



**GUIDE FOR THE
PREPARATION OF
DOCTORAL DISSERTATIONS
AND
MASTER'S THESES**

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Introduction

The doctoral dissertation is a requirement for the Ph.D. in Textile Engineering and Science. The master's thesis is a requirement for graduate programs in Sustainable Design, Textile Design, and Textile Engineering. It is optional in the graduate programs in Fashion Apparel Studies, and Midwifery. The doctoral dissertation and the master's thesis are permanent records of original research. Philadelphia University is committed to the preservation and dissemination of the research contributions of its students; most of the requirements published in this guidebook were established with that commitment in mind. Additionally, format requirements were developed to meet the specifications for microfilming by University Microfilms, Inc. (UMI). The content of a dissertation or thesis is the prerogative of the student and the Dissertation or Thesis Committee. This document outlines procedures that are designed to make preparation as efficient as possible and describes the required format of the document. **Please read and follow these procedures carefully to avoid costly and time-consuming revisions.**

Students in the master's program in *Textile Design* are required to submit a master's thesis that represents an investigation of a product, process or design approach in their areas of specialization. The thesis encompasses the student's design work presented in a thesis format. The master's thesis should include both visual and written documentation and be integrated into the student's final exhibition. The format for the master's thesis must follow the guidelines outlined in this document. Textile Design students should consult with their program director and advisors for specific instruction on preparing both the master's thesis and the exhibition.

Writing a dissertation or thesis is a major undertaking. It differs from any other graduate work in character, breadth and depth. For a description of the process, the steps involved, and the roles and responsibilities of student, faculty, and administration, refer to the Philadelphia University **A Primer on Graduate Research**. Instructions, documents, forms and other resources for dissertation and thesis can be found on the graduate resources web site: <http://www.philau.edu/gradstudent/>.¹

¹ We acknowledge gratefully the assistance of the Graduate School at Cornell University in the preparation of this guidebook. Thanks are also due to Dr. Judith McKee who prepared the first and many subsequent editions of this document.

Overview and Timeline of the Dissertation and Thesis Process

Getting Started (0-18 credits)

- Doctoral and master's thesis students are encouraged to consider dissertation and thesis topics early in their graduate programs (between when first matriculating until 18 credits are completed). Discussions about your research interests should begin the first week of matriculation (entrance into the graduate program). Schedule appointments with the faculty teaching your courses, as well as program directors and deans. The goal of these meetings are to introduce yourself, discuss possible thesis topics, and to identify a Dissertation or Thesis Committee Chairperson.
- Once a member of the graduate faculty from the home school agrees to serve as the Dissertation or Thesis Committee Chairperson for a student, the two will meet to identify at least two additional graduate faculty members from the University to serve on the Dissertation or Thesis Committee. Exceptions to this guideline are possible for students enrolled in programs with fewer than three full-time faculty members.

The committee should consist of faculty with specific areas of expertise that complement the dissertation or thesis research topic. These are faculty who will help review your work and provide feedback through the entire research process.

- When the Dissertation or Thesis Committee has been identified, the Dissertation or Thesis Committee Chairperson will file the [Dissertation or Thesis Committee Selection Form](#) with the program director. The student will schedule a meeting of the committee members to discuss the research topic and develop a preliminary research agenda and written schedule of work.
- The student will develop a preliminary research agenda and written schedule of work – *A Work Plan and Schedule for Dissertation or Thesis* for completing the dissertation or thesis. Students will outline a specific plan for conducting the research and for preparation of the dissertation or thesis in accordance with the **Guide for the Preparation of Doctoral Dissertations and Master's Theses** (this document). A schedule with timelines must be included.

- The student will schedule a meeting of the Dissertation or Thesis Committee to review the *A Work Plan and Schedule for Dissertation or Thesis*. A copy of the plan will be submitted **at least five days prior** to the scheduled meeting date.
- When the Dissertation or Thesis Committee approves the plan, the student will begin the dissertation or thesis project.
- Selected programs include a thesis preparation course. If a dissertation or thesis preparation course is recommend or required, to receive credit, it is expected that you make satisfactory progress in the form of one or all of the following, but no less than the first three items:
 - Formation of a thesis or dissertation committee (and submission of committee form).
 - Development of research topic in concert with faculty supervisor
 - Perform a literature review (where appropriate).
 - *Topic* defense (assuming success, your *proposal* for research would be accepted).
 - Develop a comprehensive research plan.
 - Primary research underway or completed by end of preparatory dissertation or thesis course.

Whether or not there is a preparatory course, before registering for the final dissertation or thesis course, all of the items in this list should be completed.

Registration for Dissertation or Thesis Defense (19 – 36 credits)

The number of credits associated with a graduate program varies greatly, but from the mid-point to the end of the program, the remaining work should be clearly defined. While enrolled in the last dissertation or thesis course, during your final semester, time should be devoted to writing the research findings or presenting and editing your work. All the research or other preparatory work should have been concluded prior to enrolling in this course.

Registration status for taking dissertation or thesis defense. In order to complete the dissertation or thesis defense, a student must be registered in the appropriate graduate program (either in residence or in absentia) during the semester in which they defend the dissertation or thesis.

