

**MARQUETTE UNIVERSITY GRADUATE SCHOOL
DISSERTATION DIRECTIVES**

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Preface

All graduate students at Marquette University who submit their doctoral dissertation to the Graduate School as part of their degree requirements must comply with the university's guidelines for the preparation of their dissertation. These directives explain and illustrate the format and style requirements through instructions and samples.

The student should use these directives in conjunction with the style manual chosen by the student's academic department. In matters where there is a conflict between the requirements of this manual and those of the academic department's style manual, the department's style manual should be followed. The student's department may impose additional requirements, so it is advised to check with the department.

The student and his/her doctoral committee are responsible for the accuracy of the content of the dissertation and should proofread and edit the dissertation for correct syntax, grammar, spelling, punctuation, references, and adherence to university guidelines. The Graduate School reserves the right to reject dissertations that contain errors or do not follow format and style guidelines.

The Graduate School updates the *Dissertation Directives* periodically. The graduate student is responsible for using the most recent directives, available online at www.grad.mu.edu/forms. Dissertations not meeting the current standards will be returned.

Dissertation Outline

Students must submit an outline for their proposed dissertation using the *Outline for Dissertation, Thesis, or Professional Project* form available online at www.grad.mu.edu/forms. This is typically submitted during the first term that dissertation credits are taken. Outlines must be approved by the student's dissertation director, the department chairperson, and the Graduate School. If the proposed research involves a real or apparent conflict of interest on the part of the student, the dissertation director, or the committee members, it must be declared at the time the outline is submitted.

Once the outline form is completed and signed by all parties, it is an agreement between the student, the dissertation committee, and the Graduate School for the student's planned research.

If the student's research involves humans, animals, or radioisotopes, the student is required to obtain written approval from the Office of Research Compliance (ORC) prior to initiating his/her work. The approval forms for human, animal, or radioisotope research may be obtained through ORC and must be submitted to the Graduate School upon approval. ORC requires the student to submit the necessary protocol forms for review and approval of his/her research.

For more information about the research compliance process, please refer to the ORC Web site at www.marquette.edu/researchcompliance or contact ORC at (414) 288-1479.

***Approval of the student's *Outline for Dissertation, Thesis, or Professional Project* form does not constitute approval by the Office of Research Compliance.**

Assembling a Dissertation Committee

Candidates select their dissertation committee with the assistance of their adviser. The names of at least three members, including the chairperson, must be listed on the *Outline for Dissertation, Thesis, or Professional Project* form. This form is available online at www.grad.mu.edu/forms. (Some departments may require more than three committee members. Please check with your adviser.)

If the committee includes a non-Marquette member, the student must submit a recent curriculum vitae for that member to the Graduate School with their *Outline for Dissertation* form.

Dissertation Credits

Doctoral students must take 12 hours of dissertation credits and may enroll for these while working on their doctoral dissertation outline. Each department determines the number of credit hours that a candidate may take during any one term. Students who enroll in, and pay for, dissertation credits before actually beginning work on their project will not be entitled to a tuition refund of these credits even if they should subsequently drop out of or are withdrawn from their program.

If the student has already completed the 12 dissertation credits required for graduation, but is still working on his/her dissertation, registration in dissertation continuation is required using the “Dissertation/Thesis/Professional Project Continuation Registration Form”. This form is available online at www.grad.mu.edu/forms. The student may register for less than half-time, half-time, or full-time, based on the amount of work that is being done.

Public Defense of the Dissertation

A public defense of the dissertation is conducted after the candidate has completed all other formal requirements for the doctoral degree. Although the examination is primarily a defense of the dissertation, it will include material relevant to the general field in which the dissertation is written, with particular attention to the more recent and significant developments.

Before a public defense of the dissertation can be scheduled, a copy of the dissertation must be given to each member of the committee at least two weeks before the defense date. The dissertation distributed is the one that will be defended at the public defense. The student and his/her adviser must select a date for the defense during the weekday working hours and must avoid public or religious holidays. If the student intends to graduate the same term the defense is made, the defense must be held before the deadline listed in the Academic Calendar.

Students must submit the *Announcement for Public Defense of the Dissertation* form, available online at www.grad.mu.edu/forms, along with an electronically submitted dissertation abstract in MS Word format to the Graduate School. Each committee member must sign the form confirming the date and time of the defense. The form must be submitted at least four weeks prior to the scheduled defense date. The Graduate School uses this form to announce the upcoming defenses to the campus community. Students are advised to check with their department which may require more advanced notice.

