

Electronic Thesis and Dissertation (ETD) Guidelines



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INTRODUCTION

Duquesne University requires graduate students who are writing a thesis or dissertation to publish an ETD—an electronic version of their thesis or dissertation—with the library in order to graduate. ETDs have been mandatory since July 1, 2003. In order to maintain a high standard of scholarly work at Duquesne University, the Electronic Thesis and Dissertation (ETD) Committee and the Graduate Council (GC) have developed these guidelines to help you prepare and submit your ETD.

A dissertation or thesis should reflect positively on you as a student, your committee, department, school, and university. Your research and its presentation are a responsibility shared by you, your thesis or dissertation director, and the committee. The candidate and committee are responsible for the dissertation or thesis in all aspects, including quality of presentation, correct spelling and punctuation, complete and accurate references, and coherent organization. The format must be consistent, logical, attractive, and meet the standards of Duquesne University, as presented in these guidelines.

The creation of an electronic thesis or dissertation has many benefits, including the immediate and worldwide exposure of research, an opportunity to learn some of the basic skills of scholarly publishing, and the provision of an electronic document for a personal website or an electronic CV.

CHAPTER 1

GETTING STARTED

The process of writing, editing, and submitting your ETD can be a lengthy one, so it is best to start early and make time allowances for revisions, additional materials required, and the submission process. If you would like to learn more about the ETD process or have questions about how it works, feel free to get in touch with the ETD Coordinator (library-etd@duq.edu) to ask about an instruction session or individual consultation.

1.1 Responsibilities

All theses and dissertations are created through a joint effort of graduate student and advisory committee, with the support of the ETD Coordinator. In order to prepare a worthwhile and properly formatted thesis or dissertation, there must be communication and interaction between these parties as the student's project progresses through all stages.

The Graduate Student's Responsibilities

The graduate student is responsible for the preparation, submission, and revision of the electronic thesis or dissertation. It is also up to the graduate student to ensure that all deadlines are met in order to be eligible for graduation. These responsibilities include the following:

1. Preparation of electronic thesis or dissertation based on ETD Guidelines and under the supervision of their chair and committee

2. Meeting all deadlines, including the application for graduation, ETD submission, and final revisions
3. Submitting all required paperwork, CD, and creating a ProQuest/UMI account, as well as paying all required fees
4. Obtaining all necessary copyright permission(s)
5. Consistently following a chosen citation style throughout the document
6. Quality and accuracy of text, illustrations, and data
7. Serious consideration of ETD Coordinator's suggested revisions and timely submission of revisions

The Advisory Committee's Responsibilities

The graduate student's chair and committee are responsible for the following aspects related to the electronic thesis or dissertation and related research:

1. Approval and review of the subject matter, methodology, and citation style
2. Approval of the organization and content of the dissertation or thesis
3. Review of and comment on various drafts of the dissertation or thesis related to (a) the quality of the data and content, (b) the editorial, linguistic, and bibliographic quality, and (c) the accuracy of the information presented
4. Evaluation of the thesis or dissertation as a standard for certifying that the student has fulfilled the requirements of their degree
5. Advice for the student and review of manuscripts in preparation for publication
6. Final approval of thesis or dissertation

The ETD Coordinator's Responsibilities

The ETD Coordinator is responsible for:

1. Providing counsel upon request of faculty, staff, or students about the requirements outlined in the ETD Guidelines related to the formatting and submission of electronic theses and dissertations
2. Reviewing the final version of the electronic thesis or dissertation to ensure that it has been prepared in conformity with ETD Guidelines and is ready for publishing

1.2 Timeline of ETD Process

During thesis or dissertation research phase:

1. Review ETD Guidelines and online guide:
<http://guides.library.duq.edu/etd>
2. Consider attending an ETD instruction session or scheduling an appointment with the ETD Coordinator (library-etd@duq.edu) if you have specific questions
3. Consider using the front matter template to ensure that all formatting guidelines (including correct page numbering conventions) are adhered to:
<http://guides.library.duq.edu/documentformatting>
4. Request and retain copyright permissions for the publication of your ETD

