

UNIVERSITY OF KANSAS
Office of Graduate Studies

Dissertation Formatting Guidelines for Doctoral Degree Candidates

July 19, 2016

This revision of guidelines supersedes prior instructions for formatting dissertations. Do not use copies on file in departments and libraries as guides for formatting your dissertation.

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1 General Guidelines for Preparing and Submitting a Dissertation

The dissertation is to be in its final draft form at the time of the final oral examination. The dissertation is a final document, not a paper for submission to a journal. The dissertation is to be a coherent scholarly work, not a collage of separate, distinct pieces. Its unity of theme and treatment may still accommodate several subtopics by demonstrating their relationship and interactions.

Formats required by publishers for book and journal items are usually not satisfactory for dissertations. Dissertations that are not formatted in accordance with the instructions provided in this document may be rejected. Before using guidelines developed for book or journal publication, students must verify that they are acceptable to the student’s department *and* to the Office of Graduate Studies.

Students are required by University policy and by ProQuest policy to ascertain that use of all copyright-protected materials either falls within the Fair-Use Statutes of U.S. Copyright Law or are reproduced with the permission of the owner. For further guidance, please see:

- KU Libraries’ LibGuide regarding Intellectual Property
<http://guides.lib.ku.edu/copyright>
- K. D. Crews, *Copyright Law and Graduate Research*
http://media2.proquest.com/documents/copyright_dissthesis_ownership.pdf

After a student passes the final oral examination and makes any changes to the dissertation required by the examination committee, the student should submit the dissertation, *in PDF format*, electronically to ProQuest. The student should submit the dissertation on or before the date specified by the student’s graduate division and by the Office of Graduate Studies.¹

¹At the KU Medical Center, the graduate division is the Office of Graduate Studies. On the Lawrence campus, the graduate division is the student’s school or the College.

Students may submit supplementary materials in formats other than PDF (see Publication Requirement: Submitting a Dissertation). Students are responsible for submitting any bound copies that may be required by their departments and/or dissertation committees. The following vendors offer binding services appropriate to dissertations:

- ProQuest
- Acme Bookbinding
- Heckman Binding, Inc.
- GradWorks Online
- Jayhawk Ink (softcover only)

Please see <http://graduate.ku.edu/~etd/binding/> for further information.

1.1 A Note about Software

Students may use any software they choose to write their dissertations, as long as the final product is a PDF file that meets the formatting requirements laid out in this document. KU offers support and instruction for two of the most commonly used. Please see Appendix A: Software for a directory of these support and instructional services available at KU.

2 Formatting a Dissertation

In consultation with their committee chairs and dissertation committees, students should identify the style manual they will follow.² Text pages, bibliographies, footnotes, and appendices must all comply with the chosen style manual.

2.1 Title Page

There is a required format for the Title Page.

- The names of all committee members must appear on the Title Page of the manuscript. A student's supervisor must be designated on the Title Page as Chair.
 - In the case of joint supervision, students on the Lawrence campus may elect whether to indicate a single Chair, two Co-Chairs, or a Chair and Co-Chair on the Title Page.
 - Jointly-supervised students at the KU Medical Center must indicate both Co-Chairs on the Title Page.
- The date defended must appear on the Title Page.

²Typically, a student's advisor serves as committee chair.

- The Title Page included with the electronic submission **must not** be signed. Students must submit the signed copy of the Title Page, bearing signatures of all committee members, to their schools in hard copy.
- No page numbers should appear on the Title Page.
- The Title Page may, at the student's discretion, include previous academic degrees awarded and an indication of copyright.
- Students should refer to Appendix B: Sample Title Page: Lawrence Campus and Appendix C: Sample Title Page: KU Medical Center for examples of the required formatting.

2.2 Acceptance Page

There is a required format for the Acceptance Page. The Acceptance Page should immediately follow the Title Page.

- The name of the committee chair must appear on the Acceptance Page of the manuscript. This indicates that the chair has reviewed and approved the final version of the dissertation.
 - Lawrence-campus students with joint supervisors may choose to list a single Chair, two Co-Chairs, or a Chair and Co-Chair on the Acceptance page.
 - If a student on the Medical Center campus has been jointly supervised, both supervisors should be designated as Co-Chair on the Acceptance Page.
 - When two Co-Chairs are listed on the Acceptance Page, the student must obtain both signatures.
- The names of the other committee members may or may not appear on the Acceptance page, at the student's discretion.
- The date approved must appear on the Acceptance Page.
- The Acceptance Page included with the electronic submission **must not** be signed. Students must submit the signed copy of the Acceptance Page to their schools in hard copy.
- The Acceptance Page must be numbered ii (see 2.9 Pages: Size, Orientation, and Pagination).
- Students should refer to Appendix D: Sample Acceptance Page for an example of the required formatting.

