Fall 2021

Dissertation & Thesis Format Workshop

ASU Graduate College
Arizona State University

Agenda

1. Meet the Team
2. Purpose of Format
3. The Format Process
4. Deadlines
5. Scheduling your defense
6. Format Wizard
7. Common Issues/Tips
8. Q&A

The Format Team

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Arizona State University | Graduate College

graduate.asu.edu

Purpose

- To provide an overview of deadline and format requirements to meet for graduation

- To help you meet ASU's formatting guidelines for your thesis, dissertation or equivalent culminating experience document (bound document, research paper)

- To demonstrate how to navigate the applicable Graduate College websites and the available resources for students

Format Process

Format your document → Submit your document for format review before your defense → Hold your defense → Submit final revisions for format review and final pass/fail form → Submit to ProQuest

Format Process

1. Format your document

Use both the Format Wizard and the Format Manual to guide you.

Also refer to your chosen style guide, which will especially inform the format and treatment of tables, figures, citation style and references organization, as well as headers and other elements of your content.

Format Process

2. Submit your document for format review before your defense

To submit your document, you will upload your document through your iPOS. You will select the format tab, and then select attach your document.

Once your document has been uploaded to your iPOS, we will review the documents in the order that we receive them. Your status will either say: **Pending Review, Revisions Required, Ready for ETD/ ProQuest or Format Approved**. If your status says: **Waiting for Final Pass/Fail Form**, that means that we are waiting on your final pass/fail to approve you to proceed to ProQuest.

You can check our website for information and instructions for submitting your document. Do not submit your document to gradFormat@asu.edu

Format Process

Home / Current Students / Completing Your Degree / Formatting Your Thesis or Dissertation

| Preparing | Formatting | Submitting | Revising | FAQ |

Submitting your document

1. Students must submit documents through their iPOS by clicking on the Format tab and uploading a Word or PDF document as an attachment. If you are attaching multiple files, the documents must be submitted as a compressed zip file.

2. The document should be uploaded to your iPOS 10 calendar days prior to the defense.

3. Documents should only be submitted after consultation with the student's committee/chair and must be a complete, defense-ready document (i.e. meets standards set by the ASU Graduate College Format Manual, complete content).

4. The Graduate Format team will not review incomplete documents or those that have not been formatted according to the format manual. If students submit a partial or incomplete document, the document will be returned without evaluation and revisions will be requested before further review.

5. Students must be enrolled in at least (1) credit hour during the semester they plan to defend their thesis/dissertation and while working on format revisions.

Non-thesis culminating events (Applied Projects, Capstone Courses, Comprehensive Exams or Portfolios) do not need format approval from the Graduate College. For questions regarding documents that require special format, please email gradformat@asu.edu.

To find current directions for submission. Navigate to the Formatting Your Thesis or Dissertation section at graduate.asu.edu and select the Submitting tab.

Format Process

- Once the format team has reviewed your document, you will receive notification through your iPOS on revisions needed.

- Each email will include needed revisions (if any), and instructions of the next steps in the iPOS.

Hello

The Graduate College Format Team has reviewed your document and provided feedback. Please see the list below for needed revisions:

1. LIST REVISIONS HERE

It is important that students do not assume the modifications we have listed are the only items that should be addressed. Please go through the entire document to ensure the items we have listed do not occur elsewhere in your paper. In addition, please also make sure any modifications made to the document do not shift other sections or any tables/images/figures that the document may have.

Once you have made the above changes, as well as any modifications your committee may require, please **resubmit** your document in Microsoft Word or PDF form to your IPOS for further review. You will be notified via email when it has been completed. Please note that format review should not be your sole resource for revisions. It is the student's responsibility to ensure that their document is in accordance with the requirements and guidelines set by Graduate College.

Please note that we may not approve the document for ProQuest until Graduate College has received your final Pass/Fail form.

If you have further questions regarding format, please refer to the ASU Graduate College Format Manual at https://graduate.asu.edu/current-students/completing-your-degree/formatting-your-thesis-or-dissertation/asu-graduate-college. If you have any additional questions that are not addressed in the format manual, please email gradformat@asu.edu.

