

**GUIDE FOR FORMATTING
AND SUBMITTING
DOCTORAL DISSERTATIONS
AND MASTER'S THESES**

PART ONE

GENERAL REGULATIONS FOR FORMATTING

Academic disciplines differ with respect to rules for formatting doctoral dissertations and master's theses. Consequently, you should consult with your director in choosing a format consistent with the requirements of your discipline. In all matters not covered by this *Guide* or by departmental standards, your director acts as arbiter.

For guidance on format questions not answered in this *Guide*, consult a recognized style manual such as one of the following:

Gibaldi, Joseph and Walter S. Achtert. *MLA Handbook for Writers of Research Papers*. 3rd ed. New York: MLA, 1988.

Turabian, Kate L. *A Manual for Writers of Term Papers, Theses, and Dissertations*. 6th ed. Chicago: U of Chicago Press, 1996.

WORD PROCESSING OPTIONS

- 1.1 While you may use any typing option that produces a high-quality final draft, a word processor offers many advantages. In addition to providing a simple method of editing and correcting your document, many of the leading word processors provide online thesaurus and spell checking, and automate the process of creating footnotes and endnotes, page numbers, and even tables of contents and indexes.

As a graduate student, you have several word processing options available to you through the Office of Information Technology. With the OIT computer clusters, you have your choice of Apple Macintosh, IBM and compatible computers (DOS), and SunSPARC workstations, all of which provide word processing capabilities and access to laser printing. You will need to present your student identification card when visiting the clusters.

If you need assistance learning how to use a word processor, the OIT provides hands-on training courses and/or tutorial documents to get you started. In addition, most of the clusters are staffed by student consultants who can answer your questions related to the software and hardware that is provided. If you need further information about the computing and training options at Notre Dame, visit the Information Resource Center in room 111 Computing Center/Mathematics Building, or call during business hours at 631-8111.

REGULATIONS FOR SPACING, PRINT STYLE, PAPER QUALITY, AND DUPLICATION

SPACING

- 1.2 Double-space the text of your dissertation or thesis, as well as the abstract, preface and any appendices. Indent the first line of each paragraph. Single-space footnotes, bibliographical entries and block quotations. In the table of contents and the lists of tables and figures, single-space entries and double-space between them. See 1.10.

PRINT STYLE

- 1.3 Use the same model of printer or typewriter for your entire dissertation or thesis and for any revisions. The official copies should not contain any evidence of corrections.

If you use a laser printer, any readable, professional-looking typeface in the 12-point type size is acceptable. If printing the final output with a dot-matrix printer, use the high-quality print mode and a typeface that produces consistently clear and dense characters, such as 12-point Geneva.

PAPER QUALITY

- 1.4 Print the official copies on an archival quality acid-free paper—20-pound weight, neutral-pH paper that is labeled either “buffered” or as having a minimum 2 percent alkaline reserve. Photocopies should also be made on this type of paper. The same brand of paper should be used throughout. Do not use erasable paper.

DUPLICATION

- 1.5 Because the Graduate School requires two official copies of your dissertation or thesis at its final submission, and because your department and/or director may require multiple copies, you may wish to consider duplication. High-quality xerographic reproduction and offset press are acceptable duplicating processes. Be sure to check the copies for missing or crooked pages. Ditto, mimeograph and thermofax are unacceptable processes.

MARGINS

- 1.6 The left (binding edge) margin must be at least one and one-half inches. The top, bottom and right margins must be at least one inch. This requirement applies to every page in the document. **Keep in mind that the bindery may trim approximately one-quarter of an inch off each edge.**

Tables should be accommodated within these limits. See 1.17 for techniques for formatting oversized tables. If possible, reduce all tables or figures, including graphs. For figures which cannot be reduced, decrease margins to one inch at the left margin and to three-quarters of an inch on the top, bottom and right edges, and adjust the page numbering accordingly.

PAGE NUMBERING

PLACEMENT OF PAGE NUMBERS

- 1.7 Center **each** page number horizontally; and, without including any punctuation, place the number approximately three-quarters of an inch from the bottom of the page.

