

**ORGANIZATION AND FORMATTING GUIDELINES  
FOR  
THESES, DISSERTATIONS, AND DOCTORAL ESSAYS**

**2008-09 Academic Year**

**University of Miami  
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## INTRODUCTION

These guidelines describe the Graduate School's general organization and formatting requirements along with detailed editorial advice that will be useful as you prepare the final draft of your dissertation, doctoral essay, or thesis. Besides this document, all graduate students preparing an electronic thesis or dissertation should also review the information contained in the complementary ETD document, "The Electronic Thesis and Dissertation (ETD) Process," available for download from the ETD Web site at <http://etd.library.miami.edu/students.html> in the "Formatting" section. 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.** Both guideline documents are continually updated, so check the "Formatting" section of the ETD Web site, <http://etd.library.miami.edu/students.html>, for the latest versions.

Please do not consult or rely on older editions 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.

## ORGANIZING YOUR MANUSCRIPT

### The Dissertation/Thesis Is Not a Collection of Articles

The Graduate School requests that dissertations and theses 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," or "References" 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, Introduction, and Reference section in the manuscript.** The sole Abstract should be placed in the front matter, the Introduction is typically Chapter 1, and the sole References section is placed at the end of the manuscript. Words such as "Summary," "Overview," or "Background" are some examples of alternative subheads students have used in place of "Introduction" and "Abstract."

### Organize the Manuscript in Three Separate Electronic Files

We recommend that the manuscript be organized in three separate Word documents to accommodate the differing requirements for page numbering: one document for unnumbered pages; a second document for lower-case Roman numeral-numbered pages; and a third document for the main body of the manuscript which has Arabic numeral page numbers. Details regarding each manner of page numbering can be found on p. 4.

Students using LaTeX are strongly advised to prepare their front matter using Microsoft Word to avoid formatting issues.

## 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 is required to 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 department for assistance. Graduate documents 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.

The Writing Center at the University of Miami is a useful resource; they are located at 5225 Ponce de Leon Blvd., next to the Canterbury Preschool, (305) 284-2956.

## FORMATTING YOUR MANUSCRIPT

Call End User Support, (305) 284-2944, for help with Microsoft Word problems.

<b>Margins, Spacing, and Font Size</b>
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### 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 trim edges of your paper 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 quotations, figure/table legends, and reference list. These features must be single-spaced.

**Spacing between sections, above and below block quotations, etc. should be maintained consistently throughout the text. There must be no large, unnecessary gaps.** Normally, paragraphs within a given section of the text follow consecutively one after another with no breaks or extra spaces. They 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.

**Pages that are entirely empty are to be avoided.**

### Font Size

Authors are advised to 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.**

<b>Page Numbering</b>
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**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: a section with no page numbers (front matter); a section with lower-case Roman numerals centered at the bottom of the page (front matter); 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.

**The FRONT MATTER PAGES appear in the following order:**

**1. Unnumbered Pages at the Beginning of the Manuscript (Front Matter)**

**These pages (a-e) are unnumbered**

- (a) Blank page (flyleaf)
- (b) Title page
- (c) Copyright page – Master’s and Ph.D. students must include
- (d) Signature page
- (e) Abstract

**2. Pages with Lower-Case Roman Numeral Page Numbers (Front Matter)**

**The pages (f-l) 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.**

- (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)

**3. Pages with Arabic Numeral Page Numbers (Main Body)**

**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. (Be sure to read “Things to Note about the First Page of a New Chapter,” below.)**

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 reference 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.

#### What to Note about the First Page of a New Chapter

- 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 moved to the bottom of the page, centered.
- Identify the beginning of each new chapter by adding the words “Chapter 1,” “Chapter 2,” and so forth to the chapter’s title.

#### 4. Unnumbered Pages (End of Manuscript)

VITA (optional)

Blank flyleaf

#### Other Items of Note Regarding Pagination:

- 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).
- 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 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, etc. Page number position should be identical from one page to the next. Consistency is required in page number positioning.
- 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 your abstract.** If the Dissertation Editor requires that you make revisions to your documents, the final page count (post-revisions) must match the total number of pages noted on your 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, <<http://etd.library.miami.edu/students.html>> in the “Templates” section to format these pages. **Follow the Title, Signature, Copyright, and Abstract templates exactly as they are; DO NOT change the font size or style in any way or add or subtract anything to the template.** 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 2008**
- Spring's date is **May 2009**
- Summer I's date is **June 2009**
- Summer II's date is **August 2009**

**Note that there is no comma in these dates.**

**This is the date on which the degree is to be awarded—do not list the date of your defense.** If you defend successfully in March 2008, you would put May 2008 down as your date of graduation, for example. If you do not submit the paper to the Graduate School in time for May graduation, you must then fill out a new application for a Summer or December graduation, and you would then put the respective date on the Abstract (as well as the Title page and VITA). Failure to observe this simple requirement may result in a delay of the posting of your degree.

