

The University of Chicago Dissertation Office
The University of Chicago Library
1100 East 57th Street Chicago Illinois 60637
<http://phd.lib.uchicago.edu/> | 773-702-7404

University-Wide Requirements for the Ph.D. Dissertation

Introduction

The University is committed to preserving and disseminating the scholarly contributions of its students. In order to fulfill its commitment, the University has established minimum standards for the presentation of the doctoral dissertation. The University also requires all students to publish the dissertation through ProQuest UMI Dissertation Publishing.

The Dissertation Office helps students meet the University's formatting and submission requirements for doctoral dissertations. Expect to hear from Colleen Mullarkey, the Dissertation Specialist, several times during the quarter you will obtain your doctoral degree. Within two weeks after the final copies of your dissertation arrive in the Dissertation Office, you should receive an e-mail confirming that you have met the University formatting and submission requirements. We will also send one or more e-mails if we notice any problems with your dissertation that you must correct in order to graduate.

E-mail messages will be sent to your cMail account. It is your responsibility to remain in contact with the Dissertation Office prior to convocation.

2008/2009 Deadlines

Please note: All deadlines are Wednesdays at 4:30 p.m. The final deadline is 3 ½ weeks before convocation.

Quarter and Date of Graduation	Draft Deadline (3 weeks before the final deadline)	Your approved dissertation must be in our office...
Summer 2008 (<i>August 29</i>)	Weds., 4 th Week, July 16	Weds., 7 th Week, August 6
Autumn 2008 (<i>December 12</i>)	Weds., 5 th Week, October 29	Weds., 8 th Week, November 19
Winter 2009 (<i>March 20</i>)	Weds., 5 th Week, February 4	Weds., 8 th Week, February 25
Spring 2009 (<i>June 12-14</i>)	Weds., 5 th Week, April 29	Weds., 8 th Week, May 20

Dissertation Requirements

1. Two identical, complete copies of the final dissertation, boxed separately in appropriately sized boxes, accompany a completed copy of the Departmental Approval Form. Paper copies are unbound, double-spaced, and printed entirely on one side only of either University of Chicago Dissertation Bond or Permalife Bond.

2. Written permission from the copyright holder is provided for all instances where the dissertation includes previously copyrighted material beyond “fair use.”
3. A completed and signed copy of the ProQuest/UMI Publishing Agreement and Dissertation Submission Form is provided. **Publication is a degree requirement.**
4. Two copies of a separate abstract and two copies of the title page are provided. The student’s name, the title of the dissertation, the advisor’s name and title, and the committee members’ names and titles appear at the top of the first page of the abstract, which is numbered Arabic page 1.
5. All pages are numbered consecutively and no page is missing. The first text page of the first volume is Arabic numeral 1. Arabic page numbers are consecutive from volume to volume. Preliminary pages of each volume are in lower case Roman numerals, with the title page of each volume counting as “i” but not printing. Each page has a page number on it with the exception of the title, spacing, copyright, dedication, part-opening, and epigraph pages.
6. No one volume contains more than 300 sheets of paper.
7. The layout and style of the title page follow exactly the model provided by the Dissertation Office.
8. Table of contents, chapter titles, subheadings, footnotes, and bibliography or references are consistently and appropriately formatted.
9. If there are tables and figures in the dissertation, a List of Tables and a List of Figures with page references follows the Table of Contents. Each table and figure has a unique number and caption assigned to it. Lists begin on separate pages.
10. All tables, figures, text and page numbers print within the prescribed margins.
11. All type is dark, crisp, and large enough for microfilming.
12. All photographs and figures are included using approved materials and methods. The use of color/grayscale in images is strongly discouraged. Any color or grayscale images, which may not reproduce well, must be acceptable to the department or school.
13. All digital material submitted complies with the specifications set by ProQuest, by the Library, and by the student’s school or department.
14. A completed copy of the University of Chicago Library Form is included.

Dissertation Submission Procedures

For clarification of any submission procedures, contact Colleen Mullarkey in the Dissertation Office (773-702-7404 | phd@lib.uchicago.edu) well in advance of the final deadline.

The Dissertation Office is located in Room 100-B on the first floor of the Joseph Regenstein Library. Our hours may vary, especially during the interim, but we are usually open:

Monday-Thursday	9:00am-12:00pm and 1:30pm-4:30pm
Friday	10:30am-12:00pm and 1:30pm-4:30pm

We are always CLOSED on Saturday and Sunday, on the Thursday and Friday following the submission deadline, and on University holidays.

