

# Electronic Thesis and Dissertation (ETD) Guidelines



Version 2.0

September 1, 2009

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2009

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# CHAPTER 1

## GETTING STARTED

### 1.1 Introduction

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 major professor, 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.

### 1.2 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 Dr. Paul Richer, IRB Chair,

(412-396-6326) for the appropriate approval forms. More information is available at <http://www.research.duq.edu/humansub.html>.

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, Dr. Douglas Bricker (412-396-6361), or the Assistant to the Director, Janet Pegher (412-396-6335). Protocol application forms regarding vertebrate animal research can be obtained on disk from Janet Pegher. More information is available at <http://www.research.duq.edu/animal.html>.

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. RSO: John Volpe, B-7 Mellon Hall; (412-396-6382). Manager Hazardous Materials: Paula Durkota, Room B-8 Mellon Hall; (412-396-4763). For more information see <http://www.ehs.duq.edu>.

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: Dr. Peter Castric, Ph.D., Room 242 Mellon Hall; (412-396-6319). For more information see <http://www.research.duq.edu/biosafety.html>.

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 John Volpe, Chair, University EH&S Officer; (412-396-6382) or visit <http://www.ehs.duq.edu>.

## 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 1.25 inches on the left and right. 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). Page numbers, however, may be placed at the top or bottom corners if they appear on the right side for odd pages and the left side for even pages.

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.

1. Tables, figures, and equations should be located as close as possible to the text describing them.
2. Text should not wrap around tables, figures, or equations.
3. 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.

## CHAPTER 3

### ARRANGEMENT OF CONTENTS

Examples are given in the Appendix. A frontmatter template is available on the ETD website.

#### 3.1 Title Page (required)

The title page is assigned page number i, although the number does not appear on the page. The dissertation or thesis title is centered horizontally on the page 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 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 signature page with signatures should be submitted separately.

The committee signatures must be of the committee member (assistants can not sign for them). Original signatures are preferred; however, electronic signatures or a

facsimile copy of a signature are acceptable. The date on this page is the date of the final examination or defense. Roman numeral “iii” should be used to number this page.

### 3.4 Abstract (required)

The page should be numbered “iv” and if necessary a second page 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.

### 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. If used, then 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 of definitions should be included in the preliminary pages. Such information may also be placed in an appendix.

### 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 1 and continue to the end of the document.

### 3.11 Footnotes or Endnotes (optional)

Footnotes come at the bottom of the page, where 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 your 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 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 you a message to the email address submitted on your ETD paperwork. Notices may also be sent to your committee chair if there are problems reaching you. 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 Graduate Council ETD representative.

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 processing) 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 ETD account ([www.etdadmin.com/duquesne](http://www.etdadmin.com/duquesne)).
  - a. Pay the microfilm and publishing fees by credit card (required).
  - b. Upload copyright permission letters as supplemental files (if required).
  - c. Order hardcopies and/or register your copyright (optional).
6. Bring or send CD and paperwork to your school representative for an approval signature.
7. Bring or send 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 once it is approved.

## 4.4 Required Forms

### APPROVAL FORM

The approval form involves public access to your document and copyright. The advisor and student must agree to how and when the thesis or dissertation will be made available to the public. The signature of the student and advisor is required. The copyright section declares that written permission statements have been obtained for previously copyrighted material used in the dissertation or thesis. Material previously published by the candidate may be included if the material was written as part of the candidate's degree program. Permission to use previously published material must be received in writing from the publisher.

### FORMATTING CHECKLIST

To facilitate the process of creating a dissertation or thesis in compliance with the university Guidelines, the ETD Committee has created a formatting checklist for use by students and faculty readers of theses and dissertations. Signatures assure that 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 will 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.etsadmin.com/duquesne](http://www.etsadmin.com/duquesne). In addition to completing a publishing agreement and uploading your PDF file, you will be asked to pay the required microfilm and 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 Electronic Resources and Contacts

### ETD WEBSITE

Gumberg Library's ETD website is located at: <http://digital.library.duq.edu/>.

### ETD BLACKBOARD SITE

The ETD Blackboard organization site is located at <http://www.blackboard.duq.edu>.