PAGINATION FOR PRELIMINARY SECTIONS

- 1.8 Paginate the preliminary sections (dedication through preface) consecutively in lowercase roman numerals. **Do not place a number on the title page, although it is counted as page number i. Neither number nor count the copyright notice and the abstract. Number the dedication (or the table of contents if no dedication is included) page number ii.**

PAGINATION FOR BODY OF TEXT

- 1.9 Paginate in arabic numerals the main body of the text, beginning with the first chapter or its equivalent (e.g., Introduction), from page number 1 through the last page, avoiding supplementary page numbering (e.g., 57a).

In a multivolume dissertation, continue the page numbering sequence used in the preceding volume. Always begin a new volume with a new chapter. Include the title page as the first page of any subsequent volume, adding the volume number (e.g., VOLUME II) just below the title. On the title page of a subsequent volume the director's signature need not be original and, again, the page is neither numbered nor counted in the page numbering sequence.

HEADINGS, TITLES AND SUBHEADINGS

- 1.10** Always begin a major division at the top of a new page. Center the heading (e.g., "TABLE OF CONTENTS," "CHAPTER 3," "RESULTS," or "APPENDIX") approximately two inches from the top edge of the paper, and type it entirely in uppercase letters.

Chapter titles are optional. If you title one chapter, however, then all chapters must have titles. Keep all titles approximately the same length. Type the title entirely in uppercase letters and center it three spaces below the chapter number. Double-space between lines if the title requires more than one line. Do not give the title terminal punctuation.

Triple-space from the chapter title (or from the chapter number if no chapter title is used) to the first line of text. Apply this guideline to the first entry in the table of contents and the bibliography, as well as to the first paragraph in a chapter.

You may wish to subdivide chapters. Use letters and/or numbers to identify these subdivisions. Use the same heading hierarchy throughout the dissertation or thesis. Do not mix roman and arabic numerals (e.g., V.1, III.2). *Do not type subheadings entirely in uppercase letters.*

Triple-space from the end of a subdivision to the next subheading. Do not end a page with a subheading. Begin a new page if there is not room for at least two lines of text below a subheading. Most computer programs now will automatically suppress "widows" (last line of a paragraph carried over alone to the top of the following page) and "orphans" (a heading, subheading or first line of a paragraph appearing alone at the bottom of a page).

QUOTATIONS

- 1.11** Enclose in quotation marks and incorporate into the text prose quotations of three lines or fewer. Single-space and indent from the left margin prose quotations of four lines or more (block quotations). Double-space from the text to the block quotation and from the end of the quotation back to the text. Do not use quotation marks in a block quotation unless they are used within the original. Maintain paragraph indentations of the original.

Treat verse quotations of more than two lines as block quotations. If a verse is no more than two lines, incorporate it in the text by using quotation marks and a virgule (/) to divide the lines. However, you may wish to give a shorter quote special emphasis by treating it as a block quote.

Enclose interpolations in square brackets [] not parentheses (). If using "sic" outside a direct quote, enclose it in parentheses, not brackets. Note omissions by using ellipsis points (. . .).

REFERENCES

- 1.12** Provide textual references for all data, opinions, judgments or ideas garnered from another's work, whether the work is quoted verbatim, paraphrased or summarized. If you plagiarize, i.e., take the words or ideas of another scholar and pass them off as your own, you create a false impression

that the phrases, insights or information presented are the result of your own thinking or research. Avoid the charge of plagiarism by properly acknowledging the words or ideas of others. A safe rule to follow is: "When in doubt, cite the source." A reference must provide enough information to direct the reader to the primary source.

Follow the referencing format appropriate for your discipline. The decision as to reference format must be approved by your director. One of the following three options must be chosen: footnotes or endnotes, parenthetical references, or numerical references. Use consistently whatever format you and your director choose.

FOOTNOTES AND ENDNOTES

- 1.13** When referencing a particular work, the first footnote includes the author's name as it appears on the title page (first name first), the complete title of the work, the publication information (city: publisher, date) and the page reference. You may use a shortened form for subsequent references to the same work, provided that enough information is given to identify it. Do not, however, use *op cit*. Another alternative for subsequent references is to use the parenthetical reference method; see 1.14.

The reference number is an unpunctuated, superscribed arabic number. You may number footnotes either consecutively through each chapter, beginning a new numbering sequence with each chapter, or consecutively from beginning to end of the document.