Beginning of semester you are submitting an ETD:

1. Print and review the 3 required ETD filing forms
2. Compare the formatting of your dissertation/thesis with the established ETD guidelines and make adjustments as needed
3. Acquire additional copyright permissions and fill out fair use checklists as necessary

One month before ETD submission deadline:

1. Acquire signatures for 3 required ETD filing forms (Approval Form, Formatting Checklist, and Submission Checklist)
2. After defense and final revisions, create re-writable CD containing the formatted Word or LaTeX document and a PDF version of your approved thesis or dissertation ***NOTE:** You can upload copies of your copyright permissions and fair use checklists onto this CD, or make print copies available for the ETD Coordinator to file
3. Create ProQuest/UMI account and submit final PDF version of dissertation. ***NOTE:** See Section 1.6 below for special instructions for highly confidential ETDs
4. Bring all materials to school representative for signature and delivery to ETD Coordinator by deadline ***NOTE:** Be sure that the ETD title on your signed signature page matches the title on the final PDF version as well as the UMI/ProQuest account. *When entering the title into your UMI/ProQuest account, do not use all caps*

Once ETD is submitted:

1. Expect to be contacted within 1 to 2 weeks by the ETD Coordinator about any final revisions that must be made
2. Review ETD Coordinator's suggested revisions and edit as needed
3. Submit final edited version to ETD Coordinator for final approval

1.3 Filing Deadlines

The deadline for submission of all ETD materials in final form is **4 weeks before the date of graduation**. The exact date for each semester is published on the Academic Calendar: (<http://www.duq.edu/academics/academic-calendar>). You are encouraged to file as early as possible. Signed paperwork can be dropped off in the library for the ETD Coordinator, or can be left with student's school representative to be delivered to the library. It is the student's responsibility to ensure that all signatures are in place and that they have submitted all final documents and corrections for the manuscript by the deadline.

1.4 Copyright

Copyright is legal protection automatically given to people who have created tangible works such as a thesis or dissertation. Copyright protection applies to any original work in fixed form. A work does not have to be published, registered, or display the copyright symbol, ©, to be copyrighted. Works published in the United States after 1922 are likely to be protected by copyright.

Duquesne's copyright policy (<http://guides.library.duq.edu/copyright>) provides information, guidelines, and resources for addressing issues related to copyright. All theses and dissertations must comply with this policy in order to be approved.

Writing a thesis or dissertation may be your first opportunity to become familiar with the requirements of copyright regulations. You will need to be aware of your own intellectual property rights in your work in order to make choices about how to restrict or share your ETD, and whether it is advantageous to register your copyright.

It is also essential to understand the rights of others whose protected work you incorporate into your ETD through the use of items such as images, survey instruments, figures, tables, charts, and graphs. In many cases citing these protected items, while necessary, is not sufficient. Often you will need to obtain permission to use part of a work that is not your own original work, and sometimes you will need to pay a fee to use it.

You may need guidance on requesting permission to use protected works within your ETD, and how to determine whether the concept of *fair use* for educational purposes applies. Duquesne has developed a checklist you can use to determine whether your use meets the criteria for fair use based on the factors laid out in [section 107](#) of the Copyright law. These factors are the purpose, amount, nature and effect of the use. Duquesne's Fair Use Checklist is available on the Academic Affairs Policies & Procedures page:

<http://www.duq.edu/about/administration/academic-affairs/policies-and-procedures>

The ETD Coordinator can assist you with questions about copyright. In addition, there are a number of online resources available to you on Duquesne's ETD website: <http://guides.library.duq.edu/etd>.

Regardless of copyright status or permissions received, all works must be properly acknowledged. You must submit documentation of required permissions and submit copies of checklists used to make determinations of fair use (if applicable) before final approval of your ETD.

1.5 Research Approvals (required if applicable)

The candidate must obtain the required institutional approvals, where appropriate, i.e., if the research involves human subjects, animals, radiation, recombinant DNA, biological hazards, national security, or environmental safety. Furthermore, the

dissertation or thesis cannot contain information that would compromise assurances of confidentiality.