Students who successfully defend their dissertation or thesis and submit a final draft of the work that is complete and editorially acceptable, will receive a letter grade and will earn either one, three, six or nine credits, depending upon the program, for their dissertation or thesis coursework.

Failure to Complete Dissertation or Thesis

Students who do not successfully defend their dissertation or thesis and submit a final draft of their work during the last semester in which they are registered will either receive the grade of "Incomplete" ("I"), or the grade of "TH" for the dissertation or thesis coursework, according to the **matriculation maintenance** policies outlined in the graduate catalog and as determined by the Dissertation or Thesis Committee Chairperson.

If students are capable of defending their dissertation or thesis within the grace period (approximately four weeks into the next semester, including summer sessions), the grade of "Incomplete" will be awarded.

Following successful defense and submission of the final draft of the dissertation or thesis to the School Dean, the Dissertation or Thesis Committee Chairperson will complete a change of grade form for the coursework. Students who fail to defend and submit their dissertation or thesis during the grace period must re-register for dissertation or thesis until they successfully defend their dissertation or thesis. The grace period ends on the date corresponding to when semester "I" or incomplete grades are changed to "F" or failing; these are listed on the academic calendar.

Students who are judged by the Dissertation or Thesis Committee Chairperson to be incapable of successfully defending their dissertation or thesis during the grace period will receive the grade of "TH" for their dissertation or thesis coursework.

- In addition to being enrolled in the appropriate program, students must re-register for dissertation or thesis coursework in the subsequent fall or spring semester immediately following the semester in which they enrolled in the dissertation or thesis course to remain in good standing. Exceptions for re-registration in the subsequent fall or spring semester must be approved by the school dean. Tuition equal to one graduate credit hour will be assessed for subsequent dissertation or thesis coursework.
- When the dissertation or thesis is successfully completed (i.e., final copies which are complete and editorially acceptable submitted for binding), the Dissertation or Thesis Committee Chairperson will submit a final grade for the dissertation or thesis coursework, and the student will

- earn either one, three, six, or nine graduate credits (depending upon the major field) for the semester during which the dissertation or thesis was defended successfully.

Reinstatement. A petition for reinstatement must be filed with the School Dean if: 1) more than one semester has elapsed since the candidate last registered or 2) the candidate has been on leave of absence and the leave has expired. **If a period of four years has elapsed since first registration in the degree program, a petition must be filed with the School Dean to request extension of the time limit for completion of degree requirements.**

Be sure to contact the School Dean well in advance if there is any question about registration status.

Before the Dissertation or Thesis Defense

- There is no “defense” of master’s projects for students enrolled in the Textile Design Program. **Textile Design students should complete the [Textile Design Master’s Thesis Approval Form](#)**, rather than the Master’s Thesis Approval Form, and should list the date of their Graduate Textile Design Exhibition on this form in lieu of a defense date.
- **At least four weeks before dissertation or thesis defense:** An outline and draft of dissertation or thesis must be provided to all Dissertation or Thesis Committee members.
- **At least seven days before defense:** Provide a word processed copy of final draft of dissertation or thesis, including abstract, title page, preliminary pages, appendices and references, to all Dissertation or Thesis Committee members. This draft may have to be modified as a result of the defense, **but this draft of the dissertation or thesis should be complete (title page to last page of references) in all respects and editorially acceptable for final approval at the time of defense.**

Secure signatures of the Dissertation or Thesis Committee members on the [Schedule of Dissertation or Thesis Defense Form](#). This form must bear the signature of each member of the Thesis Committee. (Another member of the school graduate faculty may, if necessary, sign on behalf of a committee member, if that committee member has agreed to the scheduling.) When submitting the Schedule of Defense Form to the Office of the Provost, **attach a copy of your dissertation or thesis to this form.** Upon receipt of the Schedule of Dissertation or Thesis Defense Form, the associate provost will post the date, time and

location of the dissertation or thesis defense on the graduate student web site (Posting of Doctoral Dissertation or Thesis Defense Form). The dissertation or thesis defense is open to the entire campus community. Only members of the Dissertation or Thesis Committee, the University faculty and the University administration may participate in the examination process. Either an official proxy form or a letter of proxy is required from a committee member who is unable to attend. The professor acting as proxy must be a member of the school graduate faculty and must be a member of the same graduate field as the faculty member being replaced. A member of a Dissertation or Thesis Committee cannot act as proxy for another member.

Prepare a word processed copy of the [Doctoral Dissertation or Master's Thesis Approval Form](#) on archival paper to take to the Dissertation or Thesis Defense. This form must be signed by the Dissertation or Thesis Committee. It is necessary for this to be on archival paper and for the upper part of the form to be typed because it will eventually be bound with the dissertation or thesis. Forms will not be accepted if the student's name is written by hand. Take this form to the dissertation or thesis defense. Thesis Committee members will sign this form at the defense if no changes to the dissertation or thesis are required. If changes to the dissertation or thesis are required, the Committee Chairperson will be responsible for ensuring that the changes are made and that the Dissertation or Thesis Committee members sign this form. The Approval Form will be included at the front of your bound dissertation or thesis.

