Organization, Formatting, and PDF Conversion Guidelines for Theses, Dissertations, and Doctoral/Lecture Essays

INTRODUCTION

These guidelines describe the Graduate School's general organization and formatting requirements and provide detailed editorial advice that will be useful as you prepare the final draft of your dissertation, doctoral/lecture essay, or Master's thesis. Adherence to the Graduate School's guidelines is expected of all graduate students in addition to compliance with the requirements of advisor and committee in the preparation of the final draft. **However, the Graduate School's guidelines are intended to be the final word on the uniform style of all University of Miami graduate documents.** Please check the ETD Web site, **grad.miami.edu**, for the latest version of the formatting guidelines.

Although the final electronic thesis or dissertation will reside in an electronic database, all UM theses and dissertations must be formatted to standards that make the manuscript suitable for hard copy binding.

Please do not consult or rely on older editions of formatting guidelines that may be available in your department. In addition, DO NOT use manuscripts written by students in previous semesters as guides for formatting your manuscript.

Besides this document, all graduate students preparing an electronic thesis or dissertation should review the information contained in the complementary ETD document, "The Electronic Thesis and Dissertation (ETD) Process," available on the ETD Web site, **grad.miami.edu**. The document provides detailed information about how to submit your ETD to the Graduate School.

ORGANIZING YOUR MANUSCRIPT

The Dissertation/Thesis Is Not a Collection of Articles

The Graduate School requires the dissertation or thesis to be conceived as a single, unified, and complete work of scholarship that is organized in book-like form.

Often, one or more chapters in a thesis, dissertation, or doctoral essay may have been previously published or will be published as a journal article. As separately conceived articles, each of those chapters may include an "Introduction," "Abstract," "References," or appendices section. In the thesis, dissertation, or doctoral essay, however, the Graduate School requests that the subheads "Introduction" or "Abstract" that were part of what was a journal article be removed or reworded to something other than "Introduction" or "Abstract" to ensure the unity of the dissertation or thesis. In short, **there should be only ONE Abstract, ONE Introduction, ONE Reference, and ONE appendices section in the manuscript.** The sole Abstract should be placed in the front matter, the Introduction is typically Chapter 1, and the sole References or appendices section are placed at the end of the manuscript. Words such as "Summary," "Overview," "Purpose," "Introductory Remarks," "General Discussion," "Motivation," "Description," "Perspective," or "Background" are some examples of alternative subheads students have used in place of "Introduction" and "Abstract." Some rewriting may also be needed to make each chapter flow seamlessly from one to the other.

STYLISTIC CONSISTENCY

Stylistic consistency and precision of presentation are essential features of a scholarly work. If the confidence of the reader is lost due to inaccuracies in the author's presentation, the entirety of the author's work is devalued.

The graduate document must conform to the practices of standard written English without exception, and both the student and the graduate committee must make every effort to prevent inaccuracy and error in the copy to be submitted. If you have doubts about English grammar or spelling, consult your committee or fellow students for assistance. Graduate documents

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        grad.miami.edu

that do not conform to the practices of standard written English, especially in terms of grammar and spelling, will be returned to the author for revision.

UM RESOURCES

The Writing Center at the University of Miami is a useful resource; they are located in the Richter Library Learning Commons, first floor, left side, (305) 284-2956, e-mail writingcenter@miami.edu, Web site www.as.miami.edu/writingcenter.

Microsoft Word, Adobe Acrobat Pro, LaTeX

Microsoft Word: Many students create the entire manuscript in one master Word document, but some students find it easiest to organize the manuscript into three or four separate Word documents to accommodate the different requirements for page numbering: one document for unnumbered pages; a second document for lower-case Roman numeral-numbered pages; and a third or fourth document for the main body of the manuscript which has Arabic numeral page numbers. Details regarding each style of page numbering can be found on pp. 3-4 of this document. The multiple files can be combined in to one final PDF using Adobe Acrobat Professional.

For assistance with Word issues and making the final PDF, visit the ETD Formatting Support Web site, http://sp.library.miami.edu/subjects/etd for conversion guides, and troubleshooting tips. .

Adobe Acrobat Professional: .

In addition, you or your department can download Adobe Acrobat Pro at no cost by accessing the link https://www.it.miami.edu/a-z-listing/adobe-creative-cloud/index.html. The download is available for students on the Coral Gables, Medical, and Marine campuses.

LaTeX: Students working in LaTeX can get access to a template created by UM students specifically formatted for a UM dissertation or thesis by e-mailing the Dissertation Editor, grad.dissertation@miami.edu. The LaTeX template is completely student-supported. The Graduate School makes the student-created template available to students, but does not offer support for using it.

