

Manual for Electronic Theses and Dissertations

Introduction

Use this manual as a guide for preparing your dissertation, thesis, DMA document, or DNP practice inquiry for electronic submission. Your archived work will represent you, your department, and the University of Arizona in the international scholarly community. Your work is important and worthy of professional presentation. This manual lists Graduate College requirements for meeting these high standards.

In this manual the word *dissertation* includes theses, DMA documents, and DNP practice inquiries. If format requirements for the thesis, DMA document, or DNP practice inquiry vary from those for the dissertation, specific requirements for each will be listed.

- If you are doing a thesis, DMA document, or DNP practice inquiry be sure to replace the word “dissertation” with the relevant document name (thesis, document, or practice inquiry) throughout your writing.

Take a look at <http://etd.library.arizona.edu/etd> to browse dissertations accepted at the University of Arizona.

The final dissertation must be submitted via the electronic submission site at <http://www.etdadmin.com/arizona> and must meet all specifications of this manual.

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GENERAL FORMAT REQUIREMENTS

Margins

- All text, figures, and tables must appear on each page in a way that is easily readable.
- If you are planning to order bound copies of the work you are submitting, margins throughout must be appropriate for binding: 1.5" on top and left, and 1" on right and bottom.

Page numbers

- The title page is page 1 of the dissertation. You may omit the printed page number on the title page; all other pages must have printed page numbers.
- All pages which follow are numbered in a single sequence with Arabic numerals only.
- All page numbers should be listed in the upper right hand corner.
- A running header is not allowed, but you may use a header function to generate page numbers.

Chapter, Appendix and Major Section Titles

- A new chapter, appendix or major section of the dissertation must always begin on a new page. Major sections include the committee approval page (page 2), Statement by Author, Acknowledgements (if any), Dedication (if any), Abstract, Lists of Figures or Tables, and References.
- The heading should be in all capital letters and centered on the page. The font size and type should match the font of the document and should be the same in the Table of Contents. The heading may be bolded.

Type Fonts

- Standard serif typefaces reproduce and archive well.
- Do not use modern Sans Serif types, which read well in the original but do not reproduce well. Ornamental styles such as Script and Old English may not be used due to their limited readability.
- Limit the use of italic styles to standard uses in bibliographic citations and foreign words.
- Boldface should be used infrequently; restricted to very small segments of text.
- Boldface and italic styles may be used for headings (e.g. chapter sections, sub-sections, etc.)

Font Sizes

- 12-point or 14-point for proportional fonts; 10-point or 12-point for non-proportional fonts. Once you choose a font size, you should use that font size throughout your document (headings included).

Scanned Documents

- Scanned documents must meet all requirements for margins and readability.
- If scanned documents have page numbers from a separate publication, the pages must also have the dissertation page number in the upper right hand corner.

FORMAT OPTION #1: STANDARD

1. **Title Page** (see sample at <http://grad.arizona.edu/degrecert/samples-templates>)
 - *Required*
 - Use the provided sample or copy the format of the sample and insert into your document.
 - The title of your dissertation must be in all capital letters and centered on the page.
 - If you are copyrighting, you should include the copyright notice below the rule line. If you are not copyrighting, please remove that line of text and leave the rule line.

2. **Approval Page** (see sample at <http://grad.arizona.edu/degrecert/samples-templates>)
 - *Required for dissertations, DMA documents, and DNP practice inquiries but not for theses. The approval form for the thesis is included in the Statement by Author page (see item 3 below).*
 - Copy and paste this document into your dissertation file without faculty signatures. Please type your defense date as the date for each signature line.
 - Type in ONLY the names of those who participated in your defense – that is your final committee. You may remove any unused signature lines.
 - Print out one (1) copy of the approval page and take it to your dissertation defense. Each committee member who attends the defense should sign the form. Any member who participates remotely must sign a copy of this form as well; a faxed or scanned copy of this form with signatures is acceptable.
 - If you want signed pages for binding in your own copies, print extra copies.
 - The signed copy must be delivered to the Degree Certification Office, Administration 316, in support of your electronic dissertation submission.

3. **Statement by Author** (see sample at <http://grad.arizona.edu/degrecert/samples-templates>)
 - *Required*
 - The title of the page must be in all capital letters and centered on the page.
 - Doctoral students type your name next to “signed.” For security reasons, do not submit this document electronically with a facsimile of your signature.
 - Master’s students type your name under or in place of the signature line, type your thesis director’s name and defense date and insert this page into your document. For security reasons, do not submit the electronic version of this document with your or advisor’s signature. *Additionally, you should print out one hard copy of this page, sign your name and obtain your thesis director’s signature. Turn that hard copy in to your degree auditor at Administration 316 in support of your electronic thesis submission.*

4. **Acknowledgements**
 - *Optional*
 - The title of this section should be in all capital letters and centered on the page.

