



University at Buffalo
The State University of New York

The Graduate School

GUIDELINES FOR ELECTRONIC THESIS/DISSERTATION PREPARATION AND SUBMISSION

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INTRODUCTION

Some master's and all doctoral programs require the completion of a thesis or dissertation, which embodies the results of **original research and makes an original contribution to the discipline**. This guide is designed to aid students in submission of a thesis or dissertation that adheres to a professional style and format. Your manuscript will be made available for public use through UB's on-line database system and through the Proquest/UMI network of information services.

The information herein will guide you in the proper preparation and submission of your thesis or dissertation to the Graduate School and the Publisher. Nevertheless, we urge you to maintain close contact with your major professor and committee. These individuals are the best source of information and guidance, since they are ultimately responsible for the evaluation of your work.

It is the responsibility of the candidate and the academic department to ensure that the standards of organization, presentation and documentation traditionally prescribed for publication in your discipline, are observed. Similarly, the thesis or dissertation must be substantially free of errors before submission to the Graduate School.

An important element in developing your thesis or dissertation is maintaining consistency of formatting throughout the document. As you begin to write the document, become familiar with the computer software you intend to use, whether it is Microsoft Word, WordPerfect, or one of any number of scientific software products. Pay close attention to functions such as style, pagination, auto-formatting, etc. The Graduate School will accept any format that *consistently* follows the conventions of a recognized discipline, and conforms to the requirements outlined in this manual.

We wish you well in your research and writing. If you have any questions, feel free to share with us a draft of your thesis or dissertation for review before submitting the final version.

GETTING STARTED

Style Manuals

When beginning to construct your thesis or dissertation, the very first step is to choose the style appropriate to your specific discipline. If you are unsure what style is appropriate, confer with your advisor and/or department. Be sure to follow the chosen style consistently throughout the document. Listed below are several recognized style manuals, and websites (where available):

- American Psychological Association. Publication Manual of the American Psychological Association. 4th ed. Washington DC: The American Psychological Association, 1994. <http://www.apastyle.org/>
- Gibaldi, Joseph. MLA Handbook for Writers of Research Papers. 4th ed. New York: Modern Language Association, 1995. <http://www.mla.org/>
- Strunk Jr., William and E.B. White. The Elements of Style: with Index. 3rd ed. New York: MacMillan Publishing Co., 1995.

- Turabian, Kate L. A Manual for Writers of Term Papers, Theses, and Dissertations. 6th ed. Chicago: University of Chicago Press, 1996. <http://www.press.uchicago.edu/presssite/metadata.epl?mode=synopsis&bookkey=48677>
- University of Chicago Press. The Chicago Manual of Style. 14th ed. Chicago: University of Chicago Press, 1993. <http://www.chicagomanualofstyle.org/>

FORMATTING THE THESIS/DISSERTATION

Font Size

Select fonts of 10 or 12 characters per inch. Smaller or larger fonts are generally too hard to read and should be avoided. Use the same font style and print size throughout the document.

Pagination

Number **all of the pages of your document** including not only the principal text, but also all tables, diagrams, maps, etc. **However, generally, only the title page is to be unnumbered, but should be counted as page 1.**

- Roman numerals are used on the preliminary pages (i.e. i, ii ... ix, x) and Arabic numerals (i.e., 1, 2, 3) are used on the pages that follow the abstract.

Page Numbering Placement

Generally the page number is placed in the upper right, lower right, or bottom center of the page. Regardless of where you place the page numbers, it is important to consistent throughout the document.

Spacing

Use double-spacing consistently throughout the document, except for long quotations, footnotes, and endnotes, which are typically single-spaced. Check your selected style manual for further details on spacing.

Preliminary Pages

The first few pages of the document are often the most challenging to compile correctly. Be sure to follow strictly the format and pagination indicated below.

Page Order and Page Numbering

1. **Title Page (required; do not number the page – assumed to be page i)**
2. Copyright page (if applicable, see copyright section – page number is Roman numeral ii)
3. Dedication and/or acknowledgements (page number starts with Roman numeral iii)
4. **Table of contents (required; use Roman numerals for pagination)**
5. Lists of Tables, Figures, Illustrations, Charts, Graphs (use Roman numerals for pagination)

6. **Abstract (required; use Roman numerals for pagination)**
7. **Chapters or Main Division of the document** - begin with page 1 at the beginning of the first page of the first chapter and use Arabic numerals (i.e. 1, 2, 3) throughout the rest of the document
8. Appendix (optional; extend the Arabic page numbers used in the main body of your text)
9. **Bibliography and/or References (required; extend the Arabic numbers used in the main body of your text)**
10. Vita (if desired) – extend the Arabic page numbers used in the main body of your text)

Title Page (required) - see sample next page

The proper format of the title page is best explained by the sample on the next page. Be sure to use your department's official name, and your full legal name. The title of your work should be a meaningful description of your manuscript and include key words that can be used by modern retrieval systems. When at all possible, incorporate word substitutes for formulas and symbols.

