

Dissertation Format Guide



Introduction:

This guide has been prepared to help graduate students prepare their dissertations for acceptance by Clark University. The regulations contained within have been updated and, in some cases, clarified for the benefit of students, faculty advisors, departments, the Format Advisor and the Graduate School. Any questions about the contents of this guide should be directed to the Format Advisor, Denise Robertson, Graduate School, Jonas Clark Room 114B, (508) 793-7676; email gradschool@clarku.edu.

The Format Advisor is concerned solely with the format of the manuscripts. It is the advisor's responsibility to make certain that any dissertation submitted in partial fulfillment of a PhD degree at Clark University conform to the regulations outlined in this guide. Responsibility for the content of any manuscript remains with the student and the faculty advisor(s).

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Introduction

The doctoral dissertation is a representation of a student's academic work and also a reflection on the faculty advisor, the graduate program, the Graduate School and Clark University. Once the student has submitted his/her dissertation to the Graduate School, it will be available for other scholars globally. Professionalism and consistency throughout such work is essential. This booklet of information has been assembled to assist students in the culmination of their efforts as a doctoral student. As a requirement of graduation, students are required to publish their dissertation.

You will see in this document, that there are formatting requirements as well as information regarding submitting and publishing the dissertation. **The Graduate School Office will accept only dissertations that meet these requirements. Failure to do so will result in the delay of a student's degree conferral.**

Prior to submission of the doctoral dissertation, students are encouraged to contact the Graduate School Office at 138 Woodland Street (drobertson@clarku.edu) with any questions regarding this manual or for the dissertation to be reviewed for formatting.

Please Note: The *ProQuest ETD Administrator* is the online tool used for submitting dissertations to *ProQuest Dissertation Publishing* **which in this document will be referred to as ProQuest**. The Administrator may contain the name UMI Dissertation Publishing. This is the same company. ProQuest is in the process of officially changing the name on the Administrator.

Dissertations are organized into three sections:

1. Preliminary documents
2. Text (introductions and chapters)
3. Back matter (notes, bibliography or reference, appendices, glossary, etc.)

Consult your committee chair to determine the internal arrange within the text and reference sections. You should be guided on matters of style by the chair and members of your committee. The following sections specify the format that must be followed in preparing the final submission of your dissertation.

The Graduate School recommends the following books as supplements to the information provided in these guidelines.

Turabian, Kate L. *A Manual for Writers*. 7th ed. Chicago: University of Chicago Press, 2007.

The Chicago Manual Style. 15th ed. Chicago: University of Chicago Press, 2003.

Section 1: Formatting the Doctoral Dissertation

Margins

- Every page of the dissertation, including all appendices, notes, and bibliography, must have a left margin and top margin of at least 1.5 in (3.9 cm); and right and bottom margins of at least 1 inch (2.6 cm).
- Nothing can appear in the margins, which includes: page numbers, text, tables, graphs, charts, etc.
- Before submitting the final version of the dissertation, the Graduate School suggests printing sample pages to measure the margins and ensure that they meet the requirements outlined above.

Acceptable Fonts

- Standard fonts such as Times New Roman, Helvetica, Arial, and Courier, are accepted.
- Dissertations should have a minimum of a 10-point font though the standard is 12-point font.
- The use of different fonts to set off examples, quotations, tables, and charts from the rest of the text, as long as all fonts are similar in size and easily readable is accepted. In addition, footnotes, section headings, and chapter titles may be printed in fonts and sizes different from those in the body of the dissertation. The size of these characters should be no smaller than 9 points. Students should confer with their faculty advisor to ensure the use of various fonts/sizes meet graduate program requirements as well.
- Ensure that all fonts are true type embedded fonts. Manuscripts without true type embedded fonts can cause ALL punctuation and formatting to disappear if/when the document is printed from a digital file, and causes delays in the publishing process. Students should embed true type fonts at the completion of their final version of the dissertation prior to submission to ProQuest. Instructions are given on the ProQuest ETD Administrator. Microsoft Word also offers instructions on embedding fonts.

