

# Manual for Electronic Theses and Dissertations

## Introduction

Use this manual as a guide for setting up the format of your dissertation, thesis or document for electronic submission. Your dissertation 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 documents and theses. If format requirements for the document or thesis vary from those for the dissertation, specific requirements for each will be listed.

Take a look at [Current Research @](#): to browse dissertations and theses accepted at the University of Arizona.

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

Electronic Dissertation and Thesis, find samples and templates at <http://grad.arizona.edu/degrecert/samples-templates>

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## General Format Requirements

### Margins

Text, illustrations (figures) or tables must not appear outside the specified margins. Specific margin requirements are listed in [ORDER OF SECTIONS](#) under each category. Page numbers are the only item which may appear outside the margin requirements.

### Page numbers

- The title page is page 1 of the thesis. 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.
- Page numbers must be placed at least 1 " below the top of the sheet, and 1" from the right edge.
- The numbers must be at least 1/4" above the first line of text.
- Do not use page headers.
- Do not use the phrase, 'Page xx'; just use the numeral.

### Chapter Titles

- A new chapter must always begin on a new page. The chapter title should be in all capitals and centered, and should match the font size, type that you used in the Table of Contents when you listed it.

### 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 reduce 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 restricted to very small segments of the text and to infrequent occurrences.

### Font Sizes

12-point or 14-point for proportional fonts; 10 or 12 for non-proportional fonts. Once you choose a font size, you should use that font size throughout your document. Changing font sizes is not aesthetically appealing, (the exception to the font size rule is data imported from other sources. It is acceptable to keep data imported from other sources in the native font size).

### Scanned Documents

Scanned documents must meet all requirements for margins, page numbers, and readability.

## Order of Sections and Specifications

1. Title Page
  - *Required*
  - Margins:
    - Top 2.5"
    - Bottom 1.5"
    - Left 1.5"
    - Right 1"
  
2. Final Examining Committee Approval Page
  - *Required for dissertations and music documents, not for theses. The approval form for the thesis is included in the Statement by Author (see item 3 below).*
  - Copy and paste this document into your dissertation file.
  
  - Type in ONLY names of those in attendance at your defense.
  
  - After you have done that, please print out two (2) copies of the approval page; take them to your dissertation defense, and have both of them signed by each committee member who attended your defense.
  
  - Then please bring these two original signed copies to the Degree Certification Office, Administration 316, at the time you submit your electronic dissertation.
  
  - These forms will be kept on permanent file in the Graduate Degree Certification Office.
  
3. Statement by Author
  - *Required*
  - The heading must be centered
  - Margins:
    - Top 2.5"
    - Bottom 1"
    - Left 1.5"
    - Right 1"
  - Spacing: Single
  - Doctoral students type your name where it says 'signed' and copy this text into a separate page in your document. For security reasons, please do not submit this document electronically with a facsimile of your signature.
  - Master's students type your name where it says 'signed' and insert this page into your document. For security reasons, please do not submit the electronic version of this document with your signature. Additionally, if you are a Master's student,

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you should print out two hard copies of this page, sign your name on each copy and obtain your Major Advisor's signature on each copy. Then you should turn the two copies in to your degree auditor at Administration 316 at the time you submit your thesis electronically.

- Doctor of Musical Arts students, you must substitute the word 'document' for 'dissertation'.
- The Statement by Author cannot be changed or reworded. It must match the template exactly.

#### 4. Acknowledgements

- Optional
- Margins:
  - Top 1.5"
  - Bottom 1"
  - Left 1.5"
  - Right 1"
- The heading must be centered
- Margins: Same as Body
- Spacing: Maybe single spaced
- Note: One page maximum

#### 5. Dedication

- Optional
- Margins:
  - Top 1.5"
  - Bottom 1"
  - Left 1.5"
  - Right 1"
- The heading must be centered
- Margins: Same as Body
- Spacing: Must be double spaced
- Note: One page maximum

#### 6. Table of Contents

- *Required*
- The heading must be centered
- Margins:
  - Top 1.5"
  - Bottom 1"
  - Left 1.5"
  - Right 1"