Basic Requirements for the Formatting of the Dissertation

A dissertation demonstrates a student's familiarity with the tools of research and scholarship in the field, shows thorough knowledge of the subject covered, and reflects independence of thought, critical insight, and originality. The dissertation must exhibit the student's mastery of the literature of the subject and familiarity with the sources, and be presented with a satisfactory degree of literary skill.

Style

Style guides vary greatly from one field or program to another, so the student should consult his/her adviser regarding recommended style manuals to follow. If the department has no preference, the Graduate School suggests using the American Psychological Association (APA), Turabian, or the Modern Language Association of America (MLA).

Type or Font

The dissertation must be written in an easily readable standard font, such as Times New Roman. Font size for the body of the dissertation must be between 10-12 points. Script type is not acceptable.

In the body of the dissertation, different fonts or typefaces, including script, may be used to set off examples, quotations, tables, and charts from the rest of the text, as long as all fonts are of a similar size and are easily readable. Footnotes may be a different size than the body of the dissertation as long as it is easily readable.

All text must be in black and in "portrait" orientation. This does not include tables, graphs, or illustrations.

Spacing

Single spacing should be used in a heading, table title, or a figure caption that runs more than one line; within reference lists, bibliography entries and footnotes; and in quoted material, if "set off" and indented within the body of the text.

Double spacing should be used in the body of the dissertation.

Triple spacing should be used between all headings and the material that follows that heading.

A widow or orphan line (a single line or portion of a line at the end of or start of a page) is not acceptable. (Word processors generally have a widow/orphan protection feature.)

Margins

Every page of the dissertation (including the cover page, appendices, and the bibliography) must have a left margin of 1.5 inches. The top, bottom, and right margins must be 1 inch. New paragraphs should be indented 0.5 inches. With the exception of the page numbers, nothing should appear in the margins.

Justification

The right edge of the text should be ragged and the left edge even. Use only left justification.

Pagination

Every page in the body of the dissertation must be numbered sequentially in the upper right-hand corner approximately 0.5 inches from the top page and 0.5 inches from the first line of types, including bibliographies and appendices. In the body of the dissertation, begin numbering the pages sequentially starting with “i”.

Any material before the body of the dissertation (such as the preface, table of contents, acknowledgements, or the list of tables) must be numbered in lowercase Roman numerals starting with “i” in the upper-right hand corner, approximately 0.5 inches from the top of the page and 0.5 inches from the first line of type.

The title page, abstract, and signature pages should not be numbered.

Language

Avoid sexist language. Write with a sense of equality and appropriateness.

Arrangement Order and Detail

The pages of the dissertation are to be arranged in the following order:

A. Title Page

The title page should be prepared according to the following instructions and shall be similar in appearance to the sample illustrated on the next page. The title page is not numbered but is considered to be the first page of the dissertation.

1. To ensure all required elements fit on the title page, the dissertation title may not exceed a total of 120 characters, including spaces and numbers. If the title is more than one line in length, the second and third lines should be single-spaced with the longest line being the first line (an inverted pyramid shape).
2. Center the title of the manuscript in capital letters 1 inch from the top of the page. The title must be identical, both in wording and in line breaks, to the title appearing on the abstract.
3. Approximately ten lines below the title, center the word “by”. On the second line (a double space) below “by”, center the author’s name. The author’s name must appear exactly as it is written on the abstract, the acknowledgements, the signature pages, and the approval forms.
4. Approximately ten lines below the author’s name, center “A Dissertation submitted to the Faculty of the Graduate School, Marquette University, in Partial Fulfillment of the Requirements for the Degree of Doctor of Philosophy”.
5. Approximately ten lines below the name of the academic unit, center “Milwaukee, Wisconsin”, and on the second line (a double space) below “Milwaukee, Wisconsin”, center the month and year of the actual graduation (must use: May, August, or December). No comma follows the month.

A STUDY OF THE SOCIOLOGICAL IMPACT OF THE
1984 OLYMPICS ON THE POVERTY
LEVEL OF CITIZENS OF
LOS ANGELES

by

John J. Smith, B.A., M.A.

Sample

A Dissertation submitted to the Faculty of the Graduate School,
Marquette University,
in Partial Fulfillment of the Requirements for
the Degree of Doctor of Philosophy

Milwaukee, Wisconsin

December 2010

B. Abstract

The abstract is a succinct statement of the problem, methodology, findings, and conclusions of the research study. The author should prepare the content of the abstract with care; doctoral abstracts are published and distributed nationally and internationally exactly as submitted. Users who review indices to dissertations use the abstract to determine the value and relevance of the study.

