

University of Kansas Medical Center
Office of Graduate Studies

**Thesis and Dissertation Formatting Guidelines
for Master's and PhD Candidates**

This revision of guidelines supersedes prior instructions for formatting theses. Do not use copies on file in departments and libraries as guides for formatting your thesis/dissertation.

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1 - General Guidelines for Preparing and Submitting a Thesis/Dissertation

These guidelines provide the necessary information for preparing a thesis/dissertation document that is submitted as a requirement of earning a Master's or PhD degree. There are a few key points about the format and content of a thesis/dissertation:

- The thesis/dissertation is to be in its final draft form at the time of the final oral examination.
 - The thesis/dissertation committee may ask for minor changes, which is a common practice.
- The thesis/dissertation is a final document, not a paper for submission to an academic journal.
- The thesis/dissertation is to be a coherent scholarly work, not a collage of separate distinct pieces.
 - The thesis/dissertation should have a unified theme but may still accommodate several subtopics by demonstrating their relationship and interactions.

For a printable checklist to assist with the preparation and submission of a thesis/dissertation, please see **Appendix A - Checklist for Preparing and Submitting a Thesis/Dissertation**.

1.1 - Resources Overview

The KUMC Office of Graduate Studies is available to assist program directors, mentors, and students with the thesis/dissertation development and submission processes. Below is some key information regarding the available resources.

The following chart includes topics related to thesis/dissertation development as well as the points of contact for each.

Topic	Contact Name	Contact Email
Writing skills	KUMC Writing Center Andrés Rodriguez	writing@kumc.edu
Citation manager program (EndNote)	Research & Learning Librarians	dykesresearch@kumc.edu
Copyright and style guide questions	Research & Learning Librarians	dykesresearch@kumc.edu
Previously published works and journal permission process	Research & Learning Librarians	dykesresearch@kumc.edu
Document mechanics (table of contents, lists of figures, etc.) and template questions	Paul Thomas (KU Lawrence)	paulthomas@ku.edu
Adherence to KUMC formatting guidelines, dissertation submission process	Office of Graduate Studies Marcia Jones Erica Williams	gradstudiesoffice@kumc.edu
ASCEND training sessions (i.e. Endnote, grant writing, etc.)	Office of Career & Professional Affairs Jenny Laffey	jlaffey@kumc.edu
Frontiers (formalized research coursework and training programs)	Amy Smith	asmith63@kumc.edu

1.1a - Electronic Thesis and Dissertation (ETD) Workshop

Each fall and spring semester, the Office of Graduate Studies hosts an Electronic Thesis and Dissertation (ETD) Workshop. During this workshop, students learn tips and tricks related to a document's mechanics, such as using headings, automatically updating a table of contents, and embedding fonts. A portion of the workshop is also dedicated to a discussion about copyright. Students leave the session with a thesis/dissertation template ready for content to be added.

Two experts from the KU Lawrence campus present over video conferencing.

- One expert covers document mechanics, tips, and tricks to make the formatting process easier.
- The other expert covers copyright basics.

Look at the calendar on the Graduate Studies website for the workshop details:

<http://www.kumc.edu/academic-and-student-affairs/opags/graduate-studies/calendars-and-events.html>.

- This workshop is accessible to online students as well. The link to the online streaming of the meeting and other information will be on the calendar event details and in a mass email communication to all students.
 - For those unable to attend the session, a recording of a previous session can be found here: <https://kuscholarworks.ku.edu/handle/1808/26081>

1.1b - Online Resources

More details about the thesis/dissertation formatting guidelines, ETD process, formatting assistance, etc. can be found on the Office of Graduate Studies website.

- <http://www.kumc.edu/academic-and-student-affairs/opags/graduate-studies/graduation-information/electronic-thesis-and-dissertation.html>

1.2 - KUMC Library Research Consultations

The KUMC Research & Learning Librarians offer consultations to assist with your thesis/dissertation research and writing process. Consultation topics include but are not limited to:

- planning for your thesis/dissertation;
- research strategies;
- citation management;
- evaluating sources; and
- copyright questions.

The KUMC Research & Learning Librarians are an excellent resource to support students during the thesis/dissertation writing process. They can be contacted at dykesresearch@kumc.edu, or appointments can be made through their online scheduling tool at <https://booking.library.kumc.edu/appointments/dykes>.

1.2a - Incorporating Previously Published Materials

If a student integrates previously published articles into the thesis/dissertation, there are requirements for the formatting, verbiage, and citation of the article. Students **must** meet with a Research & Learning Librarian to obtain the rights and permissions to incorporate an article into the thesis/dissertation.

Students **must** also contact the KUMC Research & Learning Librarians when incorporating charts and figures from another body of work. These steps are critical to the Graduate Studies approval of the thesis/dissertation.

After arranging an appointment with a Research & Learning Librarian, the Librarian will walk the student through the steps of obtaining the rights and permissions for the articles that the student has already published. Then, the Research & Learning Librarians will provide a sample citation and verbiage that matches the student's specific copyright situation. Examples of the verbiage and citations can be found in **Appendix B – Previously Published Works**. Please note these are **only** examples and consultations with the Research & Learning Librarian are required.