(Sample Title Page Format)

FULL TITLE OF THESIS/DISSERTATION IN CAPITAL LETTERS
(centered in top quarter of page)

by

Full Name of Author
Date of Degree Conferral or Defense Date

A (thesis)(dissertation) submitted to the
Faculty of the Graduate School of
the University at Buffalo, State University of New York
in partial fulfillment of the requirements for the
degree of

(Master of Arts)
(Master of Science)
(Master of Engineering)
(Master of Fine Arts)
(Master of Music)
(Master of Urban Planning)
(Master of Architecture)
(Doctor of Philosophy)
(Doctor of Education)
(Doctor of Nursing Science)

Department of — — — — —

Do not number the title page. It is the first page (normally Roman numeral i), but the number is not displayed on the page itself.

Copyright Page (optional)

If you decide to copyright your manuscript, the date of your defense should be listed on the title page, and a copyright page follows the title page in the following format. In the center lower third of the page, just above the bottom margin, type the following:

Copyright by
(your name in full)
(the current year)
(ii)*

*The Roman numeral two (ii) is to be centered at the bottom of the page.

Dedication and/or Acknowledgement Pages (optional)

If you decide to have an acknowledgement section, be sure not to omit any of the members of your committee. While this section is optional, if included it must be numbered with Roman numerals, and double-spaced.

Table of Contents (required)

These pages are also to be numbered with Roman numerals. You should include the dedication/ acknowledgement, abstract, and any lists in the Table of Contents. Do not include the title page, the copyright page, or the table of contents page(s). While a Table of Contents is required, it may follow any format acceptable to your advisor and committee as long as it includes all main divisions and subdivisions within your text, is double-spaced, and the format is consistent.

Lists of Tables, Figures, Illustrations, Charts, Graphs (optional)

Follow the format used for your Table of Contents. Use a separate page for each type of list. Be sure to number with the appropriate Roman numeral, and make sure to double-space each list.

Abstract (required)

An abstract of your thesis or dissertation is required. It should be a succinct and concise narrative description of your work. Briefly state your topic or problem, describe the procedures and methods you used, and summarize your findings or conclusions. Do not use tables, graphs or figures in your abstract. It also needs to be numbered with the appropriate Roman numeral, and double-spaced.

Chapters or Main Divisions of the Document (required)

The text of your research has been the focus of your attention, as well as that of your advisor and committee. Now, as you turn the content of your research into a professional document, be sure to use a writing style appropriate to your subject and discipline. Naturally, the document also needs to consistently follow acceptable standards of punctuation, spelling, and format. See the Style Manual section of this guide for a listing of familiar style manuals. Check with your advisor and department for their recommendation. The text must be double-spaced and each

page must be numbered consecutively beginning with the number 1. Be sure to type chapter titles and any subheadings in bold face, and use upper-case letters. It is best to include tables or other illustrative materials as necessary in the main body of the document when they are essential to the text.

Subheadings

For clarity and flow, it is best not to begin any subheadings or other divisions on separate pages unless the preceding page is filled. If the subheading falls at the very end of a page, move it to the next page unless at least two lines of text can follow the subheading on that page. Be sure to keep subheadings consistent in position and style throughout the document.

Footnotes/Endnotes

Place footnotes, if used, at the bottom of the appropriate page, at the end of each chapter, or at the end of the document. Refer to the style manual you have chosen. Notes are usually single-spaced. If you group your notes at the end of each chapter, begin them on the first page following the text of that chapter. Also begin the first page in each note section with the heading "Endnotes to Chapter____" or "Notes to Chapter____."

Appendix (optional)

Appendices are used when you wish to add materials (such as charts, graphs, surveys, etc.) not essential to the text. The appendix is generally placed before the bibliography or references section, and after the last page of the last chapter of text. These pages also need to be numbered. Remember to include a list of appendices in your preliminary pages if you have more than one appendix.

Bibliography and/or References (required)

The bibliography or list of references should be single-spaced for each entry and then double-spaced between entries. Group all entries in strict alphabetical order, or in another way that seems appropriate to your research and helpful to your readers. Be sure to use the format that is consistent with the format style approved by your advisor and committee. These pages must be numbered as well.

Vita (optional)

Inclusion of a brief vita is optional. If added, these pages also need to be numbered.

Final check

Review your document carefully to be sure it is correctly formatted, that all spelling and grammar is correct, and that the document is totally free of errors. Check that there are no blank pages, omitted paragraphs, or missing sections. Be sure the preliminary pages of your document are in the proper order and the pagination is correct. When in doubt, feel free to stop by the Graduate School with a hard copy of your work and a staff member will be happy to check it over with you.

CONVERTING TO PDF

Helpful hints for writing with PDF conversion in mind

By and large, you will simply write your document as you normally would in your word processor, keeping in mind a few tips to improve the quality of the later PDF document.

