

Thesis and Dissertation Formatting Guidelines

2016-2017



UNIVERSITY *of*
DENVER

OFFICE OF GRADUATE STUDIES

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DISSERTATION/THESIS CHECKLIST

Please review this checklist prior to uploading your dissertation/thesis to ETD:

- Confirm that all necessary pages are included:
 - Title page, dated correctly, including the month and year of your official graduation
 - Copyright page (optional)
 - Abstract
 - Acknowledgements, if included, are stated in a professional, concise manner and do not exceed one page.
 - Table of Contents
 - List of Tables, if necessary
 - List of Figures, if necessary

- Fonts used in the document are embedded.

- 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".

- 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.

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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 master's 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 the Office of 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. **You may also access helpful formatting templates on the student tab in PioneerWeb.**

It is our hope that these guidelines and the templates will help you to complete your thesis or dissertation. If you continue to have questions after reading these instructions, please contact the Office of Graduate Studies at gststu@du.edu or 303-871-2706.

PREPARING YOUR DISSERTATION/THESIS

You are encouraged to discuss any questions you might have about the format with the Office of Graduate Studies. It is strongly suggested that you submit your dissertation/thesis for review before you submit your final copy. 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 or 303-871-2706.

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.

If considering hiring an outside editor, you must first secure your faculty advisor's approval.

Please keep the Office of Graduate Studies informed of your graduation plans. Email gststu@du.edu or call 303-871-2706 if your plans change.

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, review the "[Schedule of Deadlines](#)."

The deadlines to apply for graduation are as follow for the 2016-2017 academic year:

Fall Quarter: June 19, 2016

Winter Quarter: September 18, 2016

Spring Quarter: January 9, 2017

Summer Quarter: April 2, 2017

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.

Set your oral defense committee.

Arrangements for the composition of the oral defense committee, including the oral defense committee chair, and for scheduling the date, time and place of the oral defense must be made with the departmental advisor. To encourage students to seek qualified members for the oral defense as soon as possible, the [Thesis/Dissertation Oral Defense Committee Recommendation form](#) is to be submitted to the Office of Graduate Studies within 30 calendar days after the dissertation/thesis proposal defense or approval occurs and no later than the first day of the quarter in which the student intends to graduate. This form will need approval from the dissertation director, department chair, and the Associate Provost for Graduate Studies. Students may submit the name of the oral defense committee chair on this form or at the time the oral defense is being scheduled.

Schedule your oral defense.

The Office of Graduate Studies must be notified, via the [Schedule of Oral Defense form](#), at least four weeks prior to the date of the defense. The oral defense must be conducted at least three weeks before your intended graduation date. See the appropriate "[Schedule of Deadlines](#)" for exact dates.

The dissertation/thesis must be in the hands of the examining committee at least two weeks before the date of the oral defense. Check with your department as to the number of copies needed. A PDF file of your approved dissertation or thesis must be submitted for permanent filing. The PDF is submitted after the final oral defense and on or before the date specified in the "[Schedule of Deadlines](#)" for your quarter of graduation. Please see the [submission instructions](#) for further information.

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 Office of Graduate Studies.

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 [page 6](#)). It is imperative that your dissertation/thesis conform to these specifications.

The library at the University of Michigan provides tutorials regarding how to utilize automatic functions in Microsoft Word, including formatting page numbers, generating automatic table of contents, working with styles, and many more. For a full listing of tutorials, please see <http://guides.lib.umich.edu/content.php?pid=245394&sid=2027134>.

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 10-17 of this booklet. Those samples should be followed as precisely as possible. You may also utilize the formatting templates found under the “Student” tab in PioneerWeb.

Front Matter		
Required	Item	Page Numbering
✓	Title Page (see pp. 11-12)	No page number
	Copyright Page (see pp. 13-14)	No page number
✓	Abstract (see pp. 15-16)	Small Roman numerals (starting with page ii)
	Acknowledgments	Continue small Roman numerals
✓	Table of Contents (see pp. 17-18)	Continue small Roman numerals
	List of Tables, required if your document has 5 or more tables	Continue small Roman numerals
	List of Figures, required if your document has 5 or more figures	Continue small Roman numerals

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

Back Matter		
Required	Item	Page Numbering
✓	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 IN THE PROPER ORDER AND THAT THE ABSTRACT IS INCLUDED IN EACH COPY. The Office of Graduate Studies, the University of Denver Main Library, and ProQuest will not assume responsibility for missing pages.

PAGE NUMBERS

Your dissertation/thesis will have two sets of page numbers; one set for the front matter and one set for the rest of your document. Pages of front matter are numbered in small Roman numerals (ii, iii, iv). 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. The optional copyright page does not have a page number and is not counted in pagination. 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.

