

THE PREPARATION OF DOCTORAL THESES

A MANUAL FOR GRADUATE STUDENTS

**UNIVERSITY OF ROCHESTER
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Preface

Preparation of a thesis is one of the most important parts of work leading to a doctoral degree.

At the University of Rochester, the doctoral thesis is expected to be an original critical or synthetic treatment of an appropriate subject, an original work of creative art, or an extended report of independent research, formulated in a scholarly manner and of a general excellence consistent with publication as a book or in scholarly journals of quality. The thesis is a written document that will usually serve as a reference for many years; for most students it is the first such work. It is enlightened self-interest to make it an object of which the student will be proud. To do so requires time and care. Few dissertations assembled in haste qualify as excellent by the ultimate standard, i.e., the author's private conviction that the work is the best of which he or she is capable.

This manual is meant to help you in the preparation of your thesis. It does not deal with the art of scholarship. There are numerous guidebooks and style manuals available for dissertation writers. However, before beginning the writing of the dissertation, we suggest that the student consult with his or her department regarding preferred styles for that particular field. In this manual our intent is more modest, but still important--to help you to bring your thesis up to the required standard of organization, appearance, and format for the University of Rochester.

Before preparing the final copy of your thesis, check the contents of this manual systematically. In so doing, you may avoid mistakes that can be time-consuming and costly to correct.

The Arrangement of the Thesis

The material presented in the thesis must be divided into the following major divisions in the order shown:

Title page
Dedication (optional)
Curriculum Vitae
Acknowledgments (optional)
Abstract
Table of Contents
List of Tables and/or Plates (where appropriate)
List of Figures (where appropriate)
List of Schemes (where appropriate)
List of Symbols (where appropriate)
Foreword (will be page 1)
Text of the Thesis
Summary or Conclusion
Bibliography or References
Appendices

Language

The thesis must be written in English, except where the subject matter demands otherwise, and an exception has been requested by the department chair and approved by the college Associate Dean for Graduate Studies and the University Dean of Graduate Studies.

Title Page (see example in appendix)

The title page must follow the example given in the Appendix of this manual. **The title of the thesis is typed in upper and lower case letters, not all capital letters.** This is to insure that the words within the title are capitalized correctly when listed elsewhere. General rules of English should be followed, such as:

- (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, 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) Be especially careful with scientific words or terms. Non-scientists will be referring to your thesis title for various purposes and these terms will be copied exactly as expressed on the title page. (Try to avoid esoteric terms and jargon.)
- (5) Specific rules apply to the capitalization of foreign words such as genus and species; please refer to guidelines of your specialty for proper expression.

The name of your primary advisor or co-advisors must appear on the title page; do not list other committee members. The name of your department and college/school appears on the title page. Please be sure they are correct, e.g.:

Department of Chemistry
Arts, Sciences and Engineering
School of Arts and Sciences OR Department of Music Theory OR
Eastman School of Music

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

(See Appendix for sample title page.)

Curriculum Vitae (see example in appendix)

This term is often misspelled. It is Latin for “course of life.” The curriculum vitae is to be in narrative form, phrased in the third person. The main facts about the author's life and academic career are stated. These include the date and place of birth; colleges and universities attended, with dates; the major fields of study at each; and the degrees and academic honors awarded. Following these data is a summary description of the author's work at the University of Rochester, including dates of residence, graduate programs pursued, name(s) of advisor(s), and all official appointments held (e.g., fellowships, scholarships, research and teaching assistantships, traineeships). A list of published articles or articles submitted for publication should also be included. Do not include an actual vita or resume.

Acknowledgments

The acknowledgment section, if used, would include statements of appreciation and thanks from you to others. Acknowledgments should be made not only to individuals but, if appropriate, to the agencies that provided support for the work.

Abstract

The abstract should present a brief summary of the thesis, indicating the purpose, the procedures or methods followed, the results achieved, and the conclusions which have been reached. The abstract should be written very carefully since it will be published by ProQuest in “Dissertation Abstracts International” and **should not exceed 350 words**.

An extra copy of the title page and abstract are required at the time the dissertation is registered. (The School of Medicine and Dentistry requires an additional copy of the abstract and title page prior to registration of the thesis. Check with your Associate Dean’s office for details.)