It is important to note the following regarding previously published materials.

- It is best for students to meet with the Research & Learning Librarians as soon as the students' work(s) have been accepted and/or printed by a journal. See **Appendix B – Previously Published Works** for more details.
- Students who have not received confirmation of acceptance or publication at the time that the thesis/dissertation is submitted do not need to include the suggested verbiage or citation.

Each KUMC School is assigned one Research & Learning Librarian as the primary liaison. The Research & Learning Librarians can be reached at dykesresearch@kumc.edu, or appointments can be made through their online scheduling tool at <https://booking.library.kumc.edu/appointments/dykes>.

1.3 - Software and Tools

Students may use Word or LATEX software to write their thesis/dissertation as long as the final product is a PDF file that meets the formatting requirements laid out in this document. KU Lawrence offers support and instruction for Word and LATEX. See **Appendix C - Software** for more details.

To save time and stay organized, students are encouraged to use a citation manager program. There are several that can benefit students' organization and implementation of citations, but KUMC supports EndNote. Supporting documentation can be found on their website. Citation manager programs enable students to collect and organize references in a single location. This facilitates easier entry of citations within the body of the thesis/dissertation and creates an output with a full list of references, all of which are formatted according to the selected citation style guide (see **2.1 - Style Guide** for information about selecting a style guide). The Research & Learning Librarians can provide additional guidance and support for using these time-saving tools.

1.4 - Formatting and Style Guides

A thesis/dissertation that is not formatted in accordance with the instructions provided in this document may be rejected by the Office of Graduate Studies.

Formats and/or adherence to style guides required by publishers for book and journal items are not satisfactory for a thesis/dissertation. See **2.1 - Style Guides** for more specifics on selecting a style guide.

1.5 - Submitting a Thesis/Dissertation to ProQuest

After a student passes the final oral examination/defense and makes any minor changes to the thesis/dissertation as required by the examination committee, the student submits the thesis/dissertation electronically to ProQuest. The submission must be in **PDF format**. The student

should submit the thesis/dissertation on or before the deadline specified by the Office of Graduate Studies.

After the thesis/dissertation is uploaded, the Office of Graduate Studies reviews the thesis/dissertation to make sure it adheres to the KUMC formatting guidelines outlined in this document. Then, the administrator from the Office of Graduate Studies provides feedback via ProQuest, which arrives to the student's email account (designated by the student in the ProQuest registration process) with a message and link for re-uploading if any changes are requested. More details are available in **4 - Publication Requirement: Submitting a Thesis/Dissertation**.

Students are responsible for submitting any bound copies that may be required by their departments and/or thesis/dissertation committees. The following vendors offer binding services appropriate to theses/dissertations:

- Heckman Binding, Inc.
- Houchen Bindery

Please see <http://library.kumc.edu/how-to/binding-instructions.xml> for further information.

2 - Formatting and Writing a Thesis/Dissertation

The Office of Graduate Studies advises that students and mentors review this document prior to the thesis/dissertation writing process, especially section 2 of these guidelines.

All theses and dissertations must be written in English. If a student would like to write any portion of the thesis/dissertation in a language other than English, the student must seek approval in writing from both the mentor and the Office of Graduate Studies.

2.1 - Style Guide

In consultation with their committee chairs and thesis/dissertation committees, students should identify the style guide (e.g., AMA, APA, Vancouver, etc.) they will follow. Text pages, bibliographies, footnotes, and appendices must all comply with the single chosen style guide.

- There are no exceptions to the use of a single style guide even if the student has previously published portions of the thesis/dissertation in a different style guide per the journal's requirements.
- Consistency throughout the thesis/dissertation document is key.

2.2 - Font

Students should use the same font style, size, and color throughout the thesis/dissertation, including the table of contents, list of tables, list of figures, labels, and references. The Office of Graduate Studies recommends that students get their font choice approved by their mentor before the thesis/dissertation defense.

2.2a - Acceptable Fonts

Acceptable fonts include Arial, Calibri, and Times New Roman. Non-standard typefaces, such as script, are not acceptable except for commonly used symbols.

2.2b – Font Size

Headings on the Title Page and the Acceptance page should not be more than 2 points larger than the text size. This means that the Title should not be larger than the 14-point font if the rest of the text is in the typical 12-point font.

Tables, captions, and footnotes should use the same font style and cannot be smaller than 10-point.

2.2c - Miscellaneous Font Requirements

All fonts used in a thesis/dissertation must be embedded in the PDF file submitted to ProQuest. This ensures that the document will be readable on all operating systems. The process of embedding fonts is part of the ETD Workshop that is held in the Fall and Spring semesters (see **1.1a - Electronic Thesis and Dissertation (ETD) Workshop** for details).

There should not be any color as a background to the heading text.

