

Thesis and Dissertation Manual

Graduate Studies at the University of Wyoming

Revised Fall 2010

Office of the Registrar

## A GUIDE TO THE PREPARATION AND SUBMISSION OF THESIS AND DISSERTATION MANUSCRIPTS AT THE UNIVERSITY OF WYOMING.

### FOREWORD

Every thesis and dissertation accepted as part of a graduate degree program at the University of Wyoming is deposited in the University Libraries permanent collection. The electronic theses and Dissertations (ETD) project is a collaborative effort between the UW Libraries and graduate degree granting departments and students. Each author has an obligation to produce a document for the scholarly community which is fully readable and which will remain completely usable over time. In order to accomplish this, authors should employ firm standards of form and organization in the preparation of the manuscript.

It is important to submit an ETD that has a consistent and readable appearance. Departments have many of the rules for writing their own discipline already established by academic journals and international organizations. As a graduate student, you need to abide by these rules if you wish to publish in your field.

To assure standardization, there are a few University requirements regarding the submission of dissertation and thesis manuscripts which must be adhered to. Additionally, title and signature page information must conform to the record-keeping system of the University, so certain dates and signatures must appear.

It is the student's responsibility to understand the program they choose for editing their thesis or dissertation. Technical support for Word or LaTeX or any other word processing software is not available through the Office of the Registrar. Students are encouraged to contact Information Technology for this type of support.

### ABOUT PUBLISHING YOUR THESIS/DISSERTATION AND PROQUEST/UMI

The University of Wyoming is obligated to ensure that all theses and dissertations produced at this institution are published. Rather than requiring each student to arrange for publication of his/her own theses and/or dissertation, the university has arranged with University Microfilms, Inc./ProQuest (UMI/ProQuest), to handle the publication of all dissertations. Visit UMI/ProQuest on the web at [www.proquest.com](http://www.proquest.com). Each master's and doctoral candidate must electronically submit their thesis/dissertation at the site <http://dissertations.umi.com/uwyo/>. Format review and final approval will be completed after the submission.

## EMBARGOES (SEQUESTERING)

An embargo on a thesis/dissertation is an intentional delay in the publication of its results. Because the university places high value on the open dissemination of knowledge and the professional advancement of its graduates, such embargos are strongly discouraged. Any embargo request must include compelling written justification and a proposed embargo period not to exceed one year. All embargo requests are subject to approval by the Office of Academic Affairs. In cases where justification involves intellectual property or prior contractual agreement, embargo requests also require approval by the Research Products Center and the Office of Research and Economic Development.

**All other students are advised to select Item #1 on the Report of Final Examination form. Please choose TR-1 for your publication type when submitting your electronic manuscript.**

## THESIS AND DISSERTATION PREPARATION

A thesis is required for all graduate programs leading to a Plan A master's degree, and a dissertation is required for the doctor of philosophy and doctor of education degrees. In general, a single set of guidelines regarding form and organization may apply to both. **In setting out these guidelines, this manual uses the word "thesis" for simplicity. It should be taken, however, to refer to either a thesis or dissertation.**

### **The Committee**

The graduate student's committee chair serves as a mentor both while the student is doing the thesis work and while the results of that work are being prepared for the thesis. The student is primarily responsible for the content, quality, and format of the thesis; however, the graduate committee must be consulted frequently. They will approve the final form before it is submitted to the Office of the Registrar for formatting review.

### **The Student**

The student is responsible for making all arrangements for the preparation of the thesis as well as its reproduction. This includes the following:

1. Consult department regarding any style manuals approved or required by the department.
2. Refer to this manual for guidelines regarding correct format for the thesis.
3. Edit the draft manuscript for correct sentence structure and grammar, paragraph and page breaks, punctuation and spelling.
4. Proofread the final manuscript copy and check to see that corrections are made accurately.
5. Present a copy of the manuscript to the graduate committee for their review.
6. Incorporate any changes required by the graduate committee. These changes must be completed before the thesis can be considered -accepted.¶

7. A bound, hardcopy is not required by the University of Wyoming. Any other copies of the student's thesis – including those required by the department or advisor – are considered to be personal copies. The arrangements for binding these copies must be made independently.
  - a. It is suggested students use the binding services offered by the textbook section in the Wyoming Union.
8. Upload an electronic copy to the UMI/Proquest website. A format check will then be completed to verify that the committee, abstract, and title page information conform to the requirements of the University.