Regards,

Format Review Team
Graduate College

Format Process

3. Hold your defense

If your committee requires revisions after the defense, work on this and make sure to make revisions in time to meet the semester's **final revisions format submission** and **final pass/fail form** deadline.

The "final" pass/fail form is an **electronic form** through DocuSign. The form indicates that your committee has given final approval for your thesis/dissertation. You can verify whether the Graduate College has received it on MyASU (Defense Status will be "Pass"). You will also receive notification once your committee has signed off on the form.

In consultation with your advisor, decide if you need to embargo your work. If you do, complete the Delaying Publication of Thesis/Dissertation (Embargo Status) form and submit it to Graduate College **prior to ProQuest submission.**

Format Process

4. Submit final revisions for format review and the final pass/fail form

Note that submission of your document for format review fulfills this deadline requirement *as long as your defense's final pass is recorded.*

It is important to keep in mind the graduation deadline for the **final pass/fail form** and **submission of the final revisions document** for format review for the semester you plan to graduate. If you find you will not be able to meet these deadlines, you should talk to your department about graduating in a later semester.

Format Process

5. Submit to ProQuest

A format advisor will direct you to proceed to ProQuest, once we have received your final pass/fail form. Please make sure to submit to ProQuest by the deadline.

You will register an account with ProQuest and upload your document as part of your submission. We recommend converting your document to a PDF (if it is not already) prior to uploading, and to also check your uploaded document for any errors.

Your document will be checked a final time in ProQuest. Please monitor **your email registered with ProQuest** for communication we will send to notify you of revisions needed or final approval.

Format Process

Keep in mind…

- On average, each document will go through the format check process 3-4 times (which includes review in ProQuest). Students who refer to the format manual and use the Format Wizard are approved for ProQuest much quicker than those who do not.

- Approval to proceed to ProQuest cannot be issued until the Graduate College has received your FINAL pass/fail form.

Deadlines

- Last Day to Schedule a Defense

- Last Day to Hold a Defense

- Format Review Submission: **10 calendar days** <u>before</u> the scheduled defense. Student must submit a **complete defense-ready** document.

- Last Day to Submit Revisions for Format Review

- Last Day to Submit Final Pass/Fail Form

- Last Day to Submit Thesis/Dissertation to ProQuest

Deadlines

- Where to find deadlines: graduate.asu.edu

Deadlines

Deadlines

- These are deadlines established by the University and Graduate College.

- Please also keep in mind any deadlines established by your academic unit.

- Questions can be directed to your academic advisor within your unit.

2021 10 working day calendar
https://graduate.asu.edu/sites/default/files/2021_10-working_day_calendar.pdf

ASU Graduate College
Arizona State University

Graduate College 2021
10-Working Day Calendar

2021

Fall 2021

Aug 19	Classes begin
Oct 1	Deadline to apply for graduation
Oct 22	Last day to schedule an oral defense of thesis/dissertation
Nov 5	Last day to hold an oral defense of a thesis/dissertation
Nov 12	Submit Survey of Earned Doctorates (PhD and DMA only)
Nov 12	Submit final revisions for thesis/dissertation format approval by 2 p.m.
Nov 12	Submit signed thesis/dissertation Pass/Fail form via DocuSign to Graduate College by 2 p.m.
Nov 12	Last day to submit Commencement Ceremony Registration
Nov 19	Submit thesis/dissertation to UMI/ProQuest by 2 p.m.
Dec 13	Culminating Experience (non-thesis / dissertation) iPOS data entry by academic unit
Dec 13	Graduate Commencement

Format Review

Completing Your Degree

- Graduate Faculty Finder
- How To Guides
- Commencement
- About Your Defense
  - Defense Calendar
- Formatting Your Thesis or Dissertation
  - Format Manual
  - Format Wizard
- Culminating Event Options

Formatting Your Thesis or Dissertation

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 (i.e., margins, spacing and pagination) will be done by the ASU Format Wizard. Review the ASU Graduate College Format Manual (Format Manual) before creating your document.