Before your Departmental Deadline, provide your Department with two complete sets of your dissertation in its final form, appropriately boxed, and accompanied by all additional material. If your Department does not have a deadline, you should provide your Department with these final copies at least a week before the Dissertation Office Deadline. This allows sufficient time for the Chair of your Department to approve the physical copies of your dissertation and to verify that your submission is complete. The Chair of the Department must sign and date the Departmental Approval Form, signifying departmental approval of the final submission. **The Dissertation Office will not accept dissertations unless they are accompanied by a signed copy of the Departmental Approval Form.**

Prior to submitting your final copies:

Review your dissertation for compliance with the formatting standards and to ensure that the table of contents, list of tables, and list of figures are accurate and up-to-date.

Print two copies¹ of your dissertation on one of the approved papers and then, for each copy:

- Count your pages and check the page numbers to ensure that no pages were skipped and that pagination is accurate.
- Get a ruler and measure the margins to verify that the margins on your final copies have not shifted.
- Check for extraneous marks and reprint pages with streaks or speckles.
- Be sure the print is dark and crisp. If the toner in a copier or printer is low, copies may not be sufficiently dark and clear to be acceptable.
- Check figures, legends, formulas (especially subscripts), and footnote indicators to be sure they remain legible.

¹ Contact the Dissertation Office in advance regarding formatting and submission requirements for a dissertation that is entirely digital and cannot be printed.

Put these copies in separate manuscript boxes. (Multivolume dissertations may be submitted in multiple boxes.) Each copy must be complete, containing all supplemental material that is a part of the dissertation. For example, include two CD-ROMs with digital files of music, video, or very large data sets.

In the first box, include:

- The **Departmental Approval Form** (providing your name, dissertation title, and contact information, and ready for the Chair of your Department to complete),
- Any **letters of permission**, if needed, for previously copyrighted material used in your dissertation,
- The **Survey of Earned Doctorates** (if you have completed a paper copy) or a printout of confirmation (if you completed the survey online),
- **Two extra copies of your title page and abstract**, printed on regular paper,
- A completed copy of the **Library Form**,
- And a completed copy of the **ProQuest/UMI Publishing Agreement and Submission Form**. Publishing your dissertation through ProQuest/UMI is one of the requirements for receiving a doctoral degree from the University of Chicago.

Two additional ProQuest/UMI forms are optional:

- You may complete the **Author Order Form** and include credit card information or a postal money order.
- You may complete the **Copyright Registration Form and include a money order** for the service fee. ProQuest/UMI will discard Copyright Registration Forms if the money order is missing.

ProQuest/UMI Publishing Agreement Details

Select one of the four **Open Access** or **Traditional Publishing Options**, with or without restrictions on search engine or third-party sales for either option, but do NOT select an embargo. The University of Chicago wants your dissertation to be available as soon as possible and does not permit the release options permitted by ProQuest/UMI. Please note: If you select Open Access on the ProQuest form, you must include a money order for the additional Open Access fee. ProQuest/UMI requests that authors avoid using personal checks.

Bring everything to your department at least a week before the Dissertation Office deadline. Your department may have an earlier deadline. The final submission to the Dissertation Office must be accompanied by the Departmental Approval Form (signed by the Department Chair after review of the final copies of the dissertation and all accompanying material.) Dissertations must be delivered to the Dissertation Office no later than 4:30pm on the Wednesday 3 ½ weeks before Convocation. It is your responsibility to see that your material is submitted on time.

Dissertation Format

Font Style and Size

- Script, italic, or ornamental fonts are not acceptable, however italicized font may be used when appropriate (genus and species names, non-English words, etc.).
- Body of the text is 12-point. (ProQuest suggests less for some fonts, however the University requires 12-point.)
- Text in tables and footnote text is at least 10-point.
- Super- and subscript characters, type in formulas, and so forth are at least 9-point.

Line Spacing

- Double-spaced: abstract, dedication, acknowledgements, table of contents (if preferred), body of the manuscript except for captions, quotations as paragraphs, and items in tables, lists, graphs, or charts.
- Single-spaced when appropriate: footnotes, table of contents or bibliographic entries (with a line space between each title or entry), lists in appendices, etc.

Margins

- Margins are: Left: 1 ½ inches; Right: 1 inch; Top: 1 inch; Bottom: 1 inch (ProQuest accepts 1 inch on the left, but the University requires 1.5 on the left.)
- Nothing is printed outside these margins, including page numbers, text, tables, figures, footnotes, and the outer edges of full-page images.