5. **Dedication**
 - *Optional*
 - The title of this section should be in all capital letters and centered on the page.

6. Table of Contents

- *Required*
- The title of this section should be in all capital letters and centered on the page.
- The Table of Contents lists items that appear after it in the dissertation. The Table itself and items that appear before it should not be reported.
- Include the heading “TABLE OF CONTENTS” at the top of the first page of this section, and “TABLE OF CONTENTS – *Continued*” on the top of each continuation page.
- You must include dot leaders ‘.....’ between every entry and its page number.
- Indent each level of subheading further than the level above. All headings of the same level should align in the Table of Contents.
- Headings and subheadings in the Table of Contents must exactly match what is listed in the body of the document.
- Use all capital letters for chapters, appendices and major sections of the dissertation.
- Subheadings must be in upper and lower case letters.
- Each Appendix must have its own letter designation and title. The full heading of the appendix (its designation and title) should be reported in all capital letters and aligned with the chapter and other major section headings.
- Chapter numbering – Chapter numbers are not required, but you may number your chapters with either Arabic or Roman numerals as long as you are consistent with the way you number the chapters throughout the document.
- Subheading numbers -- if chapters are numbered, you may also number the subheadings as long as you are consistent with the way you number the subheadings throughout the document.

7. List of Figures and List of Tables

- *Required* if document contains figures or tables.
- These lists are separate sections, and each list must start on a new page.
- The section titles must be in all capital letters (e.g. “LIST OF FIGURES”) and centered on the page.
- You must include dot leaders “.....” between each entry and its page number.
- Include a List of Figures for figures, maps, graphs, and drawings. Include a List of Tables for tables. Figures or tables which appear in the appendices do not need to be reported in these lists.
- The items in each list are numbered in sequence: Figure 1, Figure 2, etc. You may construct this sequence as you wish, e.g., Figure 1.1, 1.2.... If the list continues to a second page or beyond, the heading of the second and further pages should be in the form “LIST OF FIGURES – *Continued*.”

8. Abstract

- *Required*
- The title of this section should be in all capital letters and centered on the page.
- The Abstract must begin on a new page.
- Note: An extra copy of the Abstract must be pasted or typed during the submission process. This extra copy is used for the abstracts archive and must be limited to 350 words for a doctoral submission or 150 words for a thesis, or it may be truncated when reported.

9. Body

- *Required*
- Chapter headings (chapter designation and title) should be in all capital letters and centered on the page.
- Each chapter must begin on a new page.

10. Appendices

- *Optional*
- Each appendix must have its own letter designation and title. The heading of the appendix (its designation and title) should be in all capital letters and centered on the page.
- Each appendix must begin on a new page.

11. References

- *Required*
- Note: the References section comes after the Appendices, and is the last section in the document.
- You should title this section REFERENCES or WORKS CITED; *do not* use the word Bibliography or any other heading title.
- The title of this section should be in all capital letters and centered on the page.
- The References section must begin on a new page.
- Note: The Graduate College does not require a specific citation style. Use your department's preferred citation style; consult with your advisor if more than one style is acceptable.

FORMAT OPTION #2: PUBLISHED/PUBLISHABLE PAPERS

At the option of the student and the committee, an alternate format permitting inclusion of papers published or prepared for publication in scholarly journals may be used. The decision to allow the inclusion of previously published or submitted work in a dissertation is left to the candidate's degree-granting unit.

The alternate format for the dissertation is based on the philosophy developed by the Council of Graduate Schools: The published or publishable work must be logically connected and integrated into the dissertation in a coherent manner. Simply binding reprints or collections of publications together is not acceptable as a dissertation in either format or concept.

Published/publishable papers should be included in the dissertation as appendices. However, in order to provide coherency, the body of the dissertation must include a summary of the student's contribution, a summary of the research, and an explanation of how this research contributes to the student's field.

Note that all general formatting requirements on page 3 of this manual apply to this option as well.

1. **Title Page** – see requirements listed on page 4.
2. **Approval Page** – see requirements listed on page 4.
3. **Statement by Author** - see requirements listed on page 4.
4. **Acknowledgements** (optional) – see requirements on page 4.
5. **Dedication** (optional) – see requirements on page 4.
6. **Table of Contents** – see requirements on page 5.
7. **List of Figures and List of Tables** for figures and tables in the chapters only, figures/tables in the appendices do not need to be reported. See requirements on page 5.
8. **Abstract** – see requirements on page 6.

9. Chapter 1: Introduction

- This chapter should provide an introduction that describes the unique contribution of the student's work to the field of study. This discussion may include:
 - Explanation of the problem and its context
 - Review of the literature
 - Explanation of the dissertation format
 - If these are papers where the student's research efforts are part of a larger collaborative project, the student must be able to identify one aspect of that project as his or her own and be able to demonstrate their original contribution. The role that the dissertation author had in the research and production of the published paper(s) should be clearly specified in this section.