Preparing   Formatting   Submitting   Revising   FAQ

Preparing for the format process

Arizona State University | Graduate College

Format Review

For questions related to your thesis or dissertation, email GradFormat@asu.edu

- Resources:

The ASU Graduate College Format Manual:

https://graduate.asu.edu/format-manual

The ASU Format Wizard:

https://graduateapps.asu.edu/formatadvising

Format Manual

Completing Your Degree

- Graduate Faculty Finder
- How To Guides
- Commencement
- About Your Defense
  - Defense Calendar
- Formatting Your Thesis or Dissertation
  - Format Manual
  - Format Wizard
- Culminating Event Options

ASU Graduate College Format Manual

This manual is designed to assist graduate students who must produce a thesis, dissertation or equivalent under the supervision of their committee chair and successfully defend it as part of their degree requirements. This manual identifies Arizona State University's specific format requirements and contains instructions for meeting these requirements.

ASU Graduate College Format Manual

Policy on using Previously Published/Publishable Works

Students who are planning to incorporate a previously published or publishable work in their document should refer to the Policy on using Previously Published or Publishable Work in a Culminating Experience Document.

Arizona State University | Graduate College

Policy on Previously Published Work

Policy on using Previously Published or Publishable Work in a Culminating Experience Document

Definitions

Previously Published Work

A previously published work (separate studies or papers) that have been published in a book, journal, conference proceedings, meeting presentations, website, or any document that is available to the public where the student is the author or first listed co-author.

Publishable Work

A publishable work is considered a separate study or paper that has been accepted for publication and is in the process of being published where the student is the author or first listed co-author.

Document

A document is a final paper that is submitted to the Graduate College for the completion of a graduate program. Each of these documents are required to go through Graduate College format review prior to completion. Some examples are a thesis, dissertation, etc.

Note: In all document options indicated below, a complete set of citations must be placed at the end of the documents for ease of researchers even if separate reference sections appear at the end of some chapters or appendices.

Students may use no more than three previously published items in their submitted document.

Separate Studies or Papers where the Student is the Sole Author

Separate studies or papers submitted as one culminating experience document should be treated as "chapters" which must form a cohesive document. Combined papers require one abstract, one set of preliminary pages, and one set of references, which may be broken into sections corresponding to the articles from which they came. Page numbers must run consecutively throughout the text and the final document itself needs to comply with the format manual standards. Students should remove any introductions from the separate studies or papers and incorporate them into a comprehensive introduction. Additionally, students should use the document introduction to explain how each chapter approaches and examines the central thesis or central database. Students also should write a comprehensive conclusion to the entire document. If any portions of the document have been published previously then, in an appendix, students must note which portions have been previously published, when, and in which journals or books.

Separate Studies or Papers where the Student is the First Listed Co-Author

The Graduate College recognizes the necessity for graduate students to undertake collaborative research with a mentor and/or with other graduate students. Such collaborative research often results in co-authored journal articles and/or meeting presentations; nevertheless, the Graduate College does not allow co-authored documents.

When including previously published journal articles or meeting presentations in which the student is the first listed co-author, the student must meet the following conditions:

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1) The article must constitute its own chapter within the culminating experience document; although, it must retain its original abstract and references;

2) The document must have an introductory chapter explaining how each chapter approached and examined the central thesis or dataset;

3) The last chapter of the document must summarize the findings of all chapters and appendices;

4) In a separate appendix, the student must either include signed letters from co-authors granting permission to use the articles, or a statement by the student to the effect that all co-authors have granted their permissions.

Students incorporating previously published journal articles into their documents may do so in one of two ways:

1) The articles may become chapters within the document; or

2) The articles may become appendices.

If a student chooses option 1, the format of the entire document must be uniform. If option 2 is chosen, those appendices containing the articles may be formatted per the journal of publication.

