



UNIVERSITY OF  
OREGON

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# Thesis and Dissertation Style and Policy Manual

DIVISION OF GRADUATE STUDIES

Revised December 2023

What's new in this edition:

- Updated information about Creative Commons licensing options (Chapter IV)
- Removed requirement for “Content & Style Request Form” for previously published/co-authored material

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## CHAPTER I: INTRODUCTION

This manual has been created as a guide to help you establish the physical format and appearance of your electronic thesis or dissertation (ETD).

Your ETD is a scholarly publication reflecting the results of your research and academic pursuits at the University of Oregon. As such, your ETD makes a statement about you and the quality of your research, your department, and the standards of excellence upheld by the University of Oregon. Your ETD is made available to the international academic community and the public through the UO Libraries and is electronically archived in [Scholars' Bank](#), the UO's open access repository for the intellectual work of faculty, students, and staff. All dissertations are also published by [ProQuest](#).

### Thesis or Dissertation

At the University of Oregon, “thesis” refers to the research paper required for a master’s degree and “dissertation” refers to the research paper required for a doctoral degree. Because all UO theses and dissertations are submitted and archived in only electronic form, both types of documents will be referred to as ETDs (electronic theses or dissertations) throughout this manual. However, when format requirements differ for theses and dissertations, the specific requirements for each type of document will be indicated.

### Student Responsibility

It is the student’s responsibility to read and fulfill the requirements presented here and to submit an ETD of the highest quality. The Division of Graduate Studies does not edit for content or grammar. Correct grammar, punctuation, and spelling are the responsibility of the student. Please consult your department and your committee chair or advisor for department-specific content requirements. Proofreading is the responsibility of the student and their advisor.

### Style

Most format requirements in the UO Style and Policy Manual take precedence over format rules found in other style manuals. Format includes definition of the parts of the thesis and the order in which they must appear, the content of the prefatory pages, the font, margins, and spacing, the placement of page numbers, and the requirements for permission to reproduce copyrighted material.

Matters regarding the intellectual content and some aspects of style (e.g., footnote format and placement and formatting of in-text citations, the References Cited section, tables, and figures) are discipline-specific and should be determined in consultation with the advisor and committee. Students are encouraged to consult with their committee about specific style issues before beginning preparation of the manuscript, especially when importing material from other documents or computer programs.

Do not use previously published University of Oregon ETDs or paper theses and dissertations you find in the library or online as examples of style and format. Requirements change periodically, and exceptions to rules may have been allowed for reasons that do not apply in all cases. Students are responsible for meeting the requirements of the *Style and Policy Manual* in effect at the time of graduation.

### **Formatting Questions**

For questions regarding style and format, contact the Division of Graduate Studies at [graduatestudies@uoregon.edu](mailto:graduatestudies@uoregon.edu). Proofreading is the responsibility of the student and their committee. Students are encouraged to email a copy of their ETD to the Division of Graduate Studies for initial formatting review well before submission. The ETD for review should include the draft prefatory pages. Note that during busy times we may not have the staffing available to provide preliminary formatting review.

## CHAPTER II: RESEARCH ETHICS AND COMPLIANCE

### Research Ethics

All students have a responsibility to conduct and report the results of their research in an open and ethical manner. Ethical misconduct in research is any “fabrication, falsification and plagiarism in proposing, conducting or reporting research or other scholarly activities.”<sup>1</sup> Fabricating research findings refers to making up results, and falsifying research results refers to altering, misrepresenting, or selectively reporting findings.<sup>2</sup> Each of these acts violates the integrity of the research process and constitutes a serious breach of accepted ethical standards. Ethical research practice therefore requires that students at all stages of the research process conduct their research in an open and honest manner and make every effort to ensure the accuracy of their findings.

Plagiarism is a form of ethical misconduct in research and consists of the intentional or unintentional “use of the words, ideas, diagrams of publicly available work without appropriately acknowledging the sources of these materials.”<sup>3</sup> Thus, any use of the words, phrases, ideas, or work of others in any form without acknowledgment of the original sources constitutes plagiarism and is subject to serious penalty. Students should be aware that the ordering of ideas in a discussion, the content of a literature review, and the listing of references at the end of a discussion may reflect the thinking of others. Such contributions must be acknowledged.<sup>4</sup> Students at the University of Oregon are expected to maintain the highest ethical standards in proposing, conducting, and reporting their research in the ETD.

### Research Compliance

Students using human or animal subjects must receive permission (and a protocol number) from either the Committee for the Protection of Human Subjects (contact Research Compliance Services) or the Institutional Animal Care and Use Committee (contact Animal Welfare Services). These offices may also be contacted for protocol review schedules, information on the preparation of subjects, and a detailed explanation of procedures.

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<sup>1</sup> Massachusetts Institute of Technology, *Fostering Academic Integrity: Report of the Committee on Academic Responsibility* (Cambridge: Massachusetts Institute of Technology, 15 April 1992), 3.

<sup>2</sup> *Ibid.*, 8–9.

<sup>3</sup> University of Washington Graduate School, *Style and Policy Manual for Theses and Dissertations*, rev.ed. (Seattle: University of Washington Graduate School, 1991).

<sup>4</sup> Betty Lou Dubois, “Ethics in Research,” in *Guidelines for Preparing a Thesis or Dissertation* (LasCruces: New Mexico State University Graduate School, 1989), 1–2.

## CHAPTER III: ETD REQUIREMENTS AND PROCEDURES

Both departmental and Division of Graduate Studies requirements must be met for successful completion of a master's thesis or doctoral dissertation. The student is responsible for becoming familiar with the various steps involved and the standards expected by their graduate program and for understanding all requirements for the thesis or dissertation.

The ETD is presented to the Division of Graduate Studies, recorded on the student's transcript, and forwarded to the UO Libraries for cataloging into [Scholars' Bank](#).

### Theses and Dissertations

A master's thesis or doctoral dissertation is a substantial document presenting independent research that contributes to the current body of knowledge in a scholarly field. Theses and dissertations must adhere to a standard format with several chapters, including an introduction and statement of the problem, a review of the literature pertinent to the problem, an explanation of the materials and methods used to solve the problem, a discussion of results, and a conclusion. A list of references cited or a bibliography is also required.

### Terminal Projects and Other Non-Thesis Projects

Terminal projects, capstone projects, and other non-thesis projects are handled by the student's graduate program only; they are not submitted to the Division of Graduate Studies and do not have to meet specific formatting requirements other than those required by the student's program.

### Submission Procedures and Requirements

Refer to the [Division of Graduate Studies website](#) for information about submitting your document, including required approval forms and deadlines.

### Division of Graduate Studies Final Approval

- After the document has been submitted to the ProQuest site, it will be reviewed by the Division of Graduate Studies for acceptable formatting. Content and spelling will not be reviewed.
- If needed, a list of required formatting corrections will be sent to the e-mail address listed on your ProQuest account. **Be sure this is a working address that you check regularly. The Division of Graduate Studies is not responsible for any delay in degree awarding that may result from missed emails and revision deadlines.**
- You should expect a turn-around time of 1 to 3 weeks to receive the corrections list. The corrected version of the document must be uploaded as a revision to the ProQuest site within 1 week after receipt of the corrections list.
- The degree will not be awarded until all corrections have been approved.

### **Language Requirements**

- In most cases, the thesis or dissertation must be written in English.
- Translations should be provided for foreign language quotations.
- Commonwealth (British) spelling is allowed but must be used consistently throughout.
- To seek permission to write the thesis in another language, submit a [General Petition](#) to the Division of Graduate Studies. Typically these petitions are only approved when the source material is in a language other than English. Having a native language other than English is not an adequate reason for petition approval.

### **Student Name Requirements**

Requirements for which names you may use on your ETD are listed below. You must consistently use the same name on all ETD prefatory pages that include your name.

- First Name: Students may use either their legal first name or their preferred name as recorded with the UO.
- Middle Name: Use of the student's middle name or middle initial is optional.
- Last Name: Students are required to use their legal last name as recorded with the UO.

The following are examples of acceptable name formats:

- [Legal First Name] [Legal Middle Name] [Legal Last Name]
- [Legal First Name] [Legal Middle Initial] [Legal Last Name]
- [Legal First Name] [Legal Last Name]
- [Preferred First Name] [Legal Middle Name] [Legal Last Name]
- [Preferred First Name] [Legal Middle Initial] [Legal Last Name]
- [Preferred First Name] [Legal Last Name]

## CHAPTER IV: PUBLICATION AND COPYRIGHT

### ProQuest and Scholars' Bank

ProQuest provides an ETD service for keeping the scholarly record of doctoral and master's degree recipients worldwide. ProQuest accepts dissertations and theses and publishes the manuscripts in their entirety. It also creates and stores a master copy of each document, indexes and publishes the abstract and reference citations, and delivers a copy to the University of Oregon Libraries for inclusion in Scholars' Bank (the Institutional Repository), as part of the University Archives.

All master's and doctoral degree candidates are required to upload their ETDs to ProQuest and make a copy available through Scholars' Bank.

