How to Properly Format a

Thesis or a Dissertation Document

by

John Doe

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A Dissertation Presented in Partial Fulfillment
of the Requirements for the Degree
Doctor of Philosophy

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Approved November 2023 by the
Graduate Supervisory Committee:

Jacob Adams, Chair
Lee Klein
Alberto Alvarez

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ARIZONA STATE UNIVERSITY

December 2023

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Commented [MS1]: The title should be written in Title Case. Refer to titlecase.com

Commented [KF2]: Insert name of degree only. Do not include major.

Commented [KF3]: This date is the month and year of your defense.

Commented [MS4]: Do not use Dr. or any title for the committee members listed. Only include the committee members who appear on the approved list in your iPOS.

Commented [KF5]: This is the month and year you will be graduating (this should always be the last month in the semester).

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ABSTRACT

This sample document serves the purpose of showing students how to properly format their thesis or dissertation document and how it should look when defense ready. Students are required to use the Format Wizard which can be found on the Graduate college website.

The document that you submit for format approval must be a complete, defense-ready document. This means you should choose your style guide in consultation with your chair, write an abstract that meets the Graduate College guidelines, and thoroughly check your document for consistency, grammar, punctuation, etc. Keep in mind that a significant portion of the formatting, such as margins and spacing, will be done by the ASU Format Wizard. Review the ASU Graduate College Format Manual before creating your document, and use the Format Checklist which can also be found on the Graduate College website.

When writing your abstract, you should present a succinct summary of the research and results of the work you completed for your thesis/dissertation. Many researchers read abstracts to determine the relevance, reliability and quality of a source; therefore, if you create a clear and concise abstract, others are more likely to read your entire document.

Please keep in mind that while you want to be as specific as possible, you must not exceed the maximum word-length guidelines. All students must limit their abstracts to 350 words or less. Do not use bibliographical citations in the Abstract. Your chair/advisor can assist you in selecting the most appropriate information to include in your abstract.

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Commented [KF6]: Section headers should appear in ALL CAPS and be the same text size and font as the rest of the text in your document.

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Commented [KF7]: Page numbers should begin on the first page of your abstract with the lower case roman numeral i.

Page numbers should appear directly upon the bottom 1-inch margin. It may be necessary to raise or lower your page footer to place the page number properly.

Your abstract cannot exceed 350 words. Do not use first person plurals such as we, our, or us.

DEDICATION

Generally, the dedication contains a more personal note to family, loved ones and those who have helped students on their journey that may no longer be with us. While the acknowledgments usually consist of professional and academic assistance, the dedication and the acknowledgments should be on separate pages.

ACKNOWLEDGMENTS

As a student of ASU, I acknowledge that the Tempe campus sits on the ancestral homelands of those American Indian tribes that have inhabited this place for centuries, including the Akimel O'odham (Pima) and Pee Posh (Maricopa) peoples.

In keeping with the design aspirations of the New American University, ASU seeks to embrace our place, connect with tribal communities, and enable the success of each American Indian student. We reaffirm the university's commitment to these goals and acknowledge that everyone, the entire ASU community, is responsible for their achievement. -- President Crow, August 31, 2015

I would like to express my gratitude to my advisor for the opportunity to work on my research project and for their guidance and support throughout my doctoral journey. I would also like to sincerely thank my committee members for helping me develop my research and for providing valuable guidance and encouragement throughout my studies.

> **Commented [MS8]:** The Dedication and Acknowledgments should not exceed three pages altogether.

TABLE OF CONTENTS

Commented [KF9]: Do not list the material prior to this section in your TABLE OF CONTENTS

Commented [KF10]: Please see page 10 for an alternative format

Commented [KF11]: Page header – right aligned needs to be included on each page of the TABLE OF CONTENTS.

Commented [KF12]: The LIST OF TABLES comes before the LIST OF FIGURES. If you have additional LISTS, they would go after the LIST OF FIGURES.

Commented [MS13]: *Optional section

Commented [KF14]: The CHAPTER header left aligned should appear below the preliminary matter and above the CHAPTER listings.

Commented [KF15]: CHAPTER listings must be in ALL CAPS

Commented [KF16]: UPDATE PAGE NUMBERS when finished with edits

Commented [KF17]: Subheadings must be in Title Case. Refer to titlecase.com.

