Dissertation Formatting Guide

I. Introduction

Congratulations on reaching the final stage of your graduate program! Your dissertation, DMA document or DNP project (*dissertation* hereafter) is the culmination of your graduate work and deserves a professional presentation. There are a few specific requirements in this guide, but otherwise you are expected to present your work in the best form for your discipline and your intended audience, following the guidance of your committee.

The required elements of the dissertation include specifically formatted front matter (the first few pages) and a few principles to follow. Please review the information below when you are preparing your dissertation.

II. Required Pages (Front Matter)

The first three pages of your dissertation must be:

- Page 1: Title page
- Page 2: Committee approval page
- Page 3: Statement by Author

There are samples of all three pages available on the Graduate College web site, showing their formatting. These samples are found at http://grad.arizona.edu/degreecert/samples-templates. You may adapt one of these sample pages for your use – just replace the sample information with your own. (If you are doing a document or practice inquiry, be sure to replace "dissertation" with the proper term.) Some tips and instructions for these pages follow.

A. Title page
- Follow the capitalization shown in the sample.
- You should reference your department by its official name. If your major does not match the name of the department, you need to include "WITH A MAJOR IN _____" below the degree name.

B. Committee approval page
- You will prepare your approval page before your defense and have your committee sign it. You include the same page as page 2 of your dissertation submitted for archiving, but without scanned signatures. (The signed approval page will be submitted separately to the Graduate College to hold on file.)

- Be sure your dissertation title here matches the title on your title page.
- If your committee has co-chairs, each will have a dissertation director signature line at the bottom of this page (in addition to their signature lines above as part of the committee).

C. Statement by Author
  - Please use the standard text found in the sample page without modification.
  - Be sure to follow the sample for either a copyrighted or non-copyrighted dissertation, depending on your decision.
  - Type your name on the signature line.

D. Acknowledgements and Dedication (optional)
  - If you include an Acknowledgements page, it should directly follow the Statement by Author.
  - The next page, if you include it, would be the Dedication.

E. Table of Contents
  - The Table of Contents follows the title page, approval page, Statement by Author and the Acknowledgements and/or Dedication (if included).
  - All chapters and major sections of the dissertation that appear after the Table of Contents should be reported.
  - You may decide how many levels of sub-headings you wish to report in the Table of Contents. Be consistent – if you report some headings of a given level, you should report all of them. Different levels of heading are normally distinguished in the Table of Contents by indenting.
  - Each heading reported in the Table of Contents should match the heading in the body of the dissertation and should have its page number reported.
  - We recommend using a dot leader (e.g. "……..") between each heading and its page number on the far right, for the ease of the reader.

F. Lists of Figures/Illustrations and Tables
  - If your dissertation includes figures, it is helpful to include a List of Figures following your Table of Contents to identify the figures and report the pages where they appear.
  - Similarly, a List of Tables is helpful if your dissertation includes tables.
  - You may number your figures and/or tables using any method that will make sense to your readers.

G. Abstract (*Required*)
- You **must** include your abstract prior to the first chapter of the dissertation, and following all other front matter.

III. Formatting Principles

A. Fonts
- It is best to use a standard serif font, as they reproduce well.

B. Headings
- Different levels of heading should each have a distinct and consistent appearance. Ideally, the reader should know at a glance what level a given heading is based on its appearance.

C. Margins
- Dissertations that are archived and retrieved electronically in .PDF format do not need to abide by specific margins.
- If you are ordering bound copies of your dissertation from ProQuest/UMI when you submit it for archiving, you will want to use margins appropriate for binding: 1.5" on the left, and 1" at the top and bottom.

D. Page Numbers
- Page numbers should appear on all pages (although the title page does not need to display its page number), in the same place on each page.
- The title page is considered page 1 of the dissertation, with all other pages numbered successively.
- If you include scanned material with page numbers, please ensure that the reader can easily find the dissertation page number on any page.

E. Citations
- You should use the citation style appropriate for your discipline, following the guidance of your committee.

F. Footnotes/Endnotes
- You may use footnotes or endnotes as appropriate.
- There is no specified format for footnotes or endnotes.

G. Appendices
- You may include material in appendices as appropriate.
- Appendices appear following the chapters of the dissertation, and before the final References section.
- Typically each appendix has a letter designation and a title (e.g. "APPENDIX A – SUPPLEMENTARY DATA").