### ProQuest Publication

When you submit your ETD to ProQuest, you must accept their publishing agreement. The publishing agreement submitted by the author grants ProQuest the nonexclusive right to use their ETD master copy to provide dissertation or thesis copies to individuals; the author retains all other publishing rights. ProQuest offers two publishing options: Traditional Publishing, which has no cost, and Open Access Publishing PLUS, for which you will be assessed a fee. The Open Access Publishing PLUS option through ProQuest provides open access to the ProQuest copy of the work through the ProQuest website and services. **No matter which option you choose with ProQuest, you can opt for an open access copy of your dissertation via the University of Oregon Scholars' Bank at no cost.**

For more information, see the [ProQuest ETD Administrator website](#).

### Scholars' Bank Publication, University of Oregon, University Archives

When the library receives a copy of your ETD from ProQuest, it will be made available via Scholars' Bank. The default option is for your ETD to be made available as open access upon receipt by the library. Unless there are compelling reasons to do otherwise, this option is preferred.

The UO publishing agreement, submitted by the author, grants the University of Oregon Libraries the nonexclusive and perpetual right to use their master copy to preserve the ETD and to provide access according to the option selected by the author (open access or UO only). The author retains all other publishing rights.

For more information on the University of Oregon Scholars' Bank publishing options, visit the [Scholars' Bank website](#).

### Delayed Release/Embargo

Embargo is the term used to describe delayed availability of scholarly work. During the embargo, ProQuest will provide access to the record and abstract of your ETD; Scholars' Bank will provide "UO Only" access to the record and the full text. After the embargo period, your ETD will be published via ProQuest according to the publishing option you selected and will be freely available online via Scholars' Bank. You may place an embargo on your work for 6 months, 1 year, or 2 years.

Additional years of embargo are subject to Division of Graduate Studies approval. Contact the Division of Graduate Studies for more information. For more information on access and publishing options, visit the [Scholars' Bank website](#).

### **Registering your Copyright**

As the author, you own the copyright as soon as your dissertation or thesis is “fixed in a tangible medium.” You may register your copyright directly through the Library of Congress U.S. Copyright Office for a fee. You also can designate ProQuest to act as your copyright agent. For a fee, ProQuest will process all copyright forms and requests for use on behalf of the author and make the required copies of the manuscript to submit to the Library of Congress.

More information about this process can be found on the ProQuest website. Regardless of whether you choose to register your copyright yourself, through ProQuest, or not at all, each ETD must include a copyright page (p. 2 of the prefatory pages).

By registering the copyright of your ETD, you will be able to sue for statutory damages or actual damages/profits; if you do not register your copyright, you can collect only actual damages/profit. Statutory damages are easier to collect and do not require proof of losses incurred or an expert witness to argue on your behalf.

### **Using Materials Copyrighted by Others**

The [ProQuest website](#) provides guidance on use of copyrighted materials. When you, as the author, accept the ProQuest publishing agreement, you certify that any copyrighted material used in your ETD, beyond brief excerpts, is included with the written permission of the copyright owner. Copies of permission letters should be uploaded to the ProQuest site in the section “Supplemental Files.” Be sure that permission is specifically extended to ProQuest. For sample permission letters, see the ProQuest website.

For more information about copyright, key in the word “copyright” in the search engine on the University of Oregon Home Page for many useful sources. You may also contact the UO Libraries Scholars’ Bank Team. Check with your advisor and committee members for information about specific copyright issues related to your field.

### **Publishing Your ETD with a Creative Commons License**

Copyright automatically provides five exclusive rights commonly labeled as “all rights reserved.” Creative Commons (CC) licenses allow you to assign “some rights reserved” for your work. By choosing a CC license you are not giving up the copyright of your ETD, just selecting what rights you would like to protect and what uses by others you would like to permit without requiring your permission. CC allows you to choose from six licensing options, which are written to conform to international copyright treaties and are recognized by countries all over the world. The core tenant of all CC licenses is attribution, i.e., you get credited for the ideas expressed in your ETD.

If you choose a CC licensing option, you must add it as part of your ETD details on the ProQuest site AND include CC information on your copyright page.

The following information must be included on the copyright page of the ETD: (a) the symbol © or the word “Copyright,” (b) the year, (c) your name, (d) “This work is openly licensed via [type of license],” and (e) a link to the Creative Commons license you’ve chosen. You may also choose to include an image of the corresponding license. See samples below:

© 2024 Bob Smith

This work is openly licensed via [CC BY 4.0](#).



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This work is openly licensed via [CC BY-SA 4.0](#).



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This work is openly licensed via [CC BY-NC 4.0](#).



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More information about Creative Commons licensing, as well as links and images associated with each license, is available at <https://creativecommons.org/share-your-work/cclicenses/>.

### Fees

No fees are required for submission of your ETD, but if you select any fee options when you upload your ETD to ProQuest, you will be required to pay with a credit card online. Please verify current fees with ProQuest.

## CHAPTER V: PARTS OF THE THESIS OR DISSERTATION

The ETD must be paginated with Arabic numbers, starting with number 2 on the copyright page. Every page must be numbered consecutively, including appendices and References Cited.

### Prefatory Pages

- Title page (bears no page number but is counted as page 1)
- Copyright page (page 2)
- Abstract (starts on page 3; all successive prefatory pages are numbered consecutively)
- Curriculum Vitae (*optional*)
- Acknowledgments (*optional*)
- Dedication (*optional*)
- Table of Contents
- Lists of Figures, Tables, Schemes, Graphs, Maps, Instrumentation, Abbreviations, etc.

### Body of Text

- Each new chapter must start on a new page and contain a chapter heading that includes the chapter number and name. The format of the chapter headings must be consistent across all chapters.
- Endnotes (optional, may be used instead of footnotes) appear as a separate section (but do not start on a new page) at the end of each chapter.

### Appendix or Appendices (*optional*)

- These appear at the end of the text, before the References Cited or Bibliography (if you've chosen to have one single References Cited/Bibliography section at the end of your document).

### References Cited/Bibliography

- A References Cited listing or Bibliography may either be included at the end of each chapter OR as a single section at the end of the document. See your chosen style manual for the format to be used for these entries.

## CHAPTER VI: FORMATTING THE THESIS OR DISSERTATION

### Student Responsibility

The student is responsible for making sure that the ETD is in an acceptable style and format. In addition to eliminating misspellings and typographical errors, the student is also responsible for the correct arrangement of materials, correct grammar and punctuation, proper footnote or endnote and references style, and the accuracy of quotations, tables, and other illustrative materials.

### File Size

- The file size limit for your entire ETD submission is 1000 MB.
- If you have supplemental files that you want to include with your ETD, make sure that the size of all files combined does not exceed 1000 MB.

### Margins

- Margins are defined as the white space surrounding the printed matter. See [Appendix B](#) (Placement and Formatting of Margins and Page Numbers) for details on how to set margins using Microsoft Word.
- Margin requirements:
  - At least 1 inch on the left and right
  - At least 1 inch at the top and bottom
- Margin requirements apply to all materials in the ETD, including figures, tables, photographs, etc., and all material in appendices and must be uniform on all pages, including those in landscape orientation and those in large sizes (11 by 17 inches).

### Page Numbers

- Use Arabic numerals (1, 2, 3, etc.) on all pages (except the title page, which is considered p. 1 but does not have a number on it).
- Recommended page number placement is in the footer, centered, .75 inch from the bottom, but other placements are allowed as long as they are at least .75 from the edge of the page.
- For guidance on formatting page numbers, see [Appendix B](#).

### Centering

- Text to be centered (e.g., chapter titles) should be centered between the **left and right margins**.
- Remove any first-line indent (see the ruler) in the format for centered lines, which will push the “centered” text too far to the right.

### Spacing and Justification

- All regular text must be formatted with double or 1.5-line spacing, including chapter titles and headings. Exceptions: Block quotations, figure captions, table titles, and data in tables may be single spaced.
- Footnotes, endnotes, and References Cited/Bibliography entries **must** be single spaced, but there must be one blank line between footnote, endnote, or References Cited/Bibliography entries.
- Table titles and captions for figures, schemes, etc. should be placed closer to the table or figure than they are to any text occupying the same page. Effective use of white space means using less white space between elements that should be tied together (such as a figure and its caption) and more white space between elements that should be separated. White spaces before and after tables and figures should be consistent throughout.
- Text should be left justified. Full page justification is allowed but discouraged because it frequently causes inconsistency in spacing between words.
- Do not allow more than a quarter page of white space at the end of any page (except at the end of a chapter). Large spaces make it appear that some part of the text is missing. When a large figure does not fit at the bottom of the page where it is cited, move it to the next page and fill in the blank space at the bottom of the previous page with text from after the figure.

### Fonts

- The same font must be used throughout, i.e., for prefatory pages, text body, table titles, figure captions, and page numbers. However, a table body, figure, or appendix may be printed in a different font if appropriate.
- Times New Roman, Courier, Bookman, and similar standard serif fonts are recommended because they are easy to read online. Sans-serif fonts such as Arial are allowed but discouraged since they may make it difficult to distinguish between some characters such as the capital letter “I” and the lowercase letter “l”.
- 12-point type is ideal for text; however, a minimum of 10 point may be used for the body text.
- The same font size must be used for all text, including block quotes, lists, and page numbers, with the following exceptions:
  - Larger type, up to 16 point, may be used for Chapter and Appendix designations/titles and the References Cited/Bibliography section heading.
  - Smaller font size may be used for table bodies and figures.
  - Text footnotes should be smaller than the text body font (usually 10 point).
- Script and other ornamental type fonts are not acceptable for the main text type.
- Bold, italics, and underlining may be used for subheadings, tables, figures, and specific words in text, but extensive use should be avoided.
- Use italics (not underlining) for all words that would normally appear in italics (e.g., scientific names, book and journal titles) in a printed publication.