Separate Studies or Papers where the Student is the Second Listed Co-Author or Later

When including previously published works in which the student is the second listed co-author or later, the student must meet the following conditions:

1) The article must constitute its own chapter within the document; although, it must retain its original abstract and references;

2) Students must include a one to two-page introduction to the document. Place it before the first chapter. In this introduction, the student must make clear their contributions to the project, including which part of the work they performed, which unique attributes they brought to the project, and their own point of view of the results. Identify and explain, as much as possible for a group effort, how each person contributed to the project. Such an introduction would guarantee that the student would receive credit for their work in the project.

3) The student should include a final chapter indicating what they concluded from the project, how the project has shaped their thought process for future research, and anything else their committee thinks relevant.

In a separate appendix, the student must either include signed letters from co-authors granting permission to use the articles, or a statement by the student to the effect that all co-authors have granted their permissions.

Using Copyrighted Work

Copyrighted material includes tables, charts, graphs, maps, questionnaires, illustrations, photographs, literary works, media files, etc. It is against the law to reproduce copyrighted materials, in full or in part, without permission of the copyright owner. If students need to include copyrighted source material in their document, they must obtain written permission from the copyright owner prior to its use. The written permission secured from the author or publisher to use copyrighted work in the document should be included in an appendix.

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Scheduling Your Defense

- Refer to the Ten Day Calendar when scheduling the defense. The calendar shows blackout dates and can be found on the "graduation deadlines and procedures" tab on the Graduate College website.
  https://graduate.asu.edu/completing-your-degree#tabs-0-content_main-4

- For additional information on scheduling your defense go to the Graduate College website under Students/Format and click on the "defenses" tab

Scheduling Your Defense

- The defense must be scheduled through your My ASU page or in the IPOS, **10 business days** prior to desired date.

- Find the link to "Schedule your Defense" under your program information

Scheduling Your Defense

Some common reasons the "schedule my defense" link in My ASU might not show up.

- Pending petitions

- Pending committee changes

- Low GPA

- Applied to graduate in a previous term

- Not a full committee entered in My ASU

Defense Scheduled

my.asu.edu

iPOS

Format Wizard

Your best friend…

Format Wizard

- The Format Wizard link below generates a Word or LaTeX document that follows ASU's format standards. The tool formats elements that may be difficult to adjust, such as page numbers, the table of contents, and the title page.

- The tool gives your document the format structure but can then be modified after it is generated.

- Using the tool will result in less structural revisions to your document.

graduateapps.asu.edu/formatadvising

Format Wizard

Keep in mind the following:

- If you are going to create a Word template, you must remember to save the file AS a Word doc after the file is generated. Editing the file without saving it as a Word doc first will create format errors.

- If you are going to create a LaTeX template, you may need to download source files for LaTeX. The last step of the tool includes guides and more information on this if you've chosen the LaTeX template.

Format Wizard

Step 1

Student and degree information.

The degree title should not include major. If your degree is an MS in Chemical Engineering, the correct degree title is simply "Master of Science"

Step 1 of 8: Tell Us About Yourself

What is your full name? *

Student Name

Type your name as FirstName LastName. Please list your name EXACTLY as it appears on your official ASU record.

What degree are you currently pursuing? * | Doctor of Philosophy ▼

Please select the degree you will be earning. In many cases this degree will not be impacted by your major. Please check with your Plan of Study (available through My ASU) for the exact degree.

When is your anticipated defense date?

Jan ▼   2020 ▼

Please select the month and year you will be defending.

When is your anticipated graduation date?

May ▼   2020 ▼

Please select the month and year of the semester you will be graduating.

Back   Next

Format Wizard

Welcome to the Format Wizard. The Format Wizard is designed to help you with the proper formatting for your thesis, dissertation, research paper, etc. Fill out the information on each page and then click the next button to continue.

For your reference, please review the Graduate College Format Manual and Sample Formatted Document.

You will be able to review all information entered and make necessary edits in Step 7.

Format Wizard

Step 2

- Select template for MS Word or LaTeX

- Select a font from a restricted list

- Enter title

Which template would you like to use? *

[LaTeX ▼]

The template is the file to which you add your content. We currently configure two different templates for you to use: Microsoft Word and LaTeX.
Microsoft Word: The majority of students will use the Word template. You will use Microsoft Word to add and edit your content.
LaTeX: LaTeX allows students to add complex scientific and mathematical equations to your content.

