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Introduction

Preparation of a thesis is one of the most important parts of the work leading to a doctoral degree. This manual is meant to help you meet the required standard of organization, appearance and format for theses at the University of Rochester.

At the University of Rochester, the doctoral thesis is expected to be an original work by the student, formulated in a scholarly manner and with content of a quality consistent with respected publications in your field. Your thesis will become a publicly available document that may serve as a reference for many years.

Many guidebooks and style manuals are available for dissertation writers. Consult with your school or department regarding preferred styles and writing guides for your field. Regardless of reference format and other stylistic differences, the basic formatting stipulations of this manual apply.

The registered version of your thesis is not a draft. Although the examining committee may require revisions, the thesis should be submitted for registration in final form. The associate dean, University Dean or appointed oral examination chair may turn back any thesis that is insufficiently edited or carelessly formatted and the defense will be postponed. It is in your best interest to produce a polished, carefully edited and well-written document for evaluation by the dissertation defense committee and chair.

The PhD Thesis Registration Process

Submit a complete and final paper copy of your thesis to the graduate studies office in your school according to the school’s specified deadlines. The Appointment Form with committee names and signatures must be submitted with the thesis, along with other required forms. Consult with your department graduate coordinator in advance to be sure the other required forms will be ready.

When you submit the registration copy, you must provide copies of the thesis identical to the registration copy to all members of your committee, as well as to the chair of your defense when that person has been named by the school graduate dean. Committee members may have read earlier versions, but all must use the same version at the defense.

The faculty director of your PhD program and the graduate dean of your school or similar official then will approve the thesis for registration and see that it is delivered to the University Dean of Graduate Studies before the University deadline. When the thesis arrives in the Office of the University Dean of Graduate Studies and is accepted along with evidence that you have satisfactorily met all other degree requirements, it is considered registered.

Staff in your school and in the Graduate Studies office may make corrections on the registration copy. This copy of the thesis is then sent back to you in care of your Graduate Coordinator. Make no changes to your thesis prior to the defense, but be sure to incorporate any corrections in the final copy after the defense before uploading it to ProQuest®.
After the defense, if the committee has required changes to be approved by one or more of its members, it is your responsibility to provide the corrected final version for their approval, and they will be asked to submit written confirmation of that approval to University Graduate Studies. Failure to do so could delay conferral of your degree.

**Date of Award of your PhD Degree**

Your PhD degree is awarded by the University Board of Trustees at one its three meetings each year - October, March or May. On the title page of your thesis, use the year in which the degree will be conferred. This may or not be the same as the year of your defense.

**Formatting your Thesis**

**Language and General Rules of English**

Your thesis must be written in English, except where the subject matter demands otherwise and an exception has been approved by the school’s dean for graduate studies and the University Dean of Graduate Studies.

General rules of English should be followed, including:

1. Capitalize the first and last words of the title and all nouns, pronouns, adjectives, verbs, adverbs and subordinate conjunctions.
2. Use lower case for articles, coordinate conjunctions and prepositions (unless they are the first or last words of the title).
3. For hyphenated words in titles, always capitalize the first element. Capitalize the second element if it is a noun or proper adjective or if it has equal force with the first element (e.g. Twentieth-Century Literature).
4. Use the simplest possible scientific words or terms that are recognizable to those in your field. The title of your thesis will be accessed by search engines based on the words it contains. Lay persons within the University also will receive listings that include your thesis title. Avoid abbreviations, esoteric terms and jargon.
5. Specific rules apply to capitalization of non-English words including Latin words such as genus and species. Please refer to guidelines of your specialty for proper expression.

**Page and Document Formatting**

The narrative of the thesis should be formatted for 8.5 x 11-inch paper in portrait format (text running across the shorter dimension of the page).

All margins must be at least 1.25” (one and one-quarter inches), including those on tables, figures, and appendices. Tables or figures may be printed in landscape layout (content running across the longer dimension of the page) if necessary. Landscape-format tables should be formatted with the top on the left (binding) side. The left margin must be at least 1.25 inches.

Page headers in the top margin may be used but footers in the bottom margin should not be used. The header font should match the font used in the text. Headers should be short enough to accommodate page numbering.
Font size must be at least as large as 10-point Arial or 12-point Times New Roman. Fonts in figures and tables may be smaller than 11-point, but all must remain legible when reduced to 50% size. Ultimately, you will upload a copy of your thesis to ProQuest®/UMI. Because ProQuest®/UMI produces printed half-size bound dissertations it important to follow the font size as stated above. In addition, color figures or plates may be included but should be interpretable in black and white if duplicated as such by ProQuest®/UMI.