### **Symbols**

- Special fonts for languages such as Chinese, Japanese, Sanskrit, Russian, and Greek and for phonetic pronunciation are allowed within the text but cannot be used exclusively in place of English characters.
- When uploading your document to the ProQuest site, follow the directions for embedding fonts.

### **Legibility**

- Spacing, headings, and figure and table styles should be selected for their legibility.
- A heading or title style that can be confused with the text should not be used.
- Remember that your document will be archived only in electronic form; therefore, small parts of figures or tables can be made more legible by the reader by using the zoom feature.

### **Style Manuals for Text**

In addition to adhering to the guidelines included in this *UO Manual*, each student should select a general style manual to follow for making consistent decisions about specific points of style not covered here. All decisions regarding style and format must be consistent with the chosen style manual and the *UO Manual*. Should the manuals conflict, the *UO Manual* takes precedence. Some commonly used style manuals:

- American Psychological Association. *Publication Manual of the American Psychological Association* (any edition). Washington, D.C.: American Psychological Association.
- *The Chicago Manual of Style* (any edition). Chicago: University of Chicago Press.
- Coghill, Anne M., and Lorrin R. Garson, eds. *The ACS Style Guide: Effective Communication of Scientific Information*. 3rd ed. Washington, D.C.: American Chemical Society, 2006.
- Gibaldi, Joseph, ed. *MLA Handbook for Writers of Research Papers*. (any edition). New York: Modern Language Association of America.
- Turabian, Kate L. *A Manual for Writers of Term Papers, Theses, and Dissertations* (any edition). Chicago: University of Chicago Press.

### **Use of Color**

- Color may be used for illustrative materials, but the text in your ETD must be black.

### **Illustrative Materials (Tables, Figures, Schemes, etc.)**

- Tables and figures can be numbered continuously or by chapter as long as their formatting/style is consistent across the document.
- Label each with a caption or title and include that caption/title (or a truncated form) in a list (see [Chapter VII](#), List of Figures, Tables, etc.).
- All illustrative materials must conform to margin, legibility, and pagination requirements explained above.

- Each table, figure, etc., must be referred to in the text by number before it appears. Ideally, each table or figure should be placed at the end of the paragraph in which it is first mentioned or as soon thereafter as practical.
  - For example, when the table or figure does not fit on the rest of the page at the end of the paragraph in which it is mentioned, continue the text to fill out the page and place the table or figure at the top of the next page. Tables may be broken across pages if desired, provided the continuation criteria outlined below is followed.
- Because your ETD must be a single unified document rather than an anthology of separate studies, identical tables and figures cannot be repeated in subsequent chapters (see [Chapter X](#)).
- Illustrative materials should be embedded in text (if desired, text may flow around very small items, i.e., those less than a half-page wide).
- Illustrative materials placed on a separate page must cover at least half of the page. If smaller, they should be embedded in text.
- To distinguish tables and figures and their titles/captions from text, leave appropriate space above and/or below them.
- Long tables can begin on one page and continue onto successive pages.
  - The table title must appear at the top of the table on the first page. On the continuation pages, indicate the table number with the word “continued” and repeat the column headings.
- Wide tables or figures may be placed broadside (landscape format). You may choose whether to rotate landscape pages for on screen viewing or keep them portrait oriented as the document would be printed.
- In some situations, tables and figures may be placed together as one or more appendices at the end of the text (before the References Cited section) instead of being embedded in the text. At first mention of the first table/figure in the text, include information for the reader, e.g., “(see Appendix A for all tables).” All appendix pages must be paginated sequentially with the rest of the document.
- Items that are not tables (e.g., figures, maps, graphs, etc.) should be formatted to fit on a single page. When a figure contains several parts that cannot fit on a single page, the parts should be broken into more than one figure. When the figure is too large to accommodate the caption on the same page, the caption must appear at the bottom of the previous page, separated from the text by a horizontal line (see example below). In this case, the page number of the caption (rather than the actual figure page) should be listed for that figure in the List of Figures.

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**Figure 1** (next page). The *nmnat* mutants display defects in the maintenance of terminal dendritic branches.

### Supplemental Files

Other materials, such as audio or video files (including mp4 files), may be included when this material is an integral part of the ETD. The ProQuest form includes a section in which you can enter information about such files and then upload them separately from your ETD. If including supplemental files, note the following:

- If you are uploading supplemental files larger than 1,000 MB or files that require specific descriptive information, please contact the UO Libraries Scholars' Bank Team for assistance.
- In lieu of submitting supplemental files through ProQuest, you may deposit them directly into Scholars' Bank. Contact the Scholars' Bank Team to obtain a digital object identifier (doi) and for more information.
- Permission letters for use of copyrighted material also are considered supplemental files but must be clearly marked so they are not included as part of the archived ETD.
- The supplemental file(s) must be mentioned in three places in your ETD:
  - The end of your abstract: a short (one or two sentences) description of each supplemental file
  - The Table of Contents (without page nos.), after the References Cited (see example below):

REFERENCES CITED .....375

#### SUPPLEMENTAL FILES

VIDEO: CROATIAN DANCES

AUDIO: KLAPA FESTIVAL IN OMIŠ

- The body of the ETD: somewhere in the text the reader should be directed to “the supplemental files included with this thesis/dissertation.”

## CHAPTER VII: PREFATORY PAGE INSTRUCTIONS

Preformatted templates (designed in Microsoft Word) are available on the Division of Graduate Studies website (see [Chapter VIII](#) for instructions and template links). We highly recommend that you use these templates for the creation of your prefatory pages. These pages will be reviewed word by word and must closely match the corresponding sample pages. If you choose to format the pages on your own, please compare your results with the templates; 90% of the errors in any ETD occur in these pages.

Following are some specific points to keep in mind when formatting the prefatory pages:

### Title Page

- No page number appears on the title page, but it is counted as page 1.
- Type the title of your document in Title Case, centered, near the top of the page.
- Leaving 2-3 spaces after the title, type “by” (lowercase); leave one blank line; type your name, centered (see Chapter III for Student Name Requirements).
- Leave 2-3 additional lines of space and add the presentation statement. The presentation statement text is worded and arranged exactly as shown on the sample page, and ends with the name of the degree to be conferred and your major. Refer to the [Office of the Registrar’s list of programs](#) for the official name of your major.
- Add the names of your committee as shown in the template.
- Leaving another 2-3 lines of space, insert University of Oregon, leave one additional line of space, and enter your term and year of graduation (i.e. Spring 2023).

### Copyright Page

The copyright page is required; it will be labeled as page 2. Inclusion of this page does not obligate you to go through a formal copyright process.

- Center copyright wording and place 4 to 5 inches from the top of the page.
- For a standard copyright, the following information must be included: (a) the symbol © or the word “Copyright,” (b) the year, and (c) your name (must match the name listed on all other prefatory pages). The year listed on the copyright page is the year in which the degree will be conferred.
- For a Creative Commons license, the following information must be included on the copyright page of the ETD: (a) the symbol © or the word “Copyright,” (b) the year, (c) your name (must match the name listed on all other prefatory pages), (d) “This work is openly licensed via [type of license],” and (e) a link to the Creative Commons license you’ve chosen. You may also choose to include an image of the corresponding license. More details about Creative Commons licensing are available in [Chapter IV: Publication and Copyright](#).

### Abstract

The Abstract of the thesis or dissertation provides a statement of the problem, describes the methods or procedures, and summarizes the results. It should be written in prose style rather than outline form and is intended to characterize the scholarship of the thesis or dissertation.

- Your name, dissertation or thesis title, and degree name must be identical, including punctuation, to those on your Title page.
- The Abstract begins on page 3. Format this page exactly as shown in the sample pages.
- Your name, degree name and major, and title of your document (in Title Case, single spaced) must all match those on the preceding prefatory pages.
- The text of the abstract should have a first-line indent for each paragraph, be double or 1.5 spaced, and match the rest of the prefatory pages in terms of font size.
- There is no word limit for the abstract, but keep in mind that ProQuest publishes print indexes that include citations and abstracts of dissertations and theses. These print indexes require limits of **350 words for doctoral dissertations and 150 words for master's theses**. In the editorial process for these print publications, your abstract will simply be truncated if it exceeds these word limits, so you may wish to limit the length of your abstract if this concerns you.
- Left justification without hyphenation (rather than full justification) is preferred.
- Do not include parenthetical (author, date) reference citations.

### **Curriculum Vitae (Optional)**

A Curriculum Vitae (CV) is a brief summary of your academic background. It is not an autobiography or a résumé. It does not include contact information and is not intended as a tool for seeking employment. It should list relevant activities up to the time of degree completion.