Choose Style Guide *

[Turabian ▼]

Please select the style guide you wish to use. Students are required to follow a standard style guide. Some departments and degree programs have recommended one or two style guides for student use (view more information on using style guides on the Graduate College Website and the ASU Libraries Website).

What is your document type? *

[Dissertation ▼]

Please select the document type you will be defending. Please note: applied projects will not require the use of this template.

Choose an approved font *

[Arial ▼]

Please select the font type you will use in your completed draft. The font type will remain the same throughout your document. Please note: You MUST use the same font type and font size when pasting document sections into the created document generated by this template.

Choose an approved font size

[10pt ▼]

Please select the font type you will use in your completed draft. The font type will remain the same throughout your document. Please note: You MUST use the same font type and font size when pasting document sections into the created document generated by this template.

Please enter the first line of your title here *

[Document Title]

Please limit this line to 90 characters (14 used).
Please type your title in the spaces provided. Be sure to input your title in Title Cased capitalization. Title case means that the first letter of main words are capitalized. Small words, such as articles, conjunctions, and short prepositions are written in all lowercase unless they begin the title. Please reference the sample document for a sample of how your title will appear on the title page and approval page of your formatted document.
For italics place the word or phrase you want italicized between two curly brackets {}. For example, to italicize the word "dog" in "The dog is very good," you would type the following: "The {dog} is very good."

Please enter the second line of your title here

[ ]

Please limit this line to 90 characters (0 used).

Please enter the third line of your title here

[ ]

Please limit this line to 90 characters (0 used).

Format Wizard

Step 3

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 to create your preliminary matter.

Step 3 of 8: Table of Contents Information

Would you like to create sample chapter headings?

☑ Would you like to create sample chapter headings?

By checking this box you will be able to enter Title information for each of your chapters. Using this option will make the table of contents easier to user. If you use this option please type your title in the field provided. You can add additional chapters as necessary.

Chapter Title 1

INTRODUCTION

Chapter Title 2

CHAPTER 1

Chapter Title 3

CHAPTER 2

Add one more   Remove previous

Format Wizard

Step 4

Abstract page. Feel free to only type in a placeholder in the text box, since this can be edited later.

Step 4 of 8: Abstract Information

Abstract *

> Sample text.

Type or copy and paste your abstract into the space provided. See complete instructions for more information.

Quick notes about the abstract:

1. Do not use future tense.
2. Do not include bibliographic citations.
3. After you complete your abstract, ensure that is has proper paragraphs.
4. Make sure to summarize actual results and findings.
5. Do not use first person plurals. (For example: do not use we, our, us.)

Please note: the ABSTRACT must not exceed 350 words.

Your word count is 2

Format Wizard

Step 5

Click the boxes next to the fields that you would like added into your template. See the Format Manual for detailed information on how each section is used.

Step 5 of 8: Additional Document Sections

Additional Document Sections

- ✔ Dedication
- ✔ Acknowledgments
- ☐ Preface
- ✔ Figures
- ✔ Tables
- ☐ Symbols
- ✔ Appendix
- ☐ Biographical

Please refer to the sample document and the Format Manual for an example of each additional field.

Format Wizard

Step 6

Select one chair or two co-chairs in committee.

The committee listed here must match the committee in your iPOS. If you need to change your committee members, submit a Committee Change request in your iPOS. It takes several days for committee changes to be reviewed and approved so please plan accordingly, and remember that no committee changes can be made after the defense has taken place.

Step 6 of 8: Graduate Supervisory Committee Information

Do you have one committee chair or two co-chairs?

I have two co-chairs ▼

Who is on your committee?

Please enter your committee members.

Co-Chair

Firstname Lastname

Co-Chair

Firstname Lastname

Committee Member

Firstname Lastname

Add another committee member

Please fill in the names of your committee members and chair(s). If you have more than one chair click the co-chair box and it will automatically set your first and second committee members to co-chairs.

For your reference, please review the Graduate College Format Manual and Sample Formatted Document.

You will be able to review all information entered and make necessary edits in Step 7.