2.3 Abstract

An Abstract is required. It should follow the Acceptance Page.

- There is no word limit on the Abstract included with the dissertation, but some restrictions do apply.
 - The full Abstract will appear within the published manuscript regardless of length.
 - The full Abstract will appear in electronic indices, regardless of length.
 - ProQuest will automatically truncate Abstracts at 350 words (for doctoral dissertations) when they appear in printed indices.
- All dissertations must include an English-language version of the Abstract. If the dissertation is written in a language other than English, students may also include an Abstract in that language.
- The Abstract must be numbered iii (see 2.9 Pages: Size, Orientation, and Pagination).

2.4 Page Order

The components of a dissertation must appear in the following order. Components labeled “optional” below are not required to appear, but when they appear they must be included in this order. Dissertations must not include other materials, such as copies of journal articles or the student’s curriculum vitae.

- Title Page³
- Acceptance Page
- Abstract
- Acknowledgements (Optional)
- Table of Contents
- Dissertation
- Appendices (Optional) and References⁴

³The Title Page and the Acceptance Page submitted electronically **must not** include signatures. Copies included with the electronic submission should contain only the typed names of committee members.

⁴The order in which these appear varies by discipline: in some disciplines, the appendices follow the references and in others the references follow the appendices. Students should consult and follow their disciplinary style guide.

2.5 Font

Students should use the same font size (11- or 12-point) and style (typically Times New Roman) throughout the dissertation, including labels and references. Tables, captions, and footnotes should use the same font style but may be smaller in size (usually 10-point). Font sizes smaller than 10-point tend to be difficult to read in print and PDF formats. Chapter and section headings may be bold and no more than 2 points larger than the text size. Non-standard typefaces, such as script, are generally not acceptable except for commonly-used symbols. The Office of Graduate Studies recommends that students get their font choice approved by their department and their graduate division before the dissertation defense.⁵

All fonts used in a dissertation must be embedded in the PDF file submitted to ProQuest. This ensures that the document will be readable on all computers (see *Converting a Dissertation to PDF*).

2.6 Line Spacing

Normally, dissertations use double-spaced formatting. Single-spaced formatting is acceptable in the table of contents, footnotes, endnotes, charts, graphs, tables, block quotations, captions, glossary, appendices, and bibliography. Students may use single- or one-and-a-half-spacing for the body of the text with the prior written approval of their dissertation committee and their graduate division.

2.7 Margins

Each page must have at least one-inch margins on all sides. Margins may be wider, but not narrower, than this standard and must be consistent throughout the document. All pages (except copyrighted materials included in appendices) must meet these requirements.

2.8 Headers and Footers

Dissertations should not contain page headers and the only thing that should appear in a page footer is the page number. Even dissertations prepared using the APA style guide should **not** include the “Running Head.”

2.9 Pages: Size, Orientation, and Pagination

All pages must be 8.5 x 11 inches in size and must be oriented so that they are taller than they are wide. The PDF file must not contain any pages oriented with the long edge running horizontally. In other words, all pages in the PDF file must be portrait-oriented and none may be landscape-oriented.

⁵At the KU Medical Center, the graduate division is the Office of Graduate Studies. On the Lawrence campus, the graduate division is the student’s school or the College.

Page numbers should appear 0.75 inches down from the top of the page or 0.75 inches up from the bottom of the page. They should be consecutive and appear in the same location on every page, including appendices, tables, figures, photographs, maps, charts, etc. Any blank, numbered pages which appear within the dissertation must contain the following statement: “This page intentionally left blank.”

The front matter (Acceptance Page, Abstract, Acknowledgements, and Table of Contents) should be numbered using small Roman numerals (e.g., ii) while the main matter (the body of the dissertation text, Appendices, and References) should be numbered using Arabic numerals (e.g., 2). The Title Page is the **only** page not numbered. Although it does not bear a number, the Title Page is considered page i, using the small Roman numerals allocated to the front matter. The Acceptance Page, which directly follows the Title Page, should bear the number ii.

2.10 Images

Images must be clear and of high quality. Supplementary materials, in a variety of file formats, may be uploaded with the dissertation PDF.

2.11 Illustrations

Charts, graphs, diagrams, maps, figures, musical scores, photographs, and other pictorial components must be clear and pertinent to the subject matter of the dissertation. Symbols or labels may be used as identifiers in graphs or charts, either in addition to or instead of using colors as identifiers. Lettering and symbols, after reduction, should generally be no smaller than 10-point type. Generally, table titles appear above the tables and figure titles appear below the figures but, in any case, the placement should be consistent throughout the dissertation. Legends or keys for illustrative material may appear on the facing page if the page with the illustration has space limitations.