If you choose to include a CV, the format should match that shown in the sample pages; relevant sections may be added or omitted if appropriate. Pay particular attention to the following:

- Your name must match that on the preceding prefatory pages.
- You may add additional sections that are relevant, appropriate, and professional (e.g., do not add a section listing your pets or children).
- You may omit any sections that are not applicable to you.
- List all institutions attended (not departments) in reverse chronological order (most recent first), beginning with the University of Oregon.
- List degrees (undergraduate and graduate) in reverse chronological order (most recent first), including the degree sought with this document. You may include your major (e.g., Doctor of Philosophy in Counseling Psychology). Include year and granting institution (not department or school within the institution).
- If applicable, list publications in bibliographic format but in reverse chronological order (most recent first) using the same style as used for the References Cited section. **Unpublished works** must be at least submitted for publication to be included here and must be specified as (1) in press/accepted for publication (provide as much information as possible: name of publication, article title, publication date if known), (2) under review (list name of publication and include status—first review, second review, etc., refereed, not refereed), or (3) submitted for publication (provide name of publication). **Presentations at meetings** can be included only if the meeting proceedings have been published in book form.

### **Acknowledgments (Optional)**

If you choose to include an Acknowledgements page, it must be in the same format as the body of the ETD in terms of margins, fonts, first line indent, etc. While there is no specific limit on the length of this section, the recommended length is 2 pages or less.

### **Dedication (Optional)**

If you choose to include a Dedication page, it must be in the same format as the body of the ETD in terms of margins, fonts, first line indent, etc. The DEDICATION heading is optional. While there is no specific limit on the length of this section, the recommended length is 1 page maximum.

### **Table of Contents**

Your ETD must include a Table of Contents that is well-formatted and professional-looking. You may use the Microsoft Word Table of Contents tool, the prefatory page templates provided by the Division of Graduate Studies, or another method, as long as the following requirements are met:

- Page numbers are accurate.
- Each entry matches exactly with the corresponding text of the document.
- All fields are properly aligned (e.g., the page numbers line up perfectly with each other on the right; chapter titles line up perfectly with each other on the left).
- All chapter titles and at least one level of headings within chapters are included.
- You must use the leader character (**not periods**; in MS Word: Page layout >Paragraph > Indent and spacing > Tabs > Leader 2, dots) to create leader dots for page numbers. These dots are already formatted correctly in the MS Word tool and the Division of Graduate Studies' prefatory page templates.
- There must be at least 3 leader dots between the end of the heading and the page number.

### **List of Figures, Tables, etc.**

If illustrative materials are included in your ETD, a numbered list of the captions/titles is required. Each list should begin on a separate page. The format of each list must match that of the Table of Contents.

- Common headings for these lists are LIST OF FIGURES, LIST OF TABLES, LIST OF SCHEMES, and LIST OF MUSICAL EXAMPLES.
- Figures, Tables, etc. may be numbered consecutively throughout (1, 2, 3, etc.) or may be numbered by chapter (1.2, 1.2, 2.1, 2.2, 2.3, etc.). Numbering in the Lists must be the same as that used in the text. Always place a period after the number, before the caption (e.g., 1.1. Caption of figure).
- The wording of each caption/title must be identical to that used in the text; however, you may use a truncated version of long captions/titles. If you choose to truncate, **the truncated version must make grammatical sense, be composed of the same words in the same order as used in the complete version, but some words from the**

**complete version can be omitted.** For example:

Volatile concentrations in olivine-hosted melt inclusions, matrix glass, and lava glass erupted from Sand Mountain, located in the central Oregon Cascades. Sand Mountain has a large tephra deposit and the concentrations are elevated above those of the cinder cones.

can be truncated to:

Volatile concentrations in olivine-hosted melt inclusions, matrix glass, and lava glass, Sand Mountain, central Oregon Cascades.

- You must use the leader character (**not periods**; see instructions above for Table of Contents) to create leader dots for page numbers.
- There must be at least 3 leader dots between the end of the heading and the page number.
- Page numbers must be specified for all entries.

## CHAPTER VIII: PREFATORY PAGE TEMPLATES

The preformatted templates available on the [Division of Graduate Studies website](#) are intended for use with MS Word on a PC, but they usually also work with Apple computers. These templates are provided as an aid to students for correctly formatting the ETD prefatory pages. Because the length of titles, department names, student names, the number of chairpersons and chapters, organization of text, and inclusion of appendices or other specific sections differ from one ETD or field of study to another, the template is a useful tool but does not address all the possibilities and/or variations.

1. Click on the link to the appropriate template listed under Thesis or Dissertation. This will download an MS Word document.
2. Open the document and save with an appropriate name.
3. Work with the “Show/Hide ¶” icon on the Windows toolbar (¶) turned on so you can see all formatting on the page, including spaces, tabs, and blank lines. You may need to add or remove lines or spaces to conform to the style requirements, especially spacing.
4. Carefully read the instructions in the shaded areas of the template before you overwrite them with your specific information.
5. Delete any parts, sections, or wording that is not appropriate to your specific document. For example, the parts of the CV that refer to Grants and/or Publications may not apply in your case and may be eliminated. Some ETDs may not contain figures, tables, maps, etc., so the associated List following the Table of Contents can be deleted.
6. Save often to make sure that any changes/additions remain part of the final version.
7. Contact the Division of Graduate Studies by email ([graduatestudies@uoregon.edu](mailto:graduatestudies@uoregon.edu)) to request a review of all prefatory pages. At this point, problem areas can be quickly identified and resolved.

## CHAPTER IX: TEXT BODY FORMATTING AND SAMPLE PAGES

### Samples

The sample text pages in [Appendix C](#) are intended as examples of acceptable formatting of chapter titles, headings, block quotes, epigraphs, tables and figures (including those in landscape format), footnotes, and references; however, your formatting does not necessarily have to conform exactly to these samples as long as your formatting meets our minimum requirements as described below.

### Page Numbers

- Use Arabic numerals (1, 2, 3, etc.) on all pages (except the title page, which is considered p. 1 but does not have a number on it).
- In the body of the text, page numbering should continue from the prefatory pages. For example, if the last prefatory page is page 12, Chapter 1 should be numbered 13.
- Recommended page number placement is in the footer, centered, .75 inch from the bottom, but other placements are allowed as long as they are at least .75 from the edge of the page.
- For guidance on formatting page numbers, see [Appendix B](#).

### Chapters

- The first chapter usually is an introduction, which explains the problem and the organization of the document. A separate “Preface” that comes before the first Chapter is not allowed. Any material that could be considered a “preface” should be included in the first chapter.
- Each chapter starts on a new page, and the number and title of the chapter must appear at the top of the first page of each chapter. The format of chapter headings must be consistent across all chapters.
- You may number your chapters with uppercase Roman numerals (I, II, III, IX, etc.) or Arabic numerals (1, 2, 3, 4, etc.), as long as you are consistent throughout the document.

### Headings Within Chapters

In this manual, headings are referred to numerically by their level in the hierarchy of organization:

- The level 1 heading is always the chapter title.
- Subsequent levels of headings (levels 2 through as many as necessary) within each chapter can be formatted in a variety of ways (any combination of title case, sentence case, small caps, cap and lowercase, bold, underlined, italic, centered, flush left, or run into text) as long as there is some hierarchical logic to the order.
- If you are using numbered headings, no variation in style is necessary; the numbering system indicates the hierarchy.
- The headings in all chapters must be consistent in style. If you are using non-numbered headings, you should base your style decisions on the most complex chapter,

i.e., the chapter that has the most levels of headings. For example, if Chapter III has four levels of headings and the other chapters have only two levels, decide on an appropriate style hierarchy for four levels. Use headings of levels 1 through 4 in Chapter III and headings of levels 1 and 2 in all the other chapters. Do not skip heading levels.

- After all editing has been done to the text of your document, check to make sure that no headings stand alone at the bottom of a page.

### **Block Quotes**

- Block quotes must be indented on the left to an appropriate place.
- Do not include beginning and ending quotation marks.
- Block quotes can be single, double, or 1.5 spaced.

### **Footnotes and Endnotes**

- Text Footnotes:
  - Text footnotes at the bottom of pages must be single spaced.
  - Do not add extra lines of space within a footnote. However, when more than one footnote appears on a page, there must be an extra line of space between them.
  - Footnotes must be numbered or lettered either consecutively within each chapter or throughout the entire document.
  - Symbols also can be used, usually in this order: \* (asterisk), † (dagger), ‡ (double dagger), § (section sign), || (double vertical line), # (number sign), and ¶ (pilcrow sign); if more symbols are needed, use doubles (\*\*, ††, etc.).
  - Figure captions should not have footnotes. All information pertaining to the figure should be included in the caption or should appear in the text (or as a text footnote).
- Table Footnotes:
  - Footnotes that explain information within tables must not be confused with text footnotes.
  - Table footnote designators should be different from those used for text footnotes.
  - Table footnotes appear together at the bottom of the table, not at the bottom of the text page.
- Endnotes: Sometimes it is better to place all text notes at the end of the chapter rather than the bottom of individual pages.
  - The section should be titled “Notes” and should begin immediately after the last paragraph of text for that chapter (not on a new page).
  - The “Notes” heading must be the same format as all other level 2 headings.
  - This section must be listed in the Table of Contents.

- Do not confuse comment notes with Reference citations. You may have comments as notes, but they cannot appear in the References Cited section at the end of the document; they must be placed as footnotes or endnotes.

