



THE UNIVERSITY OF VERMONT  
**GRADUATE COLLEGE**

## **Electronic Thesis and Dissertation Guidelines**

*Please review these requirements before beginning the writing process.  
This will help you plan ahead and avoid missing important deadlines.*

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## CHAPTER 1: INTRODUCTION

This Electronic Thesis and Dissertation (ETD) Style guide is intended to assist you in the preparation of your Master's Thesis or Doctoral Dissertation, in most cases the final requirement for your degree. The Graduate College at the University of Vermont expects specific requirements as to the format and appearance of its theses and dissertations; such requirements assure a standard of uniformity and aesthetic consistency commensurate with the rigorous academic principles of the University. Theses and dissertations completed in Master's and Doctoral programs are published by ProQuest (<https://about.proquest.com/en/>) through an exclusive arrangement with the Library of Congress. These documents are also published electronically by ScholarWorks at the University of Vermont (<http://scholarworks.uvm.edu>), a free online archive of research done by members of the University community. **This electronic process is the standard submission procedure for The University of Vermont theses/dissertations; the Graduate College will not accept hard copy thesis or dissertation documents except in special circumstances at the discretion of the Dean of the Graduate College. Please read the full ETD policy [here](#).**

The flexibility of electronic publishing – fast becoming the standard for theses and dissertations – enables the Graduate College to determine its own standards, independent of the printing process. This guide will assist you in creating a thesis or dissertation that conforms to those standards. The University of Vermont entered into an agreement with ProQuest in November 2013. Under this arrangement, once students have completed a format check and successfully defended their thesis/dissertation, they will submit an electronic version of their thesis or dissertation directly to ProQuest/UVM online. Officials from the University of Vermont Graduate College will then review the document online and request revisions, if necessary. Complete submission procedures are located in [Chapter 7: Submitting your Document](#).

### **Plan Ahead**

- Follow the guidelines listed in this handbook
- Submit the [Defense Committee Membership Form](#) for Graduate College approval at **the beginning of the semester of your expected defense.**
- Complete your departmental requirements for a comprehensive exam(s). Your advisor must notify the Graduate College in writing of the completion of the exam, either by writing or using the form found [here](#).  
Review the degree requirements with your advisor and complete the [Intent to Graduate Form](#). Submit this form electronically to the Graduate College, with a copy to your advisor and program. Please download and save the form before completing it.

### **At Least Three Weeks Prior to Your Defense**

- Schedule your defense date, time, and room (your department administrator can help you with this) or set up your virtual defense on Microsoft Teams or Zoom.
- Submit an electronic copy of your [Defense Notice](#) to the Graduate College. Your department may require notice as well. You may not defend without sending a notice to the Graduate College.
- Complete a format/record check by sending a PDF or Word document of your thesis/dissertation to [gradcoll@uvm.edu](mailto:gradcoll@uvm.edu). Please note: this does not need to be a completed version of your document; a draft is fine!

### **Two weeks Before Your Defense**

- Submit an electronic copy of your defensible thesis or dissertation to all members of your defense committee for their review. Contact your department chairperson regarding the review period requirement.

### **After Your Defense**

- Ensure that the signed Defense Examination Record is turned in to the Graduate College within 3 days of your defense.
- Once all final revisions have been made, you must submit an electronic copy of your thesis/dissertation to the Graduate College within six weeks of your completed defense, or before the published Graduate College deadline – *whichever comes first*.
  - You will need the completed [Electronic Thesis and Dissertation Rights and Permissions form](#), **signed by your committee and advisor**. The Graduate College will supply a link to this form to your committee chairperson. In some cases, if there are revisions to be made on your document after your defense, your committee will wait to sign it until revisions are made to their satisfaction.
- The Survey of Earned Doctorates must be completed by all Ph.D. students online at <https://sed-ncses.org>

## **Graduation Dates**

The Board of Trustees grants graduate degrees each year in August, October, January, and May. In order to be eligible for a graduation period, all degree requirements must be met by the dates specified in the deadlines. **Graduate students are not permitted to take advantage of the “six credit walk policy.” This means you must complete all degree requirement including submitting a successfully defended thesis or dissertation before you can participate in a commencement ceremony.** Your official transcript with the title and date of your degree may be obtained through the Registrar’s Office after any of the graduation dates. Diplomas are printed and mailed to the address on file after each graduation.

## **Deadlines**

The Graduate College maintains deadlines for submission of theses and dissertations for each academic term. Students must submit their thesis or dissertation before the stated deadline in order to qualify for graduation in a given semester. Current semester deadlines may be found at <https://www.uvm.edu/graduate/resources> → For Students → Thesis/Dissertation Forms → Timetable for Thesis/Dissertation Students

\*\* Your final thesis/dissertation is due to the Graduate College 6 weeks after successful defense, or by the deadline identified above, whichever comes first. For extensions beyond the six week deadline, the Graduate College requires approval from the Defense Committee Chair or student’s advisor, however, the final deadline will never extend beyond the deadlines identified above.

## **Cost**

The Graduate College charges a fee for costs associated with the ETD system. This fee is required by the Graduate College and includes the cost of handling, processing, and archiving. Advanced Degree Fees will be charged to your student account upon turning in an Intent to Graduate Form at the following rates:

Certificate\*-\$10

Master’s Degree - \$20

Doctoral Degree- \$35

\*If you are receiving a degree and a certificate, you will not be charged the additional fee for certificate.

## Submission Checklist

Your complete electronic submission should include the following:

- A PDF document of your thesis or dissertation formatted according to the regulations set forth in this style guide and uploaded to [www.etsadmin.com/uvms](http://www.etsadmin.com/uvms).
- A completed **and signed** [Electronic Thesis and Dissertation Rights and Permissions Form](#). This form will indicate your preferences regarding electronic publication of your thesis or dissertation and should be uploaded to ProQuest directly. This form requires the signature of your committee and needs to be in PDF format.

## Paper Copies

The Graduate College does not accept paper copies of theses/dissertations. If you would like a personal copy, you have several options:

- You can order a hard bound copy printed on 100% cotton-acid free paper through ProQuest during submission. The approximate cost is \$55.
- You can take a paper copy to the Print & Mail Center (<https://www.uvm.edu/printandmail>)
- You can have a local copy center bind it for you (Kinko's, Staples, etc. at variable costs).
- Visit GradWorks Online (<https://gradworksonline.com/gradworks/#/>). You can upload a PDF of your document, design the look and feel of your book, and have it shipped to you.
- You can access a PDF of your document at any time on the ScholarWorks website (<http://scholarworks.uvm.edu>).



### Thesis and Dissertation/Graduation Checklist

- Become familiar with the format requirements and deadlines outlined in UVM's Electronic Thesis & Dissertation Guidelines.
- Submit a [Defense Committee Membership Form](#) for Graduate College approval at the beginning of the semester of your expected defense.
- Complete your department's requirements for a comprehensive exam.
- Submit [Intent to Graduate Form](#) electronically prior to established deadline.
- Notify your department coordinator that you intend to graduate
- Review your transcript with your department coordinator and/or advisor to ensure you have met all requirements to graduate and that all grades have been submitted.
- Select a date and time and reserve a room for your defense or set up a virtual defense. Submit an electronic copy of your [Defense Notice](#) to the Graduate College at least 3 weeks prior to your defense.
- Complete a Format/Record Check before deadline by emailing a PDF or Word document to the Graduate College at [gradcoll@uvm.edu](mailto:gradcoll@uvm.edu).
- Two weeks prior to your defense submit an electronic copy of your thesis/dissertation to all members of your committee for review.
- Defend your thesis/dissertation before the semester deadline.
- Ensure the Chairperson of your committee submits a hardcopy of the Defense Examination Record on your behalf within 3 days of completed defense.
- Complete the [Electronic Thesis and Dissertation Rights and Permissions form](#), signed by your defense committee and advisor and saved in PDF format. This form should be uploaded directly to ProQuest.
- Create and activate your ProQuest Account at [www.etdadmin.com/uvm](http://www.etdadmin.com/uvm). A step-by-step guide is located in Chapter 7 of the Electronic Thesis & Dissertation Guidelines.
- Select Publishing and Copyright option, and submit a final PDF document of your thesis/dissertation formatted according to the regulations set forth in the Electronic Thesis & Dissertation Guidelines.
- [The Survey of Earned Doctorates](#) must be completed by all Ph.D. students online.