After the Dissertation or Thesis Defense

- **No more than three days after defense:** The Dissertation or Thesis Committee Chairperson will forward the [Results of Dissertation or Thesis Defense Form](#) to the school dean and the student. In the event the candidate passes the dissertation or thesis defense conditionally, the candidate must meet those conditions before proceeding. Students should follow up by contacting their committee chairperson to confirm the results and request their copy of the signed form.
- **Within 30 days of defense:** Secure signatures of all committee members on [Doctoral Dissertation or Master's Thesis Approval Form](#) if they were not obtained at the Dissertation or Thesis Defense. Submit a final draft of the dissertation or thesis which is complete and editorially acceptable, to the committee and the program director. The draft will be subject to a final review to confirm that the dissertation or thesis

meets format requirements as set forth in these guidelines. The dissertation or thesis will be returned within 14 days with either recommendations to make the final copies, or suggestions for changes. The recommendations will be of a general nature, rather than a full editorial review. (For example, 'the citations are incomplete' or 'table headings are not in the correct format'.) It is the student's responsibility to correct these deficiencies and submit another draft for review. Once final approval has been given, and the final copies of the dissertation or thesis have been made on archival paper, submit three copies of the dissertation or thesis, and three copies of the **Doctoral Dissertation Approval Form, Master's Thesis Approval Form or Master's Project Approval Form** with signatures of all committee members (also printed on archival paper), along with a completed copy of the **Dissertation or Master's Thesis Binding Instructions Form** and **the binding fee**, to the Office of the Provost. The binding fee covers three copies; one each for the Philadelphia University Paul Gutman Library; one for the school conferring the degree, and one copy for the chair of your dissertation or thesis committee. Additional bound copies may be obtained upon request and payment of additional fees. As of August 2009, the binding fee is \$100 for the required first three copies. If you would like additional copies bound, the fee is \$30 per copy. This fee is subject to change. Please contact the Provost's Office for current cost information (215-951-2705). Your student account will be billed for the number of copies ordered.

The binding fee is not included in the graduation fee. Doctoral students must also submit the **UMI Microfilm Agreement** and payment and the completed **Survey of Earned Doctorates**.

Dissertations and theses are sent for binding twice each year in mid-July and mid-January. Student copies will be returned to the Office of the Provost approximately eight to ten weeks from the date they are sent to the bindery. Students should leave a current mailing address, telephone number, etc. with the Provost's Office when submitting final copies of their dissertation or thesis so that we may send additional copies ordered or to contact you for any questions.

Clearing Business Office Account

After completing the degree requirements, all candidates must clear their accounts with the Business Office. If students owe money, a hold will be placed on their accounts. Neither the transcript nor the diploma will be released until all bills are paid.

Loan Repayment

Students who have received Federal loans should consult with the University's Financial Aid Office concerning loan repayment procedures.

Degree Conferral Deadlines

After completing all degree requirements, students are cleared for degree conferral by their graduate program directors. Lists of approved degree candidates are submitted to the Registrar three times each year for degree conferral in May, August or December. The student must have completed all degree requirements ***before the deadline for that degree period***, including submission of the dissertation or thesis. ***No exceptions are made.*** Check with the program director, school dean, or registrar for specific deadlines for each semester.

Letter of Certification

Students who have completed all the requirements for the Ph.D. or master's degree, including the defense and submission of the dissertation or thesis, and who need a letter stating that fact before the conferral date of the degree, may obtain such a statement from the school dean. All fees must be paid before this letter can be obtained.

Commencement

Philadelphia University's annual Commencement is held at the end of the spring term in May. Candidates who are awarded degrees in August and December are encouraged to participate, along with May degree recipients in Commencement exercises. Information concerning Commencement will be available in the Registrar's Office after March 1st each year.

Diploma Distribution

Diplomas will be mailed approximately 8-10 weeks after the degree conferral date. Students must be sure to provide an up-to-date address on the **Application for Graduation Form** for mailing undistributed diplomas.

Dissertation or Thesis Format

Requirements for format and final production of the dissertation or thesis, as specified in this and the next section, are in accordance with University Microfilms, Inc. standards for microfilming and American Library Association (ALA) suggestions for preserving archival copies of the dissertation or thesis. Unless indicated otherwise, format requirements for the doctoral dissertation and master's thesis are the same.

Dissertation or Thesis Templates

A description of the research process, a file of sample pages for the doctoral dissertation or master's thesis, and all forms that must be submitted as part of the process are available in electronic format on the university web site at <http://www.philau.edu/gradstudent/>.

Never use a dissertation or thesis on file in the University Library as a guide or template because requirements have changed over the years.

Arrangement of Contents

Arrange contents in the following order. All sections are mandatory unless designated as optional.

- Title Page
- Doctoral Dissertation or Master's Thesis Approval Form
- Copyright Page
- Abstract
- Dedication (optional)
- Acknowledgements (optional)
- Table of Contents
- List of Tables (if applicable)
- List of Figures or List of Illustrations (if applicable)
- List of Abbreviations (optional)
- List of Symbols (optional)
- Text

Bibliography (or References or Works Cited)
Appendix/Appendices (optional)
Glossary (optional)
Index (optional)

Page Composition

Typeface. The entire text of the dissertation or thesis, including page numbers, must be produced with the same font or typeface. Exceptions are made only for tables and figures produced by different technology or by graphic artists.

Characters per inch. The type for the text must be 12-point. Footnotes may be single-spaced in a 10-point size, but must be in the same font as the rest of the text.