### **Appendices**

Appendix material appears after the text body but before the References Cited or Bibliography section. A single appendix is designated APPENDIX (level 1 heading, i.e., the same format as chapter headings) with a title (also level 1 heading style):

#### APPENDIX

TITLE OF APPENDIX HERE

If there is more than one appendix, each should be labeled with an uppercase letter (A, B, etc.):

#### APPENDIX A

TITLE OF APPENDIX HERE

When the appendix includes material that cannot accommodate the designation and title on the first page, a separate appendix title page should be included with just the designation and title.

Page numbers for the appendix material must continue consecutively from the text body, and all material must fit within the margins. You may choose whether to list internal headings (levels 2, 3, etc.), tables, and figures included in an appendix in the Table of Contents or Lists of Figures/Tables. All appendices must be referred to somewhere in the text and must appear in the order in which they are cited.

### **References Cited or Bibliography**

Your document must have either a References Cited or Bibliography section. It appears at the end of the document, and the heading is a level 1 heading (i.e., the same format as chapter headings). You may also choose to place citations at the end of each chapter instead.

Entries usually are alphabetical, but numbered systems (either alphabetical or in the order of appearance in the text) also are acceptable. All entries must be single spaced, with an extra line of space between entries. Comment notes must not be included within the References Cited/Bibliography section.

The References Cited/Bibliography section is information dense and thus provides many opportunities for errors. Follow your chosen style carefully and consistently, paying special attention to inclusion of all necessary information, order of parts, spacing, punctuation, capitalization, and use of bold or italics.

#### *References Cited*

- Each in-text reference citation must match a full citation in this section.
- Only references actually cited in the text should be included.
- Sources used in the research process but not cited in the text **may not be listed here**; instead you may list them in an appendix (e.g., as Supplemental Sources).

*Bibliography*

- Each in-text reference citation must match a full citation in this section.
- Sources used in the research process but not cited in the text **may be listed here**.

**The Very Last Thing**

After converting your final ETD to a PDF file, **look at every page carefully**. Many mistakes can be caught in this process (e.g., missing or misnumbered pages, missing page numbers, margin errors, incorrect or inconsistent fonts and sizes, and headings in the wrong place). Make sure any unusual symbols or characters have been rendered correctly and that all illustrative materials appear as intended before you upload the final PDF to the ProQuest site. Time invested at this point will save much time during the corrections process.

## CHAPTER X: PREVIOUSLY PUBLISHED AND/OR CO-AUTHORED MATERIAL

The UO Division of Graduate Studies allows students to include previously published and/or co-authored material in a thesis or dissertation. Formatting of the ETD to conform to the style of an academic journal is also allowed under certain circumstances. However, the ETD must be a coherent and unified body of work, not just an anthology of separate studies.

**A. Previously published and/or co-authored material.** If you wish to include in your ETD the entirety or substantial portions of material that has been published with or without co-authors or material that is intended to be published with co-authors, you must have the approval of your committee to do so. Such material would be any text, figures, tables, or other work that is physically included or a “substantial portion of such materials,” which means more than what could normally be quoted under the “fair use” doctrine without the permission of the copyright holder. In some disciplines or situations, it may not be appropriate to allow the inclusion of published material or material with co-authors in an ETD. Your committee is responsible for these decisions.

1. You must thoroughly acknowledge the contributions of your co-authors and all other contributors to your ETD according to the standards of attribution prevalent in your field. Co-authors must be acknowledged in three places in your ETD:

a. **The Abstract.** Your abstract must have this concluding one-sentence paragraph beginning with an indented line,

This dissertation [thesis] includes previously published [unpublished] co-authored material.

b. **The first chapter.** This chapter usually is an overview of the ETD and must specify which parts of the dissertation have been published with only your name and/or have been or will be published with co-authors, and co-authors must be acknowledged by name.

c. **The beginning of each chapter that includes previously published and/or co-authored material.** You must **specify** your contribution and acknowledge the contributions of others by name. This acknowledgment must take the form of a separate paragraph just below the title of the chapter (see Appendix D for examples).

2. Abstracts and Acknowledgments do not appear with each article or chapter but are placed at the beginning of the ETD and are written to encompass all the articles included in the ETD.

To prevent the ETD from appearing to be an anthology of separate studies, chapters should be clearly linked by providing a “bridge” (the last paragraph of the chapter) that explains the relationship between the experiments/arguments in that chapter and those of the chapter to follow. The heading “Bridge” can be used but is not required. The final chapter of the ETD should be a concluding summary tying together all the material presented.

3. Identical text, tables, and figures cannot be repeated regardless of whether this material was present in the original article. Such material should appear only once. In subsequent chapters, refer to tables and figures by chapter number, e.g., “See Figure 2 in Chapter I” or “See Figure 1.2” (when figures are numbered by chapter).

4. Appendices may be included to give a more complete presentation of the data collected and

analyzed than is often possible in the more truncated format required of a journal article. These appendices do not appear within each chapter but follow the last chapter of the ETD, before the References Cited, if it appears at the end of the document.

5. The References Cited/Bibliography may appear within each chapter -OR- at the end of the ETD. The usual presentation is a single alphabetical or numbered list of all the citations included in the entire ETD, but the list may be divided into sections corresponding to each chapter. **Comment notes should not be included within the References Cited list.** Reference entries and comment notes are two separate elements that appear in different places in the ETD. Comment notes must be placed as footnotes or endnotes for each chapter.
6. Apart from “fair use,” you must obtain permission to reproduce any material for which someone else holds the copyright (you are responsible for copyright infringements in your ETD). Note that permission to reproduce material rarely includes permission to alter it.

**B. Use of a journal style.** If you wish to format your ETD in the style of a specific journal(s) so that chapters may be submitted for publication with minimal changes, you may do so under the following conditions.

1. An ETD prepared in journal format style must include:
  - a. A general introduction (Chapter I) that includes an overview of how the articles (chapters) fit together into an original, integrated, and coherent body of work.
  - b. A “bridge” (the last paragraph of each chapter) that explains the relationship between the experiments/arguments in that chapter and those of the chapter to follow (the heading “Bridge” can be used but is not required), and
  - c. A concluding summary (last chapter) covering all the material.
2. Format clarification
  - a. Journal format takes precedence in matters of text style (with the additions listed in point 2 above), individual numbering of tables and figures within each chapter or article, style for headings other than chapter titles, and citation style (see item 3f below).
  - b. Division of Graduate Studies format takes precedence in matters concerning margins, pagination, font, spacing (e.g., double or 1.5-spaced text), the content and format of the prefatory pages, style for level 1 headings (chapter titles), and placement of reference material and footnotes or endnotes.
  - c. Identical text, tables, and figures cannot be repeated regardless of whether this material was present in the original article. Such material should appear only once. In subsequent chapters, refer to tables and figures by chapter number, e.g., “See Figure 2 in Chapter I” or “See Figure 1.2” (when figures are numbered by chapter).
  - d. Abstracts and Acknowledgments do not appear with each article or chapter but are placed at the beginning of the ETD and are written to encompass all the articles included in the ETD.
  - e. Appendices may be included to give a more complete presentation of the data collected and analyzed than is often possible in the more truncated format required of a journal article. These appendices do not appear within each article or chapter but follow the text portion of the ETD, before the References Cited section.

- f. The References Cited or Bibliography list may appear within each article or at the end of the ETD. The usual presentation is a single alphabetical or numbered list of all the citations included in the entire ETD, but the list may be divided into sections corresponding to each chapter. Comment notes should not be included within the References Cited/Bibliography list. Reference entries and comment notes are two separate elements that appear in different places in the ETD. Comment notes must be placed as footnotes or endnotes within each chapter. In-text citations, footnotes, endnotes, and the References Cited/Bibliography list must be in the style of the journal you have chosen to follow. Regardless of what style you use for your in-text reference citations (footnotes, endnotes, Blue Book, etc.), a separate References Cited or Bibliography section is still required.

## APPENDIX A: ESSENTIAL LINKS TO UO WEBSITES

### General

Application for Advanced Degree: [gradweb.uoregon.edu/main/mainStudent.asp](http://gradweb.uoregon.edu/main/mainStudent.asp)

Concurrent degree information:

[graduatestudies.uoregon.edu/academics/policies/concurrent/pursuing-concurrent-degrees](http://graduatestudies.uoregon.edu/academics/policies/concurrent/pursuing-concurrent-degrees)

Creative Commons website: [creativecommons.org/licenses/](http://creativecommons.org/licenses/)

ProQuest ETD Administrator: [www.etdadmin.com/main/home](http://www.etdadmin.com/main/home)

ProQuest Copyrighting and Licensing: [www.etdadmin.com/cgi-bin/main/resources](http://www.etdadmin.com/cgi-bin/main/resources)

UO Scholars' Bank website: [scholarsbank.uoregon.edu/xmlui/](http://scholarsbank.uoregon.edu/xmlui/)

UO Thesis and Dissertation Support (library resources):

[researchguides.uoregon.edu/c.php?g=1049755&p=7628942](http://researchguides.uoregon.edu/c.php?g=1049755&p=7628942)

### Dissertation-Specific

Doctoral Degree Deadlines:

[graduatestudies.uoregon.edu/academics/completing-degree/doctoral-degree-deadlines](http://graduatestudies.uoregon.edu/academics/completing-degree/doctoral-degree-deadlines)