Place footnotes at the bottom of each page. Use the following guidelines for either programming your word processor or formatting footnotes manually. Separate the footnotes from the text by a solid line, approximately 20 spaces in length (or approximately one and one-half inches long), starting at the left margin, a single space below the text. Double-space from the separation line to the first footnote. Indent the first line of each footnote. Start subsequent lines at the left margin. Single-space within footnotes and double-space between them.

If you choose, you may use endnotes. The above numbering guidelines apply, except that the notes are placed at the end of each chapter instead of at the bottom of each page. Endnotes must come at the close of each chapter, not at the end of the document, and are labeled like subheadings in the text and in the table of contents.

PARENTHETICAL REFERENCES

- 1.14** Parenthetical references in the body of the text direct the reader to the appropriate entry in the bibliography. Include in a parenthetical reference the author's last name and a page reference, or the author's last name and the date of publication. Cite specific page numbers when necessary to direct the reader to a quote or other form of substantiation. Include a shortened version of the title or the author's first initial in order to distinguish between multiple works or authors with the same surnames. Use supplemental numbers (e.g., 1979a, 1979b) to set off works by the same author published in the same year.

Another common use of parenthetical references is for making subsequent references to a work which is initially cited using a complete footnote or endnote. This initial note also indicates that parenthetical references will be used for subsequent citation of the same work.

Using parenthetical references does not necessarily eliminate the need for footnotes altogether. Footnotes also may be used for clarification or further explanation of material in the text.

NUMERICAL REFERENCES

- 1.15** The numerical reference method is used frequently in science and engineering. Place a number in the text directing the reader to the appropriate entry in the list of references.

FORMATTING TABLES

Although there are many ways to format tables, you should follow closely these guidelines even if the publication manual for your discipline directs otherwise.

TABLE NUMBERS, LABELS AND PLACEMENT

1.16 **Number all tables consecutively with arabic numbers.** Do not mix roman and arabic numerals (e.g., V.1, III.2). If the document has many tables, begin a new numbering sequence for each chapter (e.g., 1.1, 1.2,...3.1,...A.1, etc.).

Insert a table after the paragraph in which it is first mentioned. If a table cannot be accommodated in the space remaining on the page, continue the text to the bottom margin, placing the table at the top of the next page. Place a table alone on a page if the space remaining will accommodate fewer than six lines of text. Do not use "Insert Table X here."

If the table does not begin a new page, triple-space from the end of the paragraph to the table heading. The heading indicates the table number and is followed by a caption which specifies the universe from which the data is taken, the particular classification used, the area covered and the time. For example:

TABLE 5

AVERAGE HOURLY EARNINGS (*universe*)

OF PRODUCTION WORKERS IN MANUFACTURING (*classification*)

IN THE UNITED STATES (*area*):

1950-1952 (*time*)

Type the caption entirely in uppercase letters, and do not give it terminal punctuation. Place a double rule one line below the last line of the caption.

Indicate the relevant unit of measure in column or row headings. Omissions in the data must be indicated. Close the table with a single rule.

Double-space from the bottom of the table to the first footnote. Place footnotes immediately below the table in the following order. First, if the data are not yours, indicate the source (SOURCE:). Second, provide information which applies to the entire table, e.g., collection methods or reliability of the data, in the general notes (NOTE:). Third, note information which applies to a specific part of the table either by superscribed lowercase letters or by asterisks and daggers, etc. Triple-space from the last table footnote back to the text.

OVERSIZE TABLES

1.17 For those tables which cannot be accommodated on one page, use one of the following methods:

If a table is too wide to fit lengthwise, turn it broadside. Place the heading on the left (binding) edge with the body of the table facing out, away from the binding. Do not place subsequent text on a page with a broadside table.

Reduce a table to fit on one page xerographically or photographically. Do not reduce the table number and caption.

Long tables may be placed on two facing pages. Turn the first page over so that the entire table can be read without turning a page. Leave the front side of this facing page blank.

It is acceptable to continue a table on additional pages without inverting any pages. Head subsequent pages with the table number but not the caption, e.g., TABLE 5 (contd.).

Avoid the use of foldouts unless absolutely necessary. If you must use them, position the folds so that they are neither bound on the left side nor trimmed off on the right side during the binding process.

FIGURES

1.18 A figure is any type of illustration that is not a table, including charts, graphs, diagrams, photographs, drawings, maps and blueprints.

Follow these guidelines on figure placement even if the publication manual for your discipline directs otherwise.