2.3 - Line Spacing

Theses and dissertations must use double-spaced formatting for the body of the text.

Single-spaced formatting is acceptable in the table of contents, footnotes, endnotes, charts, graphs, tables, block quotations, captions, glossary, appendices, and bibliography.

2.4 - Margins

Each page of the thesis/dissertation must have a minimum 1" margin on all sides.

2.5 - Headers and Footers

Theses/dissertations should not contain page headers. The only thing that should appear in a page footer is the page number. Even theses/dissertations prepared using the APA style guide should not include the Running Head.

2.6 - Pages

2.6a - Page Size and Orientation

All pages must be 8.5" x 11" size and must be oriented so that they are taller than they are wide (called portrait orientation in Microsoft Word). The PDF file should not contain any pages oriented with the long edge running horizontally (called landscape orientation in Microsoft Word). In other words, all pages in the PDF file must be in portrait and not landscape orientation.

Page numbers should appear 0.75" up from the page footer. They should be consecutive and appear in the same location on every page, including appendices, tables, figures, photographs, maps, charts, etc. Normally there is no need for a blank page, but if there is a reason to include a blank page within the thesis/dissertation the page must be numbered and contain the following statement: "This page intentionally left blank."

2.6b - Pagination

The front matter (Acceptance Page, Abstract, Acknowledgements, and Table of Contents) should have page Roman numeral page numbers (e.g., ii). The Title Page is the only page not numbered. Although it does not bear a number, the Title Page is considered page i, using the small Roman numerals allocated to the front matter. The Acceptance Page, which directly follows the Title Page, should bear the number ii.

The main content should be numbered using Arabic numerals (e.g., 2). This includes the body of the thesis/dissertation text, Appendices, and References.

2.7 - Page Order

Below is a list of the pages and their respective order for the thesis/dissertation. Components labeled “optional” below are not required, but when included, they must be included in the stated order.

- Title Page
- Acceptance Page
- Abstract
- Acknowledgements (Optional)
- Dedication (Optional)
- Table of Contents
- Lists of Tables and Figures (Optional but highly recommended)
- Thesis/Dissertation
- References
- Appendices (Optional)

NOTE: Theses/dissertations should not contain any other materials, such as copies of journal articles, PowerPoint slides from a thesis/dissertation or defense presentation, or the student’s curriculum vitae.

2.8 - Page Design and Content

2.8a - Title Page

The required elements for the Title Page are listed below.

- The title followed by a byline, copyright line, name, and previous degrees.
- The text about submitting the thesis/dissertation to the graduate program.
- A student’s mentor must be designated as Chair.
 - Jointly-supervised students at KUMC must indicate both Co-Chairs and designate both as such.
- The names of all committee members.
- The date the thesis/dissertation was defended.
- No page numbers should appear on the Title Page.

Refer to **Appendix D.1 – Sample THESIS Title Page (Master’s) OR Appendix E.1 – Sample DISSERTATION Title Page (PhD)** for more details and visual support. Other details about the Title Page are listed below.

- Students must submit the signed hard copy of the Title Page, bearing original signatures of all committee members, to the Office of Graduate Studies.
 - If the student has a committee member outside of KUMC, the student should work with the department on shipping the original paperwork to and from that member.
 - Scanned PDF copies of the signed Title Page will not meet the Office of Graduate Studies requirements.
- The copy of the Title Page included within the electronic submission in ProQuest should not be signed.

2.8b - Acceptance Page

The required elements for the Acceptance Page are listed below.

- The Acceptance Page should immediately follow the Title Page.
- The name of the committee Chair. This indicates that the Chair has reviewed and approved the final version of the thesis/dissertation.
 - Jointly-supervised students at KUMC must have both Co-Chairs' listed on the Acceptance Page.
- The name of the graduate director for the program. The Graduate Director signs after the chair or co-chairs have signed. This is a new requirement as of Fall 2019. The Graduate Director's signature signifies the thesis or dissertation is in compliance with specific program policies as well as Graduate Studies policies.
- The date approved.
 - This is the date the revised manuscript was approved by the Graduate Director after the chairs (or co-chairs) have signed indicating their approval. In most cases, the date is different from the defense date.
- The Acceptance Page is the first page to be numbered.
 - The Acceptance Page must be numbered ii (see **2.6 - Pages: Size, Orientation, and Pagination** for more details).

Refer to **Appendix D.2 – Sample THESIS Acceptance Page (Master's)** OR **Appendix E.2 – Sample DISSERTATION Acceptance Page (PhD)** for more details and visual support. Other details about the Acceptance Page are listed below.

- Students must submit the signed hard copy of the Acceptance Page, bearing original signatures of the committee Chair and the Graduate Director, to the Office of Graduate Studies.
 - Scanned PDF copies of the signed Title Page will not meet the Office of Graduate Studies requirements.
- The Acceptance Page included with the electronic submission should not be signed.

2.8c - Abstract

The required elements for the Abstract are listed below.