Students desiring to utilize surveys, experiments, or other instruments involving human subjects must have prior approval from the University's Institutional Review Board (IRB) for the Protection of Human Subjects. Contact the IRB Chair for the appropriate approval forms. More information is available at <http://www.duq.edu/research/office-of-research/responsible-conduct-of-research/human-subjects>.

All research conducted or sponsored by Duquesne University that involves live vertebrate animals must be approved by the Institutional Animal Care and Use Committee (IACUC) before research begins. For additional information contact the Committee Chair or the Manager of the Animal Care Facility. Protocol application forms regarding vertebrate animal research can be obtained in electronic format. More information is available at <http://www.duq.edu/research/office-of-research/responsible-conduct-of-research/animal-care>.

All research at Duquesne University involving radioactive materials (RAM) must be approved in advance by the Radiation Safety Officer (RSO). The use of RAM is regulated by the Nuclear Regulatory Commission (NRC). Work with RAM requires a two-hour training and dosimetry badge usage. Additional information is available from the EH&S office or the Radiation Safety Office. For more information see <http://www.duq.edu/about/departments-and-offices/management-and-business/environmental-health-and-safety>.

All research conducted at Duquesne University that involves recombinant DNA molecules that are covered by federal regulations must be approved by the Institutional Biosafety Committee (IBSC) using the Biosafety Committee registration document, before research begins. Information, including a determination as to whether a specific project is covered or exempt from federal regulations, is available from the Committee Chair. For more information see <http://www.duq.edu/research/office-of-research/safety-procedures>.

Duquesne University places highest emphasis on protecting the environment and the health and safety of all persons who work in or visit our facilities. Therefore, Duquesne University requires all employees, students, and visitors to adhere strictly to public safety, occupational safety, and good laboratory practices and procedures as established by university policies and required by laws and regulations. All occupational and environmental incidents can be prevented. University employees are expected to be committed to this premise and are responsible for their safety in the workplace. For further information contact the University EH&S Director or visit <http://www.duq.edu/about/departments-and-offices/management-and-business/environmental-health-and-safety>.

1.6 Highly Confidential ETDs

In the case of an ETD that contains information of a highly confidential nature, due to patent considerations for example, students complete all of the usual steps of the filing *except* uploading the document to ProQuest. Instead, the student should upload a blank PDF to ProQuest/UMI in order to serve as a placeholder. In addition, the student must make the highly confidential nature of the ETD clear to the ETD Coordinator in

writing, and by labeling the CD given to the ETD Coordinator for review. The ETD will be given thorough editorial review for approval, but it will not be sent to ProQuest immediately. Highly confidential ETDs are held for one year with a status of “approved but not delivered” to ProQuest. If the student is granted an embargo extension, the ETD will be held until the renewal period ends. When released to ProQuest, the ETD will be immediately available in the library’s repository, but ProQuest will embargo it for one additional year. The student will be able to contact ProQuest directly to request further embargo. The CDs containing highly confidential ETDs are held in the academic department office until the embargo period ends, then returned to the ETD Coordinator. The ProQuest fee for the microfilm copy is paid by the student at the time of filing. The microfilm will not be produced until the embargo period is ended and the ETD Coordinator replaces the blank PDF with the actual ETD.

1.7 ETD Consultations, Workshops, and Online Guides

Consultations

1. Students may schedule one-on-one consultations with the ETD Coordinator by setting up an appointment (by phone 412-396-1086 or email library-ethd@duq.edu) and coming to the ETD Office, located on the 4th floor of Gumberg Library
2. Individual schools may set up an instruction session with the ETD Coordinator in order to prepare students for the ETD process
3. Faculty and school representatives may also schedule training sessions

Workshops

1. Instruction sessions may be set up by individual schools

2. ETD Boot Camps and Writing Workshops are scheduled periodically

Online Guides

1. Please see the library's ETD Guide (<http://guides.library.duq.edu/etd>) in order to download templates, get necessary forms, and find complete instructions for submission
2. Please see the library's Citation Management Guide (<http://guides.library.duq.edu/endnote>) in order to get more information about tools that can be useful for creating and tracking citations