Commented [KF18R17]: It is acceptable to number subheadings. Ensure that all indentation is consistent.

Commented [KF19]: If there are CHAPTER listings on subsequent pages of the TABLE OF CONTENTS, add a CHAPTER header left aligned.

The REFERENCES and APPENDIX sections are not considered chapters. If the APPENDIX listings are split between two pages, add an APPENDIX header left aligned to the second page.

In this example, a header left aligned is not needed because the REFERENCES section is not a CHAPTER and does not have additional listings.

Commented [KF20]: Each APPENDIX listing must have its own cover page. The page number listed in the TABLE OF CONTENTS should be the page number of the cover page.

The APPENDIX listings must be preceded by a capital letter or roman numeral and should be written in ALL CAPS. Do not list subsections for appendices.

LIST OF TABLES

Commented [MS21]: There should be a Table header left aligned and a Page header right aligned at the top of page. These headers should be written in title case.

Commented [MS22]: All captions should be in title case. Refer to titlecase.com

LIST OF FIGURES

Commented [MS23]: There should be a Figure header left aligned and a Page header right aligned at the top of page. These headers should be written in title case.

Commented [AR(24): All captions must be in title case. Refer to titlecase.com

Commented [MS25]: Other lists (terms, nomenclature, etc.) should be formatted similarly.

PREFACE

The Preface is an optional section that is located between the Lists and Main Text of the document. This section should have roman numeral page numbers and must not exceed 10 pages. The content tends to be personal in nature as it is an opportunity for the author to share their experiences during the writing or research process of the thesis/dissertation.

CHAPTER 1

USING THE FORMAT WIZARD

The ASU Format Wizard is a resource used to provide assistance as you write your thesis or dissertation under the supervision of your committee chair. The Format Wizard is designed to help students with basic format requirements such as margins and spacing, and may greatly streamline the format process for you. This tool will also format preliminary matter and page numbers for you; however, it will not format your citations or create your headings.

You will need to carefully review the final document generated through the Format Wizard to ensure it adheres with your selected style guide requirements. Your document must satisfy professional standards of published research. Both your committee and the Graduate College expect to see evidence of careful attention to style and format in the document that you present to fulfill the requirements for your graduate degree. Some sections in the document, such as the Table of Contents will require manual work. You must review to ensure your document meets all standards set by the Graduate College.

The Format Wizard has been successfully tested and verified with Word 2003, Word 2007 and Word 2010 on Windows XP/Vista/Windows 7; and with Word 2004, Word 2008 and Word 2011 on Mac OSX. It has also been tested and verified with LaTeX. OpenOffice is not supported at the present time. If you have a Macintosh, MacBook or MacAir, screen resolution may cause the instructions in the Format Wizard to overlap the text fields. The recommended resolution for a Mac while using this online tool is 1040 x 1280.

THE FORMAT WIZARD STEPS

Step 1: Basic Details

Enter your full name, degree, anticipated defense date, and anticipated graduation date.

Step 2: Document Information

Choose which template you would like to use – Microsoft Word or LaTex. Next, choose your style guide and the document type you will be defending. Please note: applied projects will not require the use of this template. Next you will select an approved font and font size. Lastly, you will enter your document title in Title Cased capitalization.

Step 3: Table of Contents Information

You will set up the basic layout of the Table of Contents for your document. We highly recommend clicking the Create Sample Chapter Headings checkbox. This creates the titles and spacing for all of your chapters and significantly reduces the amount of work it takes you to create your preliminary matter.

Step 4: Abstract Information

Type your Abstract into the text box. At the bottom of the text field there is a word counter to let you know how long your Abstract is. Your Abstract is limited to 350 words. We recommend typing your Abstract into the text box rather than copying and pasting from another document in case some characters do not transfer correctly. This can be edited once your document has been generated.

Step 5: Additional Document Section

Click the checkboxes next to the fields that you would like added into your template. See the sample formatted document and the Format Manual for detailed information on how each optional section is used.

Step 6: Graduate Supervisory Committee Section

Please enter the first and last names of your committee members from the approved list in your iPOS. Do not enter their respective titles.