- The Abstract should immediately follow the Acceptance Page.
- There is no word limit on the Abstract included with the thesis/dissertation.
 - The full Abstract will appear within the published manuscript regardless of length.
 - The full Abstract will appear in electronic indices, regardless of length.
 - ProQuest will automatically truncate Abstracts at 150 words (for theses and dissertations) when they appear in printed indices.
- The Abstract must be numbered iii (see **2.6 - Pages: Size, Orientation, and Pagination**).

2.8d - Chapter Title Pages

Each chapter should have a title page dedicated to the chapter number and title. In cases where the student incorporates previously published materials, the text and citation about the previously published status should be included under the chapter number and title. Please refer to section **1.2a - Incorporating Previously Published Materials** for more information.

2.8e - Acknowledgments and Contributing Authors' Information

Although an Acknowledgments section is not required, there are some guidelines if the student chooses to include it. Recognition of funding sources and/or conflicts of interest should be included in the Acknowledgments section. Such acknowledgments should not be included within a general chapter even if it was included there if previously published.

In cases where the student would like to include information on contributing authors, the text should be added to the top of the first page of the chapter as the first paragraph. The text should be in single-space format in the same font size as the rest of the content. The starting header for the chapter will be placed below the author contribution paragraph. For exceptions or questions, please contact the Office of Graduate Studies at gradstudiesoffice@kumc.edu.

2.8f - Appendices

Each Appendix should be labeled with a letter or number as well as a descriptive title. The Appendix name or number as well as the appendix title should be included in the Table of Contents. If only one Appendix, then it should not be numbered.

Examples include:

- Appendix I – Data from Community Health Survey
- Appendix A – Figure Demonstrating XYZ Technique

All appendices should be at the end of the thesis/dissertation rather than the end of each chapter.

2.9 - Headings

Section headings and subheading formatting is customizable based on the student's needs. Some style guides have The main requirement is that the heading formatting is consistent throughout the document.

Below is an example of the formatting for various levels of headings.

Chapter I: Introduction

1.1 First level heading

1.1.1 Second level heading

Another example is included below.

Chapter 1: Introduction

1.1 First level heading

1.1.1 Second level heading

2.10 - Incorporating Visual Components

Charts, graphs, diagrams, maps, photographs, and other pictorial components must be clear and pertinent to the subject matter of the thesis/dissertation. Symbols or labels may be used as identifiers in graphs or charts, either in addition to or instead of using colors as identifiers. Lettering and symbols should not be smaller than 10-point font. Legends or keys for illustrative material may appear on the facing page if the page with the visual component exceeds the 1" margins. Supplementary materials, in a variety of file formats, may be uploaded to ProQuest with the thesis/dissertation PDF.

Images must be clear and of high quality. If there are borrowed visual components that are incorporated into the thesis/dissertation, the student must consult with the KUMC Research & Learning Librarians to ensure that the proper copyright and permissions are in place.

Some visual components may be wider than they are tall. To improve legibility and fit the visual component within the required 1" page margins, please refer to **2.11 - Fitting Visual Components, Figures, or Tables within Margins**.

2.11 - Figures and Tables

Generally, table titles appear above the tables and figure titles appear below the figures. Descriptions and legends of tables and figures are generally found below. If there is any variation on this formatting within the thesis/dissertation, the placement should be consistent throughout the entire document.

2.11a - Lists of Figures and Tables

When a thesis/dissertation contains figures and tables, it is required to have a List of Figures and a List of Tables following the Table of Contents. Each figure or table must also have a title within the body of the thesis/dissertation and that title should be included in the respective list. This helps with navigation of the document.

If the thesis/dissertation is a compilation of multiple studies, it is acceptable for the List of Figures or Tables to have Chapter numbers/titles as the subheadings. Below each subheading the table numbering can then restart for each of the chapters. This avoids the re-numbering of all figures and tables. Below is an example:

List of Figures

Chapter 2 – Study 1

Table 1.1 – Important data

Table 1.2 – More important data

Chapter 3 – Study 2

Table 1.1 – Important data from a second study

Table 1.2 – More important data from a second study

2.11b - Figures/Tables and Margins

Figures or tables must not exceed the 1" margins on any size of a given page. In cases where figures or tables extend beyond the minimum 1" margins, the text of figures or tables should be made no smaller than 10-point font. If your figure or table exceeds the margins, please refer to **2.11 - Fitting Visual Components, Figures, or Tables within Margins**.

2.12 - Fitting Visual Components, Figures, or Tables with Margins

There are two options when visual components, figures, or tables do not fit within the required 1" margins of a page: rotation or splitting.

2.12a - Rotating a Large Image

In some cases, a visual component, figure, or table (including title and description) may be wider than it is tall. This often causes the visual components to exceed the 1" margins required for all sides of the page. Those visual components, figures, and tables should be rotated 90° counterclockwise, fitting within the 11" height of a page. This may make the chart, image, or other element appear "sideways."