Page numbers

- All pages are numbered consecutively, and no page is missing. If a number is skipped, the manuscript will have to be reprinted.
- Preliminary pages of each volume are in lowercase Roman numerals. The title page of each volume counts as “i” although the page number is not printed on it.
- The first text page of the first volume is Arabic numeral “1.” Arabic page numbers are consecutive from volume to volume. They do not start anew in successive volumes.
- Each page has a page number printed on it with the exception of the title, spacing, copyright, dedication, part-opening, and epigraph pages. Although these pages do not have page numbers printed on them, the page number is implied. Every sheet is counted for purposes of numbering pages. All page numbers are printed inside the margins.
- Page numbers should appear top right, that is, one inch from both the right edge and top edge. (Page numbers on the first page of all major sections may be centered at one inch from the bottom of the page instead of top right, but this is not required.)

Paper

- Only University of Chicago Dissertation Bond (with University of Chicago watermark) or Permalife Bond (with Permalife watermark) are permitted.
- Each copy of the dissertation is printed on either one or the other of the approved papers, not both.
- Paper is 8 ½ x 11 inches.

Printing

- Material is printed on one side of the paper.
- All material is printed and appears dark, crisp, and legible.
- All material appears within the margins of the manuscript.

Volume Size

- No volume contains more than 300 sheets of paper. If your dissertation comprises 301 or more sheets of paper, it must be in two or more volumes.
- Multiple volumes require separate title pages indicating the volume number for each volume.
- The division into volumes is indicated in the table of contents when there are multiple volumes.

Title Page

- The layout and style of the title page follow exactly the model provided by the Dissertation Office.
- The month noted is that of your convocation—December, March, August, or June.
- Multiple volumes require separate title pages indicating the volume number for each volume. (No volume may contain more than 300 sheets of paper.)

Table of Contents

- All major sections are listed in the table of contents—front matter (acknowledgements, abstract, preface, lists of tables, figures, maps, abbreviations, etc.), body (opening pages for parts, chapter titles), end matter (appendices, reference lists or bibliographies).
- Title, copyright, dedication, table of contents, and epigraph pages are not listed in the table of contents.
- Subheadings may appear in the table of contents. Note: if any subheadings are included then all other subheadings of the same level must be included.
- For multiple volumes, the division into volumes is indicated in the table of contents.
- Titles and page numbers appearing in the table of contents match the contents of the manuscript exactly.

List of Tables and/or List of Figures

- All dissertations with tables or figures include a list of tables and/or a list of figures immediately following the table of contents, even if there is just one table or figure. If both lists are included, each list must begin on a separate page.
- The lists include the number and title of each table or figure and the page number on which it begins. Tables or figures appearing in appendices must be included on the lists.
- The title of the table or figure may be an abbreviated version of its caption.
- If a table or figure is longer than a page, only the first page is referenced.

Tables and Figures

- Each table and figure has a unique number assigned to it, along with a title or description of the figure or table.
- Captions, legends, tables, figures, and the outer edges of full page images are printed inside the margins.
- Captions and legends are single spaced. If they will not fit on the same page as a figure, they may be placed on a facing page. Check with Dissertation Office staff for instructions regarding facing pages.
- If a table or figure continues to a second page, the continuation is labeled.
- If a table or figure is printed in a broadside (or landscape) orientation, the top of the item must be adjacent to the binding edge (this margin should measure 1 1/2"). The page number must be placed in the same place and with the same orientation as the page numbers on portrait pages.
- Tables and figures are interleaved with the text on the same page. When appropriate, they may be gathered in an appendix, but they must not simply appear at the end of a chapter or bibliography.
- Notes in tables are not numbered sequentially with other footnotes but use either symbols or superscript lowercase letters in a sequence that begins anew for each table.
- Notes in tables appear at the bottom of the table, not the bottom of the page.
- Sources for tables do not require footnotes. SOURCE, followed by the source, appears under the line rule at the bottom of the table.
- Black and white images are preferred. Color or grayscale images may not reproduce well.
- After processing by ProQuest/UMI, color images 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 interpretable.

References and footnotes

- The use of endnotes is discouraged. Internal references and footnotes are preferred.
- Footnote numbering is not continuous throughout the text. Each chapter or appendix begins with footnote 1.
- Numbered footnotes begin on the same page as the footnote indicator.
- A short line rule called a separator divides the footnote area from the main text.
- Footnote text is single-spaced, and footnotes are printed inside the margins.