1.8 How to Get Help with Formatting, Copyright, and Citations

Document Formatting

1. PC Help
 - a. The Microsoft Office Online Support Page (<https://support.office.com/en-US>) offers the ability to search for a variety of topics that you may have questions about as you work with Microsoft Word
 - b. The Document Formatting section of the ETD Guide (<http://guides.library.duq.edu/documentformatting>) provides guidance
 - c. Use of the front matter formatting template found on the Document Formatting page is strongly encouraged
2. Mac Help
 - a. The Microsoft Office: Mac Support Page (<http://www.microsoft.com/mac/how-to>) offers Microsoft Word help and templates for Mac users

3. LaTeX Help

- a. The LaTeX Project Page (<http://latex-project.org/help.html>) offers explanations and help on a variety of topics

Copyright

1. Gumberg Library Copyright and Fair Use Guide

- a. The Copyright and Fair Use Guide (<http://guides.library.duq.edu/copyright>) provides information about Duquesne copyright policy, fair use, and getting permission for reproducing copyrighted materials

2. Copyright Clearance Center

- a. The Copyright Clearance Center website (<http://www.copyright.com/content/cc3/en.html>) is the place to start when seeking permission to reproduce copyrighted materials

3. United States Copyright Office

- a. The United States Copyright Office website (<http://www.copyright.gov>) offers information on registering for copyright, laws that deal with copyright, and searching for copyright records

4. Journal Publisher Websites

- a. Many students include previously published as part of their graduate work in their ETDS. Often students do not own the copyright to these articles, therefore they need permission to include them. The publisher

website may provide permission and acknowledgment requirements for use of article in the author's dissertation.

Citations

1. Gumberg Library EndNote Guide
 - a. The EndNote Guide contains resources that demonstrate the process of downloading and using EndNote, a citation management tool. The guide (<http://guides.library.duq.edu/endnote>) also reviews other citation management tools that can be useful
2. Duquesne Writing Center
 - a. The Writing Center (<http://www.duq.edu/academics/resources-and-technology/writing-center>) provides one-on-one consultations and small workshops on a variety of topics

CHAPTER TWO

FORMAT AND APPEARANCE

2.1 General Format

The guidelines specify certain requirements pertaining to style, organization, and format. The preliminary pages of all dissertations or theses will have a uniform and consistent presentation from Duquesne University. Acceptable styles for the main body, including documentation of reference materials, should conform to a style guide appropriate to your field of study and formally approved by your school, department, and/or advisor. Only minimum standards for the body are set in these guidelines. Each candidate must consult with their advisor or graduate coordinator on matters of style before beginning work.

2.2 Fonts

The text should be a 12-point serif font, such as Times New Roman or Times. The font type and size must be consistent throughout the document, with the following exceptions:

1. Headings and subheadings may be larger than the text
2. Footnotes, subscripts, and superscripts may be smaller than the text
3. Tables may use a smaller point size (10 point or greater) and a sans serif font, such as Arial or Helvetica
4. Use special fonts as required for formulas and foreign languages. Special fonts should be embedded in the document before creating a PDF file

2.3 Line Spacing

Standard double-line spacing is required for the document text, both within and between paragraphs, with the following exceptions:

1. Single-line spacing may be used within long quotations, tables, footnotes, bibliographic entries, and multi-line captions
2. Numbered or bulleted lists may be single-line spaced, with double spacing between items

2.4 Margins

Margins should be set to 1 inch on the top and bottom and either 1 or 1.25 inches on the left and right. The side margin that is chosen must be used consistently throughout the entire document. Only page numbers may appear outside of these margins. **Tables, figures, and scanned images must fit within these margins.** Landscape pages may be used for larger tables and images.

2.5 Pagination

Bound copies of dissertation or theses are double sided. Page numbers should appear at the bottom center, approximately ½ inch from the edge of the page (this is the default setting in most word processing programs). Alternately, page numbers may be placed at the top or bottom corners (not centered) if they appear on the right side for odd pages and the left side for even pages. There are video tutorials in addition to a front matter formatting template on the ETD website that will explain common page numbering issues: <http://guides.library.duq.edu/documentformatting>.

