

THESIS AND DISSERTATION FORMATTING GUIDE

GRADUATE SCHOOL



A Guide to the Preparation and Submission of
Thesis and Dissertation Manuscripts in
Electronic Form

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TABLE OF CONTENTS

RESPONSIBILITY	4
ADVISOR'S RESPONSIBILITY	4
STUDENT'S RESPONSIBILITY	4
THESIS/DISSERTATION APPROVAL AND ELECTRONIC SUBMISSION	5
APPROVAL PROCESS.....	5
ELECTRONIC THESIS/DISSERTATION (ETD) SUBMISSION PROCESS.....	5
COPYRIGHT REGISTRATION (OPTIONAL)	5
STATEMENT OF COPYRIGHT OWNERSHIP	6
JOURNAL PAPERS IN A THESIS.....	6
REQUEST FOR EMBARGO (DELAY PUBLIC RELEASE).....	6
POLICY CONCERNING PUBLICATION RIGHTS FOR THESIS AND DISSERTATION RESEARCH	7
PUBLICATION OF THESIS.....	7
ORGANIZING AND FORMATTING THE THESIS/DISSERTATION.....	8
PRELIMINARIES.....	8
Title Page.....	9
Copyright Page	10
Abstract	10
Table of Contents.....	10
TEXT	11
Page Size	11
Type Style.....	11
Margins.....	11
Pagination.....	11
Major Headings.....	12
Subheadings.....	12
Running Head.....	12
Paragraphs	12
Hyphenation.....	12
Spacing.....	12
Poems	12

Footnotes.....	13
Endnotes.....	13
TABLES AND FIGURES	13
Landscape Tables and Figures	13
Numbering and Title Placement	13
SUPPLEMENTARIES	14
References or Bibliography	14
Appendices	14
FOREIGN LANGUAGE THESIS.....	14
MULTIPART THESIS	15
FIGURES AND EXAMPLES.....	16

RESPONSIBILITY

A thesis is required for all programs leading to a Plan A master's degree, and a dissertation is required for the doctor of philosophy degree. This manual was written by the Graduate School to help graduate students and their committee members to prepare theses and dissertations. Its purpose is to define uniform format standards. The word "thesis" refers to both the thesis and the dissertation unless otherwise noted.

ADVISOR'S RESPONSIBILITY

The graduate student's advisor serves as a mentor both while the student is doing the thesis work and while the results of that work are prepared for the thesis. Although the student has primary responsibility for the content, quality, and format of the thesis, the advisor and the Graduate Advisory Committee must be consulted frequently. They approve the final document before it is submitted to the Graduate School. Advisors are particularly asked to insure that the abstract summarizes clearly and concisely the major points of the thesis.

STUDENT'S RESPONSIBILITY

The student is responsible for making all arrangements for the preparation and submission of the thesis as well as any additional copies required by the department. The student should also consider the following:

1. Consult a style manual approved by your department for correct format for quotations, footnotes, and bibliographical items.
2. Refer to the Graduate School Thesis and Dissertation Formatting Guide for guidelines regarding correct format for thesis presentation (including illustrative materials).
3. Edit draft for correct sentence structure, grammar, paragraphing, punctuation, and spelling.
4. Prepare tables in the form in which they are to be printed.
5. Furnish numbering and legends for all tables and illustrative materials.
6. Proofread final copy and check to see that corrections are made accurately.
7. Present a copy to the Graduate Advisory Committee for their review.
8. Submit the final committee approved version electronically.

THESIS/DISSERTATION APPROVAL AND ELECTRONIC SUBMISSION

APPROVAL PROCESS

- Once your Graduate Advisory Committee approves your thesis or dissertation, the [GS 30 - Thesis/Dissertation Submission Form](#) must be filled out, dated and signed by your committee and department chair. This form must be turned into the Graduate School by the [published deadline](#) of your graduating term and before you submit your thesis or dissertation electronically.
- **Note:** PhD Students must submit the “Certificate of Completion” for the [Survey of Earned Doctorates](#) along with the GS30 - Thesis/Dissertation Submission Form.