Appendices

- Separate appendix opening pages may be used when appropriate.
- If there is more than one appendix, each has a number or letter in addition to the title.
- The title and page number of each appendix appears in the table of contents, as does the appendix number or letter when there is more than one appendix.

Bibliography

- Individual entries are single-spaced with a line space between each entry.

Topics Discussed in Greater Detail on the Dissertation Office Web Site

The Dissertation Office web site (<http://phd.lib.uchicago.edu/>) includes responses to frequently asked questions, expands on the topics below, and provides information on other topics as well.

Abstract

All students must prepare two copies of a separate abstract, entitled Abstract, with the following information at the top of the first page:

- the title of your dissertation
- your name
- your dissertation advisor's name and title
- your dissertation committee members' names and titles

This abstract does not need to be printed on special paper. The text should be in English, even if your dissertation is in another language. Otherwise the text should be the same as the text of the abstract within your dissertation, if you included an abstract. The text should be double-spaced. Margins and so forth should match the formatting and style of your dissertation, even though it is a separate document. The first page of this abstract is page 1. The second page of this abstract, if there is one, is page 2. Do not include graphs, charts, tables, or illustrations in your abstract. Avoid abbreviations. Use word substitutes for formulas, symbols, superscripts, subscripts, Greek characters, etc. Do include all appropriate accents and diacritical marks.

Boxes

If you need manuscript boxes to submit the final two copies of your dissertation, you may purchase boxes (two boxes for a dollar) from the Dissertation Office. Each copy is boxed separately.

Copies

You may wish to order copies of your dissertation for your own use. The Dissertation Office does not provide this service. A few options:

- The University of Chicago Bookstore (773-702-7712)
- The University of Chicago Copy Center (773-822-0111)
- Heckman Bindery (<http://www.thesisondemand.com/>)
- ProQuest/UMI (*Publishing Your Graduate Work with UMI Dissertation Publishing*)

Copyright Permissions

Since you are publishing your dissertation, if you use previously copyrighted material beyond "fair use," you must obtain written permission from the copyright holder to use the item in your dissertation.

Copyright Registration

You own the copyright for your own dissertation. Registration is optional. You may register your copyright through ProQuest for an additional fee of \$65.00, or you may register on your own at another time.

Draft Review Process

Our staff is willing to look at representative sections or the whole manuscript once at the beginning of each quarter. After the draft review deadline we focus on final manuscripts for the current quarter. Drafts must be submitted unbound and printed on one side of the paper only, double-spaced and in 12-point font. We cannot accept your draft as a fax or e-mail attachment. We do not review multiple versions of manuscript drafts, whether complete or partial.

Forms

- **Departmental Approval Form:** The departmental approval form must be signed in ink (no stamps; no faxes; no photocopies) by your department chair, and must be submitted at the same time as the 2 final copies of the dissertation.
- **Library Form:** The library form helps the Library catalog your dissertation correctly. One copy of your dissertation becomes part of the Library's circulating collection.
- **ProQuest/UMI Publishing Agreement and Dissertation Submission Form:** *Publishing Your Graduate Work with UMI Dissertation Publishing*, from ProQuest Information and Learning, contains the agreement and submission form plus some additional forms and explanatory material. Publishing with ProQuest/UMI is one of the requirements for receiving a doctoral degree from the University of Chicago. You must sign the publication agreement. You may choose to restrict search engine access and third party sales, but you may not choose an embargo. The University of Chicago wants your dissertation to be released immediately.
- **Survey of Earned Doctorates:** This online survey from NORC gathers data serving policymakers at the federal, state and local levels. For those who prefer hard copy to the web version, it is also available as a PDF and in paper from the Dissertation Office.

Paper

Only University of Chicago Dissertation Bond or Permalife Bond is acceptable. University of Chicago Dissertation Bond is available at the University Bookstore. Permalife Bond is available from several mail order companies. We suggest you order paper six weeks before you need it.

Table of Contents

To ensure accuracy, the table of contents should be generated automatically.

Title Page

The title page layout must be followed exactly, with appropriate substitutions for title, division, department or committee, your name and the convocation month and year, all arranged on the page as in the sample. Please note:

- The words VOLUME ONE or VOLUME TWO are included only in those dissertations which have multiple volumes.
- You have the choice of printing ONE, I, or 1, TWO, II or 2 and so on to designate the volume number. Do not use all three.
- If you are graduating from one of the professional schools, do not list an "area" or concentration; omit the "department" line.
- The "Convocation month" on the title page is the month of convocation, not the month of defense. Do not print the word "Convocation" in addition to the month and year.