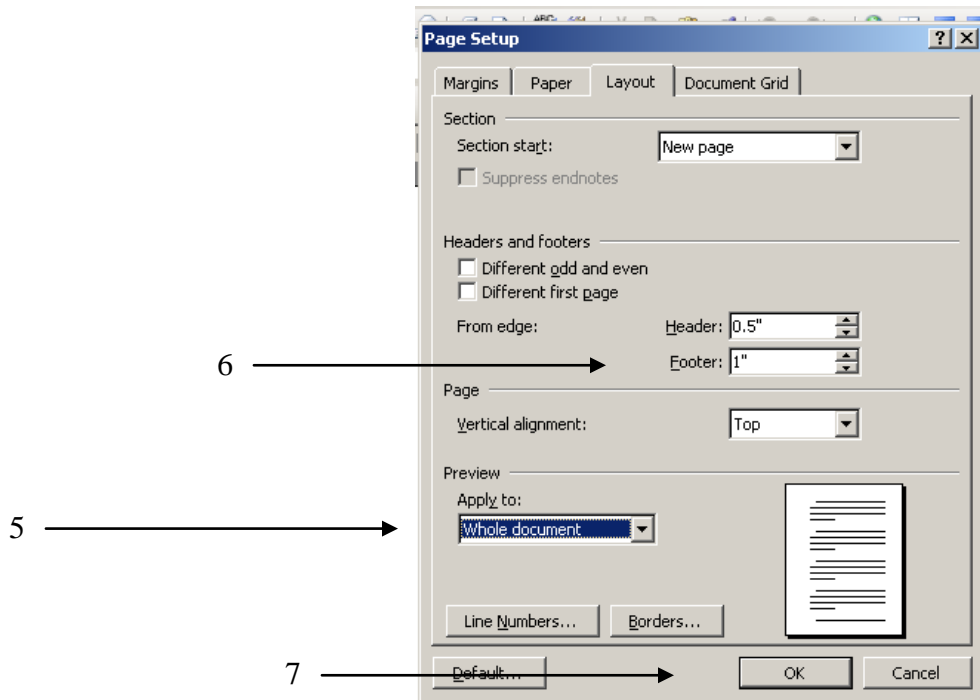
**APPENDIX A**  
**Dissertation/Thesis Formatting Set-Up Using Microsoft Word**

**Setting up Margins**

1. Select File/Page Setup
2. Select Apply to Whole Document
3. Type in the correct Margins
  - o Left = 1.5”
  - o Right = 1”
  - o Top = 1”
  - o Bottom = 1”
4. Select the Layout Tab
5. Select Apply to Whole Document
6. Change Footer to 1”
7. Click OK