ELECTRONIC THESIS/DISSERTATION (ETD) SUBMISSION PROCESS

- Convert your thesis or dissertation to PDF format.
- Submit your ETD through the Colorado State University Libraries Electronic Thesis and Dissertation (ETD) Submission website, <http://lib.colostate.edu/etd>.
- Your submission will be reviewed for final approval by an administrator at the Graduate School.
- You will receive an e-mail notification once your submission has been reviewed.
- **Note:** The e-mail address requested by ProQuest/UMI in the submission process is the e-mail address you will receive notifications regarding your ETD. Make sure you check the e-mail address you list.
- Submission and approval of your ETD must meet the [published deadline](#) of your graduating term.

Publishing fee– electronic submission:

- Master’s Thesis
 - a) Traditional Publishing: No fee
 - b) Open Access Publishing: \$95
- PhD Dissertation
 - a) Traditional Publishing: No fee
 - b) Open Access Publishing: \$95

COPYRIGHT REGISTRATION (OPTIONAL)

As the author of a completed thesis, the student automatically owns the copyright. Copyright, at the student’s option, may be registered. Copyright registration may be secured through ProQuest/UMI, or the student may submit the necessary forms directly to the U.S. Copyright Office. More information may be found at the following links:

<http://libguides.colostate.edu/copyright>

<http://teaching.colostate.edu/guides/copyright/>

The benefits of registering copyright are both cultural and legal. It is a formal and clear statement of a work's value, and it signals that the thesis or dissertation is important. It is a prerequisite for filing an infringement action against someone in court and serves as a prima facie evidence of copyright validity.

If unusual circumstances surround rights to the material in the thesis, the student should seek the help of the advisor, department head, or dean before proceeding to register a copyright. In complex cases, legal counsel may be appropriate.

It is the responsibility of the student to secure permission to use copyrighted material in the thesis.

STATEMENT OF COPYRIGHT OWNERSHIP

It is required at CSU that you include a copyright notice in your thesis to remind people of your copyrights. Please see the [sample page](#) online for the format. You also have the option to officially register your copyright with the [U.S. Copyright Office](#); however, this is not required.

JOURNAL PAPERS IN A THESIS

With the approval of the advisor and Graduate Advisory Committee, the student may include manuscripts published in, accepted by, submitted to, and/or prepared for submission to scholarly journals and proceedings (or modified from those versions). As in a traditional thesis, the collection of papers should address related topics. When choosing this option, the student must be a primary author of the papers (i.e., a person principally involved in the data selection or collection, the data analysis or interpretation, and the writing of the papers). The content of each paper included may be similar to or the same as what was submitted to the journal/proceedings. The document will follow all of the Graduate School requirements for style, margins, font, text spacing, page numbers, etc. as specified in this guide.

Proper arrangement and construction of the parts of the thesis containing journal papers will likely vary according to the styles adopted by different disciplines. The student's department will determine the final organization of the thesis. Moreover, previously published work that is included in the thesis or dissertation requires consent from the holder of the copyright to the work – approval or release from the publisher or copyright holder is required.

Any references to journal publications, authors, etc. on your chapter pages or major heading pages should be listed as a footnote.

REQUEST FOR EMBARGO (DELAY PUBLIC RELEASE)

Public access may be delayed up to one year in the event that the thesis contains material to be protected by patent or copyright. A two-year embargo may be requested for MFA in Creative Writing and MA-Creative Nonfiction programs only. This delay is accomplished by the advisor submitting an explanation of the request on the [GS 31 - ETD Embargo Restriction Request Form](#) which is submitted along with the GS 30 - Thesis/Dissertation Submission Form to the Graduate School. Extensions are not possible as one of the functions of the University is the

generation and dissemination of contributions to knowledge and culture. The fundamental purpose of theses is to make such contributions available for public benefit.

POLICY CONCERNING PUBLICATION RIGHTS FOR THESIS AND DISSERTATION RESEARCH

The general policy concerning dissemination of research results is designed to assure that worthwhile and useful results are made available promptly to the scholarly community, and to assure that all those who have contributed to the development of the new knowledge - students and faculty - receive appropriate credit for their role in the work.