You can order bound paper copies through ProQuest, Print and Mail, or a local copy center. Copies are responsibility of the author; the Graduate College does not provide copies of your thesis or dissertation.

### CHAPTER 3: SELECTING A DEFENSE EXAMINATION COMMITTEE

PLEASE NOTE: The Defense Examination Committee approved by the Graduate College is different from the Studies Committee, which is appointed by the student's department chairperson or graduate program director. The studies committee and defense examination committee need not be identical.

**MASTER'S:** Your defense examination committee will require a minimum of 3 members including an advisor and a chairperson. Your advisor and the chairperson must be appointed members of the UVM graduate faculty (a full list of graduate faculty may be found in the Graduate Catalogue). If you have coadvisors, there must be an additional member who is not an advisor or the chairperson. The chairperson must be from outside your and your advisor's department and program including primary and secondary appointments. The chairperson of your defense committee does not have to be from your studies committee. Your defense examination committee must be approved by the Graduate College. You must submit a Defense Examination Committee Membership Form (below) at the beginning of the semester in which you plan on defending and the committee form must still be current at the time of your defense. A new form must be submitted if your committee changes.

**DOCTORAL:** Your defense examination committee will consist of a minimum of 4 appointed members of the University of Vermont Graduate Faculty including an advisor and a chairperson (a full list of graduate faculty may be found in the Graduate Catalogue). At least two members must be from inside your department. If you have co-advisors, there must be an additional member from the graduate faculty who is not an advisor or the chairperson. The chairperson must be from outside your and your advisor's department and graduate program including primary and secondary appointments. The chairperson of your defense examination committee does not have to be from your studies committee. Your defense examination committee must be approved by the Graduate College. You must submit a Defense Examination Committee Membership Form (below) at the beginning of the semester in which you plan on defending and the committee form must still be current at the time of your defense. A new form must be submitted if your committee changes.

**EXCEPTIONS:** Check with your department for specific requirements concerning your committee, advisor, and chairperson. Individual departments may require more than 4 committee members or have specific membership requirements. For University-wide interdisciplinary programs, and/or programs that incorporate faculty from multiple departments, the chairperson must be from outside the department of the candidate's advisor. When appropriate, a non-UVM member or non-graduate faculty member may serve as an additional member on the committee if approved by the Graduate Dean. A written request from the advisor and current curriculum vitae from the member are required by the Graduate College.

**THESIS/DISSERTATION ADVISOR:** This advisor is typically your scholarly mentor - a faculty member in your program who works most closely with you as you proceed through all phases of your research. Your advisor usually has specific expertise in the field of your scholarship and offers guidance in the structure, content and methodology of the work. The advisor also assures that you are aware of current standards for the actual thesis or dissertation manuscript, its organization, and format. The additional members of your thesis/dissertation defense



committee are typically selected based upon specific types of expertise they hold as well. For example, you may identify a faculty member who has worked extensively with a certain type of experimental design that you are using, or perhaps the individual's scholarship has adopted a different but complementary theoretical perspective. In any case, the committee member might help you consider alternative or more in-depth ways of thinking about certain aspects of your scholarly project.

**ROLE OF THE CHAIRPERSON:** The defense examination committee chairperson serves quite a different role. First and foremost, the chairperson is responsible for assuring that the procedures and standards of UVM's Graduate College are met as you complete and defend your thesis/dissertation. This helps to ensure that the UVM degree you earn reflects some common standard of accomplishment across the University. The chairperson is the objective "outsider" (vis-a-vis your program) capable of ascertaining that the thesis or dissertation and defense meet university-wide standards and guidelines. At the same time, the chairperson is there to assure that you, the student, are receiving full and fair attention from the committee--the sort of opportunity and treatment that is due each and every student in UVM's Graduate College. Essentially, the chairperson serves a dual purpose, as a student advocate, and as a bearer of standards for the College as a whole. A student may choose to identify a chairperson who also has scholarly expertise closely related to the thesis/dissertation; this can be helpful but it is not necessary. In fact, interesting and important contributions can be made by a chairperson who has considerable distance from the field of inquiry. Approaching the issues from a different discipline, an individual can ask insightful questions and offer innovative perspectives that may be overlooked by those who have long been immersed in the traditions.

**ADVICE:** Be thoughtful and creative as you work to assemble your defense examination committee. Consider your own background - its strengths and its gaps - as well as those of your advisor; ask yourself what sorts of support you would find helpful (scholarly, motivational, practical, psychological, etc.) and try to identify committee members who can contribute accordingly. Then relax and take advantage of the different skills and insights your committee members can bring to bear on your work. The system is designed to support the development of first-rate scholarship on your part.

## CHAPTER 4: BEFORE YOU PREPARE YOUR DRAFT

There are several steps that you need to go through before you begin formatting your thesis/dissertation.

- 1. Take note of the published deadlines.** These deadlines indicate the date by which your academically complete document must be submitted to the system. An academically complete document is one to which all examining committee-ordered revisions have been made. Any formatting changes requested by the Graduate College can be made after the ETD editors evaluate your document during the submission process. Your document is not considered officially complete until all revisions have been made, including any Graduate College formatting requests.
- 2. Understand the formatting requirements in this document, the University of Vermont ETD Style Guide.** Do not use a previously published University of Vermont thesis or dissertation guidelines as a model. Format requirements may have changed, and the model may not be appropriate for your discipline or needs. Please note that the formatting requirements of the Graduate College supersede guidelines in any other style manual. You may wish to make use of the MS Word ETD Templates that the Graduate College has created. These documents are pre-formatted to Graduate College formatting standards. A LaTeX template is also available.
- 3. Choose an appropriate style manual.** The ETD Style Guide does not offer guidelines for formatting all elements of the document; it only outlines elements required by the Graduate College at the University of Vermont. For all other elements, please default to the standard style manual in your discipline. To determine the preferred style in your discipline, consult your advisor or program. Refer to a style manual for systems of scholarly reference, setting off direct quotations, numbering figures and tables, presentation of data, and similar features. For example, a psychologist will use the APA (American Psychological Association) manual; a student of literature, the MLA (Modern Language Association) manual.
- 4. Obtain written permission (if needed) for using copyrighted material.** The U.S. Copyright Act of 1976 established the concept of “fair use” of copyright material in published work, but it does not provide absolute guidelines. Although ProQuest will publish your dissertation, ProQuest does not have the responsibility of seeking permissions for you. ProQuest uses the Chicago Manual of Style definition of “fair use”. You should become familiar with the concepts outlined there. Generally, the use of a complete unit (a poem, journal article, photograph, map, letter, and so on) requires permission. It is more difficult to define at what point a lengthy excerpt exceeds fair use. Good judgment will tell you that reproducing a significant portion of another author’s work is not “fair”. However, be aware that “fair use” also touches on scholarly ethics and the use of which the quotation or excerpt will be put in your work. Another author’s work should not be used as a substitute for your own analysis and argument. When in doubt, seek permission; it is usually granted. For a sample letter requesting reprint permission, please see [Chapter 9: Sample Pages](#).

5. **Work with your advisor and/or defense examination committee to obtain permission before conducting research involving human and animal subjects or certain hazardous materials.** Prior to undertaking research using human subjects, you will have had to seek and obtain approval from the Institutional Review Board (IRB) (<http://www.uvm.edu/irb/>). All vertebrate species research must be pre-approved by the Institutional Animal Care and Use Committee (IACUC) (<http://www.uvm.edu/iacuc>). If your research involves hazardous materials – biological or chemical agents or recombinant RNA/DNA – you must have approval from the appropriate university committee(s) and campus Department of Environmental Health and Safety (<http://www.uvm.edu/safety/>).
  