The abstract page is not numbered, and it follows the title page. The format should be prepared according to the following instructions and shall be similar in appearance to the sample illustrated on the following page.

1. Center the label “ABSTRACT” in all caps 1 inch from the top of the page. On the next line (single space), center the title of the dissertation in all caps. The title must be accurate and identical (including line breaks) to the title appearing on the title page of the dissertation and on the approval forms. The dissertation title may not exceed a total of 120 characters, including spaces and numbers. If the title is more than one line in length, the second and third lines should be single-spaced with the longest line being the first line (an inverted pyramid shape).
2. Center the author’s name on the third line (a triple space) below the title. The author’s name must appear exactly as it is written on the title page, the acknowledgements, the signature pages, and the approval forms.
3. Center “Marquette University” followed by a comma and the year the degree is conferred, on the second line (a double space) below the author’s name.
4. Begin the text of the abstract on the third line (a triple space) below the institution’s name. Indent each paragraph 0.5 inches.
5. The dissertation abstract should not exceed 350 words.

C. Acknowledgments

Although acknowledgements are optional, they are a courteous way of recognizing people to whom the author is indebted for guidance, assistance, special aid, or support, including faculty mentors, colleagues, friends, and family members.

If chosen, the acknowledgments page should be prepared according to the following instructions and should be similar in appearance to the sample illustrated on the following page. The acknowledgments page is numbered in lowercase Roman numerals in the upper-right hand corner as described in the “Pagination” description above.

1. Center the heading “ACKNOWLEDGMENTS” in capital letters 1 inch from the top of the page.
2. On the third line (a triple space) below that heading, center the author’s name. The author’s name must appear exactly as it is written on the title page, the abstract, the signature pages, and the approval forms.
3. On the third line (a triple space) below the author’s name, begin entering text. Indent each paragraph 0.5 inches and double-space the text.

ACKNOWLEDGMENTS

John J. Smith, B.A., M.A.

In no particular order, I would like to thank my mother, my father, my sister, and my brother. I would like to thank my husband, my wife, my children and God. I would like to thank my teachers, my faculty, my committee, my director. I would like to thank the Graduate School and all of the Marquette University administration.

Sample

D. Table of Contents

The Table of Contents includes all sections identified in the dissertation except the Title Page, Abstract, and the Table of Contents. The Table of Contents page(s) should be prepared according to the following instructions and should be similar in appearance to the sample illustrated on the following page.

1. Center the heading “TABLE OF CONTENTS” in capital letters 1 inch from the top of the page.

Primary headings (e.g., List of Tables, titles of chapters, Bibliography) are fully capitalized in the Table of Contents.

For all subsequent headings, capitalize the first letter of each word of each heading except articles, conjunctions, and prepositions that are less than four letters in length (i.e., the following words would not be capitalized: a, an, and, but, by, for, of, the, etc.).

2. Indent each subsequent heading level within a chapter 0.5 inches from the previous level.

3. Double space between each entry and each level of heading, and single space within multiple line headings, but do not further indent the second line of a multiple line heading. Headings requiring more than one line should be single spaced and divided so that the first line is the longest and each succeeding line is shorter.

4. Headings must be identical in wording as those within the dissertation manuscript.

5. Each page of the Table of Contents is numbered with lower-case Roman numerals (not shown in example).

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E. List of Tables or Figures (Optional)

If any tables or figures appear in the dissertation, a List of Tables and/or List of Figures should be prepared according to the following instructions.

1. Center the heading “LIST OF TABLES” or “LIST OF FIGURES” in capital letters 1 inch from the top of the page.
2. When both are needed, the List of Tables should precede the List of Figures.
3. On the third line (a triple space) below the heading, begin entering the table/figure listings – a single space within entries and double space between entries. Titles should be listed exactly as they appear in the text.
4. Headings requiring more than one line should be divided so that the first line is the longest and each succeeding line is shorter.
5. Each page of the table/figure should be numbered with a Roman numeral.
6. Text, including punctuation, abbreviations, underlining, etc., should be consistent with a style manual approved by the department.
7. Actual figures, tables, diagrams, graphs, photographs, etc., must follow their first mention within the text. The figure, table, etc. may be on the page immediately following the mention but may not be several pages away, at the end of the chapter or set in another chapter. Tables and illustrations, if used, must appear in all copies of the dissertation.
8. If the actual figures, tables, diagrams, graphs, photographs, etc. do not fit in portrait setting, the figure should be rotated $\frac{1}{4}$ turn counter clockwise consistently throughout the dissertation.