Sometimes, images, charts, graphs, and other visual components may be wider than they are tall. To improve legibility, these elements may be oriented so the long edge (i.e., the width) of the element runs parallel to the long edge of the page. However, the page must remain vertically oriented, making the chart, image, or other element appear sideways in the final PDF document. In these cases, the title of the table or illustration should be positioned on the long edge and the page number should appear on the page in the location consistent with the rest of the dissertation.

3 Converting a Dissertation to PDF

Portable Document Format (PDF) is a global standard for sharing documents that any user will be able to see and read. It ensures that all users, regardless of their computer’s platform,

language settings, or other details, will see exactly the document that the author intended them to see. The dissertation author controls layout, formatting, fonts, pagination, and all other aspects of the dissertation before finalizing it in PDF format, so the appearance of the document will never change. PDF reader software is usually free and widely accessible, so any user will be able to read the dissertation. PDF also makes it easier to maintain archived documents, as in the ProQuest and KU ScholarWorks databases, by helping to ensure that those documents can continue to be read years from now despite changes in the software used to create them. See Appendix A: Software for more specific discussion of creating PDF files.

All PDF files uploaded to ProQuest **must** have all fonts embedded. Not all PDF creation software automatically embeds fonts, but embedded fonts are a requirement for submission. Please see Appendix A.3: Creating PDF Files for more information.

4 Publication Requirement: Submitting a Dissertation

Graduate Studies policy requires that all doctoral dissertations must be published before a candidate is awarded the degree. To satisfy this requirement, KU defines publication as submission of the electronic dissertation to two online repositories which archive and distribute the research work of graduate students. These repositories are ProQuest and KU ScholarWorks. Students will submit their document once through the ProQuest portal which, once the dissertation is approved, will then deliver a final copy to each repository. In addition to submitting the entire dissertation electronically, students will submit a few select pages, in hard copy, to their graduate division as proof that they have completed all requirements for graduation.⁶ Students should consult with the graduate support staff in their department or their graduate division for more information about what to submit in hard copy.

In order to qualify for their doctoral degrees, students must arrange for publication of their dissertations through ProQuest Dissertations Publishing.⁷ Publication must occur on or before the date specified by the student's graduate division and by the Office of Graduate Studies. Students must submit their dissertations electronically through the ProQuest web site at <http://www.etdadmin.com/cgi-bin/school?siteId=73>. Before logging in, students should ensure that they have the following items available.

- Finished dissertation in PDF format, including **unsigned** Title and Acceptance Pages⁸

⁶At the KU Medical Center, the graduate division is the Office of Graduate Studies. On the Lawrence campus, the graduate division is the student's school or the College.

⁷Submission through the ProQuest Electronic Thesis and Dissertation (ETD) Administrator sends copies to both repositories and satisfies the KU publication requirement.

⁸Title and Acceptance Pages uploaded to ProQuest should include the typed names of the committee chair or co-chairs and the committee members, but **no** signatures.

- Abstract explaining the problem the dissertation addresses, the methods used in the investigations, the results obtained, and the conclusions reached
- Dissertation Title
- Year degree awarded
- Year manuscript completed
- Type of degree (e.g., Ph.D.)
- Department, Discipline, or Graduate Degree Program
- Names of committee chair(s) and committee members
- Optional: Visa, Mastercard, or American Express credit or debit card (if asking ProQuest to file for copyright on student's behalf)

The Office of Graduate Studies will assign each uploaded dissertation to an administrator in the appropriate graduate division.⁹ The administrator will review it for correct formatting and completeness. Students will be notified by email when their dissertations have been accepted for submission to ProQuest.

5 Copyright Option

For works published on or after March 1, 1989, use of the copyright notice is optional. If a student chooses to include the copyright notice, it must appear on the title page with the year, date, and the student's full legal name below. For a dissertation completed in 2010 by John Richard Doe, the notice would appear as one of the following:

© 2010
John Richard Doe

C 2010
John Richard Doe

Copyright 2010
John Richard Doe

The copyright notice and date may be inserted directly above the author's name. If placed elsewhere on the Title Page the name must appear below the notice as shown, even if the name appears twice on the page. (See sample Title Pages exercising the copyright option in Appendix B: Sample Title Page: Lawrence Campus and Appendix C: Sample Title Page: KU Medical Center.)

⁹At the KU Medical Center, the graduate division is the Office of Graduate Studies. On the Lawrence campus, the graduate division is the student's school or the College.

6 Using the Samples in the Appendices

The appendices to this document contain several samples to help students develop their Title and Acceptance Pages. Please note that these templates should be used as supplementary examples and not as replacements for the instructions outlined in this document. These samples show how to integrate a wide variety of information within KU's required dissertation format. Not all of these components are required, but many are. Please refer to the instructional material above for guidance about which components are required and which are optional.