Margins. *Left margin:* One and one-half inches (1½") or larger. *Top, bottom, right margins:* One inch (1") or larger. These margins are absolutely essential and apply to all tables and figures. Page numbers must be in the same size font as the text, centered between the margins, at least ½ inch from the bottom of the page. Text should be left justified only (ragged edge along right margin).

Spacing. The dissertation or thesis must be double-spaced throughout except for quotations and footnotes. Spacing must be consistent throughout the document. Bibliographies may be single-spaced *within* each entry, but must be double-spaced *between* each entry. The table of contents, list of tables, list of figures, and lengthy tables may also be single-spaced. Double spacing needs to contain three lines of type and three spaces per vertical inch.

Equations and formulas. All equations and formulas must be typed.

Corrections. Strike-overs, correction fluid and correction tape are not acceptable.

Widows and orphans. Avoid "widows" (short lines ending a paragraph at the top of a page) as much as possible. A heading or subheading at the bottom of a page that *is not* followed by text is called an "orphan". *A thesis will not be accepted if it contains "orphans"*. Headings should be followed by at least two lines of text on the same page.

Titles of sections. The following sections must be titled accordingly, and titles should be in all capital letters. All titles are centered for the preliminary pages.

- ABSTRACT
- DEDICATION (optional)
- ACKNOWLEDGEMENTS (optional)
- TABLE OF CONTENTS
- LIST OF TABLES (if applicable)
- LIST OF FIGURES (or LIST OF ILLUSTRATIONS) (if applicable)
- LIST OF ABBREVIATIONS (optional)
- LIST OF SYMBOLS (optional)
- CHAPTER NUMBERS AND TITLES
- BIBLIOGRAPHY (or REFERENCES or WORKS CITED)
- APPENDIX (or APPENDICES) (optional)
- GLOSSARY (optional)
- INDEX (optional)

Pagination

The following plan of page numbering has been standardized and *must be observed*.

Preliminary pages. Preliminary pages include all the sections that precede the text. They are arranged and numbered according to the following format, using small Roman numerals (e.g., i, ii, iii...), in the same size font as the text, centered between the margins, at least ½ inch from the bottom of the page:

TITLE PAGE	i	page counted but number <i>not</i> typed on page
APPROVAL FORM		page not counted, not numbered
COPYRIGHT PAGE	ii	page counted but number <i>not</i> typed on page
ABSTRACT		page(s) not counted, not numbered
DEDICATION (optional)	iii	type number on page
ACKNOWLEDGEMENTS (optional)	iv	type number on page
TABLE OF CONTENTS	v	type number(s) on page(s)
LIST OF TABLES	vi	type number(s) on page(s)
LIST OF FIGURES or LIST OF ILLUSTRATIONS	vii	type number(s) on page(s)
LIST OF ABBREVIATIONS (optional)		type number(s) on page(s)
LIST OF SYMBOLS (optional)		type number(s) on page(s)

If the dissertation or thesis contains tables, figures, or illustrations, the appropriate list must be included in the preliminary pages. If any of the above sections are more than one page in length, each page is given the next Roman numeral, e.g.; the first page of the TABLE OF CONTENTS on page v; subsequent pages of the TABLE OF CONTENTS would be vi, vii, etc. *All Roman numerals must be at the bottom of each page, centered between the margins, whether or not the page starts a new section.*

Pagination for body of dissertation or thesis. The body includes:

Text

Bibliography (or References or Works Cited)

Appendix (or Appendices)

Use continuous Arabic numbers (e.g., 1, 2, 3...) for these sections, beginning with page 1. The Arabic numbers start in the text and the numbering continues through the appendices and the bibliography. Chapters begin on new pages. There should not be breaks between sections or before tables or figures, unless they occur naturally. *All page numbers should appear on the bottom-center of the page, at least ½ inch from the bottom of the page.* All pages, beginning with page one of the text, must be numbered consecutively. See also section on "Two-Volume Dissertations or Theses."

Components of the Dissertation or Thesis

Title Page

Title selection. The words in the title of the dissertation or thesis should be selected carefully to represent as accurately as possible the subject content. The words in the title are important access points to researchers who may use computerized keyword search techniques to identify works in various subject areas.

Authors of scientific and engineering dissertations or theses should use word substitutes for formulas, symbols, superscripts or subscripts, Greek letters, etc. *Examples:* "Chromosomal Localization of Alpha- and Beta-globulin of the Chicken, *gallus domesticus*" and "A Study of High Critical Transition Temperature Superconductivity in the Neodymium-barium-copper Oxide System." (From *Publishing Your Dissertation*, Ann Arbor, MI: University Microfilms, Inc., 1997.)

Title Page Format. (Refer to 'Sample' file for examples of title and other pages.) The title is in all capital letters, centered within the left and

right margins, double-spaced, about 1½ inches from the top of the page. At the vertical and horizontal center of the margins and double-spaced are the following five lines (all centered):

Line 1: A Thesis

Line 2: Presented to the Faculty

Line 3: of Philadelphia University

Line 4: in Partial Fulfillment of the Requirements for the Degree of

Line 5: Master of Science in (name of program)

The following three lines are centered within the margins approximately 1½ inches from the bottom of the page and are double-spaced:

Line 1: by

Line 2: Student's Name

Line 3: Month and Year of degree conferral (*No comma between month and year. Eligible months are May, August, December.*)

The student's name must appear as it is on file in the University Registrar's Office. The date on the title page should be the date of degree conferral, not the date the dissertation or thesis was submitted. The dissertation or thesis title and the student's name must be exactly the same wherever they appear in the dissertation or thesis: title page, copyright page. Students submitting two-volume dissertations or theses should refer to that section for further instructions regarding the title page.