6. **Obtain editorial, proofreading, or typing assistance.** If you hire someone to prepare your draft, you should provide them with the URL of this ETD Style Guide, and discuss special disciplinary requirements for your work. Remember to engage an individual early. You should also prepare a list of correctly spelled and hyphenated technical terms and foreign words for the typist, since standard dictionaries or computer spell-check utilities will not generally include such terms. The University of Vermont offers assistance through the Writing Center (<https://www.uvm.edu/gradwriting>). ***Please remember that the ultimate responsibility for the language, style and grammatical correctness of your thesis/dissertation, including editing and proofreading, rests with you, the author.***
  
7. **Investigate possible patent and public disclosure issues.** A significant number of invention disclosures submitted by graduate students are related to materials contained within that student’s thesis or dissertation. If your thesis or dissertation describes new technology, any publication (digital or otherwise), presentation or public posting – such as submission to ProQuest or ScholarWorks, the Digital Repository at the University of Vermont – may be considered a “public disclosure” of the invention. If such public disclosure is made prior to applying for a patent, certain patent and intellectual property rights may be compromised. It is the responsibility of the author of a work submitted to the Electronic Thesis and Dissertation Program at the University of Vermont to notify the [Office of Technology Commercialization](#) of such submission if the work has been, or will be, submitted in part or in its entirety as an invention disclosure. Additionally, an [invention disclosure form](#) will be required at the time of upload if an embargo has been requested.

## CHAPTER 5: PREPARING YOUR DRAFT

The University of Vermont Graduate College only accepts theses and dissertations in electronic format; this ETD Style Guide is focused on assisting your preparation of an electronic file that conforms to the standards set by the Graduate College. It will be submitted directly to [ProQuest](#) online and will be evaluated by the Graduate College.

### **Basic Format Requirements**

The final electronic file that you submit to ProQuest and the Graduate College must meet the following conditions:

- Submitted in PDF format
- Use Times New Roman or approved Serif font (Book Antiqua, Garamond etc.)
- Use 10 or 12 point font.
- Have correct margins, line spacing, page numbering, and page layout.

The Graduate College has developed thesis and dissertation templates for users of Microsoft Word. These templates can serve as a guide for students creating an acceptable thesis or dissertation document, and are available on our website.

### **Subject Format Requirements**

The Graduate College accepts either (1) the Standard Thesis or (2) the Journal Article Thesis. Consult your faculty Graduate Program Coordinator for the format appropriate to your program. It is the student's responsibility to meet all departmental requirements. Do not assume you may follow the format of another thesis or dissertation.

#### **Standard Thesis**

The Standard Thesis is one in which the candidate describes their scholarly work in the main body of the thesis, including a complete review of the literature and an exhaustive discussion of methodology, results and conclusions. The use of appendices is discouraged in the Standard Thesis except where the material would obviously disrupt the underlying thread of progress in the main body. For example, the candidate would: derive equations in the main body but place a lengthy digital computer program in an appendix; describe an instrument's use in the main body but place manufacturer's drawings and specifications of the instrument in an appendix; give the primary tabulated results in the main body but relegate extensive tables of raw preliminary data to an appendix.

**Students must consult their department to determine whether Chicago, MLA or APA is the appropriate form of documentation for their discipline.**

The Graduate College has authorized the use of Slade and Perrin's Form and Style: Research Papers, Reports, Theses, 13<sup>th</sup> ed. (Boston: Houghton Mifflin, 2008) as the general guide for the preparation of theses and dissertations in the Standard Thesis format. The guide incorporates form and style for MLA (Modern Language Association), APA (American Psychological Association) and Chicago Manual styles.

## Journal Article Thesis

The Journal Article Thesis includes one or more articles prepared according to the style requirements of a scholarly journal so that the article(s) is (are) suitable for publication. The article(s) should avoid extreme brevity and be understandable to the members of the candidate's thesis/dissertation committee even if this necessitates some elaboration of the standard article format; and the context for the article(s) described as follows:

Specific requirements:

1. The student must use the publication style of either (1) one of the discipline's reading periodicals or (2) the published standards of the professional association or discipline (e.g., Publication Manual of the American Psychological Association, or Council of Biological Editors [A.I.B.S.] Style Manual) for the article(s). Two or more articles included in the same thesis/dissertation may have different styles if written for different journals.
2. The thesis/dissertation must include an abstract, which is a summary of the entire thesis/dissertation.
3. The Citation page will give the literature citation for each published article included or specific information concerning submission for publication (i.e., name of journal and date of acceptance for publication or date of submission to journal). *The Citation page, if used, must be approved by the Graduate College.* See example in [Chapter 9: Sample Pages](#).
4. The main body of the thesis/dissertation will include one or more articles in approved journal or periodical style. The following are also required: (1) a Comprehensive Literature Review to precede the individual articles to provide an integrated perspective to the total body of research and literature; and (2) a Comprehensive Bibliography, including all references in the individual articles as well as those from the Comprehensive Literature Review.
5. Any article comprising a major portion of a thesis or dissertation must be the work of the student. **The student must be the sole author or, if there is more than one author, the primary and first listed author of articles prepared for publication.** In situations of more than one author, it is the responsibility of the studies/defense committee to determine that the research and writing is indeed that of the candidate for the degree.

Each article will contain its own reference section in addition to the comprehensive bibliography. The comprehensive bibliography must be in alphabetical order by last name of author.

The Journal Article Thesis contains appropriate appendices needed for detailed and ancillary information required for completeness and explanation but not usually presented in a published paper. Consult your faculty program coordinator or advisor for program specific requirements.

The organization of a Journal Article Thesis/Dissertation is as follows:

1. Title Page
2. Abstract Page - for entire thesis
3. Citation Page - special requirements apply
4. Dedication Page (optional)
5. Acknowledgement Page (optional)
6. Table of Contents
7. List of Tables
8. List of Figures
9. Comprehensive Literature Review
10. Article(s) - Format follows journals' specific requirements, including reference sections
11. Comprehensive Bibliography - Alphabetical order by last name of author
12. Appendices (at the end)

In all provisions except the Article(s) itself - which follows the format of a scholarly journal - the directives of the Graduate College, and Slade's Form and Style, or MLA, or APA shall govern the preparation of a Journal Article Thesis.

### **Mechanical Format for Standard and Journal Article Theses**

The Standard Thesis and the Journal Article Thesis differ in organization and placement of material, but not in overall content, scholarship, or clarity of presentation. Both theses have an identical title page, abstract, table of contents, and mechanical format (margins, pagination, etc.).

### **File Format**

ProQuest requires that the final thesis/dissertation document is submitted in Adobe Portable Document Format (PDF). Microsoft Word (.doc) and Rich Text Format (.rtf) files are easily convertible to PDF documents using conversion utilities provided by Adobe (<http://www.adobe.com>) and on the ProQuest thesis submission site. A full-function tryout version of Adobe Acrobat (PDF creation software) is available at <http://www.adobe.com/products/acrobatpro/tryout.html>.

Microsoft software, including Microsoft Word, is widely available, and is present on most UVM computers. Most commercially available word processing software packages, including WordPerfect (versions 6.0 and above) have the capability to save in Rich Text Format (.rtf); this is a text-based format that allows for the use of features such as bolding, italics, and underline. LaTeX and other technical software packages often have PDF creation utilities bundled with them or available as an add-in. The PDF document that ProQuest receives is the document that will be published; take appropriate steps to ensure that the PDF you submit accurately reflects your work.

**No matter what method you choose for preparing your draft, it is imperative to back up your work in at least two different places.** The Graduate College recommends an external hard-drive as well as a web or cloud-based back-up.