1. Every page of the document is counted and receives a page number. The two exceptions are the title and copyright/blank pages, which are counted, but not numbered
2. Small Roman numerals are used for the preliminary pages (including an introduction). Page numbers begin with iii, assigned to the signature page
3. Arabic numbers begin with Chapter 1, and are used for the remainder of the document, including reference material and appendices. Pages are numbered consecutively beginning with 1 and continue to the end of the document

4. Landscape pages should be numbered so that, when turned sideways for binding, the number appears in the same position as the portrait pages
5. For documents of sufficient length to be bound in two volumes (usually, those exceeding 600 pages), each volume has its own title page. Both title pages are identical except for the notation “Volume I” and “Volume II” below the title. Both the Roman and Arabic numbering systems in Volume I continue through Volume II. As with the title page of Volume I, that of Volume II is counted among the preliminary pages but does not bear a number. If “v” is the last Roman numeral used in Volume I, the title page of the second volume will count as page “vi” and will be followed by page “vii,” etc. Each volume contains a complete table of contents for the entire document

2.6 Headings

Heading styles and levels must be used consistently throughout the document.

Many style manuals offer specific heading styles. Consult with your advisor or department for recommended heading styles.

2.7 Tables, Figures, and Equations

A table consists of columns of information, often in the form of numbers. A figure is any kind of graphic illustration other than a table; figures include graphs, charts, drawings, diagrams, maps, photographs, and other illustrative materials.

Tables, figures, and equations should be numbered consecutively throughout the document (1, 2, 3), or consecutively within chapters (1.1, 1.2 . . . 2.1, 2.2) and appendices (A1.1, A1.2, A1.3). Once a scheme is chosen, it must be used consistently throughout the document.

2.8 Footnotes, Endnotes, and References

Citation practices differ widely. Candidates should confer with their advisors regarding accepted practices in their individual disciplines. Depending on the style approved by your school or department:

1. References may be numbered either consecutively throughout the entire manuscript or consecutively within each chapter
2. References may be at the bottom of the page, the end of a chapter, or at the end of the document

2.9 Suggested Manuals of Style

Students are encouraged to choose one of the suggested manuals of style listed in this section. Resources about each of these styles are readily available at the Gumberg Library Reference Desk and online. It is up to the student and committee to decide which style will work best for a particular project. Please note that citation styles outside of those listed here cannot be verified by the ETD Coordinator beyond making sure they are consistent throughout the document. The ETD Coordinator can look through citations to make sure they are consistent and to identify obvious errors; otherwise, committee members will need to provide oversight for more department-specific and journal-specific citation styles.

The following manuals of style are highly recommended and can be thoroughly reviewed by the ETD Coordinator during the review process:

1. MLA
2. APA
3. Chicago Manual of Style
4. ACS
5. CBE
6. Vancouver
7. AMA

Students are also encouraged to use a citation management tool, such as EndNote or Mendeley in order to generate and utilize citations. Please see the Citation Management Guide to decide which tool is best for you: <http://guides.library.duq.edu/endnote>.

CHAPTER 3

ARRANGEMENT OF CONTENTS

Examples are given in the Appendix. Use of the front matter template that is available on the ETD website is strongly encouraged: <http://guides.library.duq.edu/etd>.

3.1 Title Page (required)

The dissertation or thesis title is centered horizontally on the page approximately three lines down in capitalized letters using 12 point font. “A Dissertation” or “A Thesis” should be centered on line 9. On line 17, “the degree of Doctor of Philosophy” or “the degree of Master of (with the appropriate name, such as Science, Music, etc.) should appear. Place the month and year of **graduation** (not month of submission or defense) on line 22.

3.2 Copyright/Blank Page (required)

The copyright page is inserted immediately after the title page. If a copyright notice is not desired, then a blank page must be used. In either case, it is counted, but not numbered. Center “Copyright by” on line 19, followed by the student’s name centered on line 20, and the year on line 22.

