

# **GUIDELINES FOR ELECTRONIC THESIS AND DISSERTATION (ETD) PREPARATION AND SUBMISSION**

Revised October 2017

## INTRODUCTION

Some master's and all Ph.D. programs require the completion of a thesis or dissertation, which embodies the results of original research and makes an original contribution to the discipline. This guide is designed to aid students in submission of a thesis or dissertation that adheres to a professional style and format. Your manuscript will be made available for public use through UB's online database system via the Proquest/UMI network of information services.

It is the responsibility of the candidate and the academic department to ensure that the standards of organization, presentation and documentation traditionally proscribed for publication in your discipline are observed. Similarly, the thesis or dissertation must be substantially free of errors before submission to the Graduate School.

## GETTING STARTED

**Style Manuals:** When beginning to construct your thesis or dissertation, the very first step is to choose the style appropriate to your specific discipline. If you are unsure what style is appropriate, confer with your advisor and/or department. Be sure to follow the chosen style consistently throughout the document. Listed below are websites of a few widely recognized style manuals:

- American Psychological Association: <http://www.apastyle.org/>
- Modern Language Association: <http://www.mla.org/>
- University of Chicago, Chicago Manual of Style: <http://www.chicagomanualofstyle.org/>

## FORMATTING THE THESIS/DISSERTATION

**Font Size:** Select fonts between 10 and 12 characters per inch. Smaller or larger fonts are generally too hard to read and should be avoided. Use the same font style and print size throughout the document.

**Pagination:** The title page is to be *unnumbered*, but should be counted as "page 1". With the exception of the title page, all of the pages in your document should be numbered, including the principal text, all tables, diagrams, maps, etc. Roman numerals (I, II, III) are typically used on the preliminary pages and Arabic numerals (1, 2, 3) are used on the pages that follow the abstract.

**Page Numbering Placement:** Generally the page number is placed in the upper right, lower right or bottom center of the page. Regardless of where you place the page numbers, be sure they are consistent throughout the document.

**Spacing:** Use double-spacing consistently throughout the document, except for long quotations, footnotes and endnotes, which are typically single-spaced. Check your selected style manual for further details on spacing.

### Page Order and Page Numbering:

1. Title page (required) – do not number the page, but assume to be Roman numeral I.
2. Copyright page (optional) – See copyright section. Page number is Roman numeral II.
3. Dedication and/or Acknowledgements (optional) – Page number Roman numeral III.
4. Table of Contents (required) – Use Roman numerals for pagination.
5. Lists of tables, figures, illustrations, charts, graphs (optional) – Use Roman numerals for pagination.

6. Abstract (required) – Use Roman numerals for pagination.
7. Chapters/Main Division of Document (required) – Begin with “page 1” at the beginning of the first page of the first chapter and use Arabic numerals (i.e., 1, 2, 3) throughout the rest of the document.
8. Appendix (optional) – Extend the Arabic numerals used in the main body of your text.
9. Bibliography and/or References (required) – Extend the Arabic numerals used in the main body of your text.

There should be no blank pages in your PDF.

**Title Page (required): The title page must follow the following format.** Be sure to use your department’s official name and your full legal name. The title of your work should be a meaningful description of your manuscript and include key words that can be used by modern information retrieval systems. **The title must match the approved title on your M-Form.** When at all possible, incorporate word substitutes for formulas and symbols.

(SAMPLE TITLE PAGE)

**FULL TITLE OF THESIS/DISSERTATION IN CAPITAL LETTERS**  
(centered in top quarter of page)

by

Full name of author  
Date of degree conferral or defense date

A (thesis/dissertation) submitted to the  
Faculty of the Graduate School of  
the University at Buffalo, State University of New York  
in partial fulfillment of the requirements for the  
degree of

(Master of Arts)  
(Master of Science)  
(Master of Engineering)  
(Master of Fine Arts)  
(Master of Music)  
(Master of Urban Planning)  
(Master of Architecture)  
(Doctor of Philosophy)  
(Doctor of Education)  
(Doctor of Nursing Science)

Department of \_\_\_\_\_

**Do not number the title page.** It is the first page (normally Roman numeral I), but the number is not displayed on the page itself.