FORMATTING YOUR MANUSCRIPT

Margins, Spacing, and Font Size

Margins:

Margins should be set as follows: 1.5 inches on the left side, 1 inch at the top, bottom, and right side. The bookbinder will likely trim the edges of the pages in the binding process, so **there is no flexibility in the size of the margins for any page of your paper.** You may fully justify or use ragged right, whichever looks more pleasing to the eye and causes the least difficulty with respect to the formatting requirements laid out here.

Spacing:

Text must be double spaced. Single-spacing of the text is not allowed, except for footnotes, indented block quotations, figure/table legends, and citations in the References section. These items must be single-spaced.

Spacing between sections, above and below block quotations, etc. should be maintained consistently throughout the text. Pages with large, empty gaps in the text that exceed more than half a page should be avoided. Normally, paragraphs within a given section of the text follow consecutively one after another with no breaks or extra spaces. Paragraphs should be indented to indicate their beginning unless the paragraphs are meant to be different subsections. The use of spacing between ordinary paragraphs, while acceptable for a document written in pamphlet format (e.g., these guidelines) is not acceptable for theses, dissertations, or doctoral essays.

Font Size and Style:

Authors must use **12-point font exclusively, for all textual materials, including appendices** (see exception for tables and figures below). **Acceptable fonts include Arial, Times New Roman, and Courier New.**

Make sure the font style and size used in the unnumbered and numbered front matter is the same as the font used in the main body.

Page Numbering

This is an important feature of your paper; failure to maintain correct pagination causes more papers to be completely redone than any other requirement. Many hours of frustration may be eliminated by following these guidelines.

Your manuscript will be comprised of three sections with different styles of page numbers: (1) a section with no page numbers (unnumbered front matter); (2) a section with lower-case Roman numerals centered at the bottom of the page (numbered front matter); (3) the main body of the manuscript, which will have Arabic numerals placed predominantly in the upper right-hand corner of the page, except for the first page of a new chapter (see boxed info below for details); and an optional VITA page at the very end of the manuscript which has no page number and is not included in the total page count of the manuscript.

1A. FRONT MATTER: Unnumbered Pages at the Beginning of the Manuscript

These pages (a-e) are unnumbered in the following order:
(a)   Blank page or front flyleaf (optional).
(b)   Title page
(c)   Copyright page – Master's and Ph.D. students must include
(d)   Signature page
(e)   Abstract

1B. FRONT MATTER: Pages with Lower-Case Roman Numeral Page Numbers

The pages (f-l) should each begin on a new page and are numbered with lower-case Roman numerals, beginning with "iii," starting with the Table of Contents or one of the optional pages (f-h) if included. The numerals are always centered at the bottom of the page and are carried through to the page before the first page of the main body of document, i.e., Chapter 1.

(f)   Dedication page (optional)
(g)   Acknowledgment page (optional)
(h)   Preface (optional)
(i)   Table of Contents
(j)   List of Figures
(k)   List of Tables
(l)   List of Abbreviations (optional)

2.   MAIN BODY: Pages with Arabic Numeral Page Numbers

The first page in the main body should begin with the number 1. Page numbers for the main body of the document should be in the upper right-hand corner of the manuscript except for the first page of a new chapter, which should have the page number moved to the bottom of the page, centered.

On the pages where the page number is in the upper right-hand corner, placement should roughly be around the intersection of 0.5 inches from the top and 1 inch from the right.

The References section, each separate appendix, and figure or table sections at the end of manuscript should be paginated as if they are chapters, i.e., the first page of the section should have the page number placed at the bottom of the page, centered; subsequent pages should have the page number in the upper right-hand corner of the page.

3. **END OF MANUSCRIPT: Unnumbered Pages**

- VITA (optional—no page number on this page)
- Blank flyleaf (optional—no page number on this page).

ETD Formatting Basics:

- The first page of a new chapter MUST begin on a new page.
- The page number for the first page of a new chapter MUST be placed at the bottom of the page, centered. Please visit the ETD Formatting Support Web site, http://sp.library.miami.edu/subjects/etd , for guides on how to manipulate page numbers in the document.
- Clearly identify the beginning of each new chapter by adding the word "Chapter" at the beginning of each chapter title so the title is displayed as "Chapter 1," "Chapter 2," and so forth.
- DO NOT use running title headers; do not adorn the page number with any dashes or similar accessories—use only plain Arabic numbers (except lower-case Roman numerals used for the front matter starting with iii) starting with the number 1 on the first page of Chapter 1.
- Make sure, especially if you are collating multiple files to produce the complete document, that all page numbers in your document, including Roman numerals, are the same exact font style and point size.
- Check that the page numbers do not verge too closely upon the text, or appear to be too far away, e.g., in the very corner of the page, at the very bottom edge of the page. Page number position should be identical from one page to the next. Consistency is required in page number positioning throughout the entire document.
- Every page in the text, to the last page of references or figures or appendices (whichever comes last in your case) must be numbered consecutively. **The total page count, equal to the last numbered page of your text, is then noted in the Abstract.**
- The VITA page is NOT included in the manuscript's total page count.