Approval Form

The title page is followed by the completed dissertation or thesis approval form which must be signed by all committee members. Each copy of the form must be on archival paper when the work is submitted for binding.

Copyright and Registration

Copyright law involves many complex issues that are relevant to graduate students both in protecting their own work and in referencing the work of others (see "Acknowledging the Work of Others"). Discussion of copyright in this publication is not meant to substitute for the legal advice of qualified attorneys. A more detailed discussion of the copyright law can be found in the publication from University Microfilms, Inc. entitled *Copyright Law and the Doctoral Dissertation: Guidelines to Your Legal Rights and Responsibilities* by Kenneth D. Crews. Copies of this publication can be found in the Gutman Library.

Copyright protection automatically exists from the time the work is created in fixed form, and the copyright immediately becomes the property of the author. Registration with the United States Copyright Office is not required to secure copyright; it is a legal formality to place on public record the basic facts of a particular copyright. Although not a condition of copyright protection itself, registering the copyright is ordinarily necessary before any infringement suits can be filed in court.

To register the copyright: Students may write to the Information Section, U.S. Copyright Office, Library of Congress, Washington, D.C., 20559 to request forms. Telephone: 202-707-3000. See below for Internet information. Whether you decide to register the copyright or not, a notice of copyright should appear as the sole item on the page immediately following the title page and the Dissertation or Thesis Approval Form. The page is counted, but the number is not typed on this page. The copyright notice is *centered vertically and horizontally within the margins* as follows:

© 2011 John D. Student

The copyright symbol is a lower case "c" which must be circled. If the font does not have the © symbol, type the "c" and circle it by hand. The student's name must appear exactly as it is on file at the Registrar's Office, both on this page and throughout the thesis. The date on this page is the year of conferral of degree.

Additional information and forms from the U.S. Copyright Office are available on the Internet. Forms may be downloaded and printed for use in registering or renewing a claim to copyright. The forms and the information may be accessed and downloaded by connecting to the Copyright Office home page. The address is <http://www.loc.gov/copyright>.

Abstract

Every dissertation, thesis and project must have an abstract. The abstract should state the problem, describe the methods and procedures used, and give the main results or conclusions.

Doctoral Dissertations ONLY. University Microfilms, Inc. requires that the abstract be word processed (double-spaced) with the same typeface as the dissertation and that it not exceed 350 words. An abstract that meets the requirements is generally about 1 ½ double-spaced pages. The abstract may not be more than two pages, even if fewer than 350 words long. All paper quality, font, margin and spacing

requirements that apply to the text apply to the abstract also. The abstract pages are neither numbered nor counted. The heading of the Ph.D. abstract is as follows:

TITLE OF DISSERTATION

Student's Name, Ph.D.
Philadelphia University 20__ (year of conferral)

Begin the title 1½ inches from the top of the page. The dissertation title is centered between the left and right margins and appears in all capital letters. The student's name must appear as it is on file in the Registrar's Office. The title and name must be exactly the same wherever they appear in the dissertation. The date on the abstract page is the year of conferral, not the date the dissertation was submitted. Skip one double-spaced line and begin the abstract on the same page.

Master's Theses ONLY. The abstract must not exceed six hundred (600) words in length (approximately 2½ to 3 pages of double-spaced typing). Do not number the abstract pages, and do not count the abstract when numbering preliminary pages.

The heading "ABSTRACT" is centered within the margins at the top of the page. The master's thesis abstract does not display the thesis title, author's name, degree, college/university, or date of degree conferral.

Dedication

The dedication is optional. It does *not* have a heading, is centered on the page if less than one line (otherwise it should be left justified, ragged edge on right margin), can be in italics or regular typeface and does not have to be in English. The page is numbered at the bottom center of the page, using lowercase Roman numerals.

Acknowledgements

Acknowledgements may be written in the first person. Students whose research has been funded by outside grants should check with the principal investigator of the grant regarding proper acknowledgement of the funding source. Most outside funding sources require some statement of acknowledgement of the support; some also require a disclaimer from responsibility for the results. The heading, "ACKNOWLEDGEMENTS", is centered within the margins at the top of the page. The acknowledgements page(s) should use the same fonts, margins, spacing,

and paper quality as the text of the dissertation or thesis. The page is numbered at the bottom of the page, centered between the margins, using lowercase Roman numerals.

Table of Contents

Any standard format may be used for the table of contents. The only requirements are that the same font is used as in the text; page numbers must be listed for each chapter (sections may be included, as well); and that each page of the table of contents is numbered at the bottom of the page, centered between the margins, using lowercase Roman numerals. Listings in the Table of Contents should not run into the page number column. The heading "TABLE OF CONTENTS" is centered within the margins at the top of the page. The preliminary sections, except for the title page, approval form, copyright page, and abstract are listed in the table of contents. Do not list individual appendices in the Table of Contents; list only "Appendix" or "Appendices" and the page number of the first appendix.