Oral Defense Attendance Policies:

[graduatestudies.uoregon.edu/academics/policies/doctoral/oral-defense-waiver-attendance](http://graduatestudies.uoregon.edu/academics/policies/doctoral/oral-defense-waiver-attendance)

Survey of Earned Doctorates: [sed-ncses.org/](http://sed-ncses.org/)

### Thesis-Specific

Master's Degree Deadlines: [graduatestudies.uoregon.edu/academics/completing-degree/masters-degree-deadlines](http://graduatestudies.uoregon.edu/academics/completing-degree/masters-degree-deadlines)

Master's Thesis Approval Form:

[graduatestudies.uoregon.edu/sites/graduatestudies1.uoregon.edu/files/mastersthesisapproval.pdf](http://graduatestudies.uoregon.edu/sites/graduatestudies1.uoregon.edu/files/mastersthesisapproval.pdf)

## APPENDIX B: PLACEMENT AND FORMATTING OF MARGINS AND PAGE NUMBERS

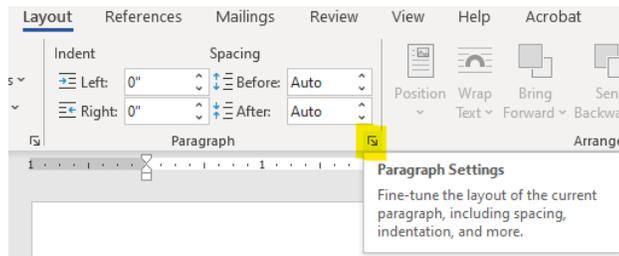
The following instructions are for Microsoft (MS) Word, for PC.

### Margins and Paragraph Spacing

- On the toolbar, go to the Layout tab and click on Margins.
- Choose Custom Margins and set the margins yourself: Top and Bottom, 1 inch minimum; Left and Right, 1 inch minimum. Select “Apply to whole document” and click OK.

### Paragraph Spacing

- On the toolbar, go to the Layout tab and then click the arrow next to “Paragraph” to access Paragraph Settings.



- In the Spacing section, set Before and After to “0”.

### Footer Placement for Page Numbers on Prefatory Pages

- The title page is not numbered but is considered page number 1. Page numbering begins on the copyright page (page 2).
- Subsequent prefatory pages are numbered consecutively.
- Preferred page number placement is centered at the bottom of the page, but other placements are also acceptable.
- The Prefatory Pages Templates already contain page numbers. If you do not use these templates, follow the directions below:
  - On the toolbar, click on Insert. In the Header & Footer menu box, click on Page Number.
  - Click on “Top of Page” or “Bottom of Page” and choose one of the “Plain Number” options according to your choice of page number placement:
    - Plain Number 1: Left
    - Plain Number 2: Centered
    - Plain Number 3: Right
  - The toolbar will now display the Header & Footer Tools Design menu. In the Position menu box, change “Footer from Bottom” to 0.75 inches.

- In the Header or Footer itself (area above or below the dotted line at the top or bottom of the page), delete the extra “enter” Word has so “helpfully” inserted below the page number (which pushes the page number up too high or too low). Make sure the page number is in the same font and size as the rest of the ETD text.

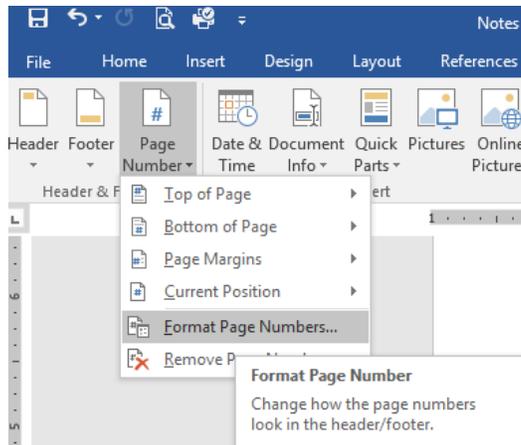
### Placement for Page Numbers on Text Pages

For the text portion of your ETD (after the Prefatory Pages), the page numbering continues with Arabic numbers. For example, if the last prefatory page is page 12, Chapter 1 should begin on page 13.

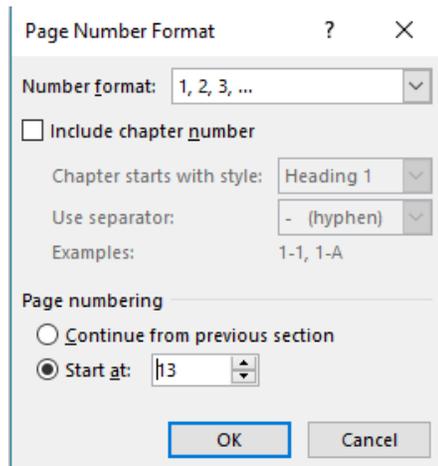
If you have been maintaining just one document containing both the prefatory pages and the text pages, follow the instructions above and the page numbering should continue correctly into the text pages.

If you have been maintaining prefatory pages and text pages as separate files while editing, follow the same instructions as above to insert page numbers on the document containing the body of your ETD. To correctly start the page numbering in the text pages document:

- After inserting the page number, click on “Page Number” in the Header & Footer menu box; then click “Format Page Numbers”



- Select “Start at:” under Page numbering and change the number to the number after the last page of the prefatory pages.



When you are ready to submit the final ETD, make each file into a PDF file and then combine these two files by following these steps:

1. Go to the Tools menu in Acrobat and select Combine Files.
2. Click Add Files or drag and drop them into the window.
3. Rearrange the order of your files if necessary
4. Click Combine to merge your files.
5. Save your new PDF.

You can also use the [Merge PDFs](#) tool in Acrobat online services.

1. Open the tool.
2. Select and rearrange your PDFs.
3. Click Merge.
4. Save and download your combined PDF.

For platform-specific instructions, learn how to [merge PDF files on a Mac](#) or [merge PDF files in Windows](#).

### **Formatting Page Numbers**

To finalize or change the formatting of the page numbers:

- In Print Layout view, double click on the page number, which will show the header and footer
- Select (highlight) the page number
- On the toolbar click on Home. In the Font menu box, **choose the same type font** (e.g., Times New Roman) **and the same font size** (e.g., 12 pt) **as you are using for the text in your document.**

## APPENDIX C: SAMPLE TEXT PAGES

### CHAPTER I

#### INTRODUCTION

This style manual was created to outline the parameters set by necessity to standardize publications produced by graduate students at the University of Oregon. The *UO Style and Policy Manual for Theses and Dissertations* is to be used as a guide to help you establish the physical format and appearance of your thesis or dissertation. However, it does not contain information on all the style issues involved in creating a scholarly work. Some aspects of style (e.g., footnote format and placement, citations and references, tables, and figures) are discipline specific and should be determined in consultation with your advisor and committee.

#### Style Manuals

Other manuals are available in the UO Libraries and the University Bookstore. (See Chapter VI for a list.) Because the student must make a choice concerning style of the manuscript at an early stage, we suggest perusing several different style manuals in the library and consulting with your committee before deciding which style manual to follow. Various disciplines traditionally use a specific style manual.

#### *Chicago Style Manuals*

Two manuals available from the University of Chicago provide information on most aspects of writing and producing a scholarly work.

#### *Turabian*

*A Manual for Writers of Term Papers, Theses, and Dissertations*<sup>1</sup> by Kate L.

Turabian is an excellent resource for the graduate student writing a thesis or dissertation. It

specifically addresses the mechanics of writing, the presentation of tables and figures, and the major styles of reference documentation. The chapter comparing the two main documentation systems (humanities versus author-date) is particularly useful.

### *The Chicago Manual of Style*

*The Chicago Manual of Style*<sup>2</sup> provides a thorough explanation of the editing and proofreading issues faced by writers, editors, and publishers. It contains an excellent section on documentation but is very general in scope and must be adapted by the student to meet the style requirements called for in a scholarly thesis or dissertation.

## Some Elements of a Thesis or Dissertation

### *Headings*

The UO style recommends that each chapter begin with the chapter designation and the title, both in ALL CAPS, centered, 1 inch from the top of the paper. The page numbering of the first chapter continues from the prefatory page numbers. Headings are usually referred to numerically by their level in the hierarchy of organization. The no. 1 head is always the chapter title (ALL CAPS, centered, bold or not). The subsequent levels of headings (numbers 2 through as many as necessary) within each chapter can be styled in a variety of ways (any combination of sentence case, small caps, cap and lowercase, bold, underlined, italic, centered, flush left, or run into text) as long as there is some hierarchical logic to the order. If you are using numbered headings, no variation in style is necessary; the numbering system indicates the hierarchy.

<sup>1</sup> Kate L. Turabian, *A Manual for Writers of Term Papers, Theses, and Dissertations*, 6th ed. (Chicago: University of Chicago Press, 1996).

<sup>2</sup> *The Chicago Manual of Style, The Essential Guide for Writers, Editors and Publishers*, 14th ed. (Chicago: University of Chicago Press, 1993).

The headings in all chapters must be consistent in style. When using non-numbered headings, you should base your style decisions on the chapter that has the most levels of headings. For example, if Chapter III has four levels of headings and the other chapters have only two levels, decide on an appropriate hierarchy for four levels. Use heading nos. 1 through 4 in Chapter III and heading nos. 1 and 2 in all the other chapters.