The title of the visual component, figure, or table should be positioned in the normal place at the top left corner of the portrait-oriented page. The page number should appear on the page footer to be consistent with the rest of the thesis/dissertation.

Note that all pages in the PDF document must remain in portrait orientation for the submission to ProQuest. See **Appendix F – Rotate Image Example** for additional details about proper rotation layout.

2.12b - Splitting across Two Pages

There is an option to move an entire visual component, figure, or table (and its description) to its own page if that element exceeds the 1" page margins. When the table or figure (as well as its description) will fit on one page, it should be moved to its own page. The resulting white space is acceptable on the page where the figure or table was previously placed.

Occasionally tables or figures are split across two pages. In cases where a table must be split across two pages, there should be another set of column headings on the second page. This clarifies the content for the reader.

2.13 - Thesis/Dissertation Appendices

Students can add an appendix to their thesis/dissertation if they would like to include documentation that is referenced throughout the body of the text. Typical types of appendices include:

- IRB approval letter
- Surveys that were used in the study
- Figures or diagrams
- Lab techniques

Students should **not** include the following in the appendices:

- CVs or resumes
- Published manuscripts
- PowerPoint slides from a thesis/dissertation defense presentation

If there is concern about what should be included, the student should consult with the Office of Graduate Studies via gradstudiesoffice@kumc.edu.

3 - Copyright Option

3.1 - Copyright of the Thesis/Dissertation

KUMC requires the copyright information to be included on the title page of the thesis/dissertation. The copyright information must appear on the title page with the year, date, and the student's full legal name below. For a thesis/dissertation completed in 2010 by John Richard Doe, the notice would appear as one of the following:

©2010
John Richard Doe

OR

Copyright 2010
John Richard Doe

Please reference **Appendix D.1 – Sample THESIS Title Page (Master's)** or **Appendix E.1 - Sample DISSERTATION Title Page (PhD)** for the relevant instructions.

3.2 - Copyright Rules When Using Others' Work

Students are required by University policy and by ProQuest policy to ascertain that use of all copyright-protected materials either falls within the Fair-Use Statutes of U.S. Copyright Law or are reproduced with the permission of the owner.

As mentioned in **1.2a - Incorporating Previously Published Materials**, students are required to meet with the KUMC Research & Learning Librarians to obtain the correct rights and permissions for figures, charts, etc. that are not their own.

4 - Using the Samples in the Appendices

The appendices in this document contain several sample pages to help students in the formatting of the thesis/dissertation. Please note that these templates should be used as supplementary examples and not as replacements for the instructions outlined in this document. These samples show how to integrate a variety of information from these formatting guidelines. Please refer to the instructional material above for guidance about which components are required and which are optional.

Customizable fields and components appear in these samples in red font, while the required, standard language appears in black font. Students should customize all of the red font to reflect their own thesis/dissertation title, completion date, committee members, and previous accomplishments. Please note that the red text appears as a guide only. Students should ensure that all of the text appearing on their Title and Acceptance Pages is black and uses the same font as the rest of the thesis/dissertation document.

5 - Converting a Thesis/Dissertation to PDF

Portable Document Format (PDF) is a global standard for sharing documents that any user will be able to see and read. It ensures that all users, regardless of their computer's platform, language settings, or other details, will see exactly the document that the author intended them to see.

The thesis/dissertation author controls layout, formatting, fonts, pagination, and all other aspects of the thesis/dissertation before finalizing it in PDF format, so the appearance of the document will never change. PDF reader software is usually free and widely accessible, so any user will be able to read the thesis/dissertation. PDF also makes it easier to maintain archived documents, as in the ProQuest and KU ScholarWorks databases, by helping to ensure that those documents can continue to be read years from now despite changes in the software used to create them.

All PDF files uploaded to ProQuest must have all fonts embedded. Not all PDF creation software automatically embeds fonts, but embedded fonts are a requirement for submission. Please see **Appendix C.3 - Creating PDF Files** for more information reference or review **1.1a - Electronic Thesis and Dissertation (ETD) Workshop** to learn details about the workshop where it is taught.

6 - Publication Requirement: Submitting a Thesis/Dissertation

The Graduate Studies policy requires that all theses/dissertations must be published before a candidate is awarded the degree. To satisfy this requirement, KU defines publication as submission of the electronic thesis/dissertation to two online repositories, ProQuest and [KU ScholarWorks](#), which archive and distribute the research work of graduate students.

6.1 - ProQuest Publication

Students must submit their document once through the ProQuest portal which, once the thesis/dissertation is approved, will then deliver a final copy to the ProQuest and KU ScholarWorks repositories. In addition to submitting the entire thesis/dissertation electronically, students must submit a few select pages, in hard copy, to the KUMC Office of Graduate Studies as proof that they have completed all requirements for graduation. Students should consult with the graduate support staff in their department or program for more information about what to submit in hard copy. The Graduation Checklist can be accessed through the [Office of Graduate Studies page](#).