List of Figures, Tables or Illustrations

There must be separate pages for LIST OF FIGURES, LIST OF TABLES, or LIST OF ILLUSTRATIONS, even if there is only one example of each. Lists must contain the exact titles or captions as they appear in the text. The page is numbered at the bottom of the page, centered between the margins, using lowercase Roman numerals. The page heading, "LIST OF _____" is centered between the margins, at the top of the page.

Footnotes/Endnotes

Textual notes that provide supplementary information, opinions, explanations, or suggestions that are not part of the text are optional, but if used, must appear in footnotes or endnotes. Placement of footnotes (e.g., at the bottom of the page) or endnotes (e.g., at the end of chapter or text) should be consistent with the style manual selected. *Note: Footnotes may be single-spaced in a 10-point size but must be in the same font as the text. Footnotes may not be required if students use style manuals that permit parenthetical references or other formats for acknowledging the work of others.*

Footnote numbering can be continuous throughout the dissertation or thesis or may start again for each chapter or page, but the method must be consistent. For example, inserted footnotes may not be numbered 25a; the footnotes following the insertion must be renumbered.

Figures, Tables, Photographs, and Foldouts

Follow these guidelines when including figures, tables, photographs and foldouts in the dissertation or thesis.

Tables and Figures. Tables and figures *must* be placed as close as possible to their first mention in the text. They may be placed on a page with no text above or below, or they may be placed directly into the text. *If a table or figure is alone as a page (with no narrative), it should be centered within the margins on the page.* Tables and figures may not be placed at the end of the chapter or at the end of the dissertation or thesis. Figure and table numbering must be either continuous throughout the dissertation or thesis, or by chapter, e.g., 1.1, 1.2; 2.1, 2.2, etc. There cannot be two figures numbered 5, for example, in a dissertation or thesis.

Headings or titles of figures and tables should be placed at the top of the table, figures, etc. The headings should be left justified. (See style manuals appropriate to one's field and the sample page in this guidebook.)

Sources, captions, notes associated with figures, tables, etc. should be placed at the bottom of the figure or table and should be left-justified. If the figure or table takes up the entire page, the caption should be placed alone on the preceding page and centered vertically and horizontally within the margins. Each page receives a separate page number. When a title is on a preceding page, the second and subsequent pages of the figure or table should state, for example, Figure 5 (Continued). The first page of data does not have the caption with the word "Continued". In such an instance, the List of Figures or List of Tables will list the page number containing the title. The word "figure" and "table" should be written in full (not abbreviated), and the "f" or "t" should be capitalized, for example: Figure 5.

If a table or figure is more than one page, the second and subsequent pages should say at the *top* either Table 5 (Continued) or Figure 5 (Continued), and the caption is omitted. Horizontal figures and tables must be positioned correctly: they will be bound at the *top* (i.e., the top of the figure or table will be at the left margin). Figure and table headings/captions are placed with the same orientation as the figure or table when on the same page. When on a *separate* page, headings/captions are always placed in vertical orientation, regardless of the orientation of the figure or table. Page numbers are always placed as if the figure were vertical on the page.

If figures are done by a graphic artist, the dissertation or thesis will be accepted. Figures done with software are acceptable if the figures are clear and legible. Legends and titles done by the same process as the figures will be accepted if they, too, are clear and legible and at least 10- or 12-point size. Otherwise, the legends and captions should be printed with the same font that is in the text. The use of colors may be appropriate for some fields. If colors are used within a figure, be sure that the original is of good quality and can be reproduced with clarity.

All graphs, diagrams, line drawings, manuscript facsimiles, maps, chemical formulas, computer printouts, etc., included in the body of the dissertation or thesis must be on archival paper and must be produced by acceptable permanent methods. Pages should not vary from the standard 8 ½ x 11 inches. Plan the illustrative materials so they can be reduced to meet this specification. They should be centered between the margins on a page with no text above or below. Exceptions to this rule are discussed in the section on foldouts.

For reduction of material, always use machines that can reduce one percent at a time. If figures or tables are too large to be reduced satisfactorily, they should either be split into several pages, or redone. Long tables may be single-spaced, and text may be slightly reduced. Page numbers and headings must not be reduced. All lettering must be clear, readable, and large enough to be legible on microfilm. The rule of thumb is that all lettering, including subscripts, must still be readable when reduced 25% beyond the final version. The white space around the text or figures must meet all margin requirements.

Photographs. In order for photographs to be considered archival, they must be black-and-white. If color photographs are necessary, they must be accompanied by photographs of the same subject in black-and-white.

If the photographs are smaller than 8 ½ x 11 inches, they should be produced on a lightweight or single-weight polyfiber paper with a glossy finish. Mount the photographs on the same archival paper as the rest of the dissertation or thesis. Have them dry-mounted professionally, affix them with a spray adhesive mount, or use a dry-mount that adheres to all paper surfaces, coarse and smooth (archival paper is not porous). Never use rubber cement; pictures will fall out of the dissertation or thesis after three or four years.