## REGARDING PLAGIARISM

Plagiarism is of great concern to all researchers and writers. The gravity of both the offense and its personal and professional consequences warrants serious consideration. One of the best discussions of plagiarism is in *Responsible Science: Ensuring the Integrity of the Research Process* (Volume 1), published by the National Academy Press (1992, pp 54-55):

*Plagiarism:* Plagiarism is using the ideas or words of another person without giving appropriate credit. Plagiarism includes the unacknowledged use of text and ideas from published work, as well as the misuse of privileged information obtained through confidential review of research proposals and manuscripts. As described in *Honor in Science*, plagiarism can take many forms: at one extreme is the exact replication of another's writing without appropriate attribution (Sigma Xi, 1986). At the other is the more subtle –borrowing of ideas, terms, or paraphrases, as described by Martin et al., –so that the result is a mosaic of other people's ideas and words, the writer's sole contribution being the cement to hold the pieces together. [Footnote: Martin et al., as cited in Sigma Xi (1986), p. 41.] The importance of recognition for one's intellectual abilities in science demands high standards of accuracy and diligence in ensuring appropriate recognition for the work of others.

The misuse of privileged information may be less clear-cut because it does not involve published work. But the general principles of the importance of giving credit to the accomplishments of others are the same. The use of ideas or information obtained from peer review is not acceptable because the reviewer is in a privileged position. Some organizations, such as the American Chemical Society, have adopted policies to address these concerns (ACS, 1986).

Reprinted with permission from *Responsible Science: Ensuring the Integrity of the Research Process*, Vol. 1, National Academy Press, 1992.

## FORMAT AND REQUIREMENTS

Other than the specifications listed below, determinations of style and format are made by your department or program and your graduate committee. Check with your committee chair or

graduate program coordinator for guidelines recommended or required by your department or program.

**Prior to beginning writing, you should meet with your committee chair and discuss the guidelines recommended or required by your department or program. The Writing Center on campus is another source.**

The following specifications deal only with the archival copy of your thesis or dissertation that is submitted to the University of Wyoming for subsequent deposition to the Library.

A typical thesis is made up of three main parts – preliminaries, text and supplementaries. At UW, these parts may be organized as shown below:

Preliminary Pages:

- Committee page
- Abstract
- Title page
- Copyright page (optional)
- Acknowledgements (optional)
- Dedication (optional)
- Table of Contents
- List of Tables (optional)
- List of Figures (optional)
- Other (optional)

Text – specifically beginning with Chapter One

Supplementary Pages:

- References or bibliography
- Appendices (optional)

## **Preliminary Pages**

These pages are numbered with both Roman and Arabic numbers. Check the individual descriptions for specific details.

### **Committee Page**

Each thesis will have a committee page. The committee page is not assigned a page number and is not signed. A sample committee page is shown on page 16. The committee page is a personalized document each student must create for their thesis or dissertation. The committee page contains the statement:

–To the University of Wyoming: The members of the Committee approve the [thesis or dissertation] of [insert your name here] presented on [insert the actual defense date—month, day, and year—here].¶

The statement is followed by a listing of the names of each committee member. Below these names is the statement –APPROVED:¶ (all in upper-case); followed by the department head/interdisciplinary program/division chair’s name, title, and department; then the Dean of

the [College], identified with the dean's name followed by -Dean, College of [College]. (See Pages 17-19 for Examples).

### **Abstract**

Because the abstract is, in effect, a separate document that is included with your thesis or dissertation, it has a separate page numbering system from that of the thesis or dissertation. Arabic numerals are used (e.g., 1 and 2), and the numbers are centered at the bottom of the page above the margin you choose, the minimum being 1 inch. A sample abstract is shown on page 17.

