

UNIVERSITY OF KANSAS
Office of Research and Graduate Studies

Dissertation Formatting Guidelines for Doctoral Degree Candidates
(rev. 2/19/09)

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

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I. General Guidelines for Preparing and Submitting Your 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 relationships and interactions. (Formats required by publishers for book and journal items are usually not satisfactory for dissertations and use of them may result in your dissertation being rejected. Before using guidelines of this kind be sure they are acceptable to your department and the Office of Graduate Studies.)

Students are required by University policy and by ProQuest/UMI 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. See KU's Information Services regarding Intellectual Property (<http://www.copyright.ku.edu/>) and K. D. Crews, *Copyright Law and Graduate Research* (<http://www.umi.com/en-US/products/dissertations/copyright/>) for further guidance.

After the final oral examination has been passed, and after any changes required by the examination committee have been made in the dissertation, the dissertation should be submitted electronically **in PDF format** to ProQuest/UMI on or before the date specified by your Graduate Division and the Office of Graduate Studies. Supplementary materials may be added in other formats, see Section IV: Publication Requirement. You are responsible for submitting any bound copies that may be required by your department and/or dissertation committee. Binding for personal or departmental copies may be requested through Acme Bookbinding or Heckman Bindery, Inc., see <http://www.graduate.ku.edu/~etd/binding/> for further information.

II. Instructions For Formatting Your Dissertation

In consultation with your advisor and dissertation committee, identify the style manual that you will follow. Text pages, bibliography, footnotes, and appendices should follow the style manual chosen. You may also contact Library Instructional Services at training@ku.edu.

GENERAL STYLE REQUIREMENTS

TITLE PAGE: Follow the *Title Page Format*, see Examples A or B. All members of your committee must sign this page. NOTE: No page numbers should appear on the Title Page.

ACCEPTANCE PAGE: Follow the *Acceptance Page Format*, see Example C. Your advisor or co-advisors must sign this page verifying their review and approval of the final version of your dissertation. Other committee signatures are optional on this page. NOTE: There should be a page number on the Acceptance Page.

FONT: The body of the dissertation should be in 11 or 12-point type. The same font style and size should be used throughout the dissertation for text, captions, labels and references. Tables, captions and footnotes should use the same font style but may be smaller in size; however, font sizes smaller than 10-point type tend to be difficult to read in print and PDF format. Chapter and section headings may be bolded and no more than 2 points larger than the text size. Times New Roman font is widely accepted. Non-standard typefaces, such as script, are generally not acceptable except for commonly used symbols. It is recommended that approval of the font be obtained in advance from your dissertation committee and your graduate division.

All fonts used in a dissertation must be embedded in the PDF files submitted to ProQuest/UMI. This ensures that the document will be readable on all computers, see Section III: Instructions For Converting Your Dissertation to PDF.

LINE SPACING: Normally dissertations are formatted double-spaced. Single-space or one-and-a-half space formatting for the body of your dissertation is accepted only with prior approval of your dissertation committee and graduate division. Single-space formatting may be used in the table of contents, footnotes, endnotes, charts, graphs, tables, quotations, captions, glossary, appendices and bibliography.

MARGINS: Each page must have at least a 1.5” left margin and at least 1.25” top, bottom and right margin. Margins may be wider, but not narrower, than these standards and must be consistent throughout the document. With the exception of copyrighted materials found within appendices, all pages must meet these requirements.

HEADERS/FOOTERS: Running headers and footers are not acceptable in your dissertation.

PAGE NUMBERS: Number the pages 0.75” down from the top or 0.75” up from the bottom. Page numbers should be consecutive and appear on every page, including appendices, tables, figures, photographs, maps, charts, etc. The title page is the **ONLY** page not numbered. Blank numbered pages included within the dissertation must have the following statement on each page: “Page left intentionally blank.” All pages in your dissertation must be 8.5”x11” portrait-oriented.

USING DIFFERENT PAGE NUMBERING STYLES WITHIN A SINGLE DOCUMENT IN MICROSOFT WORD: If you have not already done so, click the **Insert** menu to insert page numbers, click **Page Numbers . . .**, then choose the location and style of the numbers and click **OK**.

For a section break, put your cursor at the end of the “front matter” pages (the pages that need to be numbered i, ii,iii,etc.) and click **Insert**, choose **Break**, then choose either “Section Break: Continuous” or “Section Break: Next Page”. Choose **Continuous** if you already have page breaks set up where you want them to be; choose **Next Page** to start the next section at the top of the next page.