Spacing

- The dissertation is required to be double-spaced or 1 ½-spaced.
- Long quotations, notes, and the bibliography may be single-spaced unless the student's graduate program requires otherwise.

Pagination

Students are responsible for correctly numbering and organizing the pages in their dissertation. *Page numbers may only appear at the bottom center of the page.* It is not acceptable to have page number in any other location on the page.

Preliminary Pages

- The preliminary pages include: title page, dissertation committee, abstract, copyright page, academic history page, dedication, acknowledgements, and table of contents, list of tables (if any), and list of figures (if any).
- The copyright page is not numbered nor is it counted. Page numbers for the rest of the introductory material is required, and expressed in lower-case Roman numerals, beginning with page “iv”.
- The dissertation may include other items that should be listed, such as notations, list of abbreviations, etc. These items should be included at the end of the preliminary pages keeping with the numbering scheme. If it is unclear whether or not a section should be included with the standard preliminary pages, please contact the Graduate School (gradschool@clarku.edu, 138 Woodland Street).

Title Page

- The title page, which is assumed to be Page i, must be included as the first page of the dissertation. (Do not print page number on the title page)
- The month and year the degree is conferred must be included (not the month and year of the defense).
- The title of the dissertation must not contain chemical or mathematical formulas, symbols, superscripts, subscripts, Greek letters, or other non-standard characters; words must be substituted.
- The title page must include one title for the dissertation.
- The student's name listed on the title page must be the official name on record with the Registrar's Office.
- The Chief Instructor does not sign the Title Page; the **Signature Page** with the instructor's signature must be sent to the Graduate School Office.

Dissertation Committee

- This page is assumed to be Page ii. (Do not print page number on page)
- List the members of your committee starting with your chief instructor.
- Include the degree of the committee, i.e. John Doe, PhD.

- If the committee member is not a faculty member of Clark University list the university affiliation below the name.
- There are no signatures required on this page.

Abstract

- This page is assumed to be Page iii. (Do not print page number page)
- Most abstracts have an average of 350 words, however, there is now
- It is to be a succinct description of your work and should be organized in the following order:
 1. Statement of the Problem
 2. Procedure and/or methods
 3. Results
 4. Conclusions

Copyright Page

- The copyright page, is not numbered or counted and is required.
- The copyright page should include student's official name on record with the Registrar's Office, the year of graduation, and the copyright symbol or the word "copyright" is required.
- Please note: Although students are not required to register a copyright, ProQuest Dissertation Publishing does offer the option during the electronic submission process for a fee of \$55. Please see the UMI ETD Administrator link located at the Electronic Submission link of the Formatting Guide.

Academic History

- This page is assumed to be page vi. (Do not print page number page)
- Type name, type of Baccalaureate degree (B.A., B.S., etc.)
- source (institution name), and date of degree (Month and year degree is conferred)
- "Other degrees" should include only those degrees, in addition to the Baccalaureate, which have already been received (not the one presently being earned)
- Type and date of degree, as well as the source, should be included.
- "Occupation and Academic Connection" should include the years involved.
- Any significant occupation or academic connection would be listed briefly.
- Include under academic connection the period enrolled as a graduate student at Clark University, and credential titles such as teaching assistant, fellow, or other designation.

Dedication

- Optional
- If included, it is numbered in lower-case Roman numerals and counted as page v.

Acknowledgements

- Optional
- If included, it is numbered in lower-case Roman numerals and counted. It is page vi. If there is no dedication then it is numbered as page v.

Table of Contents

- Required: may follow any format acceptable to your advisor and committee.
- It is numbered in lower-case Roman numerals and counted.
- The Table of Contents must include corresponding page numbers referencing each section.
- If Dedication or Acknowledgements are not included, this will be the first numbered page v.
- Only pages that come after the Table of Contents are listed. See templates.