### ETD COORDINATOR

For most ETD-related questions, contact the Gumberg Library's ETD Coordinator at (412) 396-1086 or [library-etd@duq.edu](mailto: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 figures illustrate the preliminary pages of the dissertation and thesis. In each figure, the entire physical page is given. The margins are indicated as light grey; only the page number will appear in this area. Line numbers, based on Times New Roman 12 point font, are given to help clarify the starting points of the requested information (with the exception of the signature page, all line numbers are for double line spacing). A formatted frontmatter template is available on the ETD website.

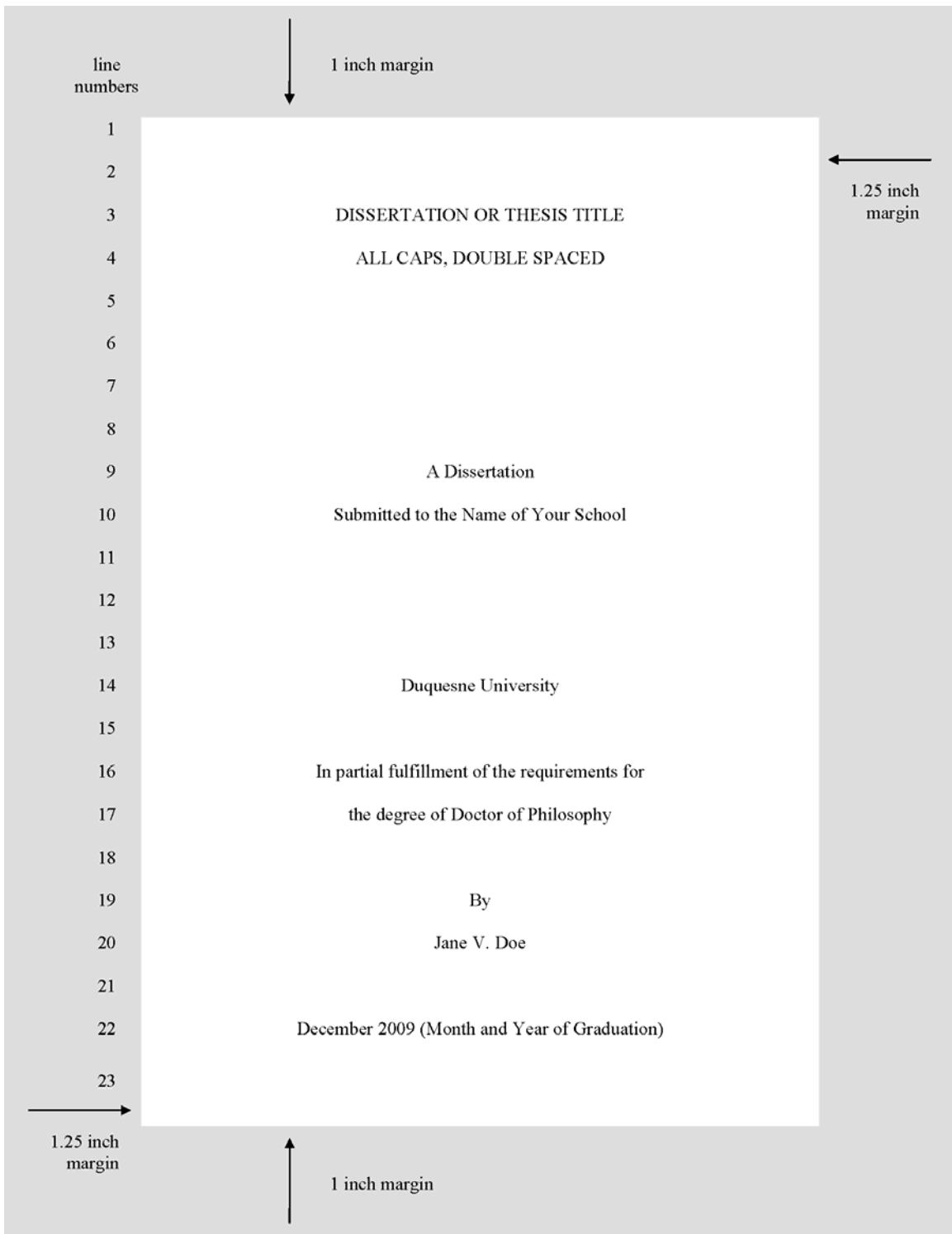


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Copyright by

Jane V. Doe

2009

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DISSERTATION OR THESIS TITLE

ALL CAPS, DOUBLE SPACED

By

Jane V. Doe

Approved October 2, 2009 (Month Day, and Year of Defense)