3.3 Approval/Signature Page (required)

The signature page in the PDF file should NOT contain signatures. A hardcopy of the signed signature page should be filed with your individual School.

The date on this page is the date of the final examination or defense. Roman numeral “iii” should be used to number this page. An alternate signature page format is

used by some programs in the School of Education. Please check with the School of Education ETD representatives for more information.

3.4 Abstract (required)

The page should be numbered “iv” and if necessary a second page (“v”) can be used. ProQuest has removed the traditional length restriction on abstracts; however, UMI continues to print indices that include citations and abstracts of all dissertations and theses published by ProQuest/UMI. These indices are limited to 350 words for dissertations and 150 words for theses. UMI will truncate your abstract if it exceeds these word limits and remove any non-text content. You may wish to limit the length of your abstract if this concerns you. The abstract will not be altered in your published manuscript or in the ProQuest online database.

3.5 Dedication and/or Acknowledgment Pages (optional)

These pages are used to dedicate the dissertation or thesis, and to recognize assistance (financial or other) as an acknowledgement.

3.6 Table of Contents (required)

The table of contents is NOT listed in the table of contents, even though it will have page numbers assigned to it. Number all table of contents pages with lower case Roman numerals.

3.7 Lists of Tables, Figures, Illustrations, Charts, or Graphs (optional)

These lists should only be included in a dissertation or thesis that incorporates five or more tables, figures, illustrations, charts, or graphs. The page(s) should be

numbered with lower case Roman numerals. Each list (List of Tables, List of Figures) should begin on a separate page.

3.8 List of Abbreviations or Symbols (optional)

If a dissertation or thesis contains specialized symbols and/or abbreviations that have meanings outside of common knowledge, this list should be included in the preliminary pages.

3.9 Introduction (optional)

An introduction, if included, is considered part of the preliminary material. Continue numbering with lower-case Roman numerals.

3.10 Main Body (required)

Chapter 1 begins the main body of the thesis or dissertation. Pages are numbered consecutively beginning with Arabic numeral 1 and continue to the end of the document.

3.11 Footnotes or Endnotes (optional)

Footnotes come at the bottom of the page; endnotes come at the end of each chapter or are grouped together directly after the entire body of the thesis. They should be formatted according to the style guide selected by the department or school.

3.12 References/ Bibliography (required)

All dissertations and theses must include a list of works cited and/or referenced; format according to the style guide selected by the department or school.

3.13 Appendix (optional)

If included, appendices should follow the bibliography.

CHAPTER 4

SUBMISSION OF THE DISSERTATION OR THESIS

4.1 Deadlines

The submission date for each semester follows the Schedule of Classes published by the university (“Latest date for prospective December/May/August graduates to submit approved theses and take comprehensives”). All schools at the university follow this policy. The dissertation or thesis and all ETD paperwork must be completed, signed, and submitted to your school representative by the university deadline.

4.2 Statement of Review Policy

The dissertation or thesis must be approved by the committee in portable document format (PDF) and in accordance with the formatting rules described within this document. The ETD Coordinator conducts an editorial review of the entire document to ensure that the formatting requirements have been met.

There are three possible outcomes from the ETD Coordinator’s review: the ETD documents are accepted; there are formatting issues that can be quickly and cleanly resolved; or there are issues that cannot be resolved between the student and the ETD Coordinator. If simple formatting changes are necessary before the ETD can be approved, the ETD coordinator will send a message to the email address submitted on the student’s ETD paperwork. Notices may also be sent to the committee chair if there are problems reaching the student. If formatting problems cannot be resolved between the student and the ETD Coordinator, then the ETD Coordinator will pass the dissertation or thesis to the student’s committee chair or department chair.

Students should follow the guidelines and contact the ETD Coordinator with questions left unanswered by these instructions. Final format approval of all dissertations and theses rests with the ETD Coordinator.