An alternative to using actual photographs is to prepare the original using a photograph which is mounted (either permanently or in a temporary fashion) onto a page which has the correct page number and figure caption. This page can then be photocopied, using a color laser photocopier, directly onto the archival paper required for final submission. The resolution is usually high using this process, which works for black-and-white photographs as well.

Foldouts. Foldouts are discouraged. However, if large tables, illustrations, etc., cannot be placed in the regular 8½ x 11 inch format, then 11 x 17 inch archival (if available) paper may be used. The same margin requirements apply: 1 ½ inches on the left and one inch on the top, bottom and right. This leaves an area of 9 x 14½ inches to be filled with text. The student should not fold these pages; roll them and put them in a mailing tube. If material is larger than 11 x 17 inches, such as a map or drawing, it should be placed in a tube with the student's name, degree, and year of conferral written on the tube. If possible, those insertions should also be on archival paper. The bindery will create a pocket on the back of the bound dissertation or thesis and insert the materials in that pocket. Include a copy of all foldouts for each copy of the dissertation or thesis to be bound. Be sure to mention in the text that loose materials are included in the pocket of the dissertation or thesis.

Documentation of Sources

Bibliographies, works cited, references are all forms of documenting sources. The use of one over the other is dictated by the style or format selected. Students may use the *MLA Style Manual*, the *Publication Manual of the American Psychological Association (APA)*, *The Chicago Manual of Style*, or the standard citation format used by a major journal in one's academic field is also acceptable, but the style must be consistent throughout the dissertation or thesis. Students should consult with their advisors to determine appropriate style manuals and must be prepared to provide a copy of the style manual on request when submitting the final draft.

Bibliographies may be single-spaced *within* each entry, but must be double-spaced *between* each entry.

Appendix

Materials which are peripheral but relevant to the main text of the dissertation or thesis should be placed in appendices. These may include survey instruments, additional data, computer printouts details of a

procedure or analysis, a relevant paper written by the student, etc. Appendix material must meet the same requirements of page composition, pagination, legibility, and paper quality as the text itself. On the first page of each appendix the page number is placed at the bottom of the page, centered between the margins.

Copyrighted Material

If a student uses any copyrighted material in the dissertation or thesis, it is the student's responsibility to give full credit to the author and publisher of work quoted. The acknowledgment should be made (e.g., placed in a footnote) according to the style manual selected.

Additionally, the student must determine whether use of the material can be classified within "fair use" guidelines. If the student has included material beyond the concept of "fair use", then the student must obtain written permission from the copyright owner. Two copies of each permission letter should be submitted with the dissertation or thesis. For a more detailed discussion of "fair use", see *Copyright Law and the Doctoral Dissertation: Guidelines to your Legal Rights and Responsibilities*, published by University Microfilms, Inc. or *The Chicago Manual of Style* published by the University of Chicago Press.

If one has already published, or had accepted for publication, part of one's own dissertation or thesis material in a journal, it is necessary to write to that journal and obtain written authorization to use the material in one's dissertation or thesis.

Reference Sources for Style and Format

Although formats vary among fields, adherence to accepted standards of usage in matters of grammar, punctuation, and mechanics is required. Students should check with their Dissertation or Thesis Advisors for field-specific style and format requirements. If a field has no specific requirements, then use a standard format such as one described in the following references (which are available in the Gutman Library):

Joseph Gibaldi. *MLA Handbook for Writers of Research Papers*. 6th ed. New York: Modern Language Association of America, 2003.

Day, Robert A. *How to Write and Publish a Scientific Paper*. 5th ed. Phoenix: Oryx Press, 1998.

Publication Manual of the American Psychological Association. 5th ed. Washington, D.C.: American Psychological Association, 2001.

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

You may also want to check the following Internet resources: [Philadelphia University Learning and Advising Center](#); APA style: ([University of Illinois at Urbana-Champaign](#)); Chicago style: ([University of Wisconsin-Madison](#)); and MLA style: ([University of Illinois at Urbana-Champaign](#)).

Many use MLA as the style of choice and many have a difficult time with in-text citations, especially those that reference electronic, online, or other Internet sources. You may also wish to review the following documents:

- 1) *How do I Document Sources from the Web in the Works Cited List for My Research?* Modern Language Association. June 29, 2008
http://www.mla.org/publications/style/style_faq/style_faq4. <[Click here](#)> for a copy of in PDF format.
- 2) *Guide to Writing Research Papers: MLA Style*. Capital Community College. June 29, 2008
<http://www.ccc.commnet.edu/mla/online.shtml>. <[Click here](#)> for a copy of in PDF format.
- 3) *MLA Format: In-text Citation*. University of Illinois at Urbana. June 29, 2008
http://www.english.uiuc.edu/cws/wworkshop/writer_resources/citation_styles/mla/mla.htm. <[Click here](#)> for a copy of in PDF format.

To cite an article that appears online and then will be available in print, refer to the article "*How soon can you read and cite JIBS articles?*" by David Bull, AIB Newsletter, Volume 14, Number 1, First Quarter, 2008, page 3; And "*What is a Digital Object Identifier (DOI)?*" page 4.
<[Click here](#)> for a copy of in PDF format.

If you need assistance with MS Word or other software (how to set margins, etc.), please consider using **Atomic Learning** tutorials which are free for anyone with a PhilaU account. Simply go to the [OIT web site](#) - <http://www.philau.edu/oit/> - and select "Atomic Learning."