Step 7: Review

Review the information you have provided in the previous steps. If you need to edit any of the fields, click the edit section button and it will return you to that field. When finished editing, click the Save & Continue button.

Step 8: Create Document

MS Word Template - Click the Create Document button to generate a Word document that meets ASU format review guidelines. Immediately save the template as a Word Document and make sure you are not in Web Layout. Once the document is saved you can enter your content manually or by copy and pasting. You must update the page numbers in the Table of Contents to correspond with your chapters in the document once you have inserted your content.

COMMON ISSUES AND TIPS

- Using Title Case properly - carefully read the Format Manual for which sections should be in all CAPITALS vs Title Case. You can use online conversion tools to help with Title Case, too. Ex: titlecase.com.
- The approved fonts are listed in the Format Manual and you should use the same font style and size throughout the entire document's text. Page headings should be the same font type and font size as the Main Text.
- Make sure references are single spaced with one additional line space between each reference.
- Insert gridlines to check the correct placement of page numbers and tables/figures. The page numbers must be directly upon the 1-inch margin at the bottom of the page.

- Do not submit your document with Track Changes left on. In Word, you should select "Accept all tracked changes" and save your document before submitting it for Format Review.
- If you have an Appendix, make sure that each one has its own properly formatted cover page.
- Avoid splitting a table on multiple pages if it can fit on one page. For vertical tables or figures, please refer to our Format Manual requirements on how to convert to horizontal landscape.
- After making layout adjustments, check and update your Table of Contents and Lists for accuracy.

SUBMISSION OF THESIS OR DISSERTATION

Upload the final formatted document to your iPOS through your MyASU at least 10 business days prior to the scheduled defense.

CHAPTER 2

MARGINS

All text, tables and figures on every page of your document must meet the margin requirements of 1.25-inches on the left and right, and 1-inch on the top and bottom. All materials including Appendices, if you choose to include them, must meet the margin requirements.

TABLES AND FIGURES

Refer to your style guide for the formatting of tables (including borders), table titles, and figure captions, including placement, typeface, alignment, and wording. You may need to reduce the size of a table or figure to meet the margin requirements, which may require using smaller size text within the table or figure. Tables extending over multiple pages should be placed in an Appendix. You may need to change the orientation of a page to accommodate horizontal tables or figures. Please see Page 9 of this document to properly format a horizontal page according to the standards set by the Graduate College.

Place the figures and tables directly where intended for your document. Format Advisors do not edit the format and layout of your document. Make sure to check the layout of your document, especially in regards to placement of tables, figures, and text throughout the format process. Avoid splitting a table or figure on multiple pages if it can fit on one page by adjusting the spacing and layout of text.

CHAPTER 3

TABLE OF CONTENTS

CHAPTER FORMAT

- Type TABLE OF CONTENTS title in all capital letters; center aligned
- There should be a right aligned "Page" header on the line below the title
- Double space all text
- No bold or underlined typeface (italics may be used only for genus and species names, book titles, musical compositions, or foreign words and phrases)
- List preliminary pages that follow the TABLE OF CONTENTS in ALL CAPITAL LETTERS (i.e., LISTS, PREFACE)
- There should be a CHAPTER header left aligned listed below the LISTS/PREFACE; Ensure headers appear at the top of all subsequent pages
- Use all CAPITAL LETTERS for CHAPTER titles
- Indent subheadings; use title case for all subheadings
- There should be leader dots and right aligned page numbers following CHAPTER titles and subheadings
- Include a left aligned APPENDIX header before listing appendix titles in all capital letters and preceded by a capital letter or roman numeral
- Do not include subheadings for appendices

ALTERNATE FORMAT

- Type TABLE OF CONTENTS title in all capital letters; center aligned
- There should be a right aligned "Page" header on the line below the title; Ensure the "Page" header appears at the top of all subsequent pages
- Double space all text
- No bold or underlined typeface (italics may be used only for genus and species names, book titles, musical compositions, or foreign words and phrases)

- List preliminary pages that follow the TABLE OF CONTENTS in ALL CAPITAL LETTERS (i.e., LISTS, PREFACE)
- Use all CAPITAL LETTERS for CHAPTER titles
- Indent subheadings; use title case for all subheadings
- There should be leader dots and right aligned page numbers following the CHAPTER titles/subheadings
- Include a left aligned APPENDIX header before listing appendix titles in all capital letters and preceded by a capital letter or roman numeral
- Do not include subheadings for appendices

CHAPTER 4

HORIZONTAL PAGES

The page numbers on horizontal pages should sit on the 1-inch margin on the left side of the page and should be turned 90 degrees clockwise. The margins should be set to 1-inch on the left and right and 1.25-inches on the top and bottom. The table or figure may need to be downsized to fit within these margin requirements. Please see the properly formatted example below.