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Name of Professor  
Professor of English  
(Committee Chair)

---

Name of Professor  
Professor of Physical Therapy  
(Committee Member)

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Name of Professor  
Assistant Professor of Music  
(Committee Chair)

---

Name of Professor  
Assistant Professor of History  
(Committee Member)

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

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Name of Department Chair  
Chair, Department Name  
Professor of Mathematics

Figure A1.3 Signature Page

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ABSTRACT

DISSERTATION OR THESIS TITLE

ALL CAPS, DOUBLE SPACED

By

Jane V. Doe

December 2009 (Month and Year of Graduation)

Dissertation supervised by Professor Name

Text of the abstract begins here. Use the number of pages needed to complete the abstract. 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.

Figure A1.4 Abstract

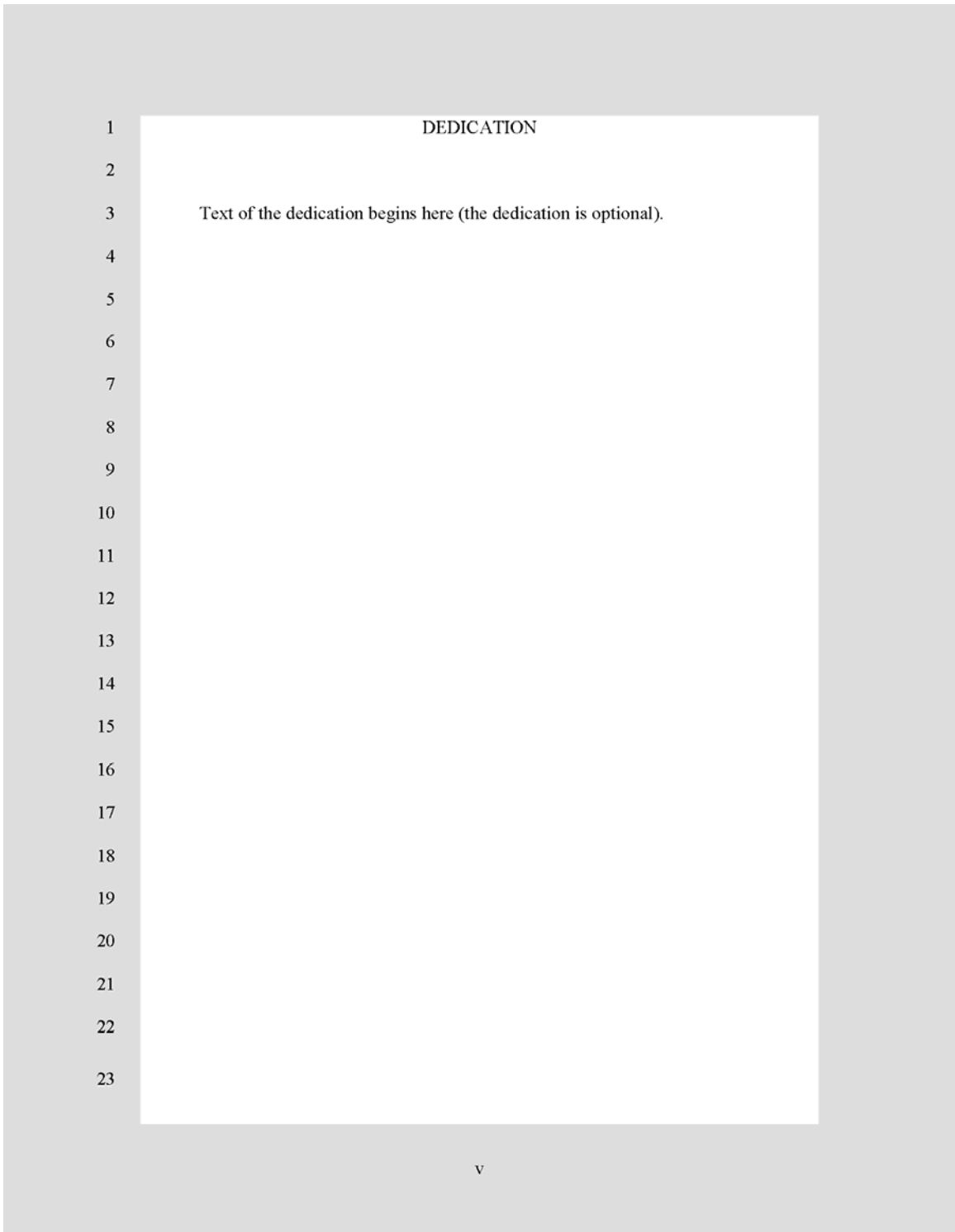


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ACKNOWLEDGEMENT

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

Figure A1.6 Acknowledgement

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Figure A1.8 List of Tables

| LIST OF FIGURES |  |
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Figure A1.9 List of Figures