Customizable fields and components appear in these samples in **red Courier font**, while the required, standard language appears in black Times New Roman font. Students should customize all of the **red Courier font** to reflect their own dissertation title, completion date, committee members, and previous accomplishments. Please note that the red text appears as a guide only: students should ensure that all of the text appearing on their Title and Acceptance Pages is black and uses the same font as the rest of the dissertation document.

Appendices

A Software

A.1 Microsoft Word

Microsoft Word is a word processing software. It is the software most commonly used to prepare theses at KU.

- Staff at the KU Libraries maintain instructional LibGuides to assist scholars with the technicalities of formatting a dissertation in MS Word:
<http://guides.lib.ku.edu/etd>
- Staff at the KU Libraries maintain editable MS Word templates for the Title Page and Acceptance Pages.
http://guides.lib.ku.edu/etd/ETD_Title_Page

A.2 L^AT_EX

L^AT_EX is a powerful typesetting software that gives scholars a greater degree of control over the aesthetics and layout of their document. It is the *de facto* standard for preparing technical and scientific documents.

- Many L^AT_EX editors are available for free.
- The Department of Mathematics at KU maintains a page with links to more information about L^AT_EX, links to instructional materials for using the software, and links to download the software: <https://www.math.ku.edu/computing-help/docs/latex/>
- Faculty at KU's Center for Research Methods and Data Analysis (CRMDA) maintain an editable thesis and dissertation template in L^AT_EX, available at:
<https://graduate.ku.edu/etd-formatting-and-working-multimedia-files>
Click "L^AT_EX Users", then "Thesis and Dissertation Package for L^AT_EX Users".
- Faculty at CRMDA offer instructional classes and online guides to assist dissertation authors with using L^AT_EX. Search for workshop sessions through CRMDA or review the online materials here:
<http://graduate.ku.edu/etd-formatting-and-working-multimedia-files>

A.3 Creating PDF Files

Most word processing software allows users to print or export to PDF, making the conversion process very simple. Other types of software, like L^AT_EX, produce PDFs directly from the plain text source code. Alternatively, students may convert files to PDF using Adobe Acrobat XI, which is available to students at no cost in all centrally-managed public computer labs on KU's campus.¹⁰

Students **must** take care to **embed all fonts** in the PDF file before submission to ProQuest. Not all PDF creators automatically embed fonts, and some computers may not be able to open or read files without embedded fonts. Students should consult their software documentation or the KU LibGuides for more information about how to embed fonts.

Students may find more information about producing PDF files and embedding fonts by following the links below:

- For more information about producing PDFs from MS Word:
http://guides.lib.ku.edu/etd/ETD_Convert_to_PDF
- For more information about embedding fonts with MS Word:
<http://guides.lib.ku.edu/c.php?g=95218&p=617881>
- For more information about Adobe Acrobat:
<https://technology.ku.edu/software/adobe-acrobat>

¹⁰KU students can also purchase Acrobat XI or a monthly subscription to Adobe Creative Cloud at a discounted rate.

B Sample Title Page: Lawrence Campus

Amusing Caption: Insightful Title

By

© 2016

Scholar McWitty

DPhil, Oxoniensis, 2015

M.D., Harvard University, 2014

B.Sc., Universidad Nacional Autónoma de México, 2013

Submitted to the graduate degree program in *Your Department (e.g., History)*
and the Graduate Faculty of the University of Kansas in partial fulfillment of the
requirements for the degree of *Doctor of Philosophy*.

Chair: *Chair Name*

Member 2 Name

Member 3 Name

Member 4 Name

Member 5 Name

Date Defended: *32 Nopevember 2016*

C Sample Title Page: KU Medical Center

Amusing Caption: Insightful Title

By

© 2016

Scholar McWitty

DPhil, Oxoniensis, 2015

M.D., Harvard University, 2014

B.Sc., Universidad Nacional Autónoma de México, 2013

Submitted to the graduate degree program in *Your Discipline (e.g., Dietetics and Nutrition)* and the Graduate Faculty of the University of Kansas in partial fulfillment of the requirements for the degree of Doctor of Philosophy.

Co-Chair: Co-Chair Name

Co-Chair: Co-Chair Name

Member 3 Name

Member 4 Name

Member 5 Name

Date Defended: 32 Nopevember 2016

D Sample Acceptance Page

The dissertation committee for `Scholar McWitty`
certifies that this is the approved version of the following dissertation:

`Amusing Caption: Insightful Title`

Co-Chair: `Co-Chair Name`

Co-Chair: `Co-Chair Name`

Date Approved: `32 Nopevember 2016`