To qualify for their Master's or PhD Degrees, students must arrange for publication of their thesis/dissertation through ProQuest. Publication must occur on or before the date specified by the student's by the KUMC Office of Graduate Studies. Students must submit their thesis/dissertation electronically through the ProQuest web site at <http://www.etdadmin.com/cgi-bin/school?siteId=73>. Before logging in, students should ensure that they have the following information/items available to enter.

- Finished thesis/dissertation in PDF format, including unsigned Title and Acceptance Pages
- Abstract text (not a separate file) explaining the problem the thesis/dissertation addresses, the methods used in the investigations, the results obtained, and the conclusions reached
- Thesis/dissertation title
- Year degree is awarded

- Type of degree
- Department, discipline, or graduate degree program
- Names of committee chair(s) and committee members
- Optional: Visa, Mastercard, or American Express credit or debit card (if asking ProQuest to file for copyright on student's behalf)
 - Students should consult with their committee Chair and/or mentor to confirm if this process is worth pursuing as it is determined on an individual basis.
 - ProQuest will also ask the student if they desire open access for a fee. The student should select tradition publishing (no fee) as KU provides open access for no charge when the thesis/dissertation is uploaded in KU Scholarworks.

6.1a - Embargo Process

An [embargo](#) to delay availability of the thesis or dissertation due to patents pending, sensitive data or pending publication may be requested at the time the master's thesis or doctoral dissertation is uploaded to ProQuest. The initial embargo request is made on the ETD Release Form described in the preceding paragraph. An embargo may be requested for up to two years in length and is renewable at the end of the designated embargo term. To request an embargo renewal, complete this [Embargo Renewal Form](#) at least one month prior to the expiration date of the current embargo. The author must also contact ProQuest directly to renew ProQuest's embargo of the copy of the work that is in their database. Contact information: email disspub@proquest.com or phone 1-800-521-3042

A signed [ETD Release form](#) is required in order for an electronic version of the master's thesis or doctoral dissertation to be included in KU ScholarWorks. [KU ScholarWorks](#) is the University's digital repository for scholarly work created by KU faculty, staff and students. The signed ETD Release form is submitted to the Office of Graduate Studies at the time the thesis or dissertation is uploaded to ProQuest. The ability to request an embargo of the thesis or dissertation to delay availability due to patents pending, sensitive data or pending publication is incorporated as a section of this form.

6.2 - The Final Check

The Office of Graduate Studies in Lawrence assigns each thesis/dissertation uploaded to ProQuest to the administrators in the Office of Graduate Studies at KUMC. Next, the KUMC administrator completes the final review to check for correct formatting and completeness. After reviewing the document, the KUMC administrator sends an email via ProQuest to the student with any changes that need to be made. The changes that are requested are only related to formatting and occasionally copyright as the content review has been completed by the defense committee and Chair. The students use the link in the ProQuest email to re-upload any new versions. Finally, students will be notified via email when their thesis/dissertation has been accepted for final approved submission to ProQuest.

Appendix A - Checklist for Preparing and Submitting a Thesis/Dissertation

Preparing a Thesis/Dissertation

- Use a citation management software, EndNote is recommended and supported by the University, to organize citations
 - Attend EndNote training session provided by KUMC Research & Learning Librarians
- Attend the Electronic Thesis and Dissertation workshop to learn tips and tricks
 - Leave the session with a customized template
- Select a style guide in consultation with thesis/dissertation mentor/committee Chair
- Meet with the KUMC Research & Learning Librarians to discuss copyright and previously published materials
 - Obtain appropriate permissions

Formatting a Thesis/Dissertation

- Consistent font size, color, and style throughout the document
 - Table and figure explanatory text can be 2 points smaller
 - Fonts are embedded
- 1" margins on all sides of every page
- No Running Head in the document header even if APA style guide was used
- Properly formatted title page with Chair and committee signature lines
- Properly formatted acceptance page with chair and graduate director signature lines
- Date on the title page is the defense date
- Date on the acceptance page is date the Graduate Director gave final approval to upload
- Roman numeral page numbering for all front matter
- No page number on the title page
- Arabic numeral page numbering beginning with the body of text, appendices, and references
- Each chapter has its own title page
- Citations for previously published materials included on the respective chapter title page (if applicable)
- All tables and figures are labeled
- All appendices have titles
- The overall formatting makes for easy document navigation

Submitting a Thesis/Dissertation

- Convert the document to a PDF
- Ensure all pages in the PDF file are in portrait orientation
- Upload thesis/dissertation to ProQuest
- Submit thesis/dissertation paperwork (title page, acceptance page, ETD form – all original signed copies)
- Make formatting updates according to feedback from the Office of Graduate Studies
 - Upload to ProQuest again after updates

More details on each of these points can be found in this KUMC Thesis/Dissertation Guidelines document and the KUMC Thesis/Dissertation templates.