The abstract should be in the publication style of a recognized refereed journal in your field. It may differ from the example provided, but should include your name (last name, followed by a comma, then first name and, if desired, middle name or middle initial followed by a comma), the title of your thesis (in upper and lower case and underlined), the degree you are seeking, your department, and the month and year of your intended graduation (**not** the date of your thesis or dissertation defense). For those without a journal format, this information is one continuous phrase without any hard returns in the heading. The second and succeeding lines of the heading are indented to the space occupied by the first letter of the title. This is called a hanging indent.

### **Title Page**

The title page is assigned page number one in lower-case Roman (i), but that number does not appear on the page. A sample title page is shown on page 18. The title must be the same on the title page and abstract.

The title page must contain:

- ◆ the title of your thesis or dissertation (all in upper-case)
- ◆ -by|| [your name]
- ◆ the statement —A [thesis or dissertation] submitted to the University of Wyoming in partial fulfillment of the requirements for the degree of||
- ◆ [here you insert the name of your degree, all in upper case letters] in [here you insert the official title of your major, again all in upper case letters]
- ◆ Laramie, Wyoming
- ◆ the month and year of your intended graduation (not the date of your thesis or dissertation defense).

The arrangement and spacing of this information is shown in the example on page 18.

### **All other preliminary pages**

Beginning with the page immediately following the title page, **all** introductory materials (pages for copyright declaration, dedication, acknowledgments, table of contents, list of tables, list of figures, list of appendices, etc.) must be numbered, consecutively, with lower-case Roman numerals (ii, iii, iv, etc.). A page number must appear on each of these pages.

## Copyright Page

The copyright protection of federal law is secured from the moment a work is created. Although there are some instances in which this protection is lost if the work does not contain a copyright notice, graduate students may ensure that copyright protection for their work is not invalidated by simply placing a notice of copyright on their theses and dissertations.

The copyright notice is made up of three components: 1) the symbol ©, 2) the **year** of first publication (the year of distribution of copies of the work to the public for sale or lending, i.e., when your thesis or dissertation is approved by the Graduate School and sent to the library), and 3) the **name** of the owner of the copyright.

© 1988 by John H. Smith

The notice should be placed in a location to give reasonable notice of the claim to copyright protection. The page immediately following the title page is the suggested position for placement of the copyright notice.

Copyright registration is not mandatory and is not a condition of copyright protection (except to preserve a copyright that might be invalidated because of the omission of a copyright notice). Registration is a condition to certain remedies for copyright infringement and is a prerequisite to the commencement of a copyright infringement action. Should a graduate student seek to enforce the protection given his or her work under the copyright law, he or she could later register the copyright at any time during the copyright term (the life of the author plus fifty years). [Memorandum dated 7/7/88 from the University of Wyoming's Legal Office]

If you believe any of the work you have done for your thesis will lead to an invention that could be patentable, you should call the University's Research Office (766-5320) to learn about disclosure forms and when the disclosure form should be completed. A formal disclosure form has been adopted by the University Patents and Copyrights Committee and is available at the Research Office in Old Main. University Regulation 3-641 should also be consulted.

An excellent discussion of copyright law is presented in the manual, *Copyright Law and the Doctoral Dissertation: Guidelines to Your Legal Rights and Responsibilities*, by Kenneth D. Crews. Although the manual was written primarily with dissertation writing and publication in mind, much of what it contains regarding copyright law would be of use to the thesis writer, as well. For additional copies of this manual, write to:

ProQuest Information and Learning, Dissertation Publishing  
300 North Zeeb Road  
Ann Arbor, MI 48106-1346  
or call toll free at 800-521-0600, ext. 7020  
[http://www.umi.com/products\\_umi/dissertations/copyright/](http://www.umi.com/products_umi/dissertations/copyright/).

## Table of Contents

A table of contents is required; its format is determined by your department or program.

## Text

Beginning with the first page of your text starting with Chapter 1, **all** pages (including regular text pages, all tables, figures, figure caption pages, appendix materials, and bibliography pages)

must be numbered, consecutively, with Arabic numerals (1, 2, 3, etc.). A page number must appear on each of these pages.

### **Type face**

Post Script type 1 fonts are required. For the main text font, any legible font except script, italic, or ornamental fonts equivalent in scale to 10 pt. Arial or 12 pt. Times New Roman is acceptable. For example, the default type face for LaTeX manuscripts is typically 12 pt. Computer Modern font, which is very similar to Times New Roman. Italicized font may be used for non-English words, quotations, and mathematical variables. This applies to all text including captions, footnotes/endnotes, citations, etc.