The front matter (abstract, biographical sketch, dedication, contributors and funding sources, table of contents, etc.) and body of the text must be double-spaced.

Long quotations set apart in paragraphs, figure captions, tables, figures and lists in appendices may be single-spaced. The bibliography or reference list may be single-spaced.

The paper copy of the dissertation for registration may be printed either single-sided or in duplex (back-to-back). It must be printed clearly on good-quality paper and securely bound in some manner. Do not use three-ring binders because pages can easily tear out.

**Page Numbering**

After the title page, each page in the thesis, including pages with tables, figures, references and appendices, must include a page number. The title page is considered page “i” but is the only page that does not include a number on the page. The front matter (all pages preceding the first page of Chapter 1, including the Table of Contents) is paginated using lower-case Roman numerals (ii, iii, iv, etc.) The first page of Chapter 1 is page 1. All pages that follow, including the narrative, any figures or tables, bibliography and appendices, are numbered consecutively in Arabic numerals. Do not renumber from the start of each chapter.

Page numbers must be placed in the top margin of each page, either at the top right or centered. They may be placed outside of the required margins (between the required margin and the page edge) but should be at least ¾ inch from the edges of the page.

The location of page numbering must be consistent. If it is not feasible to print the page number in the consistent location on a page, such as when a full-page glossy print is inserted or a landscape-layout figure is used, write the page number neatly in black ink in the same location as the text pages.

**Placement of Tables and Figures in the Text**

Each table and figure must have a unique number and title and must appear on a numbered page, either alone or on a page with text. Table and figure titles must be identical in the table of contents list and the text. If it is necessary to have the legend on a separate page, it also must carry its own page number.
The Order of Thesis Contents

The thesis must include the following components in the following order. Optional pages are noted. Instructions follow on format and content of several of these sections.

The page numbering scheme is provided as an example, but numbering should be adjusted based on the components included and the number of pages of each.

Page Numbering | Content
---|---
i. | Title page (counted as first page but no page number printed on page)
ii. | Dedication (optional)
iii. | Biographical Sketch (not to be called Curriculum Vitae)
iv. | Acknowledgments (optional)
v. | Abstract
vi. | Contributors and Funding Sources
vii. | Table of Contents
viii. | List ofTables (where appropriate)
in. | List of Figures (where appropriate)
x. | List of Schemes (where appropriate)
xii. | List of Symbols (where appropriate)

1. | Text of the thesis (starts on page 1)
2. | Summary or conclusion (may be a section of the final chapter)
3. | Bibliography or References
4. | Appendices (where appropriate)

Title Page

The title of the thesis is typed in upper and lower case letters. Do not use all upper case letters. This is to insure that the words (such as proper names) within the title are capitalized correctly when listed elsewhere.

Do not include degrees or credentials of your advisor, and do not list other members of your committee. Committee members are listed in the Contributors and Funding Sources page.

The name of your department and school appear on the title page. If you are in an interdisciplinary program, list the program name rather than a department, followed by the school(s).

Provide the year (but not the month or day) of your degree conferral. If you will defend in the fall semester, the date of your degree is likely to be the following year.

(See Appendix)
Dedication (optional)

This is a single statement on a separate page indicating an individual or group whom you wish to honor by the production of this work. Acknowledgments are different; see below.

Biographical Sketch (not to be called Curriculum Vitae)

Provide some basic facts about your scholarly life and career. These include the colleges and universities attended; the major fields of study at each; and the degrees and academic honors awarded. If you have relevant professional experience such as employment in your career field, you may describe it briefly. Follow this with a description of your work at the University of Rochester, including dates of residence, graduate programs pursued, name(s) of advisor(s), and all university appointments (e.g., fellowships, scholarships, research and teaching assistantships, traineeships). Do not include a complete scientific curriculum vitae or professional resume.

Follow this narrative with a reference list of all works published or in review for publication during your time at the University, including content or results from the dissertation that have been published in full or in part. This listing may include publications mentioned on the Contributors and Funding Sources page.

The dissertation will not be approved if it is subject to governmental or other restrictions that limit freedom of publication.

(See Appendix)

Acknowledgments (optional)

Acknowledgments are a statement of appreciation from you to others, such as mentors, advisors, colleagues, friends and family, for their support during your doctoral study. Recognition of colleagues’ or mentors’ direct contributions to this work and of awards or funding sources that provided support for the work will appear in a subsequent section on Contributors and Funding Sources.

Abstract

The abstract should present a brief summary of the thesis, indicating the purpose, the procedures or methods used, the results or product that was produced, and the conclusions you reached. The abstract should be written very carefully and proofread by your advisor because it will be distributed worldwide by ProQuest® in the electronic database “Dissertation Abstracts International.” In print indexes produced by UMI, the abstract will be truncated at 350 words, so you may wish to use this as a length limit. Electronic listings will include the full abstract regardless of length.