4.3 Overview of the Submission Process

1. Convert your document to a PDF file prior to your defense
2. Receive final approval from your committee at your defense
3. Burn the original (Word or LaTeX) and PDF versions of your final document to a CD
4. Obtain and complete all required paperwork:
 - a. ETD Approval form
 - b. ETD Formatting checklist
 - c. ETD Submission checklist
5. Complete the online UMI/ProQuest ETD account (www.etdadmin.com/duquesne)
 - a. Pay the microfilm fee by credit card (required)
 - b. Upload copyright permission letters as supplemental files (if required)
 - c. Make sure that the spelling of the title and name you enter here match your ETD's title page, and are entered in title case, *not in all caps*. Enter complete information for the Degree/Department Information, Subject Categories, Keywords, and Abstract fields
 - d. Order hardcopies and/or register your copyright (optional)
6. Bring or mail CD and paperwork to your school representative for an approval signature
7. Bring or mail CD and paperwork to the ETD office in the Gumberg Library by the University deadline
8. Your ETD will be reviewed by the ETD Coordinator. You will be notified by email if any changes need to be made, and again once it is approved

4.4 Required Forms

APPROVAL FORM

The approval form addresses public access to your document and copyright. The advisor and student must agree on how and when the thesis or dissertation will be made available to the public. The signatures of both the student and advisor are required. The copyright section affirms that written permission statements have been obtained for previously copyrighted material used in the dissertation or thesis. Permission to use previously published material must be received in writing from the publisher, including material previously published by the candidate if the copyright is held by the publisher. Upon receipt of permission this material may be included if it was written as part of the candidate's degree program.

The publishing restrictions section requires students to choose between providing immediate worldwide access to their thesis or dissertation, or placing it under embargo for one year. An embargo is defined as a delay of the release of the full-text of a thesis or dissertation for a specified amount of time. During the embargo period, no one will have access to the full-text of the work; however access to the citation and the abstract will be available. In light of the value that Duquesne places on the dissemination of new knowledge, and the importance of publication of your thesis or dissertation as evidence of the quality of your scholarship, the maximum time period a thesis or dissertation can be withheld from the library repository is one year. The availability decision is final, and cannot be changed after the fact.

A month before the embargo is set to expire, the graduate will be contacted by the ETD Coordinator and notified of the impending release with instructions on how to

request an extension if needed. Extensions will only be granted for a work that is in the final stages of preparation for publication. After the embargo period has elapsed, it is the responsibility of the graduate to contact ProQuest directly if they wish to extend the length of their embargo. Regardless of embargo period selected for ProQuest, all ETDs will be available in the library repository after one year.

For more information, see the ProQuest Embargoes & Restrictions Guide http://www.etdadmin.com/UMI_EmbargoesRestrictionsGuide.pdf.

FORMATTING CHECKLIST

To facilitate the process of creating a dissertation or thesis in compliance with the University Guidelines, the students must complete a formatting checklist for their thesis or dissertation. Signatures assure that the formatting of the dissertation or thesis has been checked by the student and the advisor.

SUBMISSION CHECKLIST

The ETD checklist outlines required ETD paperwork and materials. Your school representative must review these materials and sign the ETD checklist before they are submitted to the ETD Coordinator.

4.5 UMI ETD Account

Duquesne University sends dissertations and theses to ProQuest where they are microfilmed and made available to the public through University Microfilms International (UMI). Abstracts are also published in Dissertation Abstracts.

As part of your ETD submission, you must create and complete a UMI account at www.etdadmin.com/duquesne. In addition to completing a publishing agreement and

uploading your PDF file, you will be asked to pay the required microfilm and (optional) publishing fees by credit card.

You will also have the opportunity to order bound copies and register the copyright of your dissertation or thesis. Bound copies are not required by the library; however, individual schools or departments may require bound copies from students. Contact your school representative for more information.

4.6 Duquesne and ProQuest Filing Options

When completing the ETD Approval Form you will be presented with a few choices for how you would like your work to be published. When registering with ProQuest/UMI you will again be prompted to answer some of these questions. **It is important that the options selected on the Approval Form match those selected in ProQuest.*

Publishing Restrictions

Part B of the Approval Form asks you to choose whether you would like to release your entire work immediately for access worldwide, or delay release in the library repository for one year. Delaying the release of your file is the same as placing an embargo on the ETD.