### **Margins**

**\*\*NEW Fall 2010** – All margins must be at least 1 inch. Page numbers may be set at .75 in the header and or footer.\*\*

These same margins are to be observed for tables, illustrative materials, bibliographies, and appendices as well as in the text. Large maps should be considered for inclusion as a supplementary file.

### **Line Spacing**

**All students** should be sure to check with their committees regarding format requirements for working drafts. Some committee members may request an electronic draft (typically as a PDF file), while others may prefer a hardcopy. Your committee members may wish to be provided with drafts that have spacing other than single-spaced and/or larger margins to give them space for editing and comments. In that case, for publication only certain parts of the documents must be spaced in a certain manner:

Double-space: abstract, dedication, acknowledgements, table of contents, and body of the manuscript, except for quotations as paragraphs, captions, items in tables, lists, graphs, charts.

Single-space: footnotes/endnotes, bibliographic entrees and lists in appendices.

### **Page Numbering**

Page numbers must be located on an unbound side of the page or centered at the top or bottom of the page. However, page number placement can shift position within the document if done consistently and logically. Page numbers may NOT be placed in the 1 inch margin area.

### **Landscape Tables and Figures**

In order to fit large table and figures on a page, it is sometimes necessary to place them in a landscape orientation. The binding margin for such a table or figure must be 1.5 inches and all other margins must be no less than one inch. The table or figure and caption will be read by turning the page ¼ turn clockwise.

### **Supplemental Pages**

### **References or Bibliography**

Reference citations are required. The style of reference citations in the text and of the bibliography or list of references is determined by your committee or department. The style for references should follow the format appropriate for the field of study. Advisors and committee members usually have excellent references to suggest. Computer programs such as *Perfect*



*Scholar APA Graduate, Perfect Scholar MLA Graduate, EasyBib, EndNote, ProCite, and BibTeX (normally included with a LaTeX installation)* are available to assist both in formatting citations and in generating bibliographies. Sufficient information should be included in the citations and bibliographic listings to enable a reader to access the material being cited. Page numbering for the references follows consecutively from the text.

### **Appendices**

Quality and format should be consistent with requirements for other parts of the thesis including margins and reproduction. Reductions must be clear and readable.

## **PROCEDURES FOR UPLOADING THESIS**

### **File format**

All students will need to upload Adobe PDF file of their thesis. All fonts must be embedded prior to changing to a PDF file. DO NOT USE compression, password protection or digital signature. If your PDF creation software provides various degrees of conversion quality, select the highest quality conversion available (such as -Press Quality in Adobe Acrobat Professional). The student is responsible for the appearance of the manuscript in PDF. It will appear and may be reproduced exactly as you submit it. A conversion tool for Microsoft Word to PDF is supplied on the submission site.

### **Multimedia files and formats**

These are acceptable with external or internal links. \*Please verify the validity of external links over the long term with your committee chair and/or graduate program coordinator.

### **Images, video and audio files**

Supplementary files are appropriate for inclusion with your thesis if they are germane to the thesis content. Images should be the following types: GIF (.gif); JPEG (jpeg); TIFF (.tif); EPS (.eps); or PNG (.png). Video files should be the following types: Apple Quick Time (.mov); Microsoft Audio Video Interleaved (.avi); or MPG(.mpeg). Audio files should be the following types: AIF (.aif); CD-DA; CD-ROM/XA; MIDI (.midi); MPEG-2; SND (.snd); or WAV (.wav).

### **Color**

Native digital manuscripts will appear in color when viewed electronically. Print reproductions will NOT preserve color; colors will appear in shades of gray and may compromise legibility of figures, illustrations, photographs, and graphics. Data and information that is color-coded or based on color shading may not be interpreted correctly by the reader.

### **Title Size**

Due to limitations in the Banner system, please limit your Thesis/dissertation titles to the following:

Thesis titles: 214 characters including spaces

Dissertation titles: 208 characters including spaces

**Fees**

The publication fee will be paid directly to UMI/Proquest. The publication fee will be posted in the UW Feebook.