F. Body of Dissertation

The body of the dissertation should follow either the List of Tables or List of Figures (if used), or the Table of Contents (if List of Tables or List of Figures is not used).

Each new chapter begins on a new page. Punctuation, abbreviations, underlining, etc. should be consistent with a style manual approved by the department.

G. Bibliography and References

Bibliographies list all published material referred to in the text as well as all supportive reading material which has influenced the author, whether or not the material was cited in the text of the dissertation.

References cite the sources of attributable material in the body of the text. References may be cited parenthetically (MLA or APA style), footnoted at the bottom of the page or in end notes at the end of the dissertation, depending on the department's preferred style manual. References may not be noted at the end of a chapter. The citation format must be consistent throughout the dissertation.

While the style manual chosen by the student's department should be adhered to for correct content of individual entries, the format in terms of vertical spacing and indenting must comply with the following requirements and should appear similar in appearance to the sample illustrated on the following page.

1. Center the heading "BIBLIOGRAPHY" in capital letters 1 inch from the top of the page.
2. On the third line (a triple space) below that heading, begin the references using single spacing within the entries and double spacing between entries.
3. The first line of each entry should be flush with the left margin; subsequent lines of each entry are indented 0.375 (3/8) inch.
4. Remaining bibliography pages have a one inch top margin.

BIBLIOGRAPHY

Peter, Paul M. (1980). *How to Sing Songs and Influence People While Still Writing Enough Text to Make it to the Second Line*. Milwaukee, WI.

Smith, John A. (1991). *Who Let Johnny Appleseed Plant the Tree There? Where Were the Work Permits?* Lincoln, NE.

Zuckerman, Travis. (2007). *Work Permits are Overrated*. Atlanta, GA.

sample

H. Appendices (Optional)

No copyrighted material in excess of “fair use” may appear in the appendices without the express written consent of the copyright holder. (See “Copyright Law and Limits of Fair Use, pg. 22-23) Any material that might exceed generally accepted fair use guidelines must be accompanied by a letter from the copyright holding granting the author permission to reproduce (not just use) the material.

The pages of the appendices should be numbered consecutively, continuing from the main text and list the pages in the Table of Contents (Appendix A...page 200). All appendices must appear in all copies of the dissertation.

I. Dissertation Signature Page

Two signature pages must be created by the doctoral student, should be prepared according to the following instructions, and should be similar in appearance to the sample illustrated on the following page. Each signature page must contain original signatures of all committee members.

1. Center the heading “Marquette University” 1 inch from the top of the page.
2. On the tenth line below “Marquette University”, center the partial phrase, “This is to certify that we have examined this copy of the dissertation by”.
3. Center the author’s name on the third line (a triple space) below. The author’s name must appear exactly as it is written on the title page, the acknowledgements, and the approval forms.
4. On the third line (a triple space) below the author’s name, center the partial phrase, “and have found that it is complete and satisfactory in all respects.”
5. On the third line (a triple space) following, left justify “The dissertation has been approved by:”
6. On the third line (a triple space) following, create a left-justified line for the name of the Dissertation Director (and their department) to sign. Below, place a line for each Committee Member to sign with their names printed underneath. Space each of these three lines (a triple space) apart. Add as many signature lines as necessary for the student’s committee members.
7. Three lines (a triple space) below the last committee member’s name, center “Approved on”. Follow with three lines (a triple space) before creating another line for the approval date to be written in by the Dissertation Director.

Marquette University

This is to certify that we have examined this copy of the dissertation by

John J. Smith, B.A., M.A.

and have found that it is complete and satisfactory in all respects.

The dissertation has been approved by:

Dr. Jodi Blazel
Dissertation Director, Department of Mechanical Engineering

Dr. Jennifer Whitsett, Committee Member

Dr. Tracy Campbell, Committee Member

Dr. Gretchen Heckel, Committee Member

Approved on

(Date filled in by dissertation director)

J. Dissertation Approval Form

The completed *Dissertation Approval Form*, available online at www.grad.mu.edu/forms, must be signed by all members of the dissertation committee. The approval form, signature pages, and electronic version of the final dissertation must reach the Graduate School office by the deadline stated in the *Graduate Bulletin*.

Copyright Law and the Limits of “Fair Use”

One of the essential elements of scholarship for which authors of theses and dissertations must be responsible is the proper use of the scholarship of other authors. Contrary to popular belief, academicians and educators do not have special license to “borrow” freely from the work of other authors and are not exempt from the limits of “fair use”. It is also not enough to merely cite works from which one has borrowed when the material borrowed exceeds the generally accepted limits of fair use and permission for the use has not been granted by the original author.