Insert a figure after the paragraph in which it is first mentioned. When a figure cannot be accommodated in the space remaining on the page, continue the text to the bottom margin, placing the figure at the top of the next page. Place a figure alone on a page if the space remaining will accommodate fewer than six lines of text. Do not use "Insert Figure X here."

Place your figure's number and legend below the figure. The legend may be either a title or a longer explanation which might also include sources. If the legend is in sentence form, use terminal punctuation. Do not extend the legend beyond the edges of the figure. Single-space additional lines.

Number figures consecutively with arabic numbers. Do not mix roman and arabic numerals (e.g., V.1, III.2). If the document has many figures, begin a new numbering sequence for each chapter (e.g., 1.1, 1.2,...3.1,...A.1, etc.).

Format footnotes as in a table. See 1.16.

OVERSIZE FIGURES

1.19 If the legend will not fit on the same page as the figure, place it on the preceding page. Center the legend vertically and horizontally. Place nothing other than the legend on this page. Turn the page so that the legend is facing the figure. Keep the front side of this facing page blank.

Long figures may be placed broadside with the top of the figure on the left (binding) edge. If the legend will fit on the same page, place it at the bottom of the figure (the right edge of the paper).

See 1.6 for limited exceptions to margin requirements.

GRAPHS

1.20 If possible, reduce xerographically any graphs which will not fit within the required margin limits of this *Guide*.

An oversize graph may be placed broadside. See 1.17.

Place the legend at the bottom of the graph. When entering the legend on a broadside graph, remember that the top edge of the graph is placed at the left (binding) edge of the page. Enter the legend at the bottom of the graph (right edge of page when bound), or the left edge of the graph (bottom edge of page when bound). The reader may have to turn the dissertation or thesis ninety degrees to read the legend, but should never have to invert the dissertation or thesis to read the legend.

Identify graph lines with labels, even if color-coding is used. Also, be aware that crosshatching may be more effective than color for distinguishing sections on a graph, map or chart.

IMAGES

1.21

Scan images or include high quality photocopies. If photos are used, include original photographs in both official copies of the dissertation or thesis. If you must use a photograph taken from a publication or other secondary source, and if another copy of the source is not available, include a high-quality copy of the photograph in the official copies of the dissertation or thesis. Your director must approve the use of a copy.

Color photographs and charts are acceptable. However, because the colors will reproduce on microfilm as varying shades of gray, you may wish to provide black-and-white substitutes for the one official copy which will be sent to University Microfilms, Inc. When possible, use true-black-to-pure-white photographs to provide the best possible contrast. Identify the copy as such when you submit the dissertation or thesis.

Mount photographs with a glue stick, all-purpose white glue, or, for best results, dry mounting tissue. Do not use mounting corners, transparent tape or staples. Avoid rubber cement if possible. Apply the adhesive to the photo, not to the paper.

PART TWO

SPECIFIC REGULATIONS FOR SECTIONS OF THE DOCUMENT

Present the sections of your document in the following order:

- Title Page
- Copyright Notice (optional)
- Abstract (required for doctoral dissertation, optional for master's thesis)
- Dedication (optional)
- Table of Contents
- List of Tables (if necessary)
- List of Figures (if necessary)
- List of Symbols (if necessary)
- Preface or Acknowledgments (optional)
- Text
- Appendix or Appendices (optional)
- Bibliography

In some disciplines, the bibliography precedes the appendices. Check with your director.

REGULATIONS FOR PRELIMINARY SECTIONS

TITLE PAGE

2.1 Key words in the title are the primary reference which other scholars will use to locate the dissertation or thesis. Consequently, choose words which will briefly and accurately convey the contents. Substitute words for symbols and formulas whenever possible.

Center everything on the title page except the line for the director's signature, which begins at the center and runs approximately two and three-quarters inches to the right. Type the title entirely in uppercase letters. If the title is more than one line, double-space between lines in the title.

Center vertically the material on the title page (same space at the top as at the bottom). The minimum margin is still one inch. Place four or five vertical spaces between the title and "A Dissertation" or "A Thesis," and then skip four more lines to "Submitted to . . ." Double-space the next four lines, capitalizing these words exactly as shown in the sample title pages.