## **Font/Type Style**

The same font should be used throughout the thesis/dissertation, for text, headings, captions, labels, and references. The Graduate College requires a Serif font and strongly recommends using Times New Roman 10 or 12 point font. Tables, captions, and footnotes can be in a 10 point font. An exception to this rule is that you may create chapter and section headings that are two or three points larger than your standard typeface at your discretion. While the Graduate College strongly recommends Times New Roman, the following serif fonts are also acceptable:

Baskerville  
Book Antiqua  
Garamond  
Georgia  
Palatino

LaTeX Users: The Computer Modern fonts in LaTeX are in most cases acceptable substitute for the above fonts. Please keep in mind, however, that other defaults, including margins and headings in technical software such as LaTeX may not conform to Graduate College Standards. For symbols, use Symbol 12 or a symbol font compatible with your base font. Most word processors include basic character fonts.

## **Margins**

Each page must have a 1.5" left-hand margin, and a 1" top, bottom and right margins. Most word-processing packages provide a style or template that will set these automatically for your document. Please note that all pages must meet these requirements, including the title page, illustrations, tables, appendices, and curriculum vitae.

## **Justification**

Type may be left justified, which leaves a "ragged right" margin or may be full-justified, which establishes even margins on the left and right (as is used in this manual). You may wish to consult with your department as to the standards in your discipline.

## **Line Spacing**

Each page must be double-spaced, with the following exceptions:

- Front matter such as the title page, abstract, table of contents, lists of tables and figures must be single spaced.
- Tables within the text must be single-spaced.
- Definitions within glossaries or questions within surveys must be single-spaced, but double-spaced between entries.
- Scholarly references – footnotes, endnotes, bibliography or list of references – may be single-spaced, but double spaced between entries.

## **Page Number Placement**

Preliminary pages appear in lowercase Roman numerals (abstract is "i" but does not appear on the page. All other preliminary pages continue with ii, iii, iv ... up to the main body). These

numbers are centered above the 1" bottom margin. Text pages (beginning with the first page of your first chapter) appear centered above the 1" bottom margin in Arabic numerals (1, 2, 3 ...). An additional option that is less common, but optional, is to place these numbers in the top, right hand corner located exactly 1" from the top of the page and 1" from the right margin. On landscape-oriented pages containing graphs, figures, photos, or illustrations, the page number should be centered 1" above the bottom margin.

## Headings

Headings should be consistent throughout the paper with the use of bold, italicized letters and the use of capital or lower-case titles.

Correct Example:

**Abstract**  
**Acknowledgements**  
**Table of Contents**

Incorrect Example:

ABSTRACT  
**ACKNOWLEDGEMENTS**  
*Table of Contents*

Always use the headings system to separate and classify the different sections of the paper. Whether you use APA, MLA or Chicago Manual Style, keep your heading system consistent throughout your paper.

## Tables & Figures

Captions are placed above the table and are single-spaced. Captions are placed below the figure and are single-spaced. Captions should be a clear, concise phrase. Tables and figures may be included in text or precede the bibliography. Consult the requirements of your discipline. For example, for Psychology students, tables and figures follow conclusions unless inserted in the text.

## Chapters

Begin each chapter on a new page and number the page consecutively. Do not use a secondary page numbering system for sections within chapters.

## Front Matter

The formal elements are described below. The Abstract, Title Page, Copyright Page, and Table of Contents must be formatted in the method described; other pages, as long as they adhere to the previously stipulated requirements (font, margins, justification, etc.) may be designed as the author deems appropriate. Below is the required order of the formal elements of the dissertation.

1. Title Page
2. Copyright Page (optional)
3. Abstract
4. Citation Page (optional; must be approved by Graduate College)
5. Dedication Page (optional)
6. Acknowledgement Page (optional)
7. Table of Contents
8. List of Tables
9. List of Figures



10. Body of Text
11. Bibliography
12. Appendices
13. Glossary

### **Title Page**

The title page is required and must appear first with no page number. It MUST include the following information:

- The full title of your thesis/dissertation in capital letters and single spaced
- Your name as it appears in university records
- The month and year (separated by a comma) in which you will be receiving your degree (January, May or October)
- Names of all of your committee members

Word your title carefully. Electronic databases, citation indices, and bibliographies search using keywords, so choose terms that accurately reflect the content of your thesis/dissertation. Do not use abbreviations and balance the information on the page. [See a sample title page.](#)

### **Copyright Page**

Copyrighting your work is highly recommended, though not required. If you choose to include a copyright page, it is not numbered. Both master's degree and doctoral candidates may register their copyright on theses or dissertations. This can be done through the electronic submission process (via ProQuest) or through the Library of Congress. Follow the directions on the ProQuest website when you submit your document to have ProQuest register copyright on your behalf, or visit <http://www.copyright.gov> for information on registering directly with the United States Copyright Office. For the copyright page include the following information, centered on the middle of the page.

Example:

© Copyright by

[Your Full Name as it appears in University records]

[month and year of your degree]

### **Abstract**

An abstract is required; not numbered; single-spaced and only one page in length. Your abstract provides a summary of the thesis/dissertation, and conveys the essence of your work to those who may not wish to read the entire document. Abstracts include a statement of the problem, a summary of methods or procedures, the results, and the conclusions. It is officially page "i" but it is not labeled.

### **Citation Page**

A citation page must be included if you have submitted an article of your work for publication before the thesis has been submitted. If this is the case, complete a citation page based on the appropriate category listed below. Any article comprising a major portion of a thesis or

dissertation must be the work of the student. The student must be the sole author or the primary and first listed author of articles. This page must be approved by the Graduate College during the format check.

#### CITATION(S)

Material from this thesis (or dissertation) has been published in the following form:

Swenson, R.M., Doe, J. X., Thompson, J.P.. (2023). The effect of eating New York Super Fudge Chunk on the productivity of graduate students. *Journal of Ice Cream Eaters*, 10, 235-255.

#### AND/OR

Material from this thesis (or dissertation) has been accepted for publication in (name of journal) on (month, day, year) in the following form:

Swenson, R.M., Thompson, J.P.. (2023). The effect of eating New York Super Fudge Chunk on the productivity of graduate students. *Journal of Ice Cream Eaters*, 10, 235-255.

#### AND/OR

Material from this thesis (or dissertation) has been submitted for publication to (name of journal) on (month, day, year) in the following form:

Swenson, R.M., Thompson, J.P., Usher, K.L.. (2023). The effect of eating New York Super Fudge Chunk on the productivity of graduate students. *Journal of Ice Cream Eaters*, 10, 235-255.

The format of this page must be followed exactly as the instructions indicate. In this example, this page would be page “ii” and would be labeled as such.

#### **Dedication Page**

This page is optional, and is typically one or two sentences, double-spaced, and is numbered with lower case Roman numerals.

#### **Acknowledgement Page**

This page is optional, can be up to two pages in length, and is numbered with lower case Roman numerals.

#### **Table of Contents**

A Table of Contents is required for all theses and dissertations. Neither the “Abstract” nor the “Table of Contents” should appear within your table of contents. This page is numbered and should continue in sequence using lower case Roman numerals. Most word processing software will allow you to mark each chapter heading and subsection in the text and then

generate a table of contents automatically with correct page numbers retained. You may single-space between chapter subheadings, but must double-space between chapters or major sections.

Please note that the numbering of the entries in the table of contents must be consistent with any numbering system used in the text. To reiterate, if you number subheadings within chapter 1 as 1.1, 1.2, and so on, this same numbering must be used in the table of contents. However, you do not need to number or label subheadings.

### **List of Tables and/or Figures**

These pages are optional. Refer to your discipline-specific style guide or consult with your department coordinator if this list is necessary. If including this list, number pages with lower case roman numerals continuing in sequence.

### **Body of Text**

Begin page numbering with Arabic numeral 1 and number all subsequent pages consecutively to the end. Page numbers are centered at the bottom of the page, above the bottom 1" margin. The body of the thesis/dissertation should be double-spaced with each new chapter beginning on a new page. Long quotations may be single-spaced (if approved by the student's department).