1. **Spacing and pagination:** Use tabs instead of a series of spaces to align text. Insert page breaks instead of a series of paragraphs to start a new page. Use section breaks to change the format between pages in the document. Use your word processor's tools for creating tables of contents and cross-references to ensure that pagination is consistent even if the generation of the PDF file causes the pages to shift slightly.
2. **Fonts:** We recommend using standard fonts such as Times New Roman or Arial. If using unusual fonts, be sure to use embeddable Type 1 or TrueType fonts.
3. **Graphics:** It's best to use EPS (Encapsulated PostScript) files rather than bitmaps, GIFs, or JPEG images. Use a high resolution such as 600-dpi. Avoid using graphic editors that are part of a word processor.
4. **Equations:** Microsoft Word users should NOT use Word's Equation Editor. Instead, use italic Times Roman font and Symbol font, along with superscripts and subscripts to create equations.

As you are writing the document or after you have finished, refer to this **website**:

<http://www.etdadmin.com/cgi-bin/main/createpdf?siteId=62> for tips on how format your thesis or dissertation in a PDF-friendly manner ensuring that your later conversion from MS Word, LaTeX, WordPerfect, etc., will go smoothly.

Once your document is finished, submit it to your advisor (and committee where applicable) for final approval. After it has been approved, then and only then, are you are ready to convert your file to PDF for submission on-line.

After you have converted your document to PDF format, check the PDF version of your document to be sure it looks the same as it did before the conversion. It is ***your responsibility*** to make sure the conversion of your document is free of formatting errors. Please keep in mind that if you are using MS Word software, conversion to PDF is offered free of charge during the electronic submission process.

Submitting the final copy

Electronic submission of your thesis or dissertation in PDF format is **mandatory**. When you are ready to submit your PDF document, simply go to the Graduate School's electronic thesis and dissertation website at: <http://www.grad.buffalo.edu/etd/index.php> and follow the instructions for submitting your document on-line. This site will guide you through the process of submitting your document in the acceptable PDF format. As you navigate, you will be prompted when to attach your PDF document.

COPYRIGHTING

You can choose whether or not to copyright your thesis or dissertation. Copyrighting protects your rights as author. These rights include the ability to make copies of the work, to distribute them, to make derivative works, or to perform or display the work. By copyrighting your thesis or dissertation, you can control the rights to it or may authorize others (i.e. a publisher) to exercise those rights. If you do decide to copyright, it is your responsibility to guarantee that the work is original and that you have followed accepted standards for documenting your references and citations of other works. The copyright will be in effect for your lifetime plus an additional fifty years. You should consult with your advisor and discuss this issue before making your decision.

Proquest/UMI can act as your agent with the Library of Congress Copyright office when your thesis/dissertation is submitted. **This is done only if you specifically request such services from Proquest/UMI when you submit your thesis/dissertation.** Requesting copyright through the on-line submission procedure authorizes UMI to act as your agent in the copyright process. Please note that it is only mandatory to digitize your thesis/dissertation; copyrighting is optional. **Alternatively, you may apply for copyright registration by filing directly through the U.S. Copyright Office:** <http://www.copyright.gov/>

Since theses and dissertations involve considerable effort on the part of the major professor as well as the student (and sometimes other members of the faculty), you should not make arrangements for publication/copyrighting without first consulting your major professor.

CHECKLIST FOR SUBMISSION

- Is every page of the document numbered correctly (except the Title Page, which should be counted, but not numbered)?
- Does the title meaningfully describe the content of the thesis/dissertation? Are words substituted for formulae and symbols?
- Are the titles appearing in the thesis/dissertation itself and the title you enter in the on-line agreement form the same word-for-word?
- Is the major advisor's name that you enter in the on-line agreement form spelled correctly?
- Are all charts, graphs, formulas, and other non-text materials perfectly legible in the PDF version of the thesis/dissertation?
- Has the PDF conversion gone smoothly and is it free of formatting errors?
- Is the PDF manuscript free of Blank Pages?
- If the thesis/dissertation is to be copyrighted by Proquest/UMI, have you indicated this in the on-line agreement form?

PROCESSING FEE

There is a mandatory fee for the required submission of your thesis/dissertation to Proquest/UMI. Payments should be made at the time of document submission.

Payment amounts:

Doctoral students must pay a minimum \$72.00 processing fee

Masters students must pay a minimum \$60.00 processing fee

The optional copyright filing fee is an additional \$70.

For doctoral students who wish to file copyright, the total cost is: \$142.00 (\$72.00 + \$70.00)

For masters students who wish to file copyright, the total cost is: \$130.00 (\$60.00 + \$70.00)

Acceptable payment methods:

Personal Check (please make check payable to University at Buffalo)

Charge your UB student account

When paying by check or charging your student account, please fill out the required forms found at <http://www.grad.buffalo.edu/etd/index.html> and mail them to or drop them off at:

The Graduate School, 408 Capen Hall, Buffalo, NY 14260-1608

This information is available in its entirety on our website.

<http://www.grad.buffalo.edu>