**ELECTRONIC SUBMISSION**

All thesis and dissertation candidates are required to electronically submit their completed and approved thesis and/or dissertation. The Report on Final Examination form must be signed and submitted to the Office of the Registrar prior to electronic submission. This document certifies the student has committee approval of the document to be electronically submitted.

**UMI/ProQuest Publishing Agreement**

At this time, the University of Wyoming will only allow the **traditional publishing** option. Students should choose this option when prompted. This option can only be changed by the student contacting UMI/ProQuest directly if the wrong publishing option is selected.

UMI/ProQuest Support Contact information: support@disserations.umi.com

**File size limits**

The manuscript must be one complete PDF file. The file size can be no more than 100 MB. If you have additional supplementary files such as sound or video clips that must also be submitted, you will have an opportunity to upload those on a separate screen. If your file is very large, please contact the Graduate School and inquire about the possibility of submitting your manuscript on a CD.

**FROM THE UMI SUBMISSION SITE – WHAT YOU WILL SEE ON THE WEB****Submitting Your Dissertation/Thesis**

You can submit your dissertation/thesis for publishing & archiving using UMI ETD Administrator. After you submit your dissertation or thesis, it will be sent to the Office of the Registrar for review. After your Office of the Registrar finishes reviewing, it will be delivered to ProQuest/UMI for publishing and archiving.

Before beginning your submission, please prepare by reviewing our Formatting Requirements and Resources & Guidelines for publishing.

**Need to submit your dissertation or thesis?**

You can begin your submission using the link below. For help, consult our Publishing Guides.

- [Submit my dissertation/thesis](#)

**Need to view or revise your dissertation/thesis after submitting?**

You can check the status of your submission in UMI ETD Administrator, or revise it as needed.

- [View/revise my dissertation/thesis](#)

## UMI FORMATTING REQUIREMENTS

Before submitting your dissertation or thesis for publishing, please make sure it is formatted correctly, as outlined below.

### **Submit as a PDF**

The manuscript of your dissertation or thesis must be submitted to UMI Dissertation Publishing in Adobe PDF format. When preparing your PDF, be sure to do the following:

- Embed all fonts
- Make sure there is no password protection on the PDF
- Ensure that security settings allow printing

### **Verify Proper Formatting**

UMI Dissertation Publishing makes no changes to the formatting or content of submitted manuscripts. Therefore, the burden of how the manuscript looks when it is accessed or printed is entirely the responsibility of the author. UMI strongly recommends that individual authors take responsibility for reformatting the document into Adobe PDF, for checking the reformatted document for accuracy, and for submitting the PDF document to the library for publication.

### **Supplementary Materials**

If supplementary materials - like audio, video, and spreadsheets - are part of your dissertation or thesis, you can submit them as supplementary files during the online submission process. Upload them as part of the submission process, and provide a description of each supplementary file or files in the abstract of your graduate work.

- Do not embed media files in your PDF:  
Media files significantly increase the size of the PDF, making it difficult to download and access
- Upload media files as supplementary files:  
During online submission, you will be asked to upload any supplementary files.
- Describes files in your abstract:  
Add a description of each supplementary file in your abstract.