Appendix B - Previously Published Works Information

This appendix includes highlights from the KUMC Library Research Guide, [Dissertations & Theses: Using Your Published Articles](#). You need permission from a copyright holder to reuse one of your published articles even if you are the author. You must meet with a Research & Learning Librarian for assistance in obtaining permission. You can schedule an appointment with a Research & Learning Librarian by emailing dykesresearch@kumc.edu, calling 913-945-5990, or using the [scheduling calendar](#).

Questions to ask yourself when determining how to incorporate your works into the thesis/dissertation.

- Do you have a copy of your Copyright Transfer Agreement (CTA)?
- Does it give permission to use articles in your thesis or dissertation?
- If you do not have a copy of your CTA, check the publisher's site for information.
- Alternatively, you may go to the journal article on the publisher's web site and check the "Permissions" information. Follow the Copyright Clearance Center's RightsLink if available.
- You may need to contact the copyright owner (usually publisher) directly.
- Keep a copy of any permission granted to upload to ProQuest. Use a screen shot to capture the electronic permission.

All citations, regardless of style, should include:

- a) a complete citation.
- b) a phrase indicating used with permission.
- c) an indication if the previously published work has been adapted and how much.
- d) an indication if it is an open access article.

After the rights or permissions are obtained, the citation will be included on the chapter title page.

- The permissions verbiage and the citation should be placed immediately below the title of the chapter.
- The permissions verbiage and the citation should be single-spaced and use the same font size of the body of your work (usually 12 pt. font). Chapter titles can be no more than 2 pts. larger than the body font.
 - For further details, see section **2.2 - Font** of these guidelines.
- Include a full citation of the previously published work using the same style guide formatting from the thesis/dissertation's chosen style guide. The permission verbiage will include a note to indicate the degree of adaptation (if any) since publication.
- If supplied, use the permissions language stipulated by the publisher. Otherwise, the citation will mirror one of the examples from below.
- Even open access publications should be cited in your dissertation/thesis.
- Include the citation (and not the verbiage) again in the References List.

Chapter Level Citation Examples

The examples below are for phrasing purposes only. Always meet with a Research & Learning Librarian to review your citations and determine which one matches your specific situation.

Use the appropriate descriptive phrases for your publication situation. Format the citation in the same style you are using throughout your paper. Ensure the citation style is appropriate for your discipline. The publisher may require specific phrasing or information to be included in the citation.

General Examples

- 1) Using the complete previously published article as a complete chapter in a dissertation and indicating that nothing has been adapted.

Chapter Number & Title

This chapter has previously been published in whole without any adaptations since publication and is reprinted here with permission. Thompson, J. A., Nadeau, O. W., Carlson, G. M. (2015) A model for activation of the hexadecameric phosphorylase kinase complex deduced from zero-length oxidative crosslinking. *Protein Sci.* 24, 1956-63.

- 2) Using only parts of the previously published article in a chapter alongside new material.

Chapter Number & Title

This chapter has previously been published and is reprinted here with adaptations and used with permission from Herrera, J. E., Thompson, J. A., Rimmer, M. A., Nadeau, O. W., Carlson, G. M. (2015) Activation of Phosphorylase Kinase by Physiological Temperature. *Biochemistry.* 54, 7524-30.

Open Access Articles

Although freely accessible, open access articles require attribution the same as copyrighted articles. Some publishers require you to include the type of open access license, some require a link to the license. Check the publisher's web site for information. There is no need to use a link to the license unless required.

- 3) Citing a previously published open access article, using the entire article, with no adaptations.

Chapter Number & Title

This chapter has previously been published as an open access article and is reprinted here without adaptations. Zhang Z, Xu J, Tang J. Diagnosis of Brain Diseases via Multi-Scale Time-Series Model. *Frontiers in Neuroscience*. 2019;13(197).

- 4) Citing a previously published open access article. In the example below, this journal/publisher required the author to include the link to the actual license.

Chapter Number & Title

Previously published as an open access article as: Silva LM, Jacobs DT, Allard BA, Fields TA, Sharma M, Wallace DP, et al. Inhibition of Hedgehog signaling suppresses proliferation and microcyst formation of human Autosomal Dominant Polycystic Kidney Disease cells. *Scientific reports*. 2018;8(1):4985. Creative Commons License <https://creativecommons.org/licenses/by/4.0/legalcode>.

- 5) An article accepted for publication, but not yet published.

Chapter Number & Title

This chapter has been accepted for publication in [Journal Title], published by [Publisher Name].

- 6) An article submitted for publication that is still in the reviewing process and has not been accepted does not require any type of citation in your dissertation/thesis. Since it was submitted, you may choose to embargo your dissertation/thesis.

Figures

- 7) Tables, figures, and illustrations require a meeting with a Research & Learning Librarian to determine the appropriate citing style.

Labels for figures usually appear below the figure but check your formatting guide. [Use the Electronic Thesis and Dissertation Formatting how-to-guides](#) appropriate for your version of Word. You may also want to contact [Paul Thomas](#), (785) 864-6944, for technical information on inserting figures and creating a list of figures. Figure labels may use 10-pt font and be single spaced.