List of Tables (if any)

- A page with a list of tables is required if tables are included in the dissertation.
- The list must include the table number, title, and corresponding page number for each table.
- It is numbered in lower-case Roman numerals and counted.
- The list must appear in the Table of Contents

List of Figures (if any)

- The list must include the figure number, title, and corresponding page number for each table.
- It is numbered in lower-case Roman numerals and counted.
- The list of figures must appear in the Table of Contents

Other Items

- If other pages are included with preliminary page (e.g. List of Abbreviations, List of Notations, etc.), they must be numbered in lower-case Roman numerals and counted as well as appear in the Table of Contents.

Body of the Manuscript

- The main text, illustrations, bibliography, and appendices are considered the body of the manuscript.
- Every page in the body of the text, through the bibliography and appendices must be numbered in Arabic numerals starting with page 1.
- The first page of the body of the manuscript (Introduction or Chapter One, etc.), must start with an Arabic number one (1). If it is unclear whether a section counts as part of the body of the manuscript, please contact the Graduate School (drobotson@clarku.edu).

Illustrations

- All materials (e.g., figures, tables, charts, and graphs) must have a number and page number, and must conform to margin specifications, regardless of where the figure caption is located.

Bibliography

- The Bibliography page follows the final chapter (if this format is used)
- May be single-spaced and must appear as the last section of the dissertation unless appendices are included.
- Appendices
 - Glossary, or list of abbreviations (if applicable)
 - Bibliography (or List of References, if Scientific format is used)
 - The bibliography, used primarily in the regular format, lists sources used—those considered relevant
- If the bibliography is longer than two pages, classify it and divide it into sections, according to the type of sources (books, documents, journals, interviews) or periods of time.
- Must be represented in the table of contents

Appendices

- If appendices are used, they should appear as the last section of the dissertation and should be represented in the Table of Contents.

Order and Pagination of Dissertation

Use the table below to insure the correct order of your dissertation prior to submission to the Graduate School Office.

Pages/Section	Required	Pagination
Title Page	Yes	No (assumed Page i)
Dissertation Committee Page	Yes	No (assumed Page ii)
Abstract	Yes	No (assumed Page iii)
Copyright Page	Yes	No

Academic History	Yes	No (assumed Page iv)
Dedication	No	Yes, begins with page v
Acknowledgements	No	Yes, if no Dedication then begin with “v” here
Table of Contents	Yes	Yes, if no Dedication or Acknowledgements then begin with “v” here
List of Tables	Yes (if tables used)	Yes
List of Figures	Yes (if figures used)	Yes
Other Items (List of Abbreviations, etc.)	Yes (if included)	Yes
Body	Yes	Yes, begin “1” here
Bibliography	Yes	Yes
Appendices	No	Yes

Section 2: Submitting and Publishing the Doctoral Dissertation

Electronic Submission to ProQuest

Please follow the directions below to submit the dissertation online. Any questions can be directed to drobertson@clarku.edu.

Before beginning the submission process, the student must ensure that:

__The dissertation is in the final version. Once the Format Advisor has submitted the dissertation to ProQuest, revisions cannot be made.

__The full text of the dissertation is in **one** file.

__The full text of the dissertation has embedded fonts and is in Adobe PDF format. If the text is not already in PDF format, a converter is available on ProQuest’s submission site.

__If the PDF converter is used, check the document for accuracy before uploading.

NOTE: It may take 1 or more days to receive the converted PDF from the converter. Plan accordingly.

__The complete file size of the document is less than 100 MB.

__An active email account (other than your Clark email account) in order to create a ProQuest account which students can monitor on a regular basis.

__A credit/debit card readily available for online payment if registering a copyright or ordering copies.

Deposit Agreement Form

ProQuest will make a master copy of the dissertation. Upon request from scholars in the field, an electronic or paper copy can be obtained. The publishing agreement form grants ProQuest exclusive rights to publish from their master copy. If you choose to copyright, you retain all other control over your dissertation. ProQuest will handle the entire copyrighting procedure for you.