Contributors and Funding Sources

All theses must include a page entitled “Contributors and Funding Sources.” In this section, name all members of the dissertation committee. Then, any collaboration with others in
carrying out your dissertation research or in publications reflecting that research must be
clearly described, and your independent contributions must be made clear. The sources of
financial support for your research must be listed. If you completed all the work independently
without outside funding support, indicate this here as well.

(See Appendix)

Table of Contents

The table of contents must indicate the title and page numbers of the main divisions or
chapters and the major subdivisions or subheading levels. The numbering and wording used
in the Table of Contents must match the numbering and wording of the titles and headings in
the text.

You need not include every level of subheading, but if you include any listings from a certain
level, you must include all from that level. Levels can be indicated in the table of contents by
indenting, numbering or both.

The bibliography and any appendices must be listed with their starting page numbers. It is
optional to list the front matter pages (abstract, acknowledgments, etc.).

(See Appendix)

List of Tables (where appropriate)

If tables are included, all tables, whether on separate pages or included in pages of text, must
be numbered and listed. Tables must be numbered uniquely and consecutively from beginning
to end of the thesis. Table titles listed must be identical to the titles used within the body of
the work.

(See Appendix)

Lists of Figures, Schemes or Symbols (where appropriate)

If photographs, maps, diagrams, graphs or drawings are included, a list with numbers, titles,
and thesis page numbers must be included. If more than one category of illustration is used,
provide an individual List of Figures, an individual List of Schemes and an individual List of
Symbols, etc., each starting on a new page.

As for tables, figures must be numbered uniquely and consecutively from beginning to end of
the thesis, and figure titles listed must be identical to those used within the body of the work.

A list of symbols or abbreviations may be included after the lists of tables and/or figures.
Provide, in alphabetical order, the abbreviations and the words they represent. Page numbers
are not required.
Bibliography or Reference List

Books, articles and other materials used in the dissertation should be listed according to the accepted bibliographic practice in the field of your thesis. A single bibliography at the end of the dissertation is preferred. If you list references or a bibliography at the end of each chapter, the first page of each should be listed in the Table of Contents. Bibliographies may be single-spaced.

Ethical scholarship requires that you show clearly the sources of the facts and concepts represented in your dissertation, whether published books and articles, unpublished historical documents or theses or personal communication with other workers in the field. The format of this documentation varies by field. Consult with your Department and Advisor for standard reference procedures in your discipline and apply them consistently. **Plagiarism, even if unintentional, can result in forfeit of your degree.**

Appendices

Long or detailed tables, questionnaires, approval letters or other materials that are relevant to the thesis but are not necessary to understanding the text, should be placed in an appendix or appendices and listed in the Table of Contents. All appendix pages must be numbered.

Previously Copyrighted Material

If your dissertation includes any material subject to prior copyright, including psychometric instruments, poetry, fiction, images or figures, you MUST provide evidence that you have permission from the prior publisher to include them in your thesis. If inclusion is important, start early to secure permission because these will be required when uploading the final thesis to ProQuest®. If you do not have permission to use such content, eliminate it before final submission.

Preparing for Dissertation Submission to ProQuest®/UMI

The University has a contractual arrangement with ProQuest®/UMI Dissertation Publishing for the on-demand publication of PhD dissertations and the electronic and print publication of PhD abstracts in *Dissertation Abstracts International*.

**NOTE:** DMA, EdD and DNP students should check with their schools for requirements regarding ProQuest®/UMI.

All PhD students are required to complete the ProQuest Dissertation Publishing Agreement on the University of Rochester ProQuest®/UMI web site. You may set up your online account before your defense so that you can familiarize yourself with the site and be ready to complete the process after the defense. Much of the required descriptive information can be completed before the defense, but do not upload the abstract or dissertation until after the defense when all corrections have been made and the document is finalized. The uploaded version must reflect all requested corrections from the committee and the graduate studies offices, and, if stipulated at the defense, must have been approved by the advisor or committee.
You will receive an email of instructions on completion of degree requirements from the University Graduate Studies office the day following your defense. Your graduate coordinator can assist you to access the ProQuest®/UMI website and complete the uploading process. Please be sure to follow all of these instructions so as not to delay receiving your degree.