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- The Table of Contents should not have itself listed on the Table of Contents. Also, anything that comes BEFORE the Table of Contents in your document should not be listed on the Table of Contents. For example, in most cases the first thing on the Table of Contents will be the Abstract, unless you have a List of Tables/Illustrations. In that case, the List of Tables/Illustrations will be the first item on your Table of Contents. The heading must be centered.
- Include the heading TABLE OF CONTENTS at the top of the first page of this section, and TABLE OF CONTENTS – *Continued* on each continuation page.
  - You must include dot leaders ‘.....’ from headings to page numbers.
  - Indent each level of subheadings 4 spaces from the level above.
  - Headings in the Table of Contents must exactly match the headings used in the body, and should be typographically the same (e.g., type font and style, capitalization).
  - Use all capital letters for major headings. (Subheadings must be upper and lower case.)
  - Each Appendix must have its own letter designation and title. Appendices are major divisions. The title appears in caps on the left margin at the same level of importance as chapter headings.
  - Chapter numbering. You may number your chapters with either Arabic or Roman numerals.
  - Subheading numbers. If chapters are numbered, you may also number subheadings.
7. List of Tables, Illustrations, Figures
- *Required* if document contains tables, illustrations, figures, etc.
  - Must be on separate pages
  - The heading must be centered
  - Margins:
    - Top 1.5"
    - Bottom 1"
    - Left 1.5"
    - Right 1"
    - These lists, which resemble the Table of Contents, are required if your dissertation contains illustrations, figures, graphs or tables. Include a List of Illustrations (or List of Figures) for figures, maps and drawings. Include a List of Tables for graphs and tables. Illustrations or tables which appear in the appendices only may or may not be included with the List of Illustrations (or List of Figures) or the List of Tables.
    - Material in the List of Illustrations is numbered in sequence, Figure 1, Figure 2, etc. You may construct this sequence as you wish, e.g., Figure 1.1, 1.2, 2.1, 2.2.... Use LIST OF ILLUSTRATIONS as the title for the first page and LIST OF ILLUSTRATIONS – *Continued* for subsequent pages. You may use LIST OF FIGURES instead of LIST OF ILLUSTRATIONS if your department prefers.
    - Material in the List of Tables should be given its own separate sequence of numbers, Table 1, Table 2, etc. You may also construct this sequence as

you wish. Use LIST OF TABLES as the title for the first page and LIST OF TABLES - *Continued* for subsequent pages.

## 8. Abstract

- *Required*
- The heading must be centered
- *Abstracts are limited to 350 words for a dissertation or document; and 150 words for a Master's thesis. Anything over that will be truncated.*
- The heading must be centered
- Margins:
  - Top 1.5"
  - Bottom 1"
  - Left 1.5"
  - Right 1"
- Spacing: Double spaced
- Note: An extra copy of the Abstract must be pasted or typed during the submission process. The text remains the same for both versions.

## 9. Body

- *Required*
- The heading must be centered
- Margins:
  - Top 1.5"
  - Bottom 1"
  - Left 1.5"
  - Right 1"
- Spacing: Double, except for long quotations, footnotes, table and illustration captions
- Note: Begin each major section on a new page. Margin requirements apply to every page of the dissertation unless otherwise specified in this manual. See [APPENDIX A, INCLUSION OF PUBLISHED PAPERS OR MANUSCRIPTS FOR PUBLICATION](#), if your department allows this option.

## 10. Appendices

- Optional
- The heading must be centered
- Margins:
  - Top 1.5"
  - Bottom 1"
  - Left 1.5"
  - Right 1"
- Spacing: Depends on nature of Appendix material
- Note: Each Appendix must begin on a new page.

- Each Appendix must have its own **letter** designation and title.
11. References
- *Required if citations are used*
  - The heading must be centered
  - Margins:
    - Top 1.5"
    - Bottom 1"
    - Left 1.5"
    - Right 1"
  - Spacing: Citations single spaced; double space between citations
  - Note: Use your department's preferred citation style; consult with your advisor if more than one style is acceptable. Title this section REFERENCES or WORKS CITED; do *not* use the word, Bibliography or any other heading title.