10. Chapter 2: Present Study

- This chapter summarizes the methods, results, and conclusions of the research. The chapter should begin with a statement explaining that the details of the research are presented in the appended papers, and that this chapter provides a summary of that research.

11. References

- The References section only covers the material listed in the chapters of the dissertation; references for the appendices do not need to be reported. The References section appears before the appendices in the published/publishable papers format.

12. Appendices

- Each manuscript is a separate appendix. The appendix title includes the letter designation and title, which appear in all capital letters and centered on the page (e.g. “APPENDIX A – TITLE OF MANUSCRIPT”).
- Two types of appendices are appropriate: published/publishable paper and supplemental material.
- If a paper is included in the form of a **reprint** from the journal (see section A.4 on page 9 for more information):
 - The title of each appendix will be the title of your paper.
 - The dissertation page number must appear on each page. If the published paper already has a page number on it from the journal, you can leave that there; however, you must still put the dissertation page number in the upper right hand corner.
- If a paper is used that is **currently being submitted to a journal**, insert the statement “Paper is pending publication in (enter journal name)” underneath the Appendix title within the document. If a paper was **prepared to be submitted to a journal**, insert the statement “Paper was prepared to submit to (journal name)” underneath the Appendix title within the document.
- Supplemental materials are resources that are useful to the reader in understanding the included papers.

APPENDIX A: ADDITIONAL INFORMATION

A.1. Multiple Authorship

Multiple authorship of papers that have been published or are to be submitted for publication is allowed. It is the responsibility of the student's doctoral committee to ensure that a dissertation represents the original, individual efforts of the candidate. It is recommended that the majority of the student's committee not be co-authors on papers included in the dissertation.

A.2. Requirements for Contemporaneous Enrollment and Research

The research that is described in the published/publishable papers that is part of the dissertation must have been conducted during the time the candidate was enrolled in his or her current degree program and cannot have been submitted toward any other degree at the University of Arizona or elsewhere.

A.3. Human/Animal Subjects Approval

Research involving human subjects or live vertebrate animals require permission from the relevant University committee. Consult your research director and the Office for the Responsible Conduct of Research (<http://orcr.vpr.arizona.edu/>) for details. You can contact the ORCR at (520) 626-5515.

A.4. Reprint Permissions

Use of copyrighted material in your dissertation, including illustrations, usually requires written permission from the copyright holder. Start this time-consuming process as early as possible. Play it safe and assume that you must obtain permission if the material is copyrighted. Consult your advisor or the University of Arizona library about this process.

Exceptions, sometimes pertaining to small fractions of a musical score or other document, are governed by the concept of “fair use.” Factors weighed in determining “fair use” include: the purpose of the use, whether commercial or nonprofit and educational; the nature of the copyrighted work; the amount and substance of the material used in relation to the entire work; and the effect of the use upon the potential market for or value of the copyrighted work. The “fair use” concept is explained in detail in the *Chicago Manual of Style*. According to the Association of American University Presses, permission is required for quotations which are complete units, for example, an entire poem, letter, book chapter, or an entire map, chart, drawing or other illustration. See The University of Arizona’s Fair Use checklist for more information <http://www.library.arizona.edu/services/faculty/scholcom/fairuse/>.

Permission to use copyrighted material should be in writing and retained by the author. The release letters should indicate that permission extends to microfilming and publication by ProQuest/UMI and that the copyright owners are aware that ProQuest/UMI may sell, on

demand, single copies of the dissertation, thesis, document, or practice inquiry, including the copyrighted materials, for scholarly purposes. ProQuest/UMI requires copies of permission letters to be embedded in the document, and assumes no liability for copyright violations. If permission letters are not included, copyrighted materials may not be archived.

It is polite and good practice to obtain permission to use non-copyrighted material, which may or may not be acknowledged in the text.

For additional information, telephone the Copyright Public Information Office in Washington, DC, (202) 479-0700, weekdays between 8:30 a.m. and 5:00 p.m. EST or write to the [Copyright Office](#), Library of Congress, Washington, D.C. 20559.

A.5. Figures, Tables and Graphs

- If a figure, table or graph is presented in landscape orientation, the page number may appear in the upper right corner of the landscape page, or rotated where it would appear if the page were in portrait orientation.
- Printed page numbers are required on pages displaying figures, tables, or graphs as on all other pages of the dissertation.
- If the caption is so long that it will not fit on the page with the figure or table, place it on its own numbered page immediately preceding the page it describes.
 - The Table of Contents entry should direct the reader to the page where the caption appears.