H. References/Bibliography
- The final section of the dissertation should be a comprehensive list of the works you have cited or used.
- As noted above, the Graduate College does not specify a citation style to use.

IV. Manuscript/Article-Based Dissertations

A. Manuscript/Article-Based Dissertation Option
- 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 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.

B. Presentation of Articles and their Academic Context
- Published/publishable papers should be included in the dissertation as appendices. Any paper or article that has been published or submitted for publication should reference the journal of submission so the reader can find the published article.
- However, in order to provide coherency, the dissertation must also include chapters that present a summary of the research, an explanation of the student's contribution if it was not individual research, and an explanation of how this research contributes to the student's field.
- The committee will guide the student in presentation of this summary material.
- If references are cited in the dissertation chapters, they should be reported in a References section that follows the chapters and precedes the appendices.

V. Other Considerations

A. Filing for Copyright
- While your dissertation is your own intellectual property, you may elect to file your copyright with the Library of Congress to secure additional legal protection.

- For information about copyrighting, please review the information available on the Graduate College web site at http://grad.arizona.edu/academics/degree-certification/diss-theses/copyrighting. There is contact information there for the copyright expert at the University Library should you have questions.
- When you submit your dissertation for archiving, you will be asked whether you wish to file for copyright.
    i. If you decide to file for copyright, please be sure to use the correct version of the Statement by Author.
    ii. If filing for copyright, you will be charged a fee by ProQuest/UMI when you submit your dissertation. This money will be used to register the copyright for your dissertation in your name.

B. Use of Copyrighted Material
- 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.
- Notice of permission granted for the use of copyrighted material should either be included in the dissertation (likely as an appendix) or be included in a supplementary file submitted with the dissertation for archiving.
- The use of small fractions of a musical score or other document without explicit permission is 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. See The University of Arizona's Fair Use checklist for more information http://www.library.arizona.edu/services/faculty/scholcom/fairuse/.

C. Requirements for Contemporaneous Enrollment and Research
- The research that is described in 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.

D. Archived dissertations (UA Library)
- You can find dissertations and theses archived by past UA graduates in the archive maintained by the University Library at http://etd.library.arizona.edu/etd.

VI. Submission of the Dissertation

A. Timing
 - You will submit your dissertation for archiving after you have successfully defended and gained final approval from your committee. If your committee requires you to make revisions following your defense, your revisions must have been completed and accepted by the committee before you submit the dissertation.
 - In order to graduate in a given term, you must submit your dissertation by the submission deadline published on the Graduate College site (http://grad.arizona.edu/academics/degree-certification/deadlines-for-graduation). Note that the submission deadline falls before the final day of the term, so plan your defense with the deadline in mind.

B. The Submission Procedure
 - You will submit your dissertation online via the submission web site: http://www.etdadmin.com/cgi-bin/school?siteId=63. This is not a UA site, so you will begin by establishing your profile in the submission system.
 - Once you have established your profile, you can follow the step-by-step instructions on the site to make your submission.
 - Publishing option: You will be asked to select either Traditional or Open Access publishing.
     i. Traditional publishing: There are no fees charged for traditional publishing, under which ProQuest/UMI will sell your dissertation to a customer who requests it and will forward a very small royalty to you. Note that your dissertation will be available for free in the University Library's repository if people search for it there.
     ii. Open Access publishing: If you elect Open Access publishing, you pay an additional fee to ProQuest/UMI, and they will then make your dissertation available for free from their archive. Note: All dissertations and theses are available for free from the University Library's repository whether or not you pay for Open Access publishing through ProQuest/UMI.
     iii. The copyrighting fee will be charged by ProQuest/UMI if you elect to file for copyright when you submit your dissertation for archiving.
 - Your degree counselor in the Graduate College will review your dissertation submission and will e-mail you to tell you whether any formatting changes are needed. Note that the e-mail will be sent to the address in your submission profile and may be caught in your spam filter.

C. Other Steps to Complete
 - In addition to having the formatting of your submitted dissertation cleared by the Graduate College, there are a few other steps you need to complete.

Please review the information at http://grad.arizona.edu/academics/degree-certification/diss-theses/format-check-process.
- This checklist of the required steps to finish your dissertation submission process is also available for download as the "Doctoral Post-Defense Instructions" from https://grad.arizona.edu/gcforms/academic-services-forms.

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