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 merging several PDF files into one document can be found at 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.

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.

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 the conferral of your degree. All parts of your dissertation/thesis must conform to

these margin requirements including 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.

PARAGRAPHS

Indent the first line of each paragraph. There must be at least two lines of a paragraph at the bottom of the page, or at the top of the page. The last line of a paragraph may not appear at the top of the page, nor may the first line of a paragraph appear at the bottom 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”. Most versions of Microsoft Word have an automatic feature to control widows and orphans in a document. Please ensure that this function is turned on to prevent widows and orphans in your document.

SPACING

All material in your thesis or dissertation should be double-spaced, including quotations from interview participants or other sources not formally cited in your bibliography/works cited section and between chapters and figure/table entries within the table of contents and lists (for a sample, please see [pp.17-18.](#)) **These requirements take precedence over your style manual.** The only exceptions to this rule are as follows:

- 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.
- 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, Education and certain other areas may use a form acceptable to such agencies as the American Psychological Association (APA) 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.** Please do not include a dedication 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 6](#).

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.

The images used in your dissertation/thesis must be included in a “List of Figures,” which follows your Table of Contents, if your dissertation/thesis includes more than five figures.

TABLES

Tables should be digitally inserted into your text. Any included tables must be within the boundaries of the established margins. Additionally, if your dissertation/thesis includes more than five tables, you must also include a “List of Tables” following your Table of Contents.

FINAL SUBMISSION OF YOUR DISSERTATION/THESIS

A final submission of your dissertation/thesis must be made in PDF format. When you schedule your dissertation/thesis oral exam, instructions on how to submit your document will be emailed to you, or you can find them here: www.du.edu/media/documents/graduates/ETD.pdf

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. 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.

APPROVAL PAGE

An approval page will be sent to the director of your dissertation/thesis 10 days prior to your oral defense from the Office of Graduate Studies. The page must be submitted to the Office of Graduate Studies by your thesis/dissertation director before the final copy of your document will be accepted.

FEEES

Fees are due when you submit the final copy of your dissertation/thesis and want to have them submit the paperwork for Copyright. The fees are paid directly through the secure ETD Administrator system. ETD Administrator accepts Visa, MasterCard, and American Express. The fee for Copyright is:

Copyright Fee (Optional)	\$65
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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 money order or proof of payment through PayPal for the binding costs. The money order should be made payable to Denver Bookbinding Company. The Denver Bookbinding Company's fees are listed on the order form: <http://www.du.edu/media/documents/graduates/bindingorder.pdf>.

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 or call 303-871-2706.

Below you will find sample pages for:

- Title Page
- Copyright Page
- Abstract
- Table of Contents
- Page with a chapter heading

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 defense). Please be certain that the degree and the faculty are listed accurately wherever they appear.

The appropriate nomenclature* to be included on the title page is:

- the Faculty of Arts and Humanities
- the Faculty of Natural Sciences and Mathematics
- the Faculty of the Daniel Felix Ritchie School 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 Faculty of the Graduate School of Social Work
- the Faculty of the Morgridge College of Education
- the Faculty of the Josef Korbel School of International Studies

(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

June 2015 (month and year of graduation)

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/thesis;
- the year in which the copyright will be established;
- Include "All Rights Reserved"; this 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)

©Copyright by Chris R. Doe 2015

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 heading on top of the page must be single spaced and contain your name, the title of your dissertation/thesis (exactly as it appears on your title page), your advisor's name (exactly as it appears on your title page), and the month and year of your graduation. If you have delayed your graduation, please be sure to update this date. 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.

Because the abstract is included in front-matter, use a roman numeral as its page number.

The sample abstract page also demonstrates the minimum margin requirements for **all** pages of your dissertation/thesis. These margin requirements are not exclusive to your abstract page.

↑
Min. 1.0”
↓
(Sample Abstract)

← **Min. 1.5”** →
Author: Chris R. Doe
Title: Title of Dissertation (or Thesis)
Advisor: Advisor’s Name
Degree Date: Month Year

ABSTRACT

Min. 1.0”

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.

xvi
↑
Min. 1.0”
↓

TABLE OF CONTENTS

The table of contents is required for all dissertations/theses. Please 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
Appendices.....	7
Appendix A.....	7
Appendix B.....	7

PAGE WITH A CHAPTER HEADING

For each page that begins a new chapter, please include a minimum 2-inch top margin. The other margins are consistent with the rest of your document.

Min. 2.0"

(Sample Chapter Heading page)

CHAPTER ONE: INTRODUCTION

Min. 1.5"

Begin the first page of any new chapter with a minimum of a two-inch top margin. The other margins are consistent with the rest of your document.

Min. 1.0"

20

Min. 1.0"