Table of Contents (see the two examples in appendix)

The table of contents must indicate the title and page numbers of the principal divisions or sections of the thesis and the principal subdivisions. Each subdivision should be indented on the table of contents page. The bibliography and any appendices must be listed with their page numbers. It is not required, but optional, that the front matter (curriculum vitae, acknowledgments, etc.) be listed in the table of contents. The numbering and wording used in the Table of Contents must match the numbering and wording used throughout the text.

List of Tables (see example in appendix)

This is a list of table numbers, titles, and thesis page numbers. All tables, whether on separate pages or included in the text, must be numbered and listed. Tables must be numbered uniquely and consecutively from beginning to end of the thesis. Each page in the thesis including pages with tables must have its own page number. (See page 6 for page numbering instructions.) Table titles listed must be identical to the titles used within the body of the work.

List of Figures, List of Symbols, or List of Schemes etc.

If photographs, maps, diagrams, or drawings are included, a list with numbers, titles, and thesis page numbers must be included. Figures must be numbered uniquely and consecutively from beginning to end of the thesis. Each page in the thesis including pages with figures must have its own page number. (See page 6 for page numbering instructions.) Figure titles listed must be identical to the title used within the body of the work. There must be an individual List of Figures, an individual List of Schemes, and an individual List of Symbols, etc.

Tables and Figures in the Text

Each table and figure must have its own unique number, title, and its own page number. A table or figure may appear on a separate page, and if smaller in size, it can appear on a page with text. Table and figure titles must be identical in the lists as in the text. If it is necessary to have the legend on a separate page, it also must carry its own page number. **Sideways tables are placed with the top on the left (binding) side. Be very careful of the margin on the left side; it must be at least 1.5 inches.** (Note: If you have a sideways Table or Figure, page number placement should be consistent with page numbering in the text, i.e., top center, top right, if possible.)

Foreword

If the research on which the thesis is based is a joint project carried out in collaboration with others, the author of the thesis should **state clearly in a foreword** to the thesis the character and extent of her/his own participation in the project. The foreword is a separate section immediately preceding the text. (see page 2, Arrangement of Thesis) and is **numbered as page 1**. Each dissertation chapter that is co-authored must be identified in the foreword, listing its co-author(s). This would apply to articles already published or accepted, manuscripts

that have been submitted for publication, and any other manuscripts. If the research on which the thesis is based is a project carried on in collaboration with others, the author of the thesis must state clearly in a foreword the character and extent of her/his own participation in the project.

Summary or Conclusion

This section, if used, will summarize the purpose, findings, and conclusions of the thesis. It typically will be somewhat longer and more detailed than the abstract.

Bibliography or References

Books, articles, and other materials used in the dissertation should be listed according to accepted bibliographic practice in the field of knowledge of the thesis. It is preferred that there be one bibliography listed at the end of the dissertation. It is acceptable, however, to have a bibliography at the end of each chapter, but this must be reflected in the Table of Contents.

Appendices (always included after the bibliography or references)

Long or detailed tables, data print outs, or other materials that support the thesis but are not closely related to the text should be placed in an appendix or appendices and listed appropriately. All pages must be numbered.

Documentation

The author of a thesis should show clearly the sources of the facts and concepts being used, whether these come from published books and articles, from unpublished historical documents, from unpublished theses, or as a result of personal communication with other workers in the field. The means of documentation--whether accomplished through footnotes, a bibliography, or through references in the text--varies from field to field. The student should consult with his or her department for standard procedures in that discipline and then apply them consistently throughout the dissertation.

The Physical Form of the Thesis Registered for the Defense

Paper and Binding

The paper copy of the thesis registered for the defense must be printed on 8.5 x 11 inch paper ("Xerox" quality paper is acceptable). Copies must be of good quality. Theses not meeting these specifications will not be accepted.

The paper copy that is registered must be bound in some manner (3-ring binders are not preferred).

Preparation of Paper Copy for Registration

The paper thesis must be printed neatly in black to produce a clear, dense copy. Standard or book-face fonts may be used (minimum 10-point/12-point font size). Print quality is important. Uneven density, "bleeding," and show-through will inevitably lead to poor copying.

The thesis text must have double-spacing or one and one-half line spacing with text on **only one side of the paper**. No page should appear with only one line of text. One line of text should be moved to the preceding page. A single line of text (widow line) at the end of a paragraph also should not appear at the top of a page, but should be moved back to the bottom of the preceding page. Lengthy quotations, tables, and footnotes (if used) may be single-spaced. In the bibliography, double spacing should be used between citations, but single spacing may be used within a single citation of more than one line.