Click the **View** menu and choose **HEADER and FOOTER**. Scroll to the first section and click your cursor in the area where the page number is (either “Footer-Section 1-“ or “Header-Section 1-“ depending on whether the page numbers are at the bottom of the page or the top). On the Header and Footer toolbar, click the **Format Page Number** button (it looks like a hand pointing to a number sign), set the page numbering to lower Roman (i, ii, iii), and click **OK**. Also, you can click the **Page Setup** button (it looks like an open book), click the **Layout** tab, check the **Different First Page** checkbox, and click **OK**. This will leave the header and footer of the first (title) page blank, but still include it in the numbering, so the second page will be numbered “ii”.

Now you need to fix the numbering for the rest of the document. To do that, scroll to the second section and click your cursor in the area where the page number is (either “Footer-Section 2-“ or “Header-Section 2-“ depending on whether the page numbers are at the bottom of the page or the top). The header or footer will have a **Same as Previous** label above it. Click the “link to previous” button (it looks like two boxes, or pages, with a dashed arrow pointing from the right to the left page). This will make the **Same as Previous** label disappear for that header or footer allowing you to use a different page number style for this section.

Now you can click the **Format Page Number** button (the hand pointing to a number sign), set the page numbering to regular numbers (1,2,3), and also set the numbering to start at 1 (click the “Start at” radio button under Page Number Format, then choose or type 1 in the box). Then click **OK**.

The rest of the sections of your document following this one will still be set to “Same as previous”, with the page numbering set at “Continue from previous section.” If the page numbers need to restart at 1 for each section, go into the header or footer for each section, and set the page numbering to “Start at : 1.”

IMAGES: Images must be clear and of high quality.

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 in graphs or charts for identification rather than color. Lettering and symbols, after reduction, should generally be no smaller than 10-point type.

Table titles are generally found above the table and titles of figures are placed below but in any case the placement used should be followed consistently. If landscape-oriented formatted illustrations are used, the title of the table or title of the illustration should be positioned on the landscape edge. Use the instructions below to place landscape-oriented tables and illustrations in your portrait-oriented document. Page numbering should be placed on the page in the location

consistent with the rest of the dissertation. Legends or keys for illustrative material may be placed on the facing page if the page with the illustration has space limitations.

ROTATING LANDSCAPE-ORIENTED CONTENT TO FIT PORTRAIT-ORIENTED

PAGES: All pages in your dissertation must be 8.5" x 11" portrait-oriented. To place large tables and other items that are landscape-oriented, you must rotate those items ninety degrees counter-clockwise on the page.

ROTATING TABLES IN MICROSOFT WORD: Copy and paste all the landscape tables into a new, separate, working Word file (you can name the file dissertation_tables.doc, or something similar). It is OK to have landscape-oriented pages in this working file. Save this file in the same location as your dissertation (you'll want to keep it in case you need to make further changes to those tables, but you will NOT need to submit it with your dissertation).

If you have used section breaks to make landscape-oriented pages in your dissertation draft, remove them (remember, all pages in your final version should be portrait-oriented.)

Select one of the tables from your working file and copy it. Put your cursor in the dissertation Word document where you want to place that table. Click the Edit menu and choose **PASTE SPECIAL**. Choose **Picture** (either **Windows** or **Enhanced Metafile**). This will paste in the table as an image-picture, instead of as text in a table, allowing you to rotate it just as you would an image. Click the picture of the table to select it. Click the **Draw** menu (in the lower left corner of the Word window), choose **Rotate or Flip**, and rotate the picture of the table. (If the Drawing toolbar is not visible at the bottom of your Word window, click the **View** menu, choose **Toolbars**, and choose **Drawing**.)

NOTE: KEEP THE SEPARATE FILE with the tables in it, in case you have to make any last-minute tweaks or revisions. The images you just pasted into your dissertation are not editable.

III. Instructions For Converting Your Dissertation to PDF

Acrobat software is available in several public computing labs on the KU campus. For a listing, visit <http://www2.ku.edu/cgiwrap/workshops/train/index.php?SCREEN=labs/> and filter the lab list by software, "Acrobat". Acrobat is also available for sale through retail outlets.

CREATING A PDF USING ACROBAT 7: Open your dissertation file in the application in which you created it (Word, WordPerfect, etc.). Click the **File** menu, choose **Print**, and select **ADOBE PDF** as the printer. (If Adobe PDF is not on the list of available printers reinstall Acrobat 7.) In the Print dialog box, click **Properties**, click the **Adobe PDF Settings** tab, and choose **Standard** as the Default Settings, then click **OK**. Click **OK** in the Print dialog box. When prompted, type in the file name and choose where the PDF will be saved, and click **Save**.

For a quick visual tutorial of Acrobat 7, and a list of other tools you can use to create a PDF file, see <http://www.techdocs.ku.edu/docs/pdf/>. For more detailed instructions on using Acrobat 7 to create PDFs (including instructions on combining multiple files in a single PDF) see <http://www.etsadmin.com/cgi-bin/main/createpdf?siteId=73>. For assistance in creating PDFs, contact Instructional Services at (785)864-0410 or training@ku.edu.