The Graduate School recognizes that there may be many special conditions affecting the dissemination of thesis findings, and that students and faculty must adjust to those conditions as they arise. However, in the most common, traditional situations, the following summary of procedures should provide general guidelines.

Thesis results are, by definition, the product of the student's creative efforts. Hence, a publication that reports only those results should involve the student as sole or senior author. If, however, a publication reports the work of others in addition to the thesis results, the student may be entitled only to joint or even junior authorship, according to the usual standard of relative contribution to the overall project.

Senior authors are expected to play a major role in all of the usual decisions surrounding the publication effort, including choice of publisher and similar matters. However, consultation with junior authors is appropriate.

Since thesis research involves direction and supervision by the advisor and Graduate Advisory Committee, there are occasions in which those persons are rightfully recognized. However, whether or not the advisor or other members of the committee are to be included as co-authors of a publication relating to thesis work will depend on their level of involvement in the research and whether they wish to be named as such. Simple membership on a committee, implying only a typical advisory role, does not normally qualify a person for co-authorship of materials emerging from thesis research.

While the student has the right to publish thesis results, this right may be limited. For example, agencies which provide financial support for research sometimes are able to claim ownership of the results. If research is based on the work of others, it may be necessary to secure their permission. If findings included in the thesis previously appeared elsewhere, copyright may have been assigned to the publisher.

PUBLICATION OF THESIS

When a thesis or any portion of it is to be published, the following statement should appear as a footnote on the first page, "From a thesis submitted to the Academic Faculty of Colorado State University in partial fulfillment of the requirements for the degree of _____."

ORGANIZING AND FORMATTING THE THESIS/DISSERTATION

A typical thesis consists of three main parts - preliminaries, text, and supplementaries. Each part is be organized as shown below:

1. Preliminaries:
 - Title page (required)
 - Copyright page (required)
 - Abstract (required) *only one abstract allowed*
 - Acknowledgments (optional) *located in the Preliminary Section only*
 - Preface (optional)
 - Autobiography (optional)
 - Dedication (optional)
 - Table of Contents (required)
 - List of Tables (optional)
 - List of Figures (optional)
 - List of Plates (optional)
 - List of Symbols (optional)
 - List of Keywords (optional)
 - Other Preliminaries (optional) such as Definition of Terms
2. Text
3. Supplementaries (optional):
 - References or bibliography (optional)
 - Appendices (optional)
 - Glossary (optional)
 - List of Abbreviations (optional)

PRELIMINARIES

These are the general requirements for all preliminary pages.

- Preliminary pages are numbered with lower case Roman numerals.
- Page numbers are ½” from the bottom of the page and centered.
- Preliminary page number “i” is assigned to but not printed on the title page.
- The copyright page is included in the manuscript immediately after the title page and is not assigned a page number nor counted.
- The abstract page is numbered with the Roman numeral “ii”.
- The remaining preliminary pages are arranged as listed under “Organizing and Formatting the Thesis/Dissertation” and numbered consecutively.
- Headings for all preliminary pages must be centered in all capital letters 1” from the top of the page.
- Do not bold the headings of the preliminary pages.

Title Page

- A [sample title page](#) is available – refer to the sample page as you read through the format requirements for the title page.
- Do not use bold.
- Center all text except the advisor and committee information.
- Preliminary page number “i” is assigned to, **but not printed on**, the title page.

Heading

- The heading “THESIS” or “DISSERTATION” is in all capital letters, centered one inch from the top of the page.

Title

- Your title must be in all capital letters, double spaced and centered.
- Your title on the title page must match the title on your GS30 – Thesis/Dissertation Submission Form

Submitted by block

Divide this section exactly as shown on the sample page. One blank line must separate each line of text.