Place the title of the degree four lines underneath “for the Degree of.” (If you are an engineering master’s student, use the following: “Master of Science,” double-space, “in Engineering.”) Skip four lines to “by” and skip four lines to your name. Use your full legal name and list all previously earned degrees, in chronological order, after your name.

From the vertical center of the page, place the director’s signature line eight vertical spaces below your name. The line should be two and three-quarters inches in length. Center your director’s name and “Director” (e.g., Pat J. Doe, Director) underneath the signature line. If you have codirectors, follow the same format, triple-spacing between the two. (This will require some compensation in spacing after your name.) Your director’s signature must be original on the title pages of both official copies.

Place your department name four vertical spaces below “Director.” Double-space the last three lines. **The date appearing on the title page must be the month and year of submission to the Graduate School, not the month and year of commencement**

All information on the title page should be in 12-point font, as in the body of the text. **Do not use bold print on the title page.**

COPYRIGHT NOTICE (OPTIONAL)

2.2 If you decide to copyright your dissertation or thesis, place notice of the copyright on the page following the title page. For information regarding copyrighting dissertations, see 4.4, and for theses, see 4.9.

Include in the copyright notice the copyright symbol (©), your full legal name, and the year in which the copyright is secured. Use the following layout:

© Copyright by

PAT Q. PUBLIC

2001

All rights reserved

Center the notice horizontally and vertically. Neither number nor count this page in the page numbering sequence.

ABSTRACT

2.3 All doctoral dissertations must include an abstract. The abstract should be approved by your director. An abstract is optional for a master’s thesis; if included, it should be approved by your director. If you and your director decide that your thesis should be microfilmed, you must include an abstract.

The abstract is published in *Dissertation Abstracts International* or *Masters Abstracts International*. It should be concise and well-written because it is the most widely read section of the dissertation or thesis. Include these points:

- a statement of the problem,
- a description of the research procedures,
- the results, and

- conclusions and/or recommendations.

Do not use formulas, diagrams, figures and references. If absolutely necessary, place references at the end of the abstract.

For a dissertation, the abstract cannot exceed 350 words; for a master's thesis, the limit is 150 words. The title and your name are not counted when checking the word limits. Every word following your name is counted, including such words as "a" and "the." **Hyphenated words do not count as one word.** Every number is counted as a word. Formulas are counted by characters; eight characters are counted as one word. Abstracts which contain many formulas or symbols should not exceed 35 lines.

References are not counted in the word limit. If your abstract is more than the allotted word limit, it will be shortened by University Microfilms, Inc. editors.

The abstract follows the title page, or copyright notice if one is included. Double-space the text of the abstract. Neither number nor count the page(s) in the page numbering sequence. **If a second page is necessary, place your name in the upper right corner (like a page number), but do not list previously earned degrees.** Do not list the abstract in the table of contents.

Note the following sample format for an abstract heading:

THE PRODUCTION-ESTIMATION METHOD:
REGRESSION REDUCTION
AND INDIVIDUAL DIFFERENCES IN POWER FUNCTIONS

Abstract

by

Carole (Kelley) Havens

Begin the text of the abstract three spaces below your name. The title and your name should appear just as they are on the title page. Do not list previous degrees after your name in the abstract heading.

DEDICATION

- 2.4** If you wish to dedicate your dissertation or thesis to one or more people, this tribute may be made on a separate page, following the abstract. The dedication page (if included) is the first page to receive a page number and is identified as "ii."

TABLE OF CONTENTS

- 2.5 There are many options for organizing the dissertation or thesis. The table of contents should accurately reflect this organization plan. **Word your headings for the table of contents exactly as you word them in the text. Check page references for accuracy.**

Note that a period leader (a line of periods) must be inserted between a heading and the corresponding page number entry.

List in the table of contents only those items which come after it.

LISTS OF TABLES, FIGURES AND SYMBOLS

- 2.6 Include a list of tables in the dissertation or thesis if the document has more than five tables. If there are more than five figures, note these in a list of figures. The list of tables provides the table numbers, captions and page numbers for all tables, including those in the appendices. The list of figures provides the numbers, legends and page numbers of all figures. **List captions and legends exactly as they are found in the text.** Long legends (those which are more than three lines long) may be abbreviated either by using the first sentence of the legend or by giving a clear, concise summary of the legend.