### **Images/Photographs**

Theses and dissertations are only accepted electronically. All images, (photographs, plates, and illustrations) must be included in the electronic file. Images can be uploaded using a scanner, copying from another digital format or another method of reproduction. Most word processing programs, including MS Word allow you to embed objects such as images into the text.

### **Other Multimedia**

Some theses/dissertations will include video, audio, or another multimedia component. These materials should be converted into digital format (MP3 or WMA for audio files, MPEG, AVI or QuickTime for video files). You can then upload to ProQuest using the electronic submission process. If these materials cannot be submitted electronically, you cannot include them in your thesis/dissertation.

### **Captions**

All images and multimedia submissions must be identified by captions, preferably on the same page. If the visual component is too large or the caption is too long for both to fit on the same page, the caption should appear on the preceding page. You may place several captions (clearly labeled) on one page, to be followed immediately by the several figures, tables, images or other multimedia material.

### **Bibliography**

A Comprehensive Bibliography is required for all formats. References should be single-spaced. It is standard in some disciplines to double-space between references, check with your committee.

**Appendices**

This is optional if needed. You may have multiple appendices, which must be labeled consecutively (A, B, C, etc. or I, II, III, etc. as appropriate). Be sure to include all appendices in your table of contents. If appendices are used, scanned materials reproduced from other sources (with permission) must meet the same formatting requirements as the rest of the paper. Reproductions from books, journals, maps etc. must be appropriately sized and legible. Residual shadows from page edges that may be created in the process of scanning are not acceptable. Check with your department, committee, or style guide if references for your appendices go into your bibliography or stay in the appendix, as this rule shifts by disciplines.

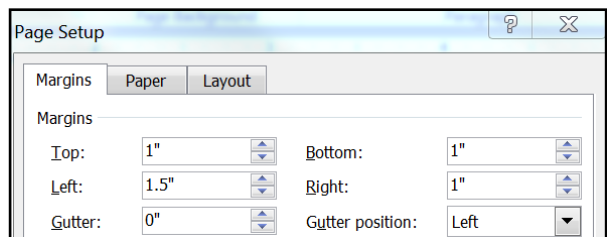
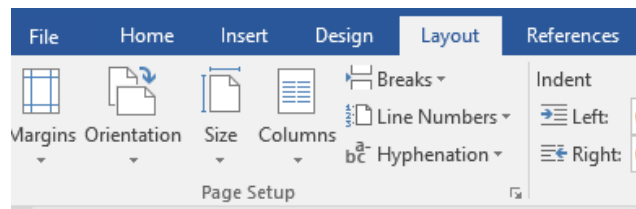
## CHAPTER 6: FORMATTING YOUR DOCUMENT WITH WORD

This chapter is intended as a resource to assist you in formatting your thesis or dissertation document using Microsoft (MS) Word. In this section, we address many of the technical issues that students have with formatting their document; this includes setting font, margins, and justification, as well as the method for using multiple page numbering schemes within a single document. For purposes of this tutorial, MS Word 2016 is used. (Versions will differ by year).

### Margins

The Graduate College requires that each page of the thesis or dissertation must have a 1.5" left hand margin, and a 1" top, bottom, and right margins. To set the margins of your document follow these steps. (Note: if changing margins after creating document sections, opt to change margins for the whole document when prompted)

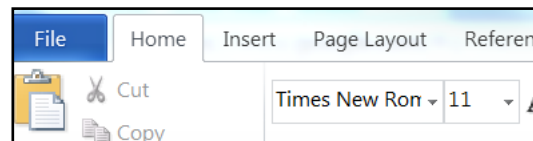
1. Click Page Layout on Ribbon
2. Then click on Margins
3. Click Custom Margins at the bottom of the drop down menu
4. Enter the required values in each field
5. Click OK



### Font

To change your font, follow these steps:

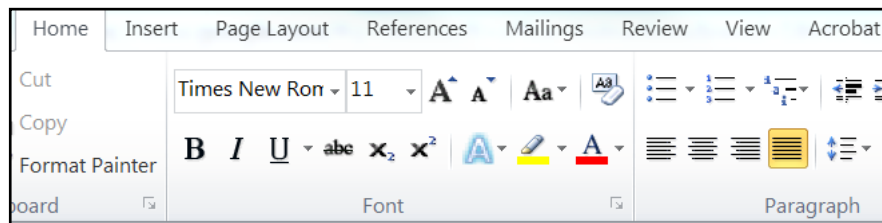
1. Select the text that you would like to change. If you want to change the entire document, click *editing* on the far right side of the *home* menu bar. Click *select* and then *select all* or hit Ctrl+A to select all.
2. Click *home* on the top menu ribbon. You should see the default font of the document in the toolbar window (usually Calibri or Times New Roman). Click on the down arrow to select an approved Serif font. The Graduate College prefers Times New Roman



## Justification

In thesis/dissertation documents, text may be left-justified, which leaves a “ragged-right” margin, or text may be full justified, which creates even margins on the left and right sides of the page. To change the justification, follow these steps:

1. Select the text for which you want to change justification. If changing the justification for an entire document, click Editing on the far right side of the *home* ribbon. Click *select* and then *select all* or hit Ctrl+A to select all.
2. Click *home* on the top ribbon
3. In the center there are icons of horizontal lines. The button on the far left (with an uneven right side) is for LEFT justification. The button on the far right (with the even lines) is for FULL justification.



## Page Numbering

This is often the most difficult part of formatting a thesis or dissertation. The Graduate College requires the following three page numbering schemes in each thesis/dissertation:

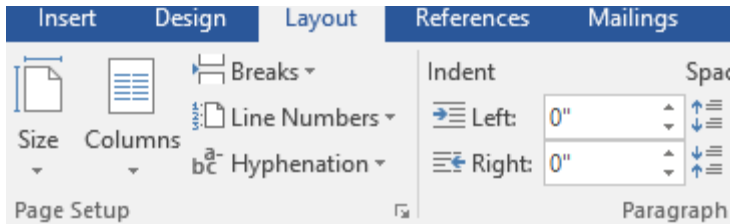
1. No page numbers: Title Page, Copyright Page, Abstract
2. Lower-Case Roman numerals (i, ii, iii, iv, v, vi) for preface pages (Citation Page, Dedication Page, Acknowledgement Page, Table of Contents, List of Tables/Figures)
3. Arabic Numerals (1, 2, 3, 4) in the Main Body, References, Bibliography and Appendices.

In MS Word, page numbers are properties of document subdivisions, called sections. One Word file (a single document) can have an unlimited number of sections. For a University of Vermont thesis/dissertation, you'll need three different page numbering schemes; meaning you will need to divide your document into three sections.

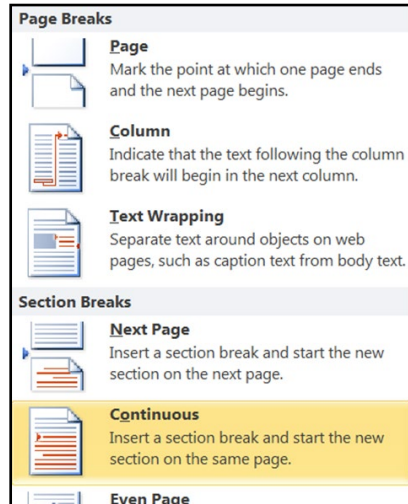
Inserting *Section Breaks*,dividers between sections, is easy. MS Word documents, by default, contain only one section. We will insert two breaks, to divide the document into three sections, each of which will have a different numbering scheme. First, divide the document into sections and then insert the page numbers.