*Note: Don't forget to set your footer margin to 1 inch (steps 4-7 above)!*





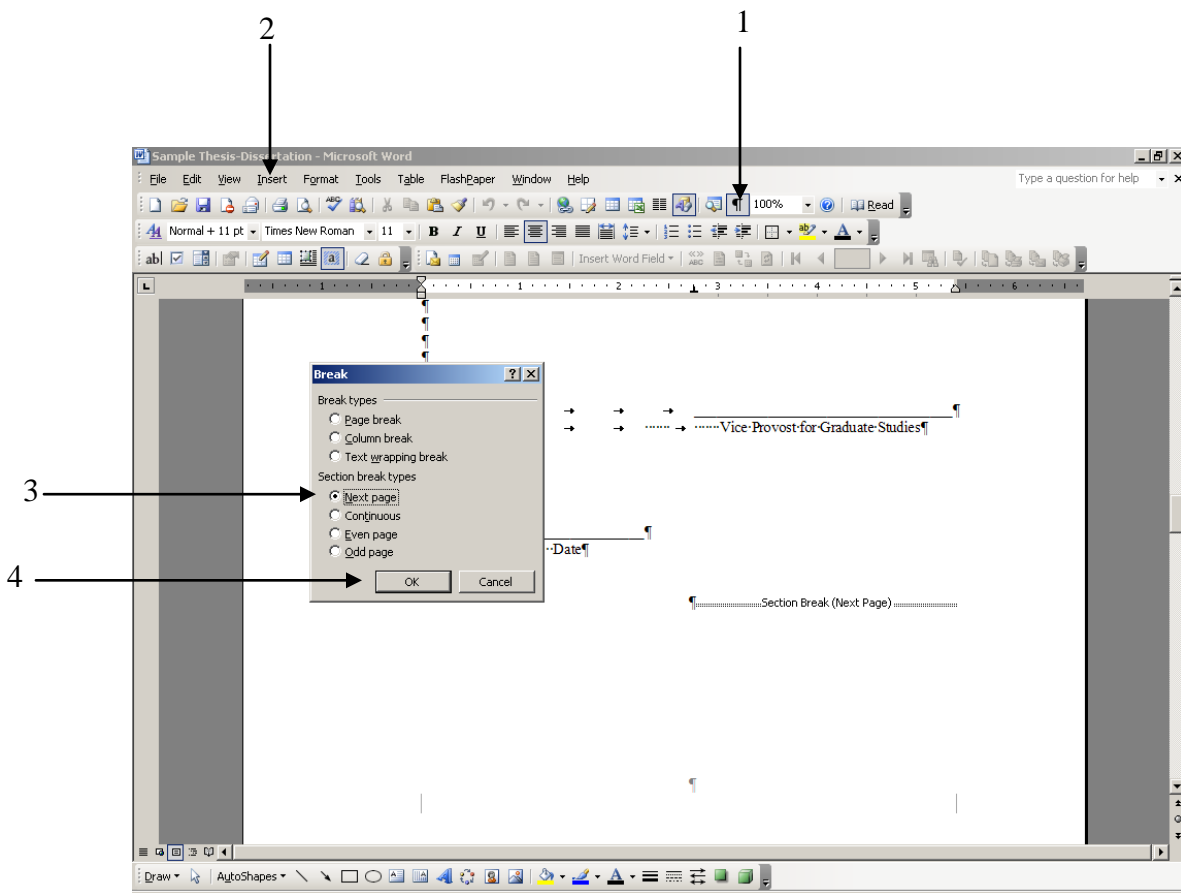
## Changing Page Numbering Sections in One Document

### Creating Section Breaks

The thesis/dissertation will have three types of page numbering: small Roman numerals, Arabic numerals, and pages without numbers. Switching the types of page numbers within one document is handled with section breaks. Each time the numbering changes, a new section must be added by following these instructions:

1. Click on the Paragraph symbol to turn on paragraph markings
  - a. This function is helpful because you can see exactly where your breaks are.
2. Place your cursor at the end of a section of page numbering, go to Insert/Break
3. Select Section Break Type/Next Page
4. Click OK

*Note: Unless you have a specific reason for creating a section break, only use this type of break between types of page numbers. If you need to create a page break within the same page numbering section, use the page break function, rather than section break.*



## Creating Page Numbers

1. After your sections have been created, place your cursor anywhere on the title page of your document and select View/Header and Footer.
  - a. *Note: When setting up page numbers, you must always work from the start of your document (section 1) forward. It is very difficult to start with the last section and move back. When working in View/Header and Footer, you will see the section number on the top of the footer.*
2. Scroll to footer of your first section (or click on Switch Between Header and Footer button)
  - a. If your first section does not contain page numbers, click on the Show Next button to move to the footer of section 2.
3. Click on the Link to Previous button to unselect that feature
  - a. *Note: You know it is unselected when it does not have a box around it.*
4. While in the footer box, click on the Center Align button on the main tool bar
5. Click on the Insert Page Number button to insert the page number
6. Click on the Format Page Number button
  - a. Select the appropriate Number Format
  - b. Click Start At and enter the correct page number
    - i. Your Abstract should start with page ii

- ii. The first page of chapter one should start with 1
- c. Click OK
- 7. Move to the next section by selecting the Show Next button (step 2)
- 8. Follow steps 3-6 for the next page numbering section
  - a. If a section does not have page numbers, after unselecting Link to Previous, simply delete the page number in that section and move to the next section.

Header and Footer Toolbar (appears when you select View/Header and Footer)