Do not include these lists on the same page as the table of contents. The list of figures may be placed on the same page as the list of tables if both lists will fit on the same page. Triple-space between them if they are placed on the same page.

If you wish to include a list of symbols or a list of abbreviations, place it after the list of figures. The terms included in this list must be defined when they are first mentioned in the main body of the dissertation or thesis.

PREFACE OR ACKNOWLEDGMENTS (OPTIONAL)

- 2.7 If prefatory remarks are made, entitle the section "PREFACE." Prefatory remarks cover items such as the background of the project, its scope and its purpose. If you address these points in the main body of the dissertation or thesis, do not include a preface. Acknowledgments should follow as the final paragraph(s) of this section.

If you wish to make acknowledgments without other prefatory remarks, title the section "Acknowledgments." Acknowledgments should include items such as funding and research grants, permission to use copyrighted material, and credit to individuals and organizations who have assisted you. Avoid facetious remarks which you might later regret.

REGULATIONS FOR THE BODY OF TEXT

- 2.8 Write the main body of your dissertation or thesis in the third person.

INTRODUCTION

- 2.9 Include introductory material (e.g., a brief statement of the problem, background on your interest in the subject, the aim of your research) in one of three places: in the preface, at the beginning of the first chapter, or in a separate introductory section.

TEXTUAL DIVISIONS

- 2.10 The content of the dissertation or thesis often suggests the most appropriate method for dividing the text. Although chapters are often used, an alternative method frequently used in the sciences and engineering is to divide the document into major sections such as "Review of Literature,"

“Findings,” or “Recommendations.” You may number these divisions and their subdivisions serially, using arabic numerals (e.g., 1.1, 1.2,...2.1, 2.2, etc.). **Do not mix arabic and roman numerals** (e.g., V.1, III.2).

REGULATIONS FOR APPENDIX AND BIBLIOGRAPHY

PLACEMENT

- 2.11** The appendix usually follows the conclusion of the dissertation or thesis. However, some disciplines require that the bibliography be placed before the appendix. The ordering of these two sections is not a matter of personal choice. The appendix should come first unless your discipline requires otherwise. In either case, the appendix–bibliography order should be consistent in all dissertations and theses submitted from a particular department.

APPENDIX OR APPENDICES (OPTIONAL)

- 2.12** This section presents supplementary material such as original data, lengthy quotation or other material which is helpful but not essential. If there is more than one appendix, give each one a descriptive title.

BIBLIOGRAPHY

- 2.13** Depending on the nature of the material, this section may have an alternate title such as “Selected Bibliography,” “Works Cited,” “Literature Cited,” or “List of References.” Include only those sources which are cited in the text. You need not include every work consulted while writing your dissertation or thesis.

In science and engineering, sources are often presented in a list of references. The list is arranged alphabetically according to the authors’ surnames. Two or more works by the same author are ordered chronologically by date of publication. If numerical references are used in the text, each number should precede its corresponding entry in the list of references. Parenthetical references in the text are preferable to numerical references because the deletion of a reference during a revision does not require that other references be renumbered.

In the humanities and social sciences, the bibliography usually is arranged alphabetically by the authors’ surnames. However, if you use a significant number of works of one particular type (e.g., books, government documents, unpublished letters, or interviews), place them under separate headings.

Regardless of the number of works cited, you may divide the bibliography according to some principle appropriate for the material. Some possible divisions include: published and unpublished materials; works by an author and works about that author; type of material (e.g., books, periodicals, films, interviews, etc.); or chronological order by date of publication. Within each of these divisions, the entries should be arranged alphabetically according to the authors’ surnames.

Include anonymous works in the same sequence, alphabetized by title.

Each entry should include the author’s full name (last name first), the complete title and the publication information (city: publisher, date). In addition, some of the following may be necessary to identify the work: editor or translator, edition, name of the series, number of volumes in the series, or the section of the work consulted (e.g., volume, chapter and/or page numbers). Consult a recognized style manual for specific guidelines. See “Part One” of this *Guide*.

PART THREE

CHECKLIST FOR FORMATTING

Your dissertation or thesis will be checked against the following list to determine if it complies with the formatting requirements of the Graduate School.

CHECKLIST FOR DISSERTATION/THESIS FORMATTING

TITLE PAGE:

- _____ Original signature of director is on title page of **both** official copies.
- _____ Director's name is typed under signature line and followed by the title, "Director."
- _____ Date at the bottom of the title page is the month and year in which the paper is submitted to the Graduate School. The page is not numbered.