- (1) Submitted by
 - (2) Your name
 - (3) Type the official name of your department. If you are in an interdisciplinary studies program, list as:
 - a. Graduate Degree Program in Bioengineering
 - b. Graduate Degree Program in Cell and Molecular Biology
 - c. Graduate Degree Program in Ecology
- If your department name begins with School of... list as:
- a. School of Education
 - b. School of Music, Theatre and Dance
 - c. School of Social Work

If you have questions about the correct name of your department or degree, consult your department. Areas of Study or specializations within a program are not listed on the Title Page.

Degree and Graduating Term block

Divide this section exactly as shown on the sample page. One blank line must separate each line of text.

- (1) In partial fulfillment of the requirements
- (2) For the Degree of <add earned degree>
- (3) Colorado State University
- (4) Fort Collins, Colorado (*do not abbreviate Colorado*)
- (5) <add graduating term>

Committee block

- Master's students will use the heading Master's Committee:
- Doctoral students will use the heading Doctoral Committee:
- The Master's Committee and Doctoral Committee headings begin at the left margin.
- One blank line separates the committee heading and the advisor section.
- One blank line separates the advisor and committee section.
- Advisor and committee member names are indented approximately half an inch from the left margin.
- Titles before or after the names of your advisor and your members are not permitted (Examples – Dr., Professor, Ph.D.).

Copyright Page

- A sample [copyright page](#) is available.
- A copyright page is required.
- A copyright page is included in the manuscript immediately after the title page.
- This page is not assigned a number nor counted.
- Center text vertically and horizontally.

Abstract

- A sample [abstract page](#) is available - refer to the sample page as you read through the format requirements for the abstract.
- Do not use bold.
- Only one abstract is permitted.
- The heading "ABSTRACT" is in all capital letters, centered one inch from the top of the page.
- Three blank lines (single-spaced) must be between the "ABSTRACT" heading and your title.
- Your title must be in all capital letters and centered.
- The title must match the title on your Title Page and the GS30 – Thesis/Dissertation Submission Form
- Three blank lines (single-spaced) must be between the title and your text.
- The text of your abstract must be double-spaced.
- The first page of the abstract is numbered with a small Roman numeral ii.

Table of Contents

- A sample [Table of Contents page](#) is available
- The heading "TABLE OF CONTENTS" is in all capital letters centered one inch from the top of the page.
- Three blank lines (single-spaced) follow the heading.

- Do not use bold.
- List all parts of the document (except the title page) and the page numbers on which each part begins.
- The titles of all parts are worded exactly as they appear in the document.
- Titles and headings and the page numbers on which they begin are separated by a row of dot leaders.
- Major headings are aligned flush with the left margin.
- Page numbers are aligned flush with the right margin.
- [Formatting tips](#) to create the Table of Contents is available.

TEXT

The text of a thesis features an introduction and several chapters, sections and subsections. Text may also include parenthetical references, footnotes, or references to the bibliography or endnotes.

Page Size

- The entire document is 8.5" x 11" (letter) size.
- Pages may be in landscape position for figures and tables that do not fit in "portrait" position.

Type Style

- Choose one type style (font) and font size and use it throughout the text of your thesis. Examples: Times New Roman and Arial.
- Font sizes should be between 10 point and 12 point.

Margins

- Margins are one inch on all sides (top, bottom, left, and right).
- Always continue the text to the bottom margin except at the end of a chapter.

Pagination

- Please see "PRELIMINARIES" for preliminary page requirements.
- Body and references are numbered with Arabic numerals beginning with the first page of text (numbered 1).
- Page numbers must be centered ½" from the bottom of the page.

Major Headings

- A sample page for major headings and subheadings is available.
- Use consistent style for major headings.
- Three blank lines (single-spaced) need to be between the major heading and your text.
- Each chapter is started on a new page.
- The References or Bibliography heading is a major heading and the formatting needs to match chapter headings.

Subheadings

- A sample page for major headings and subheadings is available.
- Style for subheadings is optional but the style should be consistent throughout.
- Subheadings within a chapter (or section) do not begin on a new page unless the preceding page is filled. Continue the text to the bottom of the page unless at the end of a chapter.
- Subheadings at the bottom of a page require two lines of text following the heading and at least two lines of text on the next page.