Title, Signature, Copyright, and Abstract Pages

Please use the templates provided on the ETD Web site, **grad.miami.edu** to format these unnumbered front matter pages. **Reproduce in your document the Title, Signature, Copyright, and Abstract templates exactly as they are in the template. Maintain the letter case that appears in the template and do not add to or subtract anything from the existing template. Please note that the sample templates are formatted in Times New Roman 12-pt.; if you used Arial or Courier in the rest of the document, you should change the font style in the unnumbered front matter to match what you used in the rest of the document..** NOTE: Microsoft Word is notorious for "helpfully" capitalizing sentence fragments. If you use this word processor, examine your title and signature pages for inadvertent capitalization of words such as "the," "of," "partial," "requirements," etc., in the headings.

Dates for Title, Abstract, and VITA pages

The date of graduation that appears on the Title and Abstract pages should follow this format:
- Fall's date is **December 2020**
- Spring's date is **May 2021**
- Summer's date is **August 2020**

Note that there is NO comma between the month and year.

The date in your document is the one on which the degree is to be awarded—do not list the date of your defense. For example, if you defend on May 31, 2020, in Summer 2020 semester, the date displayed on the Title and Abstract pages in the document should be "August 2020", i.e., the date of graduation. If you do not complete your ETD submission to the Graduate School in time for graduation in a certain semester, you must then fill out a new application for graduation in a later semester and change the graduation date on the Title and Abstract pages of your document to the new date.
Copyright Page

Master's and Ph.D. students must include the copyright page in their manuscript. It is placed immediately after the Title page.

Signature Page

- Format the Signature Page exactly like the template. DO NOT add to or embellish it in any way.
- It is recommended that you check with each committee member to make sure you have included his or her correct title on the Signature page.
- The Signature Page in the final electronic version (PDF) of your manuscript should be displayed WITHOUT the committee members' actual signatures.
- If you would like a signed hard copy of the Signature page for your personal use, please obtain signatures from your committee members then drop off the form at the Graduate School. The Associate Director of Programs will obtain the Dean of the Graduate School's signature on the form then return it to you in the self-addressed stamped envelope you provide or for you to pick it up at the Graduate School.

Table of Contents and List of Figures/Tables

Line Entries in the Table of Contents, List of Figures, and List of Tables

The Table of Contents typically includes entries for chapters and subchapters, references, figure or table sections if they are not embedded in the manuscript, appendices, etc. The Table of Contents can be formatted using the template with or without subchapters posted on the ETD Web site, **grad.miami.edu**

A List of Figures and/or List of Tables follows the Table of Contents. The List of Figures and List of Tables should start on a new page and can be formatted using the Table of Contents template.

Anything that **precedes** the Table of Contents page(s), e.g., the "Abstract," "Dedication," "Acknowledgments," "Preface," or "Table of Contents," should NOT be included in the Table of Contents as line entries. However, items that come after the Tables of Contents, e.g., the "List of Figures," "List of Tables," "List of Abbreviations," "List of Examples," "Terminology," "Glossary," etc., should be included as line entries in the Table of Contents.

Page numbers should be included with each individual entry in the Table of Contents, List of Figures, or List of Tables. The page number should be listed at the end of the line entry on the right and vertically aligned so the numbers are not ragged on the right side.

References Section and Appendices sections should have an individual entry in the Table of Contents. However, the References and appendices sections are not chapters and should not have the word "Chapter" in the title or be assigned a chapter number in the Table of Contents or in the main text.

Breaking Text between Pages: The Two Line Rule

There must be at least two complete lines of text at the BOTTOM of each page. If there is only one line of text at the bottom of a page because it is the first line of a new paragraph or subhead, correct this by moving the line to the top of the next page.

Likewise, there must be at least two complete lines of text at the TOP of each page. If there is only one line of text at the top of a page because it is the last line in a paragraph, correct this by moving one line of text from the previous page over to the top of the page so there are two lines of text at the top of the page.

Tables, Figures, Examples and Other Graphics

Be sure all information in tables, figures, and examples falls within the margin requirements. This includes all data, grid lines, IRB stamps, musical notation, etc. The font size for the text in tables, figures, and examples and accompanying ledgers/captions is flexible, i.e., can be smaller than 12-point, if needed, however, consistent application of conventions is required throughout the entire document.

If you place a landscape figure, example, or table in your manuscript, be sure that all the margins and page numbers are correctly adjusted when the page is viewed in portrait style. Visualize how the document will look when

it is bound. The landscape graphic must have page numbers placed and margins set in the same position as they are on portrait-style pages in the document. A "Sample Landscape Table and Pagination" template is available for your use on the ETD Web site at **grad.miami.edu.**

Figure, table, or example legends or captions should be placed on the same page as the figure/table/example whenever space allows. Only if the figure is too large to allow its page to accommodate any added legend/caption should the student produce the legend on the **previous** page.

