Electronic Thesis and Dissertation (ETD) Guidelines

Version 4.0

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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 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.

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 the IRB Chair for the
appropriate approval forms. More information is available at


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.
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.

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.
CHAPTER 3

ARRANGEMENT OF CONTENTS

Examples are given in the Appendix. A frontmatter template is available on the ETD website at 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 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 available for School of Education students and can be obtained from the School of Education ETD representatives.
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 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 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 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 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 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 title and name you enter are an exact match to your ETD’s title page. 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 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 declares 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.

**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](http://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 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 Resource Guide**

The ETD Resource Guide is located at [http://guides.library.duq.edu/etd](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/](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.
A1.1 Overview

The following is a formatted frontmatter 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). The template is also available for download on the ETD website with appropriate pagination included at

http://guides.library.duq.edu/etd.
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
DISSESTATION 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).
# TABLE OF CONTENTS

<table>
<thead>
<tr>
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<th>Page</th>
</tr>
</thead>
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<tr>
<td>List of Figures</td>
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</tr>
<tr>
<td>List of Abbreviations</td>
<td>x</td>
</tr>
</tbody>
</table>
LIST OF TABLES

Page

Include a list of tables if your document has 5 or more tables ................................. 1
LIST OF FIGURES

Include a list of figures if your document has 5 or more figures ........................................ 1
LIST OF ABBREVIATIONS

Begin list of abbreviations here (the list of abbreviations is optional).
Chapter 1 of dissertation or thesis begins here.