## Appendix A

### Dissertation/Thesis Format Option for Inclusion of Published Papers

At the option of the student and the program of study committee, an alternate format permitting inclusion of papers published or accepted for publication in scholarly journals may be used.

The decision to allow the inclusion of previously published or submitted work in a dissertation or thesis is left to the candidate's degree-granting unit. In order to utilize the format each degree granting unit must have on file in the Graduate College a statement of policies with regard to items listed in Appendix A of this document.

The alternate format for the dissertation or thesis is based on the philosophy developed by the Council of Graduate Schools: The published 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.

#### Order of Sections for Published Papers Format

Published papers should be appended. However, in order to provide coherency, the body of the dissertation or thesis must include a summary of the student's contribution and a summary of the research.

*Note that all margins, pagination and restrictions described earlier in the Manual for Dissertation and Thesis formatting applies.*

1. Title Page
2. Signature Page (dissertation only)
3. Statement by Author
4. Acknowledgments
5. Dedication
6. Table of Contents
7. List of Illustrations (from Introduction & Present Study)
8. List of Tables (from Introduction & Present Study)
9. Abstract
10. Introduction
  - An introduction that describes the unique contribution of the student's work to the field of study. That uniqueness should be described via the following subsections to extent they are appropriate.
    - Explanation of the problem and its context
    - a review of the literature
    - explanation of dissertation/thesis format
      - papers where doctoral research efforts are part of a larger collaborative project. Students must be able to identify one

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aspect of that project as their 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.

#### 11. Present Study

- A chapter labeled Present Study: that summarizes the methods, results and conclusions of the research. The chapter should begin with a statement such as: The methods, results, and conclusions of this study are presented in the paper appended to this dissertation/thesis. The following is a summary of the most important findings in this document.

#### 12. References

- References for the two chapters described above. References should follow the 'Present Study' chapter.

#### 13. Appendices (Each Manuscript is a separate appendix labeled A, B, C., etc.)

- Two types of appendices are appropriate:
  - Published Paper
  - Supplemental Material
  - Each paper in the form of a reprint
    - The statement of permission for use of copyrighted material must be placed immediately before the reprint.
    - The title page of the journal in which the article appeared should precede the statement of permission.
    - Reprints must be numbered in sequence.
    - Supplemental materials that are resources to the methods and results. These most often include data tables, graphs, and maps.

## 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.

## Requirements for Contemporaneous Enrollment and Research

1. The research that is described in the published papers that are 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.

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## Appendix B

### 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 departmental graduate coordinator 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.

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 University Microfilms Incorporated and that the copyright owners are aware that UMI may sell, on demand, single copies of the dissertation, thesis or document, including the copyrighted materials, for scholarly purposes. 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 filmed.

It is polite and good practice to obtain permission to use noncopyrighted 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.

## Appendix C

### Human/Animal Subjects Approval

Research involving human subjects or live vertebrate animals requires permission from the relevant University committee. Consult your research director and the [Human Subjects Office](#) for details. Their telephone number is (520) 626-6721. You must have Human Subjects approval in your own name; your project is not covered under your director's approval.

Research activities involving the use of human subjects require the review and approval of the University Human Subjects Committee. A copy of the Human Subjects approval letter must be in the student's file in the Graduate College Degree Certification Office.

Research involving any live vertebrate animals must be approved by the Institutional Animal Care and Use Committee (IACUC) - The Animal Research Protocol Review form must be completed by the student/instructor and submitted to the protocol office for review and approval. Contact [University Animal Care](#) for instructions, forms and protocol. Their telephone number is (520) 621-3454

## Appendix D

### Illustrations, Tables, Graphs

- Same margin requirements as Body
- Place the top of a horizontally-oriented page on the left; the page number should appear in the normal position (the upper right corner of the rotated sheet)
- Printed page numbers are required

If the caption is so long that it will not fit on the page with the illustration or table, place it on its own numbered page immediately preceding the page it describes.

## Appendix E

### Oversized Materials

Reduce oversized pages, such as maps and pictures, to 8.5 by 11 inches without sacrificing legibility.

## Appendix F

### Photographs

Photographs should be high quality (600 dpi).

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