### *Tables*

Tables are an important part of many dissertations. Table 1.1 is an example of a data table that might appear in the Methods or Results section of an ETD. Note that the title is at the top of the table (not included in it), and the footnotes are part of the table, they are not part of the text. Remember to leave enough space above and below the table so the title and footnotes do not become confused with the rest of the text. The use of bold or underlining in the table body is discouraged unless needed to highlight an important aspect. All tables must be cited before they appear in the text. Tables most often should be placed at the end of the paragraph in which they are cited (not in the middle of the paragraph). However, they can be placed on the next page to prevent the table from splitting across two pages (see Table 1.2).

**Table 1.1.** Type 1 error rate of the LRT using the  $\chi^2$  approximation. Shown are the proportion of 2000 data sets simulated under  $H_0$ .

Data set	$\alpha = 0.05$	$\alpha = 0.01$
Sequence divergence		
0.05	0.068**	0.020**
Species number		
6	0.067**	0.014 ns
12	0.087**	0.021**

\*\*Significance level of 0.005. ns, not significant.

Occasionally, a table contains data that would be presented best in landscape orientation. Such a table should appear on its own page. These tables can be formatted after separating them from the text with Section Breaks before and after, which will allow the text to be rotated. Sometimes, it is easier to create this table as a separate file and then merge the two pdf files into a single file for uploading. You may choose to either orient the page as landscape within your document or keep it as portrait, as would be printed.

### *Figures*

Any kind of illustrative material that is not a table usually is considered a figure, including such items as maps, photographs, and graphs. Every figure must have a numbered caption, and each category must have its own list of captions in the preliminary pages: List of Tables, List of Figures, etc. Figure 1.1 is a sample of a figure embedded in the text.

If a figure takes up less than half the width of the text area of the page, then it is permissible to place the caption to the right or left of the figure. Otherwise, center the figure between the left and right margins, with the caption below. Figures must take up no more than one complete page. If a figure is larger than one page, experiment with changing the orientation (from Portrait to Landscape), photoreduction, or breaking the figure into multiple figures. For figures that take up the entire text area of the page with no room for the caption, the caption must go on the previous page (see Fig. 1.2 for example).

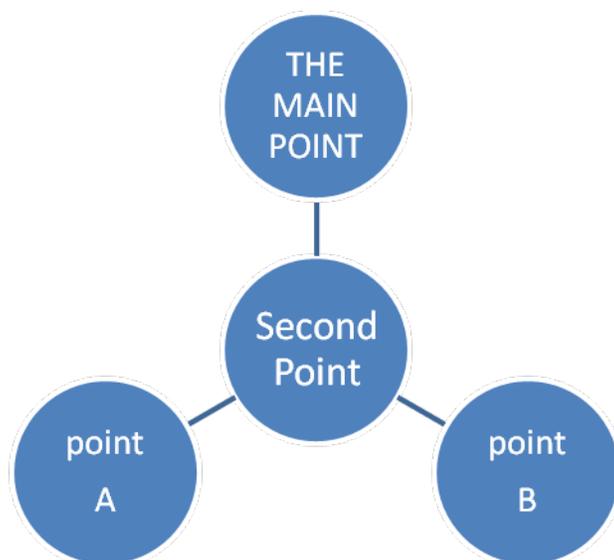
Figures must be legible and of “professional” quality. The printing must be clear, with high contrast, and parts must be large enough to be legible after the document is microfilmed. For most figures, any included text should be no smaller than 7 pt. All tables, figures, quotes, appendices, etc., must fit within the designated margins.

**Table 1.2.** Homologues of LFY/FLO, UFO/FIM, and AP3/DEF cloned previously or in this study. Gene names conform to the cited reference for previously cloned homologues or follow the nomenclature for *Antirrhinum majus* if cloned in this study. For species with more than one homologue, an A or B designation describes the paralogy group within which genes cluster in phylogenetic analyses. Species with multiple A or B copies are given a further numeric designation. An abbreviation incorporating both species and genenames is used to label terminal branches in gene trees.

Species	Gene	Abbreviation	Reference	Accession no.
<i>Zea mays</i>	<i>ZFL1</i>	ZeaMaZFL1	Bomblies et al., 2003	AY179883
	<i>SLK1</i>	ZeaMaSLK1	Ambrose et al., 2000	AF181479
<i>Arabidopsis thaliana</i>	<i>LFY</i>	AraThLFY	Weigel et al., 1992	M91208
	<i>UFO</i>	AraThUFO	Ingram et al., 1995	X89224
	<i>AP3</i>	AraThAP3	Jack et al., 1992	A42095
<i>Petunia hybrida</i>	<i>ALF</i>	PetHyALF	Souer et al., 1998	AF030171
	<i>TM6</i>	PetHyTM6	Kramer et al., 2000	AF230704
	<i>PMADS1</i>	PetHyPMADS1	Kush et al., 1993	X69946
<i>Lycopersicon esculentum</i>	<i>FA</i>	LycEsFA	Molinero-Rosales et al., 1999	AF197935
	<i>TM6</i>	LycEsTM6	Pnueli et al., 1991	X60759
	<i>AP3</i>	LycEsAP3	Kramer et al., 2000	AF052868
<i>Syringa vulgaris</i>	<i>FLO</i>	SyrVuFLO	this study	AY524037
	<i>FIM</i>	SyrVuFIM	this study	AY524021
	<i>DEF</i>	SyrVuDEF	this study	AY524007
<i>Antirrhinum majus</i>	<i>FLO</i>	AntMaFLO	Coen et al., 1990	M55525
	<i>FIM</i>	AntMaFIM	Simon et al., 1994	S71192
	<i>DEF</i>	AntMaDEF	Sommer et al., 1990	S12378
<i>Chelone glabra</i>	<i>FLO</i>	CheGIFLO	this study	AY524029
	<i>FIM</i>	CheGIFIM	this study	AY524022
	<i>DEF</i>	CheGIDEF	this study	AY524008
<i>Verbena officinalis</i>	<i>FLOA</i>	VerOfFLOA	this study	AY524030
	<i>FLOB</i>	VerOfFLOB	this study	AY524038
	<i>FIM</i>	VerOfFIM	this study	AY524023
	<i>DEFA</i>	VerOfDEFA	this study	AY524009
	<i>DEFB</i>	VerOfDEFB	this study	AY524014

**Table 1.2. (continued).**

Species	Gene	Abbreviation	Reference	Accession no.
<i>Salvia coccinia</i>	<i>FLOA1</i>	SalCoFLOA1	this study	AY524031
	<i>FLOA2</i>	SalCoFLOA2	this study	AY524032
	<i>FIM</i>	SalCoFIM	this study	AY524024
	<i>DEFB1</i>	SalCoDEFB1	this study	AY524015
	<i>DEFB2</i>	SalCoDEFB2	this study	AY524016
<i>Pedicularis groenlandica</i>	<i>FLOA</i>	PedGrFLOA	this study	AY524033
	<i>FLOB</i>	PedGrFLOB	this study	AY524039
	<i>FIM</i>	PedGrFIM	this study	AY524025
	<i>DEFA</i>	PedGrDEFA	this study	AY524010
	<i>DEFB</i>	PedGrDEFB	this study	AY524017
<i>Paulonia tomentosa</i>	<i>FLOA</i>	PauToFLOA	this study	AY524034
	<i>FLOB</i>	PauToFLOB	this study	AY524040
	<i>FIM</i>	PauToFIM	this study	AY524026
	<i>DEFA</i>	PauToDEFA	this study	AY524011
	<i>DEFB</i>	PauToDEFB	this study	AY524018
<i>Mimulus lewisii</i>	<i>FLOA</i>	MimLeFLOA	this study	AY524035
	<i>FLOB</i>	MimLeFLOB	this study	AY524041
	<i>FIM</i>	MimLeFIM	this study	AY524027
	<i>DEFA</i>	MimLeDEFA	this study	AY524013
	<i>DEFB</i>	MimLeDEFB	this study	AY524019



**Figure 1.1.** An example of a centered figure in color. Figure captions usually appear below the figure.

### *Other Internal Elements*

#### *Quotations*

Short quotes can be placed in running text set off in the normal style by quotation marks. Quotes that would run more than four manuscript lines in running text should be set off as a block. The beginning and ending quotation marks should be removed, and the text should be indented on the left and usually single spaced. The font for all quotes should be the same size as that used for the regular text. See the following pages for samples of an epigraph quote and in-text and block quotes.

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**Figure 1.2.** (next page). Figure captions usually appear below the figure. However, when the figure is so large that the caption cannot fit on the same page with the figure, the caption should appear at the bottom of the previous page below a full-width horizontal line. The page of the caption is the one that should be listed in the List of Figures

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**THE REALLY GIANT FIGURE 1.2 GOES HERE**

**AND**

**TAKES**

**UP**

**THE**

**ENTIRE**

**PAGE**

**WITH**

**NO ROOM FOR THE CAPTION**

**AT THE BOTTOM OR SIDE**

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### *Notes*

Do not confuse comment notes with bibliographical notes. If you wish to have both types of notes, they must appear in separate places. Comment notes can appear as footnotes or endnotes. Bibliographical citations must appear in a separate section at the end of the document.