NOTE: Why Use Portable Document Format (PDF)? PDF preserves the layout and formatting of your original document (including fonts, and special characters, like formulas) while allowing

anyone with the free Adobe Reader software to access your content. PDF also makes it easier to maintain archived documents, helping ensure that those documents can continue to be read years from now, despite changes in software used to create them.

IV. Publication Requirement: Instructions for Submitting your Dissertation

Before qualifying for a Doctoral Degree, you must arrange for publication of your dissertation through UMI Dissertation Publishing on or before the date specified by your Graduate Division and the Office of Graduate Studies. All dissertations must be submitted electronically through the ProQuest/UMI web site at <http://dissertations.umi.com/ku/>. Before logging in, you should know or have available:

- The finished dissertation in PDF form including the title and acceptance pages without signatures.
- Abstract of no more than 150 words explaining the problem with which the dissertation deals, the methods used in the investigations, the results obtained, and conclusions reached.
- Title of dissertation.
- Year degree awarded.
- Year manuscript completed.
- Type of degree.
- Department/Graduate degree program.
- Name of advisor.
- Your credit or debit card with a Visa, Mastercard, or American Express symbol

Your department or graduate division representative will review submitted theses for format and completeness. You will be notified by email when your dissertation has been accepted for submission to Proquest/UMI.

V. Copyright Option

If you intend to register copyright through Proquest/UMI, you should place a copyright notice on the title page with the year, date, and your full legal name below. For a dissertation completed in 1987 by John Richard Doe, the notice would appear as:

C1987
John Richard Doe

Or

Copyright 1987
John Richard Doe

The copyright notice and date may be inserted directly above the author's name. If placed elsewhere, even on the title page, the name must appear below the notice as shown, even if the name appears twice on the page, see Example B.

VI. Degree Requirements To Be Submitted To The University of Kansas

- *“Application for Degree” Form*

Submit an “Application for Degree” form on-line by the deadline set by the University Registrar’s Office. To file your “Application for Degree” form on-line, access Enroll & Pay, Learner Services at <https://sa.ku.edu/psp/saku/> (click Graduation Menu on the left or watch the tutorial at <http://www2.ku.edu/~sakut/tutorials/studentguardian.shtml>). If you have questions or experience problems, contact the University Registrar’s Office at (785) 864-4422. If you filed an application in an earlier semester but did not graduate, you must file a new form with correct, up-to-date information.

- *Title Page/ Acceptance Page*

A copy of the Title Page and Acceptance Page with original signatures on white, unlined paper must be submitted to your graduate division office.

- *Other Responsibilities*

Each candidate for a Doctoral Degree is responsible for:

- Seeing that the final examination for the degree has been scheduled and the result of the examination has been forwarded to your graduate division office.
- Checking with your department or program that all work for the degree is completed and those grades have been sent to the graduate division office.
- Submitting your dissertation electronically to UMI to fulfill the publishing requirement and pay the related fees to your graduate division office.
- Completion and submission of the “ETD Release Form” to your graduate division office. For more information regarding KU ScholarWorks go to <https://kuscholarworks.ku.edu/dspace/>.

<<EXAMPLE A: TITLE PAGE FORMAT>>

MARK TWAIN, NOVELIST

BY

Edward Jones

Submitted to the graduate degree program in English
and the Graduate Faculty of the University of Kansas
in partial fulfillment of the requirements for the degree of
Doctor of Philosophy.

Chairperson

Committee members*

_____*

_____*

_____*

_____*

Date defended: _____

<<# Please use full name as you normally use it on official documents.>>

<<* Use number of lines needed, one for each member of the committee.>>

<<There should be no page number on the Title Page.>>

<<EXAMPLE B: TITLE PAGE FORMAT FOR COPYRIGHT>>

MARK TWIN, NOVELIST

BY

C2006
John Richard Doe

Submitted to the graduate degree program in English and the
Graduate Faculty of the University of Kansas
in partial fulfillment of the requirements for the degree of
Doctor of Philosophy.

Chairperson*

Date Defended _____

<<# Please use full name as you normally use it on official documents.>>

<<* Use number of lines needed, one for each member of the committee.>>

<<There should be no page number on the Title Page.>>

<<**EXAMPLE C: ACCEPTANCE PAGE FORMAT**>>

The Dissertation Committee for Edward Jones certifies
that this is the approved version of the following dissertation:

MARK TWAIN, NOVELIST

Committee:

Chairperson*

Date approved: _____

**<<*Advisor (if applicable, co-advisor) original signature (s) are required. Other committee members' signatures are optional ONLY on the Acceptance Page.>>
<<There should be a page number on the Acceptance Page.>>**