The first *section break* is located after the abstract, before the front matter:

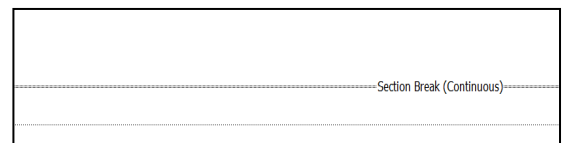
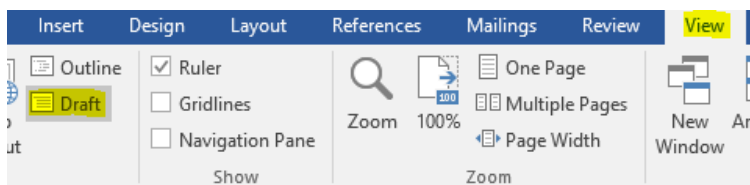
1. Place your cursor at the bottom of the abstract page (about 9" down).
2. Click *Layout* on the top ribbon
3. Select *Breaks* in the *Page Setup* section.



4. From the drop down menu, select *Continuous* (in the *Section Breaks* portion of the menu.)



NOTE: If you switch to draft document view you can see which section breaks exist in your document. To do this, click the *View* tab then *Draft* in the *Document Views* section. You can also delete breaks in this view. To do this, highlight the break in the document and press the backspace or delete key.

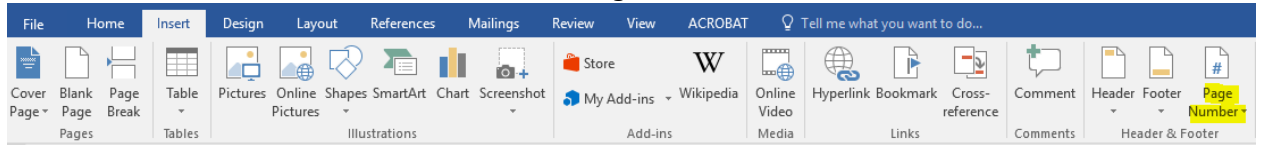


5. After inserting your first *Break*, your document should be divided into two sections – one for the Title Page, Copyright Page and Abstract, and one for the remainder of the document. You should notice no formatting differences between sections at this point.
6. Repeat this process on the last page of your “Front Matter” (everything from the page *after* the Abstract up to the page *before* the first page of your first chapter) to create a break between the Front Matter and the Main Body Text of your thesis/dissertation.
7. You should now have three sections in your document.

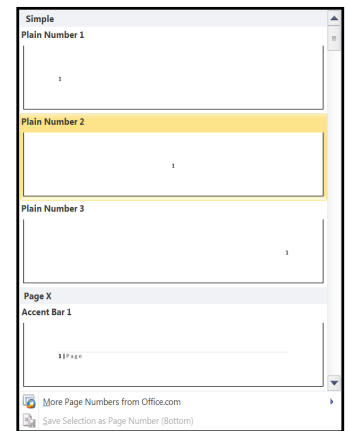
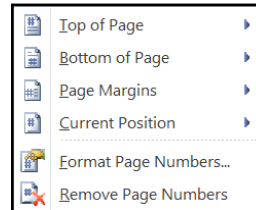
**Inserting page numbers:**

This process can be a bit counter-intuitive, as you are not simply numbering everything consecutively.

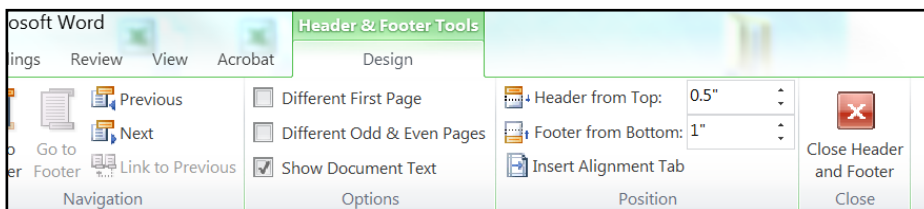
1. First, go to the top of the first page of your document.
2. Click the *Insert* tab on the ribbon and select *Page Number*.



3. Choose *Bottom of Page* from the drop down menu, as well as *Centered* for the page number location.



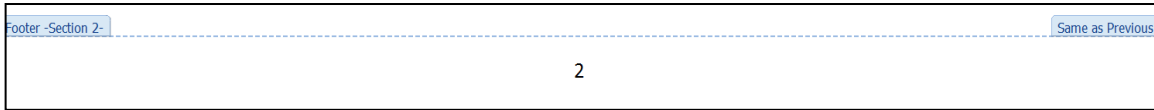
4. The *Header & Footer* bar pops up at the top and you will see a section on the right that says *Header from Top* and *Header from Bottom*. Leave *Header from Top* at 0.5", and change *Header from Bottom* to 1".



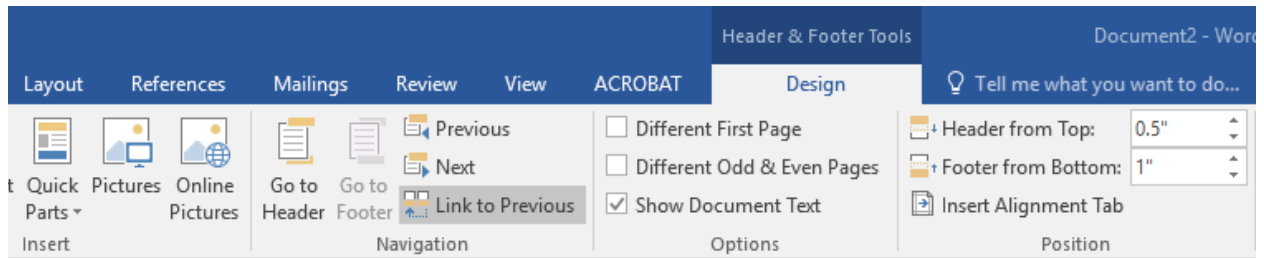
5. Selecting your preferred placement should insert Arabic page numbers throughout your entire document, from Title page through Appendices. (We'll be changing the number format to non-numbered, Roman Numerals and Arabic for each section soon.)
6. This is the counter-intuitive part – one would think that it would be enough to simply go to each Section and change the format, but this is not so. Each section's headers and footers are linked to each other, so that a change made in section one's footer carries through to the footers of each subsequent section. This makes changing page numbering for each section tricky. What we need to do is un-link the footers and/or headers before we try to change the page number format.
7. First, go to the beginning of your second section, which will be the beginning of the Front Matter (probably your Citation Page, Dedication, Acknowledgement OR Table of Contents if none of the previous listed applies to your thesis/dissertation).



- Double click near the page number. Your document should go gray, and you'll see text boxes at the top and bottom of the screen.



- The header/footer view also shows the linked status of the header/footer. On the top right corner of each header/footer box, you will see *Same as Previous*. This indicates that the footer format is linked to the previous section's format. The *Link to Previous* button (shown below) is in the center of the *Header & Footer Tools* ribbon. It should be depressed by default. Click on the *Link to Previous* button to un-select it. Your section two page numbers will now be disconnected with the first section's formatting.

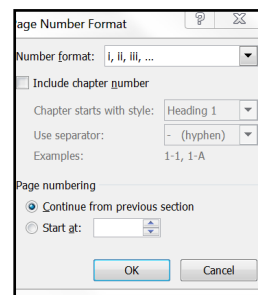
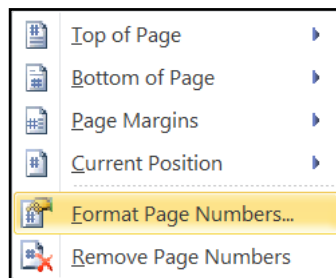


- Repeat this action on the first page of your Main Body text: double click near the page number and un-select the *Link to Previous* button in the *Header & Footer Tools* ribbon that appears at the top. This will disconnect the header of section three from that of section two.

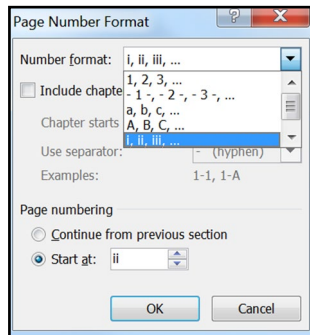
- Now we can change the format of each section's page numbers. For section one (Title Page, Abstract, etc.): double-click on the page number to go to the Header/Footer view on the first page of the section. Simply delete the page number from the footer. There will be no page numbering on these pages.