## **Supporting Documentation for Supplementary Materials**

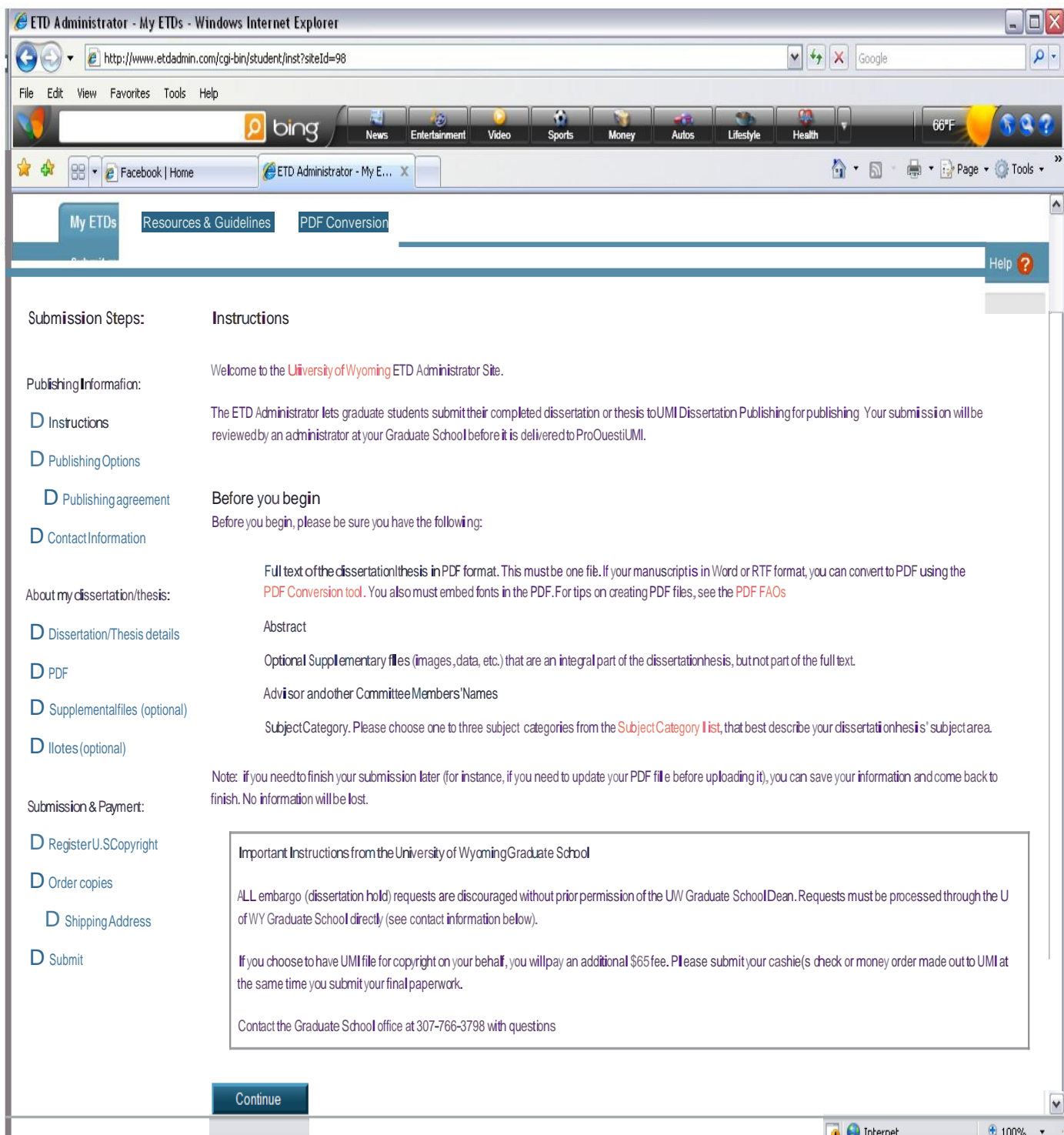
In the situations below, including supplementary materials with your submission will require additional paper documentation before we can complete the publishing process.

- **Reprint Permission Letters:**

If you are going to include multimedia material covered under someone else's copyright - an audio or video clip, a digital photograph, etc. - you must provide us with written permission to include it.

- **Third Party Software Licenses (if needed):**

If you are including third party software with your submission, you must provide written permission to distribute it. Note that this is different than including a file generated by a particular program - i.e., including a copy of Microsoft Excel is different than including an .xls file generated in Excel. You do not need a software license to include an .xls file.



Screen Shot From UMI Instructions Page

ETD Administrator - My ETDs - Windows Internet Explorer

http://www.etdadmin.com/cgi-bin/student/pubOpt?siteId=98

File Edit View Favorites Tools Help

bing News Entertainment Video Sports Money Autos Lifestyle Health 66°F

Facebook | Home ETD Administrator - My E... X

Signed in as Kristie B. Breva My Profile Sign Out UNIVERSITY OF WYOMING

UMI ETD ADMINISTRATOR

My ETDs Resources & Guidelines PDF Conversion

Submit my ETD My Profile Help ?

Submission Steps: Publishing Options

Publishing Information:

Select the publishing options below that best fit your interests and scholarly publishing obligations.