Format Wizard

Step 7

Review your inputs for all previous sections and make any additional edits.

When finished, select 'Next' at the bottom of the page.

Student Information

Edit this section

Student's Full Legal Name	Student Name
Degree	Doctor of Philosophy
Defense Date	January 2020
Graduation Date	May 2020

Document Information

Edit this section

Template Type	LaTeX
Style Guide	Turabian
Document Type	Dissertation
Font Type	Arial
Font Size	10pt
Title line 1	Document Title
Title line 2	
Title line 3	

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Format Wizard

Step 8

This page has helpful information specific to your selected template type.

After reviewing the information, select button "Create Document" or "Download zip file" for LaTeX

Step 8 of 8: Create Document

In this step you will download a zip file containing the LateX (pronounced Ley-teck) files needed to create your pdf document. Follow the directions below to begin.

LaTeX

If you are not already using LaTeX, you will need to download the source files before you begin. There are several programs that you can use, however Graduate College recommends MiKTeX. You may launch MiKTeX from the MiKTeX site for a free downloadable copy. Also there are many online LaTeX editors available on the internet like **Overleaf, ShareLatex, LateX Base** and etc. We recommend you to use either **Overleaf** or **ShareLatex** online editors to make your pdf document.

If you use **Overleaf LaTeX** online editor, please follow the steps to create your document through this document.

If you use **ShareLaTeX** online editor, please follow the steps to create your document through this document.

If you use MikTek, below are the instructions to create your document.

Your template

1. Click on the "Download zip file" button to create your zip file.
2. Open the zip file and extract it to a folder on your computer.
3. When MiKTeX's TeXworks opens, click File -> Open and browse to locate the dis.tex file that was extracted from the archive. NOTE: Your local computer will be identified as "My C Drive".
4. Add content and edit the document as you see fit, then save the document.
5. From the menu, choose Typeset > Typeset; or Ctrl+T; or press the button in the upper left corner of TeXworks (looks like a play button).
6. The first time you complete the above step, TeXworks will prompt you to install a font package. Simply press the Install button without changing any settings to install the fonts.
7. If no errors were found, TeXworks will have created a PDF document in the folder on your computer.

Where to find help.

For questions regarding:

- LaTeX: The LaTeX Project
- MiKTeX or TeXworks: MiKTeX.org
- MyApps

Back   Download zip file

Format Wizard

Save a version!

Once the document is created, immediately save a version of the document *as type Word Document*.