**Copyright Page (optional):** If you decide to copyright your manuscript, the date of your defense should be listed on the title page and a copyright page follows the title page in the following format. In the center lower third of the page, just above the bottom margin, type the following:

Copyright by  
(your name in full)  
(the current year)  
  
(II)\*

\*The Roman numeral two (II) is to be centered at the bottom of the page.

**Dedication and/or Acknowledgement Pages (optional):** If you decide to have an acknowledgement section, be sure not to omit any of the members of your committee. While this section is optional, if included it should be numbered with Roman numerals and double-spaced.

**Table of Contents (required):** The table of content page(s) should also be numbered with Roman numerals. Include the dedication/ acknowledgment, abstract and any lists within the table of contents. Do not include the title page, the copyright page or the table of contents page(s). While a table of contents is required, it may follow any format acceptable to your advisor and committee as long as it includes all main divisions and subdivisions within your text and the format is consistent.

**Lists of Tables, Figures, Illustrations, Charts, Graphs (optional):** Follow the format used for your table of contents. Use a separate page for each type of list. Be sure to number with the appropriate Roman numeral.

**Abstract (required):** An abstract of your thesis or dissertation is required. It should be a succinct and concise narrative description of your work. Briefly state your topic or problem, describe the procedures and methods you used and summarize your findings or conclusions. Do not use tables, graphs or figures in your abstract. The abstract page should be numbered with the appropriate Roman numeral.

**Chapters or Main Divisions of the Document (required):** The text of your research has been the focus of your attention, as well as that of your advisor and committee. Now, as you turn the content of your research into a professional document, be sure to use a writing style appropriate to your subject and discipline. Naturally, the document also needs to consistently follow acceptable standards of punctuation, spelling and format. See the Style Manual section of this guide for a listing of familiar style manuals. Check with your advisor and department for their recommendation. The text should be double-spaced and each page must be numbered consecutively beginning with the number 1. Be sure to type chapter titles and any subheadings in bold face and use upper-case letters. It is best to include tables or other illustrative materials as necessary in the main body of the document when they are essential to the text.

**Subheadings:** For clarity and flow, it is best not to begin any subheadings or other divisions on separate pages unless the preceding page is filled. If the subheading falls at the very end of a page, move it to the next page unless at least two lines of text can follow the subheading on that page. Be sure to keep subheadings consistent in position and style throughout the document.

**Footnotes/Endnotes:** Place footnotes, if used, at the bottom of the appropriate page, at the end of each chapter or at the end of the document. Refer to the style manual you have chosen. Notes are usually single-spaced. If you group your notes at the end of each chapter, begin them on the first page following the text of that chapter. Also begin the first page in each note section with the heading "Endnotes to Chapter \_\_\_\_" or "Notes to Chapter \_\_\_\_."

**Appendix (optional):** Appendices are used when you wish to add materials (such as charts, graphs, surveys, etc.) not essential to the text. The appendix is generally placed before the bibliography or references section and after the last page of the last chapter of text. These pages also need to be numbered. Remember to include a list of appendices in your preliminary pages if you have more than one appendix.

**Bibliography or References (required):** The bibliography or list of references should be single-spaced for each entry and then double-spaced between entries. Group all entries in strict alphabetical order or in another way that seems appropriate to your research and helpful to your readers. Be sure to use the format that is consistent with the format style approved by your advisor and committee. These pages must be numbered as well.

**Final Check:** Review your document carefully to be sure it is correctly formatted, that all spelling and grammar is correct, and that the document is totally free of errors. Check that there are no blank pages, omitted paragraphs or missing sections. Be sure the preliminary pages of your document are in the proper order and the pagination is correct.

## CONVERTING TO PDF

**Helpful Hints for Writing With PDF Conversion in Mind:** By and large, you will simply write your document as you normally would any other research paper, keeping in mind a few tips to improve the quality of the later PDF document.

1. **Spacing and pagination:** Use tabs instead of a series of spaces to align text. Insert page breaks instead of a series of paragraphs to start a new page. Use section breaks to change the format between pages in the document. Use your preferred software for creating tables of contents and cross-references to ensure that pagination is consistent even if the generation of the PDF file causes the pages to shift slightly.
2. **Fonts:** We recommend using standard fonts such as Times New Roman or Arial. If using unusual fonts, be sure to use embeddable Type 1 or TrueType fonts.
3. **Graphics:** It's best to use EPS (Encapsulated PostScript) files rather than bitmaps, GIFs or JPEG images. Use a high resolution such as 600-dpi. Avoid using graphic editors that are part of a word processor.
4. **Equations:** Microsoft Word users should not use Word's Equation Editor. Instead, use italic Times Roman font and Symbol font, along with superscripts and subscripts to create equations.