Only the **full-text document** is embargoed. Title, abstract, and keywords will be released immediately.

Following graduation, you may choose to contact ProQuest directly and ask them to extend your embargo period. However, regardless of embargo period selected for ProQuest, all ETDs will be available in the library repository after one year.

Publishing Type

Part C asks you to select how you would like ProQuest to publish your work. There are two choices: Traditional Publishing and Open Access Publishing. Remember that regardless of how you choose to have ProQuest publish your thesis or dissertation, your ETD will be made available to access freely worldwide via the Gumberg Library's [ETD Collection](#).

The options outlined below refer only to publication through ProQuest. The standard option of Traditional Publishing means that the full-text ETD will be freely accessible through the [ProQuest Dissertations and Theses database](#) to Duquesne students and faculty. To ProQuest users at other institutions, a 20-page preview will be available in ProQuest, with the option to buy the full-text document from ProQuest. Because they are selling your work, as the author, you are eligible to receive royalties.

By choosing Open Access Publishing, you agree to allow ProQuest to provide full-text access to your work free of charge, via the [PQDT Open](#) database. Access to the full-text in ProQuest is “open access” and therefore not limited to users at your institution, or those who pay for a subscription.

4.7 Electronic Resources and Contacts

ETD RESOURCE GUIDE

The ETD Resource Guide is located at <http://guides.library.duq.edu/etd>. It contains detailed information on ETD formatting requirements, copyright options, and the submission process, as well as links to the ETD formatting template and the three ETD submission forms.

ETD WEBSITE

Gumberg Library's ETD website is located at: <http://digital.library.duq.edu>. The site houses the current digital collection of Duquesne ETDs. Aside from serving as a research resource, it can be browsed by department if students would like examples of how prior submissions in their discipline were organized and presented.

ETD COORDINATOR

For most ETD-related questions, contact the Gumberg Library's ETD Coordinator at (412) 396-1086 or library-etd@duq.edu.

SCHOOL REPRESENTATIVES

Contact your ETD representative to find out about any school-specific requirements. A list of ETD School representatives may be found on the ETD website.

APPENDIX 1

A1.1 Overview

The following is a formatted front matter template of the preliminary pages of the Duquesne dissertation and thesis. All margins are 1” on the top and either 1 or 1.25” on the sides, the text is Times New Roman 12 point font, and spacing is double-spaced (with the exception of some areas of the signature page). *This template is also available for download on the ETD website with appropriate pagination included:*

<http://guides.library.duq.edu/etd>.

DISSERTATION OR THESIS TITLE

ALL CAPS, DOUBLE SPACED

A Dissertation

Submitted to the Name of Your School

Duquesne University

In partial fulfillment of the requirements for
the degree of Doctor of Philosophy

By

Your Name

Month and Year of Graduation

Copyright by

Your Name

Year

DISSERTATION OR THESIS TITLE

ALL CAPS, DOUBLE SPACED

By

Your Name

Approved Month Day, and Year of Defense

Name of Professor
Professor of English
(Committee Chair)

Name of Professor
Professor of Physical Therapy
(Committee Member)

Name of Professor
Assistant Professor of Music
(Committee Member)

Name of Professor
Assistant Professor of History
(Committee Member)

Name of Dean
Dean, School Name
Professor of Chemistry and
Biochemistry

Name of Department Chair
Chair, Department Name
Professor of Mathematics

ABSTRACT

DISSERTATION OR THESIS TITLE

ALL CAPS, DOUBLE SPACED

By

Your Name

Month and Year of Graduation

Dissertation supervised by Professor Name

Text of the abstract begins here.

DEDICATION

Text of the dedication begins here (the dedication is optional).

ACKNOWLEDGEMENT

Text of the acknowledgment begins here (the acknowledgment is optional).

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LIST OF TABLES

Page

Include a list of tables if your document has 5 or more tables1

LIST OF FIGURES

Page

Include a list of figures if your document has 5 or more figures1

LIST OF ABBREVIATIONS

Begin list of abbreviations here (the list of abbreviations is optional).

Chapter 1 of dissertation or thesis begins here.