Production of the Dissertation or Thesis

The dissertation or thesis must be produced with a word processor. The printing must be on a laser printer or a printer of similar quality.

Copying Process and Paper Specifications

All submitted dissertations and theses must be clear enough to be read easily and to provide legible microfilm. Dirty pages, or pages containing spots or smudges, whiteouts, roller marks, or gray lines are not acceptable and must be retyped or recopied. The graduate program director and school dean must approve the manuscript before it is copied for final submission.

The dissertation or thesis should be printed on 8½ x 11 inch paper, using only one side of the sheet. The final copies submitted to the Provost's Office must be on archival paper (acid-free, 20-24 lb., white 25% cotton paper).

All copies of the final dissertation or thesis submitted must be original copies. Make sure that each copy of the dissertation or thesis is properly collated and that no pages are missing, duplicated, placed in incorrect order, or turned sideways.

Two-Volume Dissertations and Theses

Measure the thickness of the dissertation or thesis to determine if it is one or two volumes. Approximately three inches of paper will fit in one volume. Please consult with the provost's office if your thesis measures three inches in thickness to determine whether it requires a second volume.

In dissertations or theses with two volumes, the second should continue the numbering of the first volume. Each volume should contain a title page with the words Volume I (or Volume II) added to the page, directly beneath the title. Include this information in the Table of Contents. The title page of the second volume is counted as a text page in the Arabic numeral counting, but a page number is not included on the page. Subsequent pages should reflect this count.

Checklist for Dissertations and Theses

Format (see page 12)

- ✓ All pages 8½ x 11 inches, one side only.
- ✓ Typeface consistent throughout text – 12-point.
- ✓ Margins – at least 1½ inches on left, at least one inch on all other sides.
- ✓ Double-spaced (except Bibliography, Table of Contents, List of Tables, List of Figures, lengthy tables, quotations, and footnotes).
- ✓ All equations and formulas typed (superscripts and subscripts all legible).
- ✓ No “orphans.”
- ✓ Avoid “widows.”

Preliminary Pages (see page 13)

- ✓ Lower case Roman numerals (e.g., i, ii, iii,…) used at the bottom of the page, centered between the margins, with at least a ½ inch margin from the bottom of page.
- ✓ Arranged in proper order.

Copyright (see pages 15-16)

- ✓ Notice of copyright on page immediately after title page and approval form.

Abstract (see pages 16-17)

- ✓ Double-spaced.
- ✓ Same typeface as dissertation or thesis.
- ✓ Not exceeding 600 words (350 words for doctoral dissertations).
- ✓ Pages not numbered or counted.
- ✓ Proper heading format.

Text (see Page Composition, page 13)

- ✓ Each chapter begins on a new page.
- ✓ Text is left justified, ragged edge along right margin. Top level headings are centered.
- ✓ Sections within chapters do not begin on new pages (unless occurs naturally).
- ✓ Arabic numerals (e.g., 1, 2, 3…) used at the bottom of the page, centered between the margins, with at least a ½ inch margin from the bottom of page.
- ✓ All pages numbered consecutively.

Footnotes/Endnotes – optional (see page 18)

- ✓ Style of footnotes consistent throughout dissertation or thesis.
- ✓ Footnote numbering consistent.

Figures, Tables, Photographs, and Foldouts (see pages 19-21)

- ✓ Figure and table numbering either continuous throughout dissertation or thesis or by chapter.
- ✓ Table headings placed at **TOP** of tables.
- ✓ Figure captions placed at **BOTTOM** of figures.
- ✓ Proper paper specifications.
- ✓ All lettering clear and legible.
- ✓ Glossy black and white photographs, not silk finish
- ✓ Mounted photographs on same archival paper as rest of dissertation or thesis and according to specifications.
- ✓ Foldouts (to be placed in a pocket during binding) are included in mailing tube.

Documentation of Sources (see page 21)

- ✓ MLA, APA, Chicago style, or standard citation format for discipline.
- ✓ Consistent use of style throughout text, footnotes, and bibliography.

Production, Printing, and Paper Specifications (see page 24)

- ✓ All printed on archival paper (acid-free, 20-24lb., white, 25% cotton).
- ✓ Three original copies and three copies of [Dissertation or Thesis Approval Form](#).
- ✓ Each copy is properly collated (in proper page order).
- ✓ Each copy is sharp and clean (no corrections, white-out, etc.)

Forms to Submit (see pages 4, 7-9)

- ✓ Dissertation or Thesis Approval Form (typed), signed by Dissertation or Thesis Committee.
- ✓ Completed copy of the Binding Instructions Form.
- ✓ License to Use Copyrighted Material, if appropriate.
- ✓ Survey of Earned Doctorates (doctoral students only).
- ✓ UMI Doctoral Dissertation Agreement Form (doctoral students only), signed by student with a copy of title page and abstract attached.

Payments to Submit (see page 9)

- ✓ Binding fee (\$100 for three copies; \$30 for each additional copy). [Note that the binding fee is subsidized by the university and the charge does not cover total costs. This fee may change, so please confirm by calling the Provost's Office at 215-951-2705. Your student account will be billed for the number of copies ordered.]