For assistance, consult your graduate school, and read our [Publishing Guides](#)

☐ Instructions

☐ Publishing Options

☐ Publishing agreement

☐ Contact Information

About my dissertation/thesis:

☐ Dissertation/Thesis details

☐ PDF

☐ Supplemental files (optional)

☐ Notes (optional)

Submission & Payment:

☐ Register U.S. Copyright

☐ Order copies

☐ Shipping Address

☐ Submit

Type of Publishing

Traditional

- I want to make my work widely available for purchase and I want to be eligible to receive royalties on the sale of my work.
- I understand that I must maintain a current mailing address with ProQuest UMI in order to be eligible to receive royalties.

Select Publishing Restrictions

☐ No restrictions

- I want my work to be available as soon as it is published.
- I want people to be able to buy a copy of my work via commercial retailers (if I chose Traditional Publishing option above).
- I want major search engines to discover my work.

☐ Restrictions required

☐ No third party search engine access - I do not want search engines to discover my work.

Save & Continue

Internet 100%

Publishing Options Screen

## **Copyright Registration**

During the submission process, you will have the option to request that UMI Dissertation Publishing files for copyright on your behalf. If you choose this option, there will be an additional \$65.00 fee payable via credit card during the online submission process.

**Copies of Your Graduate Work:** At the end of the submission process, you will also have the option to purchase one or more printed copies of your completed work. We suggest using the binding services offered by the Textbook Section of the University of Wyoming Bookstore for any bound hardcopies you desire.

## CHECKLIST FOR FORMAT REQUIREMENTS FOR THESES & DISSERTATIONS

### Order

- ☐ The manuscript is in order: Committee page, Abstract, Title Page, Other supportive documents, Text (Body, usually the Chapters)

### Margins

- ☐ Margins are at least 1 inches on all sides. If bound, the binding process involves sewing and trimming of pages and these margins are essential.
- ☐ Page numbers, tables, figures, appendices do not extend into any margin.

### Visual Quality

- ☐ The print is letter quality and uniform style has been used throughout.
- ☐ The final quality is of high quality.
- ☐ Figures, printouts, spectra, etc. are clear and easy to read.
- ☐ Text is double-spaced and printed on only one side of the paper.

### Pages

- ☐ Copy has been checked page by page.
- ☐ All pages are present and in the correct order.
- ☐ All pages are numbered correctly.
  - ☐ Abstract begins as page 1 in Arabic.
  - ☐ Preliminary pages have lower-case Roman numerals. The count restarts at one for the title page (no page number appears on the title page, but it still counts as Roman numeral page one).
  - ☐ Text is numbered with Arabic numerals. The count restarts again with the first page of Chapter 1 being Arabic numeral page 1.

### Submission

- ☐ Report on Final Examination Form submitted to Office of the Registrar
  - ☐ All signatures have been obtained.
- ☐ Electronic copy submitted to UMI.
  - ☐ **Prior to submission, all committee recommended changes have been made.**
- ☐ Date on the committee page is the actual date of the defense.
- ☐ Date on the abstract and title page is the same as the month and year in which the student is officially graduating.





To The University of Wyoming:

The member of the Committee approve the [thesis or dissertation] of  
Cowboy J. Lariat presented on [date of actual defense].

Steven Economics, Chairperson

A.G. Economics, External Department Member

Brian Finance

R.M. Over

H. Me

APPROVED:

Dr. C. Person, Dept/Div/Interdisciplinary Chair, Department Name

Dr. C. Dean, Dean, College of [college name]

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Lariat, Cowboy J., What to do with all the Money Earned after Graduation, Ph.D.,  
Department of Economics & Finance, December 2013.

This is where your abstract will go. **All** students must have an abstract as part of their thesis. There is also an abstract that ProQuest requires in addition to the one included in the thesis.

Abstract has Arabic number one.
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WHAT TO DO WITH ALL THE MONEY EARNED AFTER GRADUATION

by  
Cowboy J. Lariat

A thesis [or dissertation] submitted to the University of Wyoming  
in partial fulfillment of the requirements  
for the degree of

MASTER OF SCIENCE  
in  
ECONOMICS

Laramie, Wyoming  
December 2013

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