Follow your style guide's guidelines for placement of figure/table captions/ledgers, i.e., above or below the figure or table, and consistently apply the convention to all the figures and tables in the document.

Common sense should dictate how figures, tables, and examples are labeled. If there are a large number of such items, students should consider labeling them by chapter and order. For example, figures in Chapter 1 would begin with Figure 1.1, followed by Figure 1.2, Figure 1.3, etc. Figures in Chapter 2 should begin with Figure 2.1, followed by Figure 2.2, Figure 2.3, and so forth. The same convention—tables or examples labeled by chapter and order—can be applied to tables and examples, too.

References and Footnotes

Citations

You should use the citation style your committee recommends in the dissertation or thesis and apply it uniformly throughout the document. The Associate Director of Programs will check to see that conventions are consistently applied in the document. Consult your style guide or discuss with your advisor or other committee members questions you may have about the style you have used in your dissertation or thesis.

Once you have selected a style, follow it carefully and consistently with attention to detail. All manuals clearly define the use, placement, punctuation, and numbering of footnotes as well as the correct format for the reference section of your dissertation. **Pay particular attention to punctuation, abbreviations, capitalization, and font style. A sloppy reference section is a red flag for a problematic submission.**

Single space each citation and leave one line of space between each citation even if the style guide you are using requires otherwise. This is a Graduate School formatting requirement that supersedes your chosen style guide.

Do not cite to Wikipedia in the reference section of your thesis or dissertation. Wikipedia is regarded as an unreliable source for citation in a serious, scholarly work. Please find the same information in a printed source, e.g., a book or journal, or a more stable Web site and cite to that instead. Printed sources are preferred.

Likewise, citations to sites such as YouTube may pose problems with copyright issues and, like other Internet materials, may only be available for a limited period of time so citation to such sources **should be avoided.**

Footnotes

- Footnotes should be set in 10-pt. font.
- **Footnotes should start with footnote 1 in Chapter 1 and be consecutively numbered throughout the entire manuscript**. **DO NOT** begin again with footnote number 1 in chapters that come after Chapter 1. If, for example, the last footnote in Chapter 1 is footnote 10, then the first footnote in Chapter 2 should be footnote 11. This is a Graduate School formatting requirement that supersedes your chosen style guide.
- Superscripted footnote numbers in the text are placed outside of commas, periods, or other punctuation.

Web Addresses

Change any Web addresses that appear in the text, footnotes, or reference section in blue font to black font, i.e., remove the hyperlink.

Titles or Subheads that Exceed One Line

Single space all titles and subheads that exceed one line.

Punctuation Placement: Quotation Marks and Footnotes

Place punctuation such as commas and periods inside the closing double or single quotation mark per U.S. usage. Footnote numbers in the text are placed after commas and periods.

Block Quotes

Remember that when you have long quotations (typically of three lines of more) the text is indented five spaces on the right and left and single-spaced. Do not use quotation marks around indented block quotes; do not double-space them. **Spacing above and below block quotations, etc. should be maintained consistently throughout the text.**

Display Quotes

Display quotes used at the beginning of a chapter should be set in italicized 10-pt. font, inset five spaces on the right and left, and single-spaced. Do not use double quotation marks around the quotation.

Foreign Words and British Spellings

Foreign words should be italicized, but ordinary technical Latin phrases are not italicized.

British spellings should be Americanized unless content dictates otherwise.

Your text must maintain proper punctuation of common academic Latin abbreviations: et al. ; e.g. ; i.e.

Dates

Dates should be cited in U.S. style, e.g., January 1, 2020 , **NOT** 1 January 2020.

Ampersands

The ampersand (&) is an often over-used abbreviation for the word *and.* Its use should be limited to a few situations.

We use an ampersand:
- in certain company names; e.g. *Smith & Jones Consulting;*
- if space is very limited; e.g., in a table with a lot of text;
- when artistic considerations dictate; e.g. a logo; and
- in some academic references; e.g. *(Grant & Smith, 1998).*

Do not use an ampersand in general writing simply to abbreviate the word *and.* For example, we write:

We need to reorder toner cartridges and paper

not:

We need to reorder toner cartridges & paper.

Ampersands are generally not used in formal academic writing.

VITA Page (optional)

The VITA page is optional, not required. This page does not call for your C.V./resume. Please use the template example provided on the ETD Web site at **grad.miami.edu**. The VITA page should not have a page number displayed on it and it is not counted in the total page count listed in the Abstract. The VITA page is placed at the very end of the manuscript.

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