*Footnotes.* Footnotes should be single spaced with an extra line of space between each footnote on a page.

*Endnotes.* Sometimes it is better to place all text notes at the end of the chapter rather than the bottom of individual pages. The section should be titled “Notes” and should be styled as a second-level heading (in whatever style you have chosen for that level of heading). This section also must be listed in the Table of Contents.

### *References Cited*

A References Cited or Bibliography section is required. While it is commonly placed at the end of the document, you may also place at the end of each chapter. Each citation in the text must match a full citation here. A Referenced Cited list may **only** include sources cited in the text; if you are calling this section a bibliography, sources used in the research process but not cited in the text may also be listed here. Entries usually are alphabetical, but numbered systems (either alphabetical or in the order of appearance in the text) also are acceptable. This section can be separated into subsections by chapter, and all entries must be single-spaced, with an extra line of space between entries. The References Cited/Bibliography section is information dense and thus provides many opportunities for errors. Follow your chosen style carefully and consistently, paying special attention to inclusion of all necessary information, order of parts, spacing, punctuation, capitalization, and use of bold or italics.

*(Sample text from document in a different font, with epigraph and block quotes)*

## CHAPTER IV

### OUT OF THE SHADOW: THE FEMALE WRITER AND THE BREAKING OF SILENCE BY FEMALE PERSONAE IN FICTION

African written literature has traditionally been the preserve of male writers and critics. Today, however, accompanying an ever-growing corpus of literature by African women writers, a new generation of critics, most of them women, is impacting on this male-dominated area.  
Carole Boyce Davies (1986: 1)

#### **African Women Writers and the Utilitarian Function of Their Art**

The late coming into writing of Francophone African women received applause in academic circles. Their entrance into the African literary scene marks the beginning of a new era for African women whose main goal in their writings is to denounce the oppression of women.

#### **Examples**

In this case, the wife is to be inherited by the brother of the departed. This kind of lack of female independence rankles western readers, and we see that this widow is no more excited about this new direction for her life. In her letter to Aissatou, the narrator gives us more details on this event:

Après les actes de piété, Tamsir est venu s'asseoir dans ma chambre dans le fauteuil bleu où tu te plaisais. En penchant sa tête au dehors, il a fait signe à Mawdo; il a aussi fait signe à l'Imam de la mosquée de son quartier. [...] Tamsir parle cette fois plein d'assurance [...] "Après ta sortie" (Sous-entendu du deuil), jet'épouse. Tu me conviens comme femme et puis, tu continueras à habiter ici comme si Modou n'était pas mort.  
(84)

In Ramatoulaye's long letter to Aissatou, who now lives in New York after leaving her husband, Ramatoulaye informs her friend of what she is going through. Ramatoulaye's letter is a river of revelation on the travails of womanhood and the villainy of

**(Sample References Cited; this example is formatted for the journal *Evolution*, which is not appropriate for every thesis—each entry is single spaced, with a blank line between entries)**

#### REFERENCES CITED

- Anisimova, M., J. Bielawski, and Z. Yang. 2001. The accuracy and power of likelihood ratio tests to detect positive selection at amino acid sites. *Mol. Biol. Evol.* 18:1–9.
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- Barrier, M., C. D. Bustamante, J. Yu, and M. D. Purugganan. 2003. Selection on rapidly evolving proteins in the *Arabidopsis* genome. *Genetics* 163:723–733.
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**(do not break entries across pages)**

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**(Sample References Cited divided by chapter)**

REFERENCES CITED

**Chapter I**

Anisimova, M., J. Bielawski, and Z. Yang. 2001. The accuracy and power of likelihoodratio tests to detect positive selection at amino acid sites. *Mol. Biol. Evol.* 18:1–9.

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**Chapter II**

Anisimova, M., J. Bielawski, and Z. Yang. 2001. The accuracy and power of likelihoodratio tests to detect positive selection at amino acid sites. *Mol. Biol. Evol.* 18:1–9.

Blazquez, M., and D. Weigel. 2000. Integration of floral inductive signals in *Arabidopsis*. *Nature* 404:889–892.

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Bradley, D., R. Carpenter, H. Sommer, N. Hartley, and E. Coen. 1993. Complementaryfloral homeotic phenotypes result from opposite orientations of a transposon at theplena locus of *Antirrhinum*. *Cell* 72:85–95.

Coen, E., J. Romero, S. Doyle, R. Elliott, G. Murphy, and R. Carpenter. 1990. Floricaula:a homeotic gene required for flower development in *Antirrhinum majus*. *Cell* 63:1311–1322.

**Chapter III**

Barrier, M., C. D. Bustamante, J. Yu, and M. D. Purugganan. 2003. Selection on rapidlyevolving proteins in the *Arabidopsis* genome. *Genetics* 163:723–733.

Beardsley, P., and R. Olmstead. 2002. Redefining Phrymaceae: the placement ofarchitecture and flower patterning in maize. *Development* 130:2385–2395.

## APPENDIX D: ACKNOWLEDGING CO-AUTHORED MATERIAL IN YOUR ETD

Co-authors must be acknowledged in three places in your ETD:

**1. The Abstract**, which must have this concluding one-sentence paragraph:

This dissertation includes previously published (unpublished) co-authored material.

**2. The first chapter**, which must specify which parts of the dissertation have been published or have co-authors.

**3. The beginning of each chapter that includes co-authored material.** Immediately below the chapter title, you must specify your contribution and acknowledge the contributions of others. This acknowledgment should be included as its own separate paragraph. Some examples:

for unpublished material:

The synthetic procedure described in this chapter was developed by a number of lab members, including <Names>. <Name> and <Name> contributed substantially to this work by participating in the development of a standard synthetic procedure. <Name> was helpful in verifying the synthesis. I was the primary contributor to the optimization of the synthetic conditions, developed the purification procedure, and did all the writing.

for published material:

This work was published in volume <number> of the journal <Name> in <Month year>. <Name> initially identified <work> and performed preliminary expression analysis; <Name> performed <work>; and <Name> performed the <work>. <Name> and <Name> were the principal investigators for this work.

or just the citation:

From Smith, A., Jones, B, and Alexis, R. 2008. The best way to spin an atom. *Molecular Biology* 21:46215–46216.

Your document also should include “bridges,” usually the last paragraph(s) of the chapter, that tie the work discussed in that chapter to the research in the successive chapters.

See [Chapter X](#) of this *Style and Policy Manual* for specific instructions.

## APPENDIX E: ETD FORMATTING CHECKLIST

### **Page numbers**

- No page number on title page
- Copyright page is labeled as page 2
- Remainder of pages are continuously numbered with Arabic numerals (3, 4, 5, 6...)
- Page numbers are placed at least .75" from the edge of the page

### **Margins**

- At least 1 inch on all sides
- All content, including tables and figures, are within the margins

### **Thesis or Dissertation Title**

- Title matches between title page and abstract
- Title case is used on both the title page and abstract

### **Student Name**

- Name matches exactly on all pages: title page, copyright page, abstract, and curriculum vitae (if included)
- First name matches either legal name or preferred name in university records
- Last name matches legal name in university records

### **Degree and Major**

- Degree (e.g., Master of Science, Doctor of Philosophy, etc.) and Major (e.g., English, Physics, etc.) on title page and abstract matches the official university record

### **Dissertation Committee (Doctoral Students)**

- List of committee members on title page matches dissertation committee on file

### **Degree Date**

- Term and year** on title page, year on copyright page, and year on curriculum vitae (if included) are correctly listed according to the student's application for graduation

### **Copyright Page**

- Text is centered and placed 4 to 5 inches from the top of the page
- If student selected a Creative Commons license on the ProQuest site, the copyright page contains the corresponding Creative Commons information and link

### **Abstract**

- First line of each paragraph is indented
- Text is formatted with double or 1.5-line spacing

### **Acknowledgements Page (Optional)**

- Format matches the body of the ETD in terms of margins, fonts, first line indent, and line spacing

### **Dedication Page (Optional)**

- Format matches the body of the ETD in terms of margins, fonts, first line indent, and line spacing

### **Table of Contents**

- Page numbers are accurate
- All fields are properly aligned (e.g., page numbers line up perfectly on the right, chapter titles line up perfectly on the left)
- All chapter titles and at least one level of headings within chapters are included
- Leader dots are used – not periods
- There are at least 3 leader dots between the end of each heading and the page number
- If the ETD includes figures, tables, schemes, etc., a numbered list of the captions/titles is included, and the formatting of these lists matches the main table of contents

### **Headings**

- The headings in all chapters are consistent in style, and match exactly with what is listed in the table of contents
- No headings stand alone at the bottom of a page

### **Figures and Tables**

- Titles precede figures or tables that occupy a full page
- Tables with data on more than one page have column headings repeated
- Tables with data on more than one page have the text “Table \_\_\_\_, continued” on all subsequent pages

### **White Space**

- No more than a quarter page of white space at the end of any page (except the end of a chapter)

### **Co-authored Material and/or Previously Published material**

- Such material is acknowledged in:
  - Final paragraph of abstract
  - First chapter
  - Beginning of each chapter that contains co-authored material

### **Supplemental File Material**

- Such material is acknowledged in:
  - Final paragraph of abstract
  - Table of Contents
  - Somewhere in text