Once saved in the .Doc format, you may make changes to the document and add your content. Before submitting for format review, we recommend saving the document as a PDF.
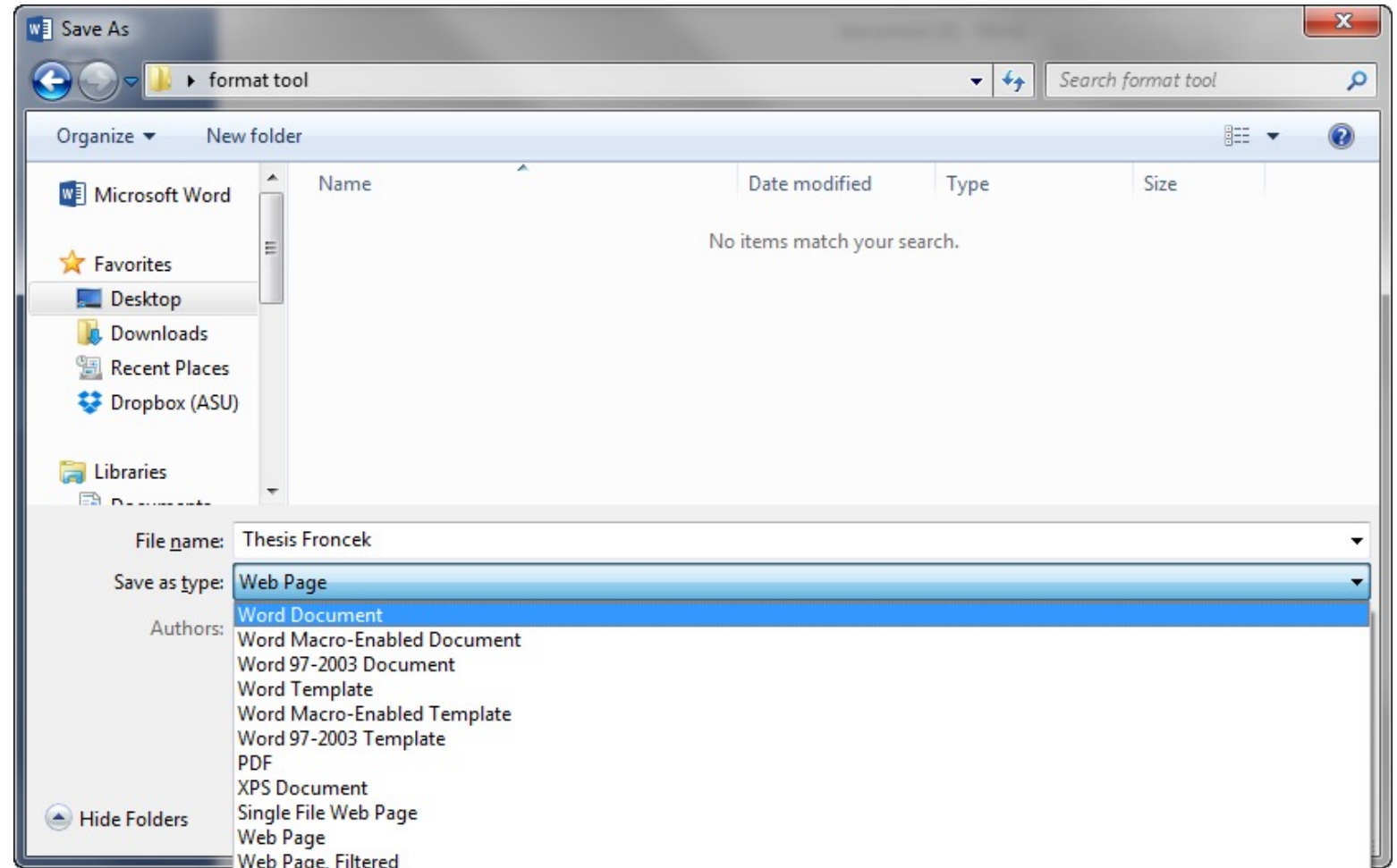
Common Issues and Tips

- 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.

- Make sure references are single spaced with one double-space break in between each reference.

- Insert gridlines to check the correct placement of page numbers and tables/figures. The page numbers must be directly upon the one inch margin line.

Common Issues and Tips

- Submitting 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 do 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.

- After making layout adjustments, check and update your TOC and Lists for accuracy.

Resources

Graduate College Website https://graduate.asu.edu/

ASU Libraries Style Guide Information http://libguides.asu.edu/c.php?g=263988&p=1762928

ASU Libraries Digital Repository Information http://libguides.asu.edu/digitalrepository/etd

ASU Libraries-Graduate Students https://lib.asu.edu/services/graduate-students

Academic Integrity Information https://provost.asu.edu/academic-integrity

ASU Writing Center https://studentsuccess.asu.edu/student-services/graduate

Policy on Using Previously Published Works https://graduate.asu.edu/sites/default/files/cdpm/policy-previously-published-work.pdf

**UTO link to free Microsoft 365 https://uto.asu.edu/asu-providing-microsoft-office-365-all-students-faculty-staff

MiKTeX https://miktex.org/

Overleaf LaTeX online editor guide https://graduateapps.asu.edu/formatadv_docs/docs/Latex-PDFTemplate-Creation-Process-Using-Overleaf-LatexOnlineEditor.pdf

Email a format advisor
Unsure how to interpret the Format Manual? Have a situation that seems unique? Email GradFormat@asu.edu. Typically, ASU Graduate College format advisors will be able to address e-mail inquiries within three (3) business days. However, as semester deadlines approach, students should expect to wait up to ten (10) business days for a response.

Questions?

GradFormat@asu.edu