The registered version of the thesis is **not to be considered a draft**. Although the examining committee may require revisions, the thesis is registered in final form. **Once the dissertation is registered, you may not make revisions until after the defense. If revisions are made between the time the dissertation is registered and the defense date, the defense will be cancelled.**

Margins

Margins must be a minimum of 1.5 inches on the left-hand side to allow for binding, and approximately 1.25 inches at the top, bottom, and right-hand side. There is flexibility in the top, bottom and right margins, but try to maintain consistency. **There is absolutely no flexibility for the left-hand side --- it must be 1.5 inches.**

Page Numbers

Front material pages (curriculum vitae, abstract, etc.) are to be numbered with **lower case Roman numerals at the top of the page**. The page number is not printed on the title page, but it is considered to be page i. All pages of the entire dissertation must have a page number.

Arabic numbers must be used to number all pages of the thesis other than the front material pages. A Foreword is part of the body of the dissertation, not front material pages. The Foreword is page number 1.

Page numbers must be placed at the top margin of each page, either to the right (preferred) or centered. They may be placed outside of stated margins, i.e., to the right .5 inch from the top and 1.25 inches from the side, or centered and .5 inch from the top.

The method of page numbering must be consistent except when a full-page glossy print is used, for example. In that case, the page number does not have to be printed on the page, but the page must still have a unique number which must be written in black ink on the top front.

Headers

Headers may be used (**but not footers**). It is preferred that the header font match the font used in the text. Headers must be kept short and not exceed half of the page so as to accommodate page numbering. Lengthy headers are not acceptable.

Drawings, Charts, Photographs, Maps, Large Tables

If the orientation is sideways, place the top to the left margin. The title should also be oriented sideways. Remember to maintain the required 1.5 inch left margin.

Materials larger than 8.5 x 11 inches should be reduced. However, the reduction must not be so great as to make the material difficult to read.

Each drawing, chart, map, etc. should be given an identifying number and title, assigned a page number, and listed in the appropriate list in the front of the thesis.

Number of Copies

One paper copy of the thesis to be registered for the defense must be submitted to the Graduate Studies Office in the student's school or college in sufficient time so that it can be approved and then delivered to the University Dean of Graduate Studies. When the thesis arrives in the office of the University Dean of Graduate Studies and is accepted, **it is then considered registered**. The Appointment Form proposing the committee and the date for the final examination must be submitted at the same time along with other required forms. The candidate should consult with her/his department graduate coordinator so that the required forms can be prepared. The registration copy must be bound (3-ring binders are not preferred). The registration copy will be given to the chair of the defense, who is appointed by the University Dean of Graduate Studies.

In addition, copies of the thesis must be distributed by the candidate to all members of the examining committee prior to registration or the defense will be cancelled.

Additional Comments for PhD students

The paper registration copy of the thesis is routed from your department to the school/college Dean/Associate Dean of Graduate Studies, and then to the University Dean of Graduate Studies. Reviewers at any or all of these levels may write comments on the paper copy. This same copy is sent to the chair of the final defense and she/he is instructed to hand it back to the student at the conclusion of the examination. It is the student's responsibility to check the paper copy carefully for any written comments and to consider them when preparing the final copy. Failure to do so may be cause for rejection of the final copy and could delay conferral of the degree.

ProQuest/UMI

The University has a contractual arrangement with ProQuest/UMI Dissertation Publishing for the storage of dissertations from this university, and the publishing of the abstract in “Dissertation Abstracts International.”

NOTE: For DMA, EdD and DNP students, check with your school for requirements regarding ProQuest including when you should fill out your paper form, and when it should be submitted to your school.

For all PhD students, you are required to complete the ProQuest Dissertation Publishing Agreement form at the University of Rochester ProQuest web site (paper forms will not be accepted). PhD students are no longer required to pay the University’s Thesis Archive Fee. It is recommended that you log in, set up your password, etc., before your defense so that you can familiarize yourself with the site and learn what you will need to do to complete the form. Your department graduate coordinator should give you information regarding the ProQuest form before your defense. You will also receive a packet of instructions at your defense which will include information regarding ProQuest.