Running Head

- Do not insert a running head

Paragraphs

- When dividing paragraphs, at least two lines of text should appear at the bottom of the page and at least two lines of text on the next page.

Hyphenation

- The last word on a page may not be divided. No more than three lines in succession may end with hyphens. Divide words as indicated in a standard dictionary.

Spacing

- The text of the thesis is double-spaced.
- Footnotes, bibliography or list of reference entries, table and figure captions, and data within large tables may be single-spaced.
- Footnotes and bibliography or list of reference entries are separated by double-spacing.
- Quoted material of more than three lines is indented and single-spaced. Quoted material which is three lines or fewer may be single-spaced for emphasis.

Poems

- Poems should be double-spaced with triple-spacing between stanzas. Stanzas may be centered if lines are short.

Footnotes

- Consult a style manual approved by your department for samples of footnotes.
- Footnotes are numbered consecutively throughout the entire thesis.
- Footnotes appear at the bottom of the page on which the reference is made.
- Footnotes are single-spaced.
- Footnotes and bibliography or list of reference entries are separated by double-spacing.

Endnotes

- Consult a style manual approved by your department for samples of endnotes.
- Endnotes are numbered consecutively throughout the entire thesis.
- Endnotes may be placed at the end of each chapter or following the last page of text.
- The form for an endnote is the same as a footnote. Type the heading "endnote".

TABLES AND FIGURES

- Tables and figures should follow immediately after first mentioned in the text or on the next page.
- If they are placed on the next page, continue the text to the bottom of the preceding page.
- If more clarity is provided by placing tables and figures at the end of chapters or at the end of the text, this format is also acceptable.
- Tables and Figures are placed before references.
- Any diagram, drawing, graph, chart, map, photograph, or other type of illustration is presented in the thesis as a figure.
- All tables and figures must conform to margin requirements.
- Images can be resized to fit within margins.

Landscape Tables and Figures

- Large tables or figures can be placed on the page landscape or broadside orientation.
- Landscape tables and figures should face the right margin (unbound side).
- The top margin must be the same as on a regular page (example on page [16](#)).
- Page numbers for landscape or broadside tables or figures are placed on the 11" side.

Numbering and Title Placement

- Tables and figures numbering can be consecutive (e.g., 1, 2, 3) or within each chapter or appendix (e.g., 1.1, 1.2, 2.1).
- Tables and figures in the appendices continues the numbering sequence used in the text.
- The number, title, and description of a table is placed above the table.

- The number, title, and description of a figure is placed below the figure, reading the same direction as the figure.
- Single space table and figure captions.

SUPPLEMENTARIES

These are the general requirements for all supplementary pages.

- Supplementary pages are arranged as listed under “Organizing and Formatting the Thesis/Dissertation” and numbered consecutively.
- Headings for all supplementary pages are major headings and the formatting style needs to match chapter headings.

References or Bibliography

- The References or Bibliography heading is always a major heading and the formatting style needs to match chapter headings.
- References or Bibliography are ordered after each chapter, or at the end of the text.
- References are aligned flush with the left margin.
- The style for references should follow the format appropriate for the field of study.
- The style used must be consistent throughout the thesis.

Appendices

- Appendices are optional and used for supplementary material.
- The Appendices heading is a major heading and the formatting style needs to match chapter headings.
- As an option the appendix may be introduced with a cover page bearing only the title centered vertically and horizontally on the page. The content of the appendix then begins on the second page with the standard one inch top margin.
- Quality and format should be consistent with requirements for other parts of the thesis including margins.
- Page numbers used in the appendix must continue from the main text.

FOREIGN LANGUAGE THESIS

Occasionally, theses are written in foreign languages. In such cases, an English translation of the title and abstract must be included in the document.

- Submit one title page in the foreign language (no page number printed).
- Submit one title page in English (no page number printed).
- Submit one abstract in the foreign language (page number is ii).

- Submit one abstract in English (page number is numbered consecutively from previous page – example: if the last page of the abstract in the foreign language is page ii the first page of the abstract in English is numbered page iii).