Plan Ahead for a Smooth Defense

Pay careful attention to the three PhD degree cycle deadlines. These are timed to permit registration and defense before each of the three Board of Trustees meetings when degrees are granted (October, March and May). In each degree cycle, there is a deadline for the last day to register your dissertation, the last day you can hold your defense, and the last day to complete your degree requirements, consisting of uploading the final abstract and dissertation to ProQuest. There are no exceptions to the deadlines. If a deadline is missed, your name cannot be approved by the Council on Graduate Studies and presented to the Board of Trustees until the following meeting.

When you are preparing to submit your dissertation for registration, be sure to inform your Graduate Coordinator or program assistant of your plans well ahead of time. As described earlier, several forms with faculty and associate dean signatures must accompany your dissertation. You also will want to take full advantage of internal reviews of the dissertation before registration in order to minimize the number of errors in the registration version.

At the completion of a successful defense, you will receive detailed information regarding all final degree requirements. It will be a stressful time so be sure to collect and read carefully through all the information.

Best wishes in completing your PhD requirements, and we look forward to seeing you at Commencement!
Dissertation Title Typed in Upper and Lower Case Letters: Not all Caps or all Lower Case Letters

by

Your Name [no degree credentials]

Submitted in Partial Fulfillment of the

Requirements for the Degree

Doctor of Philosophy

Supervised by Professor [Your Advisor's first and last name-- no degree credentials]

[Department if applicable- see examples below]

School Name

Examples:

Department of Chemistry
Arts, Sciences and Engineering
School of Arts and Sciences

Department of Mechanical Engineering
Arts, Sciences and Engineering
Edmund A. Hajim School of Engineering and Applied Sciences

OR

Department of Music Theory
Eastman School of Music

Health Practice Research
School of Nursing

Education
Warner School of Education

Business Administration
Simon School of Business

OR

Department of Biochemistry and Biophysics
School of Medicine and Dentistry

Program in Neuroscience
School of Medicine and Dentistry

University of Rochester
Rochester, New York

2014 (or year of degree conferral)

Notes: No page number is printed on the title page but it is counted as page "i".
Primary advisor or co-advisors are listed, not the entire committee.
Department name is listed if program arises from one department
Program name is listed if different from department name or crosses departments.
School or schools are listed.
Biographical Sketch

The author was born in CITY, STATE. HE/SHE attended XXXX University, and graduated with a Bachelor of ARTS/SCIENCE degree in MAJOR FIELD. Describe Master’s degree if from an institution other than the University of Rochester. Describe professional or career path prior to doctoral study if applicable. HE/SHE began doctoral studies in FIELD at the University of Rochester in 200X. HE/SHE was awarded [if applicable: a NAME(s) Fellowship in 200X and 200X] and [if applicable] received the Master of ARTS/SCIENCE degree from the University of Rochester. HE/SHE pursued HIS/HER research in SUBJECT under the direction of ADVISOR NAME.

The following publications were a result of work conducted during doctoral study: [list full bibliographic reference information in the format used elsewhere in the dissertation]

Publication A

Publication B

Etc.

Notes: This is page ii.
The Biographical Sketch is written in the third person.
Do not include the anticipated date of your doctoral degree.
EXAMPLE OF
Contributors and Funding Sources

This work was supported by a dissertation committee consisting of Professor XXXX (advisor – also note if co-advisor) and XXXX of the Department of (Home Department) and Professor(s) XXXX of the Department of (Outside Department). The data analyzed for Chapter 3 was provided by Professor XXXX. The analyses depicted in Chapter 4 were conducted in part by Rebecca Jones of the Department of Biostatistics and were published in (year) in an article listed in the Biographical Sketch. All other work conducted for the dissertation was completed by the student independently. (If applicable) Graduate study was supported by a Provost Fellowship from the University of Rochester and a dissertation research fellowship from XXX Foundation.

ALTERNATIVE EXAMPLE IF APPLICABLE

This work was supervised by a dissertation committee consisting of Professor XXXX (advisor – also note if co-advisor) and Professor(s) XXXX of the Department of Home Department and Professor(s) XXXX of Outside Department. All work for the dissertation was completed independently by the student.
## Example One:

### Table of Contents

<table>
<thead>
<tr>
<th>Chapter</th>
<th>Title</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Introduction</strong></td>
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</tr>
<tr>
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<tr>
<td>Chapter 5</td>
<td>Intended and Foreseeable Consequences, Acquiescence, and Moral Responsibility</td>
<td>156</td>
</tr>
<tr>
<td>Chapter 6</td>
<td>The Failure of Utilitarianism</td>
<td>197</td>
</tr>
<tr>
<td></td>
<td><strong>Bibliography</strong></td>
<td>237</td>
</tr>
<tr>
<td></td>
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<td>256</td>
</tr>
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<thead>
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<tr>
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</tr>
</tbody>
</table>