Authors who exceed fair use may be liable not only to charges of copyright infringement but to civil penalties as well. Therefore, it is important to be aware of generally accepted limits of fair use and of procedures for obtaining permission for use of materials exceeding the limits.

Doctoral dissertations written at Marquette University are published by UMI Dissertation Publishing/ProQuest, where each dissertation is reviewed for possible infringement of copyright. UMI Dissertation Publishing/ProQuest offers the following guidelines for common uses that may exceed fair use:

1. Long quotations: In general, UMI Dissertation Publishing/ProQuest raises questions about quotations from the pre-existing materials that extend for more than one and one-half, single-spaced pages.
2. Reproduced publications: Avoid reproducing copies of any material in the form in which it was originally published elsewhere. Examples include copies of standard survey instruments or questionnaires and articles. This scrutiny applies even if you are the author of the original work; you may have assigned the copyright to the original publisher.
3. Unpublished materials: Court rulings that narrow the scope of fair use for unpublished works have led UMI Dissertation Publishing/ProQuest to question most uses of manuscript materials.
4. Music: Many owners of copyrights to musical works – whether the music itself or the lyrics – have aggressively asserted a limited scope of fair use. Thus, any excerpting of music or song lyrics must be made with caution.
5. Graphic or pictorial works: Reproducing a picture, chart, graph, drawing, or cartoon often constitutes copying the owner’s entire work; thus, the right of fair use is narrowly applied.

(Crews, 1992, pp. 16-17)

If there is any doubt about whether or not the potential use is “fair,” it is generally best to proceed as if permission from the author were needed.

If you determine that your proposed use of material requires permission from the copyright holder, prepare a letter that includes: (a) a thorough description of the proposed use and (b) a place for the copyright holder to indicate permission is granted. Because your dissertation will be available for sale through UMI Dissertation Publishing/ProQuest, permission letters must further state that “ProQuest Information and Learning may supply copies on demand.” You must have an affirmative response from the copyright holder for the proposed use to be permitted. Do not assume that failure to respond is “tacit permission.”

Source: Crews, Kenneth D. (1991). *Copyright law and the doctoral dissertation: Guidelines to your legal rights and responsibilities*. Ann Arbor, MI: University Microfilms, Inc.

MARQUETTE UNIVERSITY GRADUATE SCHOOL FINAL CHECKLIST FOR DISSERTATION SUBMISSION TO GRADUATE SCHOOL

Doctoral Student Name: _____

MUID 9-Digit No.: _____

Date of Submission to the Graduate School: _____

Do you check your MU Emarq Email account? Yes No

If not, at what email address can we reach you? _____

	Font: Readable; Size: 10-12 points in body of dissertation; Color: black.
	Spacing: Single spacing: Headings, table titles, figure captions more than 1 line; Reference lists, bibliographies, footnotes, quoted material; Double spacing: Dissertation body; Triple spacing: Between all headings and following material; Before/after tables, figures, etc.
	Margins: Left: 1.5 inch; All other sides: 1 inch; Right: Not justified; New paragraphs must be indented 0.5 inches.
	Pagination: Body of dissertation must be numbered sequentially in upper right-hand. Lowercase Roman numerals used in any material prior to the dissertation. The title page, abstract, and signature pages should not be numbered.
	Order: Title page, abstract, acknowledgments, table of contents, list of tables, list of figures, body of dissertation, bibliography, appendices, dissertation signature page, and dissertation approval form.
	Title Page: The max of 120 characters (incl. spaces) may be used in title; Title must be in all caps; Month and year of graduation.
	Abstract: Title max 120 characters, abstract not to exceed 350 words.
	Dissertation Signature Pages: Two copies with <u>original</u> signatures on each.
	Dissertation Approval Form: Original signature of all committee members indicating approval.
	\$75 publishing fee , made payable to "Marquette University".
	Survey of Earned Doctorates: PDF available online at www.grad.mu.edu/forms .
	UMI Dissertation Publishing/ProQuest publishing agreement online at www.grad.mu.edu/forms .
	\$65 Copyright fee made payable to "PQIL" (ProQuest Information and Learning); Must be certified check or money order.

* Although the student holds the copyright of the finished dissertation, the dissertation is considered a public document by Marquette University and may be placed in the Marquette University library, used by students and faculty, or otherwise released to the public.