Publication, Copyright, and Distribution of the Dissertation

Clark University requires publication of all doctoral dissertations. In order to meet this requirement, the Publishing Agreement must be completed and submitted online to ProQuest along with electronic submission of the dissertation.

“ProQuest will pay a 10% royalty to ALL sales of your dissertation. Royalty payments must exceed \$10.00 in a calendar year to be paid.

Publication by electronic submission does not preclude publication later by other methods. Please note that the Publishing Agreement grants ProQuest the right to distribute dissertations and abstracts by electronic means.

Cost

- There is ***no fee for traditional publishing*** of the dissertation through ProQuest; however, there is a \$95 fee for the open access publishing option. Also, a fee of \$55 is charged to register a copyright. (See Copyright section below for more information).
- Payment of the open access publishing fee and optional copyright fee is completed at the time of the dissertation submission. The following electronic payment types are acceptable: Visa, MasterCard, American Express, or a debit card with a major credit card company.

Abstract

- **Submission of the abstract is done online with the dissertation submission.** Please note: that it will also be included in your PDF, the electronic submission tool has a separate place that you must type in your abstract.
- ProQuest no longer has a word limit on the abstract submitted; however, most abstracts contain approximately 350 words.

- The abstract will be available to other scholars who may wish to learn more about the dissertation topic before ordering a copy of the dissertation through ProQuest.

Copyright

There are two aspects to copyright considerations (a) copyright of the dissertation, and (b) the use in the dissertation of material copyrighted to others.

- a) The Copyright Act adopts the principle of “automatic copyright”. Works that are created after January 1, 1978 are copyrighted under the federal statute upon their creation. A “work” is created when it is fixed in a tangible form of expression i.e., written or drawn on paper; sculpted or made; placed on film, disc, or videotape; or recorded on sound tape or saved as a computer file. Copyright registration is not a condition of copyright protection. Even though registration is not a requirement for protection, the copyright law provides several inducements or advantages to encourage copyright owners to make registration, including the ability to sue someone for infringement, should that occur. Registration of copyrights with the U.S. Copyright Office may be made for all works before or after publication.

Copyright notice consists of © or the word “copyright,” the name of the owner of the copyright, and the year that the work was created. The notice should be affixed in a manner and location that gives reasonable notice of the copyright claim. Affixing a copyright notice is no longer required by law. However, it is a good idea and is also recommended. If ProQuest is to register a copyright for the dissertation on the student’s behalf with the Library of Congress (of which the U.S. Copyright office is a subsidiary), the Copyright Authorization on the Publishing Agreement section must be completed online.

- b) The Copyright Act provides for the legislative recognition of “fair use” of copyrighted materials. The “fair use” of copyrighted work for purposes such as criticism, comment, news reporting, teaching (including multiple copies for classroom use), scholarship, or research, is not an infringement of copyright. The student, as the author, bears the responsibility of determining whether “use” is fair or not. In determining whether the “use” in any particular case is “fair use”, the factors to be considered include:

- The purpose and character of the “use”, including whether such “use” is of a commercial nature or is for nonprofit educational purposes;

- The nature of the copyrighted work;
- The amount and sustainability of the portion used in relation to the copyrighted work as a whole;
- The effect of the “use” upon the potential market for or value of the copyrighted work

Note: If a dissertation includes materials from journal articles or other publication authored by the student, a letter authorizing use of this material must be obtained from the publisher and submitted ProQuest. If the student did not retain sufficient rights to include the material in the dissertation, consult publication agreement to determine what rights were retained.

Questions regarding patent and trademark should not be considered lightly because of its legal nature. For questions, a legal counsel should be consulted. The Graduate School staff is not authorized to answer any legal questions. Students may wish to contact ProQuest Author Relations Department at disspub@proquest.com or 800-521-0600 ext. 77020.