### **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**

The Signature page can be one of the most challenging pages to correctly complete. Students frequently have to redo the page and reobtain signatures from their committee members because of formatting errors or typos in the document. You may be able to avoid a lot of the hassle of having to redo the page by taking note of the following:

- Format the Signature page exactly like the template. DO NOT deviate from it in any way.
- Before obtaining signatures, print the page out and proofread it to make sure all names are spelled correctly and nothing is missing. Formatting and spacing errors and typos stand out when viewed in hard copy.
- If you plan on having your committee sign the Signature page at your defense, e-mail the Signature page to the Dissertation Editor for review before the defense so a second set of eyes looks at the document before it is signed.
- Students are required to obtain their committee members' signatures; the Graduate School will obtain Dean Scandura's signature.

### **Abstract (for Ph.D. and D.M.A. students)**

The Abstract is subject to editing or truncation by the PQIL (Proquest) microfilmer if the word count exceeds 350 words. For this reason, some students prepare two abstracts: one of 350 words for PQIL and the other to whatever length they choose. The body of the abstract is double-spaced and it is placed after the Signature page. It is NOT counted or numbered.

## 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, <<http://etd.library.miami.edu/students.html>> under “Templates.”

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 new pages and can be formatted using the Table of Contents template. Page numbers must be included.

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,” or “List of Abbreviations,” should be included as line entries in the Table of Contents.

**Page numbers should be included in the Table of Contents, List of Figures, or List of Tables for each individual entry, listed on the right and vertically aligned so the numbers are not ragged on the right side.**

### ***Reference Section and Appendices in the Table of Contents***

Remember that reference and appendix sections are not chapters and should not have the word “Chapter” in the title. However, the Reference section and each appendix should be listed SEPARATELY in the Table of Contents in the same manner as chapters and should follow the same page numbering rules that apply to the first page of a new chapter in the document.

## 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 full lines of text at the top of the page.

## Tables, Figures, Examples and Graphics

**Be sure all information in tables, figures, and examples falls within the margin requirements.** This includes all data, grid lines, IRB stamps, etc. The font size for the text in tables, figures, and examples is flexible if the change is necessary to fit it into the margins.

**Be sure that all the margins and page numbers are adjusted on landscape tables, figures, and examples.** Visualize how the document will look when it is bound. The landscape graphic must have page numbers and margins that are the same as other pages in the document. Please use the “Sample Landscape Table and Pagination” template on the ETD Web site at <<http://etd.library.miami.edu/students.html> posted> in the “Templates” section. If you are working in Word 2007, you can manipulate the page number position by creating a text box in the footer or margin and rotating the text box to the desired position.

**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, i.e., above or below the figure or table.

**Figures, tables, and examples should be labeled by chapter and order,** i.e., figures in Chapter 1 should 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—should be applied to tables and examples, too.

Students are encouraged to incorporate color figures, compact disks, etc. into their manuscripts, however, it should be noted that microfilming (done by PQIL/Proquest) will not reproduce colors adequately. In fact, PQIL/Proquest advises that color plates be reproduced as black and white photographs for the archive submission (which is the copy from which the microfilm is to be made). The PQIL agreement (available for download from the ETD Web site) contains extensive information regarding microfilming reproduction issues, as well as the acceptable digital formats for computer-operable portions of the dissertation.

## References and Footnotes

### Citations

For information regarding what citation methods and styles are appropriate to your field, consult your advisor.

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.**

**The Graduate School requires that each reference entry be single-spaced with one line of space between each entry.**

### Footnotes

- Footnotes should be set in 10-pt. font.
- **Footnotes should be consecutively numbered throughout the entire manuscript** and should **NOT** begin with footnote number 1 in each chapter.
- Footnote numbers in the text are placed after commas and periods.

### VITA Page (optional)

The VITA page is recommended but not required. This page does not call for your C.V./resume. Please use the template example provided on the ETD Web site at <<http://etd.library.miami.edu/students.html>> in the “Templates” section. The VITA page should not have a page number and is not counted in the total page count listed in the Abstract. It is placed at the very end of the manuscript.

### Punctuation Placement

The Dissertation Editor prefers that punctuation such as commas and periods fall within quotes per U.S. usage, while 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 on 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.

### 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. Please note that a comma **SHOULD NOT** precede the abbreviation “et al.”

### Dates

Dates should be cited in U.S. style, e.g., January 1, 2008 , **NOT** 1 January 2008.