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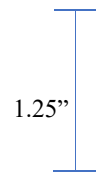
EXAMPLE OF PROPERLY FORMATTED HORIZONTAL PAGE

Year	Australia	France	Germany	Japan	Malaysia	Switzerland	Canada
1999	2.689	11.256	10.258	8.996	7.885	10.696	8.522
2000	5.658	12.258	7.123	5.214	9.331	4.568	5.667
2001	8.597	-9.639	6.123	6.987	-7.555	9.347	9.111
2002	-6.369	-2.523	4.587	7.587	8.447	9.636	8.554
2003	8.698	8.999	9.444	9.639	1.121	8.544	9.887
2004	4.325	7.211	-2.121	8.521	8.999	9.314	-8.695
2005	1.223	8.558	9.636	7.878	4.121	9.565	3.111

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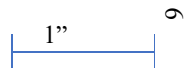
CHAPTER 5

IRB

HUMAN SUBJECTS

Research involving human subjects conducted under the auspices of Arizona State University is reviewed by the University Human Subjects Institutional Review Board (IRB) in compliance with federal regulations. Research involving human subjects concerns the collection of data on subjects whose performance of any activity is required for the purpose of compiling data. This includes data obtained by observation, interview, questionnaire, experiment, or a secondary source. Documents containing any data collection from human subjects require that applications be submitted to the University Human Subjects IRB for approval before data collection or recruitment of subjects is initiated. For further information, contact the human research coordinator in the Office of Human Research Administration at 480- 965-6788 or visit researchintegrity.asu.edu/humans

ANIMAL SUBJECTS

Research involving the use of animals conducted under the auspices of Arizona State University is reviewed by the University Institutional Animal Care & Use Committee (IACUC) in compliance with federal regulations. Documents containing any data collection from animal research require that applications be submitted to the University Animal Care & Use Committee for approval. For further information, contact the IACUC secretary in the IACUC Office at 480-965-4387 or visit researchintegrity.asu.edu/animals

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CHAPTER 6

PREVIOUSLY PUBLISHED WORKS

If you are including previously published works, co-authored works, or papers that are currently under consideration for publication as part of your document, please refer to the PPW policy here: https://graduate.asu.edu/sites/default/files/policy-on-using-previously-published-work.pdf

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https://graduate.asu.edu/sites/default/files/policy-on-using-previously-published-work.pdf

REFERENCES

Nation, K., & Snowling, M. (2004). Beyond phonological skills: Broader language skills contribute to the development of reading. Journal of Research in Reading, 27, 342–356.

Riedel, B. (2007). The relation between DIBELS, reading comprehension, and vocabulary in urban first-grade students. Reading Research Quarterly, 42(4), 556-567.

Swanson, H., Rosston, K., Gerber, M. & Solari, E. (2008). Influence of oral language and phonological processing on children's bilingual reading. Journal of School Psychology, 46, 413–429. doi:10.1016/ j.jsp.2007.07.002.

Wiley, T., & Wright, W. (2004). Against the undertow: The politics of language instruction in the United States. Educational Policy, 18(1), 142–168.

Commented [MS28]: May also be called Works Cited or Bibliography depending on the chosen style guide.

Commented [MS29]: This should be a comprehensive REFERENCES list for the entire document. You may include separate reference lists in the individual chapters, but there must be a comprehensive list at the end of the document.

The REFERENCES list should be single spaced with an additional single line space between each entry. Your style guide determines the format for all entries and their overall organization.

Avoid splitting a reference entry between two pages.

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APPENDIX A

HOW TO PROPERLY FORMAT AN APPENDIX COVER PAGE

[Insert text of Appendix here. Do not repeat Appendix title.]

BIOGRAPHICAL SKETCH

[Insert text here]

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