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Once your document is finished, submit it to your advisor and committee members for final approval. After it has been approved, then and only then, are you are ready to convert your file to PDF for electronic submission to the Graduate School.

After you have converted your document to PDF format, check the PDF to be sure it looks the same as your original file. It is your responsibility to make sure the conversion of your document is free of formatting errors. Please keep in mind that if you are using MS Word software, conversion to PDF is offered free of charge during the ETD submission process.

**Submitting the Final PDF:** Electronic submission of your thesis or dissertation in PDF format is mandatory. When you are ready to submit your PDF document, simply go to the Graduate School's electronic thesis

and dissertation website and follow the instructions for submitting your document online, at:  
<http://www.etsadmin.com/cgi-bin/school?siteId=62>

The site will guide you through the process of submitting your document in the acceptable PDF format. As you navigate, you will be prompted to upload your PDF document.

## PUBLISHING OPTIONS

Publication of the thesis/dissertation with ProQuest/UMI is required. You may choose between “traditional publishing” or “open access publishing”.

**Traditional publishing** provides UMI/ProQuest the right to sell copies of the published thesis and to provide the author with possible royalties from such sales.

**Open access publishing** provides the broadest means of free and complete access of the thesis/dissertation to students and scholars worldwide.

For a comparison of these options, see the UMI Publishing Options Guide:  
[http://www.etsadmin.com/UMI\\_PublishingOptionsGuide.pdf](http://www.etsadmin.com/UMI_PublishingOptionsGuide.pdf)

## COPYRIGHTING

You can choose whether or not to copyright your thesis or dissertation. Copyrighting protects your rights as the author. These rights include the ability to make copies of the work, to distribute them, to make derivative works, or to perform or display the work. By copyrighting your thesis or dissertation, you can control the rights to it or may authorize others (i.e. a publisher) to exercise those rights. The copyright will be in effect for your lifetime plus an additional fifty years. You should consult with your advisor and discuss this issue before making your decision.

Proquest/UMI can act as your agent with the Library of Congress Copyright office when your thesis/dissertation is submitted. This is done only if you specifically request such services from Proquest/UMI when you submit your thesis/dissertation. Requesting copyright through the online submission procedure authorizes UMI to act as your agent in the copyright process. Please note that it is only mandatory to digitize your thesis/dissertation; copyrighting is optional. Alternatively, you may apply for copyright registration by filing directly through the U.S. Copyright Office: <http://www.copyright.gov/>

Since theses and dissertations involve considerable effort on the part of the major professor (and sometimes other faculty members) as well as the student, you should make arrangements for publication/copyrighting only after consulting with your major professor and committee members.

**Fees Associated With the Electronic Thesis and Dissertation Submission Process:** Traditional publishing through ProQuest is free. If you select the open access publishing option and/or request that ProQuest/UMI File for Copyright on your behalf, there will be associated fees: Open access publishing is \$95, copyright filing is \$55. Payments will be made via credit card directly to ProQuest/UMI during the on-line submission process.

## CHECKLIST FOR SUBMISSION

- Are the titles appearing in the thesis/dissertation itself and the title on your M-form the same word-for-word?
- Is every page of the document numbered correctly, as indicated in the table of contents (except the title page, which should be counted, but not numbered)?
- Does the title meaningfully describe the content of the thesis/dissertation? Are words substituted for formulae and symbols?

- Are your major professor's and committee members names that you entered on the ETD submission site spelled correctly?
- Are all charts, graphs, formulas and other non-text materials perfectly legible in the PDF version of the thesis/dissertation?
- Has the PDF conversion gone smoothly and is it free of formatting errors?
- Is the PDF manuscript free of blank pages?
- If the thesis/dissertation is to be copyrighted by Proquest/UMI, have you indicated this in the online agreement form?
- If you have selected a delayed release of your thesis/dissertation to ProQuest, have you submitted an Embargo Request Form to the Graduate School, as required?  
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