- For section two: click the *Insert* tab on the ribbon and then click *Page Numbers* on the first page of Section two.

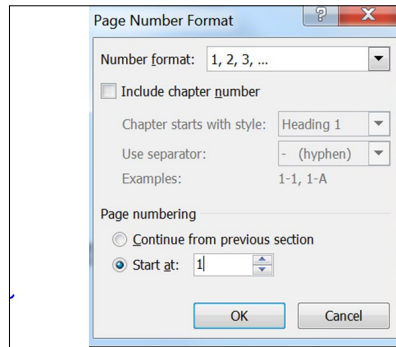
- Select *Format Page Numbers* from this drop down menu. A new window will appear.



14. For this section, select *Roman Numerals* from the drop-down *Number Format* menu. Click *Start at* under *Page Numbering* and type “ii” if it is not already there. Press *OK*.



15. For section three, go to the first page. Click the *Insert* ribbon. Click *Page Numbers* and then select *Format Page Numbers* in the drop down menu. In the new window that appears, change the *Number Format* to *Arabic Numbers*. Select *Start at* under *Page Numbering* and type “1”, if it is not already there. Press *OK*.



### **Avoiding “Widows” and “Orphans”**

A “widow” is a short line or single word ending a paragraph at the top of the next page. An “orphan” is a heading or subheading that appears at the bottom of a page with the text beginning on the following page. These are not desirable for reasons of aesthetics and readability, although they are not prohibited. Word processing software can be set to avoid both “widows” and “orphans” automatically.

Hidden on the ‘Line and Page Breaks’ tab of the Word paragraph formatting dialog are four useful options to control pagination in a document that flows onto two or more pages. The first is perhaps the least obvious – Widow/Orphan Control. If you have a paragraph of two or more lines, then you can control what happens if that paragraph is split over a page break. Without Widow/Orphan control, the paragraph will happily end up with one line on each page. Turning on Widow/Orphan control prevents a line being marooned on page 1 with the rest of its lines on page 2.

Paragraph ? X

Indents and Spacing | **Line and Page Breaks**

Pagination

- Widow/Orphan control
- Keep with next
- Keep lines together
- Page break before

Formatting exceptions

- Suppress line numbers
- Don't hyphenate

Textbox options

Tight wrap:

None

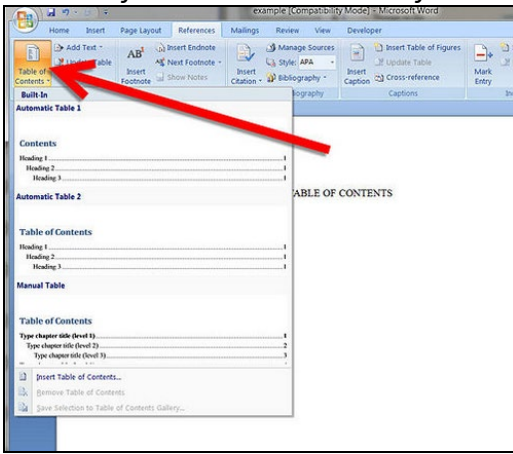
Preview

Previous Paragraph Previous Paragraph Previous Paragraph Previous Paragraph Previous Paragraph  
 Previous Paragraph Previous Paragraph Previous Paragraph Previous Paragraph Previous Paragraph  
 Sample Text Sample Text Sample Text Sample Text Sample Text Sample Text Sample Text Sample Text Sample Text  
 Sample Text Sample Text Sample Text Sample Text Sample Text Sample Text Sample Text Sample Text  
 Sample Text Sample Text Sample Text Sample Text  
 Following Paragraph Following Paragraph Following Paragraph Following Paragraph Following Paragraph  
 Following Paragraph Following Paragraph Following Paragraph Following Paragraph Following Paragraph

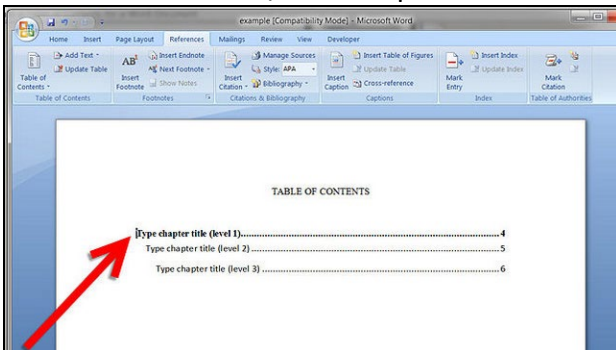
Tab... Set As Default OK Cancel

## Creating a Table of Contents:

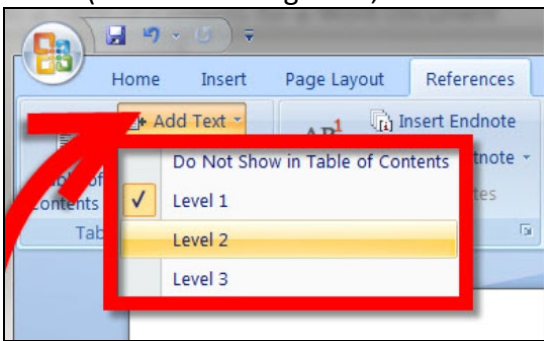
1. Type out "Table of Contents" in your document. Leave space after to insert your table.
2. Place the cursor where you would like to insert your table and select the *References* tab.
3. Under *References* select *Table of Contents*.



4. Select the design that fits into the requirements mandated by your discipline.
5. Find the first section/title and place the cursor at the beginning of it.



6. Open the references tab once again. Select *add text*. Choose if the section will be a main, sub, or sub-sub heading; this is done by selecting level 1, 2 or 3 in the drop down menu. (Level one being main, level two is sub and three being sub-sub).



7. Repeat step 5 and 6 for the remaining levels of the Table of Contents

## CHAPTER 7: SUBMITTING YOUR DOCUMENT

The University of Vermont has entered into an agreement with ProQuest to accept theses and dissertations electronically. Following this style guide, you will be able to produce a document that is appropriate for submission to the University.

To begin the process of electronic submission of your thesis or dissertation, double check that your electronic file is in the proper Adobe Portable Document format (.pdf), and that it conforms to the appearance standards set forth in this guide. You may only begin the submission process after you have completed:

1. a format check,
2. after your defense has been completed and,
3. the Defense Examination Record has been submitted to the Graduate College.

You may not submit a “draft” of your thesis or dissertation to the ETD system; the document you submit must be identical to the one your committee has approved. Any thesis or dissertation submitted before the receipt of the Defense Examination Record will not be evaluated in ProQuest by the Graduate College.

When you have completed the formatting of your document and confirmed the submission of the *Defense Examination Record*, visit the ProQuest submission site at: <http://www.etsadmin.com/UVM> And follow the steps below:

1. Create an Account:
  - On the bottom of the screen, click the red/orange “Sign up and get started today!”

A rectangular button with a red-to-orange gradient background and white text that reads "Sign up and get started today!".

Already signed up? [Log in](#)

- You will be taken to screen to Create new student account box. You will be prompted to enter an email address and some additional information. Fill out all the fields and click “create”

**Create new student account** [Log in](#)

All fields required

**Email address as username**

**Confirm email address as username**

**Password**

At least 8 characters, must include: 1 uppercase character; 1 numeric digit (0 to 9); 1 special character such as # or \$.