MULTIPART THESIS

In some departments, a student may do research on two or more generally related areas which would be difficult to combine into a single well-organized thesis. The solution is the multi-part thesis.

- Each part is considered a separate unit, with its own chapters, bibliography or list of references, and appendix (optional); or it may have a combined bibliography or list of references and appendix.
- A single abstract is required.
- The pages of a multi-part thesis are numbered consecutively throughout the entire thesis, not through each part (therefore, the first page of Part II is not page 1).
- The chapter numbering begins with Chapter 1 for each part, or the chapters may be numbered consecutively.
- Pagination is consecutive throughout all parts, including numbered separation sheets between parts.
- Each part may be preceded by a separation sheet listing the appropriate number and title.

FIGURES AND EXAMPLES

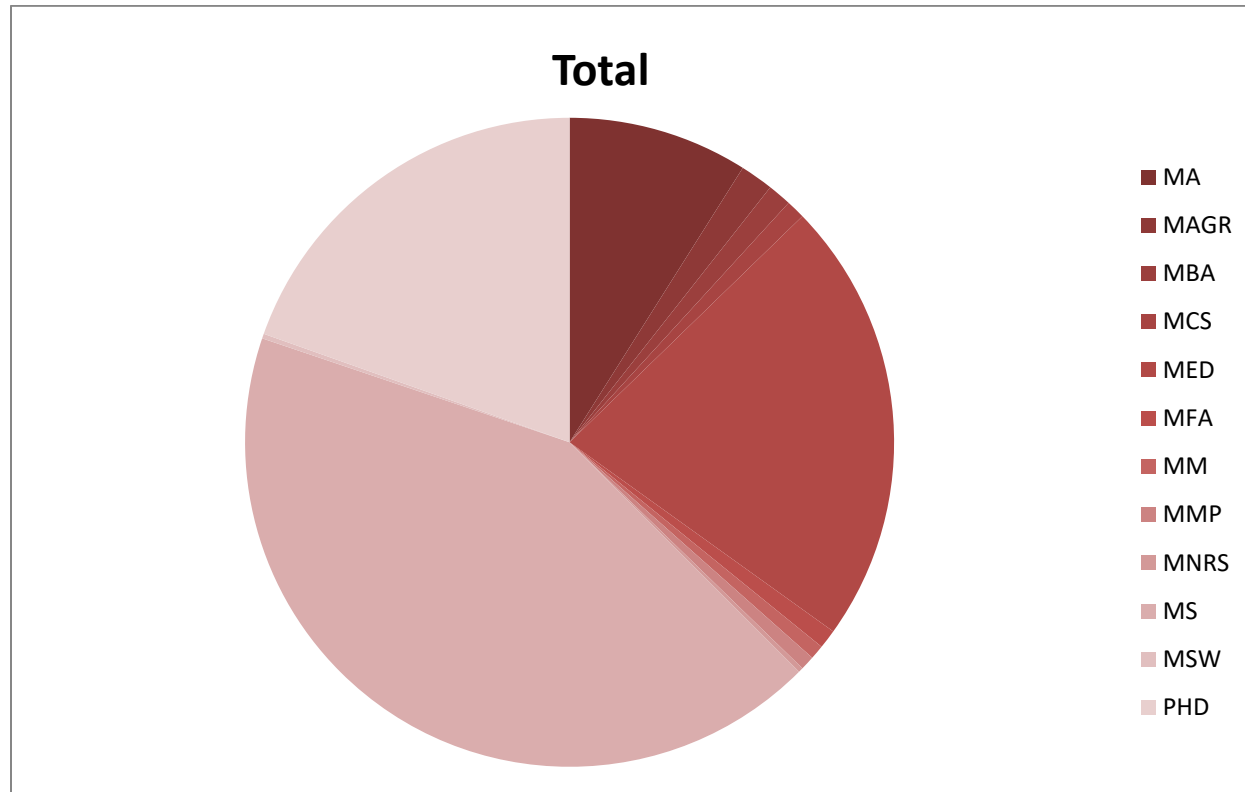


Figure 1: Example of a figure in landscape and correct placement of the page number