Figure label & citation example:

Figure example XXX

Figure 1. Retinal nerve fiber layer thickness in patients. Reprinted with permission from Gan Y-J, Fang A-W, Liu C, Liu B-J, Yang F-M, Guan J-T, et al. Elevated Plasma Levels of Drebrin in Glaucoma Patients with Neurodegeneration. *Frontiers in Neuroscience*. 2019;13(326).

Appendix C - Software

C.1 - Microsoft Word

Microsoft Word is a word processing software. It is the software most commonly used to prepare theses/dissertations at KU.

Staff at the KU Libraries maintain instructional LibGuides to assist scholars with the technicalities of formatting a thesis/dissertation in MS Word: <http://guides.lib.ku.edu/etd>

Staff at the KU Libraries maintain editable MS Word templates for the Title Page and Acceptance Pages.

[http://guides.lib.ku.edu/etd/ETD Title Page](http://guides.lib.ku.edu/etd/ETD_Title_Page)

C.2 - LATEX

LATEX is a powerful typesetting software that gives scholars a greater degree of control over the aesthetics and layout of their document. It is the de facto standard for preparing technical and scientific documents.

- Many LATEX editors are available for free.
- Faculty at KU's Center for Research Methods and Data Analysis (CRMDA) maintain an editable thesis and dissertation template in LATEX, available at: <https://graduate.ku.edu/etd-formatting-and-working-multimedia-files>
 - Click "LATEX Users," then "Thesis and Dissertation Package for LATEX Users."
- Faculty at CRMDA offer instructional classes and online guides to assist thesis/dissertation authors with using LATEX.
 - Search for workshop sessions through CRMDA or review the online materials here: <http://graduate.ku.edu/etd-formatting-and-working-multimedia-files>

C.3 - Creating PDF Files

Most word processing software allows users to print or export to PDF, making the conversion process very simple. Other types of software, like LATEX, produce PDFs directly from the plain text source code. Alternatively, students may convert files to PDF using Adobe Acrobat XI, which is available to students at no cost in all centrally-managed public computer labs on KU's campus.

Students must take care to embed all fonts in the PDF file before submission to ProQuest. Not all PDF creators automatically embed fonts, and some computers may not be able to open or read files without embedded fonts. Students should consult their software documentation or the KU LibGuides for more information about how to embed fonts. Students may find more information about producing PDF files and embedding fonts by following the links below:

- For more information about producing PDFs from MS Word:
 - [http://guides.lib.ku.edu/etd/ETD Convert to PDF](http://guides.lib.ku.edu/etd/ETD_Convert_to_PDF)
- For more information about embedding fonts with MS Word:
 - <http://guides.lib.ku.edu/c.php?g=95218&p=617881>
- For more information about Adobe Acrobat:
 - <https://technology.ku.edu/software/adobe-acrobat>

Appendix D.1 - Sample THESIS Title Page (Master's)

Amusing Caption: Insightful Title

By

©2019

FirstName LastName

B.S., University of Kansas, 2003

Submitted to the graduate degree program in **Your Discipline (e.g., Dietetics and Nutrition or Clinical Research)** and the Graduate Faculty of the University of Kansas in partial fulfillment of the requirements for the degree of **Master of Science**.

Committee Chair: Chair Name

Committee member name #2

Committee member name #3

Date defended: 3 November 2019

Appendix D.2 - Sample THESIS Acceptance Page (Master's)

The thesis committee for **FirstName LastName** certifies that this is the approved version of the following thesis:

Amusing Caption: Insightful Title

Chair: **Chair Name**

Graduate Director: **Graduate Director Name**

Date approved: 30 November 2019

Appendix E.1 - Sample DISSERTATION Title Page (PhD)

Amusing Caption: Insightful Title

By

©2019

FirstName LastName

M.S., University of Arizona, 2010

B.S., University of Kansas, 2003

Submitted to the graduate degree program in **Your Discipline** (e.g., **Biostatistics, Rehabilitation Science, Toxicology, etc**) and the Graduate Faculty of the University of Kansas in partial fulfillment of the requirements for the degree of **Doctor of Philosophy**.

Committee Chair: **Chair Name**

Committee member name #2

Committee member name #3

Committee member name #4

Committee member name #5

Date defended: 3 November 2019

Appendix E.2 - Sample DISSERTATION Acceptance Page (PhD)

The dissertation committee for **FirstName LastName** certifies that this is the approved version of the following dissertation:

Amusing Caption: Insightful Title

Chair: **Chair Name**

Graduate Director: **Graduate Director Name**

Date approved: 30 November 2019

Appendix F - Rotated Image Example

Figure 3. Periodic Table of Elements

13

This is a scaled down example of a standard 8.5" x 11" page in portrait orientation. The image exceeds the 1" margin requirement on the left and right sides of the page.

Figure 3. Periodic Table of Elements

13

This is a scaled down example of a standard 8.5" x 11" page in portrait orientation. The image has been rotated 90° counterclockwise so that it perpendicular to the bottom of the page in portrait orientation.