PhD students are required to include the final version of their dissertation abstract on the site as part of completing the ProQuest form. Your abstract should not exceed 350 words (see page 3). Since you may have to make changes/revisions to your abstract after your defense, you must only include your abstract once you know your abstract is final.

PhD students will also be required to include a complete pdf of the final version of their dissertation on the ProQuest site. Again, since you may have to make corrections/revisions to your dissertation after your defense, you must not include a pdf of your dissertation on the site until it is the final version.

Concluding Comments

Always be sure to inform your department graduate coordinator of your plans well ahead of time as to when you think you are going to be ready to submit your dissertation for registration. There is paperwork that must accompany your dissertation which cannot always be produced on short notice. Department signatures are also required.

At your defense, PhD students will receive detailed information regarding all final degree requirements.

Always, always be aware of the three PhD degree cycle deadlines. 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. For PhD candidates there are no exceptions to the deadlines for completing all degree requirements so that your name can be presented to the Board of Trustees.

Appendix

This appendix contains samples of some of the page components of a doctoral dissertation. Refer to notations at the bottom of the examples and also to the narrative descriptions in the body of the booklet.

Examples Included:

Title Page

Curriculum Vitae

Two different examples of Table of Contents pages

List of Tables

Examples of a Foreword

Dissertation Title is Typed in Upper and Lower Case Letters:

Not all Caps or Not all Lower Case Letters

by

Your Name

Submitted in Partial Fulfillment

of the

Requirements for the Degree

Doctor of Philosophy

Supervised by

Professor Your Advisor

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

University of Rochester
Rochester, New York

2011

No page number is printed on the title page; it is, however, designated as page "i".
Title is typed in upper and lower case letters (not all caps).
Primary advisor or co-advisors are listed (not the names of the entire committee).
Student's department name is listed, along with college/school.
Year of final defense (month and day are not included).

Curriculum Vitae

The author was born in CITY, STATE on DATE, 19XX. HE/SHE attended ABCDE University from 19XX to 19XX, and graduated with a Bachelor of ARTS/SCIENCE degree in 19XX. [Include Master's degree from another institution along with the date if you have one.] HE/SHE came to the University of Rochester in the Fall of 200X and began graduate studies in FIELD. HE/SHE received a NAME(s) Fellowship in 200X and 200X. HE/SHE pursued HIS/HER research in SUBJECT under the direction of Professor NAME and received the Master of ARTS/SCIENCE degree from the University of Rochester in 200X.

List of Publications and Articles Submitted for Publication:

XXXXXXXX, xxxxx, xxxxx, date, Journal of xxxxx, etc.

XXXXXXXX, xxxxx, etc., etc, etc.

- Page numbers for front material are in lower case Roman numerals.
- Note spelling of "Curriculum Vitae".
- Curriculum vitae is written in the third person.
- Do not include the presumed date of your doctoral degree.
- Include list of articles submitted for publication and your publications.

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(Example used courtesy of Dennis Cooley, Dept. of Philosophy)

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(Excerpt example used courtesy of Rebecca Settle, Dept. of Chemistry)

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(Example used courtesy of Rebecca Settle, Dept. of Chemistry.)

Foreword

The author performed all experimental procedures in this thesis unless specified below:

Chapter 3, Figure 4: The virus xxxxxxxx described in Figure 4 and used throughout the thesis was produced by *zzzzzzzzzzzzzzzzzzzz*.

Chapter 5, Section B: The cell sorting used in experiments in this section were performed by wwwwwwww, Center for kkkkkkkkkk, University of cccccccccc.

Chapter 6, Table 2: Data used in this table was constructed by experiments carried out by dddddddddd and qqqqqqqqqq in the lab of Professor bbbbbbbbbbbb.

Foreword

The following chapter(s) of this dissertation was jointly produced. My participation and contribution to the research is as follows:

Chapter 2 of my dissertation was co-authored with Professor xxxxxxx. My contribution to this chapter is the analysis of zzzzzzzzzzz and the yyyyyyyyyyy. It has been submitted to the Journal of Wwwwwwwwww.

I am the primary author of Chapter 4. I collaborated with Profesor wwwwwwwww and with fellow graduate students Aaaaaaa, Bbbbbb, and Ccccc. This chapter has been published in the Journal of Dddddddd, Winter 2009, pages xxx.