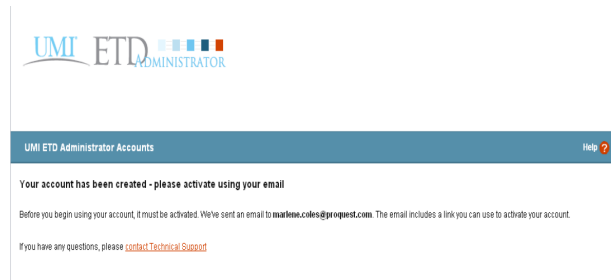
**Confirm password**

**First name**

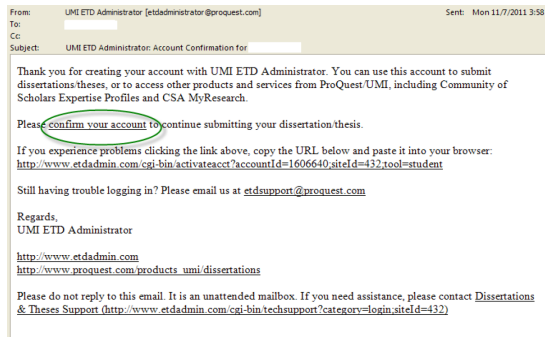
**Last name**

[Create](#)

- After you enter this information, a verification e-mail will be sent to the account you specify.



- Activate your account by following the link included in the email. Here is what the message will look like in you email. Click *confirm your account* to activate your ETD account. The link will take you back to the login page.

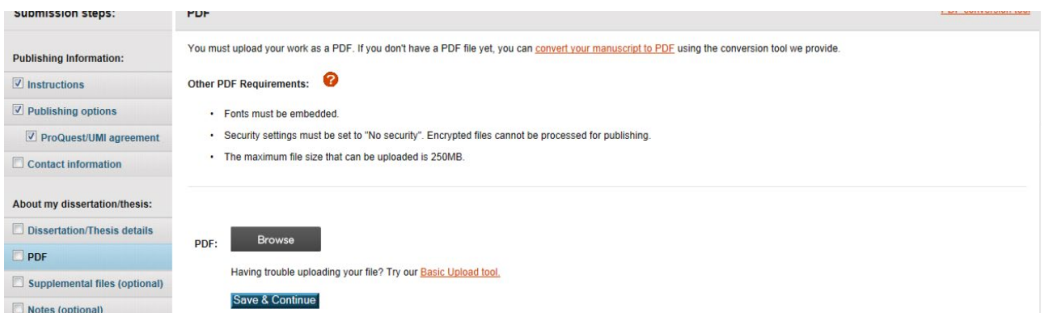


2. Log in:

- Once you have created your account, you can log-in and begin the submission process. This is a simple process that should take approx. 30 minutes to complete.

3. Before you begin please be sure you have the following information, then click *continue*. Convert your document to PDF:

- If you have not already created a PDF document, you can use ProQuest’s Word-to-PDF conversion tool to create one. This tool is located under the tab “PDF Conversion”. The conversion tool will make a Microsoft Word document, or an RTF document, and convert it to PDF for you. It is very important, though, for each person to review the resulting PDF, to make sure there were no formatting issues or other problems that occurred in the conversion process. (NOTE: you must also make sure that all fonts are embedded in the PDF and that the PDF securing settings allow printing and modification of the document. Both are critical to the publishing process.) This must be **one file!**



- Abstract
- Electronic Thesis and Dissertation Rights and Permissions filled out, signed by your advisor and converted to PDF.
- Optional Supplementary Files (images, data, etc.) that are an integral part of the thesis and dissertation, but not part of the full text.
- Advisor and other Committee Members’ names
- Subject Category – you will need to select the category that best describes your thesis or dissertation subject area.

4. Submit your document:

- Click *Submit Your Dissertation* – which will begin the submission process. You will be asked for some information on a number of subsequent pages and the submission steps are listed in the left column.
- a) Publishing Type options: ProQuest gives you two types of licensing options: Traditional or Open Access. Select Traditional Publishing (open access is not necessary, as your document will be published in ScholarWorks by the University, which is itself a free online archive). Open Access Publishing is a new approach that combines the features of traditional publishing with free and open access to the full-text PDF of your work (**NOTE: THERE IS A \$95 FEE FOR OPEN ACCESS PUBLISHING**)

THIS  
OPTION  
COSTS \$95!

**Select Type of Publishing \***

**Traditional Publishing** [View agreement](#)

- I want to make my work widely available and I want to be eligible to receive royalties on the sale of my work.
- I understand that I must maintain a current mailing address with ProQuest/UMI in order to be eligible to receive royalties.
- I understand that ProQuest/UMI does not charge a fee for Traditional Publishing.
- I understand that my work will be available through ProQuest Dissertations & Theses, [Udini](#) and [Dissertation Express](#), and that a citation/abstract may appear in some indexes (e.g. SciFinder, MathSciNet, PsycINFO, etc.).

**Open Access Publishing PLUS** [View agreement](#)

- I want the broadest possible dissemination of my work, and I want to provide free global access to the electronic copy of my work via the internet.
- I understand that I will not be eligible to receive royalties.
- I understand that the ProQuest/UMI fee for Open Access Publishing PLUS is \$95.00 USD.
- I understand that I will pay the fee, unless notified by my graduate institution that the school will pay.
- I understand that my work will be available through ProQuest Dissertations & Theses, [Udini](#) and [Dissertation Express](#), and that a citation/abstract may appear in some indexes (e.g. SciFinder, MathSciNet, PsycINFO, etc.).

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**Select Publishing Options**

I want major search engines (e.g. Google, Yahoo) to discover my work through ProQuest. \* [Learn more](#)

Yes

No

- b) Publishing Options: Select *yes* or *no* if you want search engines to discover your work.
- c) Agreement: The agreement grants the University of Vermont and ProQuest the non-exclusive right to archive, release, and reprint your work. This is a non-exclusive agreement; you retain all rights to publish and re-use your work, and can put restrictions on the release of your materials (this happens during the submission process). To continue click *Accept*.
- d) Contact Information: Enter current and future contact information in the spaces provided. It is imperative that this information be accurate, as the Graduate College may need to contact you after you leave the UVM. After you have entered all requisite information, click *Continue*.
- e) Dissertation/Thesis Details: This step prompts you to enter all necessary metadata about your work – the title, advisor, committee members, subject category, etc. Information included here should match what is included in the graduate work itself – that is, the title should be exactly the same as it is on the title page of the submitted thesis or dissertation. It is highly recommended that you copy and paste the title of your document from your MS Word file into the field provided instead of manually typing it. ProQuest **DOES NOT** have a spellcheck component. If there are errors found after the document has been submitted and uploaded there is no way to correct it. This information is used to



create the bibliographic record in the Proquest database. Information such as subject categories and keywords help other researchers discover your work in the database. You must have at least four (4) keywords, and six (6) is the maximum. After you have completed filling out the entire form, click on *Save* and *Continue*.

- f) **Supplementary Files:** On this page you can attach any supplementary files (music, sound, video, computer programs, etc.) that accompany your thesis or dissertation. Images embedded into the body of your thesis or dissertation need not be attached in this way. You can upload as many supplementary files as you need to. Keep in mind that if you upload a set of files that are “zipped”, that is how ProQuest will distribute the files with the full text – as a zipped file. If there are no supplementary files – scroll down towards the bottom of the page and click on the *Save* and *Continue* buttons.

The screenshot shows the 'Supplementary Files (optional)' section of the ProQuest submission form. On the left is a sidebar with 'Submission steps' including Publishing Information, About my dissertation/thesis, and Submission & payment. The main area contains instructions, requirements (e.g., no third-party software, 250MB limit), and a file upload section with a 'Browse' button, a description field, and a 'Media Type' dropdown.

- g) **Notes to Administrator:** You will be prompted to include any notes for the administrator who will be reviewing your graduate work. If you have questions or information that should be shared with the Evaluator, you can include a message in the *Notes to Administrator* box. This is optional.

The screenshot shows the 'Notes to Administrator (optional)' section. It includes a text area for notes, a 'Clear' link, and a 'Save & Continue' button. The sidebar on the left shows 'Notes (optional)' as the current step.

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