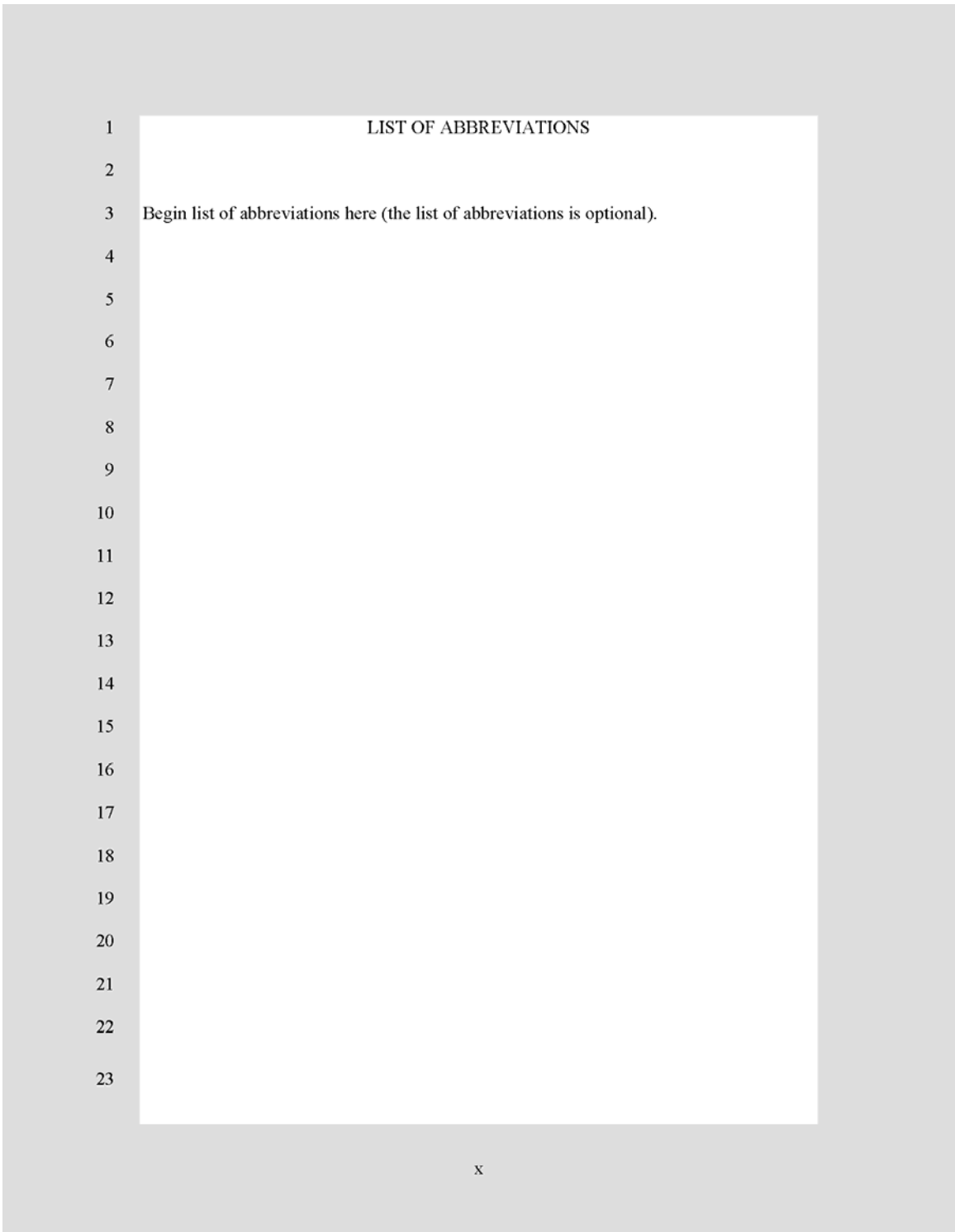


Figure A1.10 List of Abbreviations