ABSTRACT:

- _____ Word limit (dissertation, 350 words; thesis, 150 words) is observed and text is double-spaced.
- _____ Title and author's name are exactly as they appear on title page; full name is in upper right hand corner on second page.
- _____ Pages are neither numbered nor counted in the numbering sequence.

PAGE NUMBERING:

- _____ First page after abstract is numbered "ii;" lower case roman numerals are used for preliminary sections.
- _____ Every page number is centered horizontally three-quarters of an inch from the bottom.
- _____ Every page (except the abstract and copyright notice, if included) is numbered.

TABLE OF CONTENTS:

- _____ **Headings** (word for word) and **page numbers** correspond to the text.
- _____ **Abstract** is not listed.

LIST OF TABLES AND LIST OF FIGURES:

- _____ **Titles/captions** (word for word, or a clear, concise summary) and page numbers correspond to the text.
- _____ **Margins** are at least one and one-half inches on the left side and one inch on the other three sides.

- _____ **Paper** is an archival quality acid-free paper, and the same brand of paper is used throughout.
- _____ **Photographs** are originals in both official copies and are affixed using either a gluestick, all-purpose white glue or dry mounting tissue.
- _____ **Appendices/Bibliography** are included according to your discipline's guidelines for placement.

Before you may submit your doctoral dissertation, the Graduate School must receive confirmation of the passing of your dissertation defense from either your department office or the person who served as chair of your defense.

Before you may submit your master's thesis, the Graduate School must receive confirmation of the passing of your master's examination from your department office.

PART FOUR

SUBMITTING THE DISSERTATION OR THESIS

PROCEDURES FOR SUBMITTING THE DOCTORAL DISSERTATION

SUBMISSION DEADLINE

- 4.1 The Graduate School Academic Calendar lists deadlines for your dissertation defense and for the submission of your dissertation to the Graduate School. Consult this calendar, as you are responsible for knowing and meeting these deadlines.

Present the final version of the dissertation to the department chair for distribution to your three official readers after your director has signed it. All revisions requested by the readers must be incorporated, and the dissertation must be unanimously and unconditionally approved for defense by all official readers before it may be defended. Defects in the dissertation that come to light at the defense must be revised before it is submitted to the Graduate School.

FORMAT CHECK

- 4.2 You may, at any stage of preparing your dissertation, bring a copy to the Graduate School office to be checked for compliance with the requirements of this *Guide*. You *must* have the final version checked for format errors before the official copies are submitted to the Graduate School. You should submit a complete draft to the Graduate School for an initial formatting check no later than the day on which your readers first receive it (typically a month before the defense).

At the time of your format check you will be given information regarding fees; a booklet from UMI (University Microfilms, Inc.), *Publishing Your Doctoral Dissertation*, which gives details on microfilming and copyrighting as well as a Doctoral Dissertation Agreement Form; the National Science Foundation's *Survey of Earned Doctorates*; and the Graduate School's Exit Interview questionnaire and placement survey. You will be asked to return these forms to the Graduate School office when you submit your official copies.

If you are not in residence at the time you submit your dissertation, you may mail it to the Graduate School office to have the format checked. It will be returned via first-class mail at no charge to you.

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- 4.3 The University of Notre Dame's Graduate Council requires that all doctoral dissertations be microfilmed by University Microfilms, Inc., in Ann Arbor, Michigan. When you submit your dissertation, you must also submit a completed UMI Doctoral Dissertation Agreement Form. Please note that this is a legal contract which provides for royalties to be paid to you should UMI sell a large number of copies of your dissertation (this seldom happens). As with any legal con-

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SUBMISSION DEADLINE

- 4.6 The Graduate School Academic Calendar sets deadlines for the master's examinations and for the submission of your thesis to the Graduate School. Consult this calendar, as you are responsible for knowing and meeting these deadlines.

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- 4.10** When your dissertation or thesis is submitted, the Graduate School collects fees for microfilming, copyrighting, binding, and postage for bound copies mailed off campus. All fees must be paid either by check or money order payable to "University of Notre Dame" or by cash in the exact amount. No other payment arrangements are available. The binding process may take up to nine weeks during the busiest seasons.