

**Policy and Style Manual
for Completion and Submission of the Dissertation
2017-2018**

**To the Graduate Student**

A candidate must present a dissertation demonstrating original and independent investigation and achievement. A dissertation should reflect not only a mastery of research techniques, but also ability to select an important problem for investigation, and to deal with it competently.

 The University of Washington Graduate School

### August 2017

#### **PLEASE read carefully before proceeding**

The dissertation is an original piece of scholarly research on a topic that has been jointly agreed upon by the student and her/his Supervisory Committee members. It is a major undertaking that should reflect the highest standards of scholarship and make a significant contribution to knowledge and practice in the field of social welfare and the profession of social work.

It is your responsibility to read and follow the requirements presented here and to submit documents of the highest quality.

The enclosed School of Social Work and Graduate School requirements cover the general rules of format and appearance that have been approved by the doctoral program faculty. Consult your Supervisory Committee along with the PhD Program Manual sections on the Dissertation Prospectus and Dissertation for specific content requirements. The following need to be considered as you prepare your dissertation for final submission:

* Because of changes in requirements, students should not use existing library or departmental copies of theses/dissertations as examples of proper format.
* Candidates should carefully review their dissertation contents for instances of inadvertent plagiarism.
[See the Graduate School Guidelines](https://grad.uw.edu/for-students-and-post-docs/thesisdissertation/final-submission-of-your-thesisdissertation/required-sections-for-your-document/): Plagiarism is defined as the use of the words, ideas, diagrams, etc., of publicly available work without appropriately acknowledging the sources of these materials. This definition constitutes plagiarism whether it is intentional or unintentional and whether it is the work of another or your own, previously published work.
* For UW SSW guidelines see the [Writing Help and Resources](http://socialwork.uw.edu/students/services/writing-support) section of the website.
Also consult the UW SSW [Academic Honesty: Cheating & Plagiarism](http://socialwork.uw.edu/students/academic-standards/academic-honesty-cheating-plagiarism).
* Main Graduate School Dissertation page: <http://www.grad.washington.edu/students/etd/>
* Graduate School Format Guidelines: <https://grad.uw.edu/for-students-and-post-docs/thesisdissertation/final-submission-of-your-thesisdissertation/required-sections-for-your-document/>
* Thesis/Dissertation Information Sessions
Webinar available online: <https://grad.uw.edu/for-students-and-post-docs/thesisdissertation/>
* Policy for Deposit and Dissemination of Master’s Theses and Doctoral Dissertations: <https://grad.uw.edu/for-students-and-post-docs/thesisdissertation/policy-for-deposit-and-dissemination-of-masters-theses-and-doctoral-dissertations/>

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# Overview

The dissertation is an original piece of scholarly research on a topic that has been jointly agreed upon by the student and her/his Supervisory Committee members. It is a major undertaking that should reflect the highest standards of scholarship and make a significant contribution to knowledge and practice in the field of social welfare and the profession of social work. “A candidate must present a dissertation demonstrating original and independent investigation and achievement. A dissertation should reflect not only a mastery of research techniques, but also ability to select an important problem for investigation, and to deal with it competently” ([University of Washington Graduate School](https://grad.uw.edu/policies-procedures/doctoral-degree-policies/doctoral-dissertation/)).

After the dissertation prospectus has been approved by the Supervisory Committee and the PhD Program Committee, the student normally works primarily under the direction of the chair. The extent to which other committee members are involved during the course of the dissertation research is determined on a case-by-case basis. If a dissertation study significantly changes as it progresses from that originally approved by the Supervisory Committee and Program Committee, the changes must be reviewed and approved by the Reading Committee members of the Supervisory Committee.

This style manual provides the detailed information needed for the process of completing, formatting, and submitting the dissertation to the School of Social Work and the Graduate School.

# Part I – Policies and Procedures for Dissertation Submission and Graduation

## University Graduation Requirements

### You Must Apply to Graduate: Information and Submission Deadlines

#### PhD Candidates

Submitting the ***Request for Final Examination*** conveys the doctoral candidate’s intention to graduate.

**When the dissertation is complete and the doctoral Supervisory Committee agrees that the candidate is prepared to take the Final Examination (Oral Defense), the Program Director, Program Assistant Director, and Dean of the Graduate School must be informed of the decision**. All members of the Supervisory Committee (including the GSR) must be consulted by the student and approve the date, time, and location for the Oral Defense.

The student then logs in to [MyGrad](http://www.grad.washington.edu/mygrad/student.htm) to request scheduling of the Defense. (This must be done at least 2 weeks prior to the date of the oral defense.) As soon as the request is made, the student must send an email to the Assistant Director of the Social Welfare Program indicating that the request has been made.

* Note: A ***Reading Committee***, consisting of at least three members of the Supervisory Committee, must be established with the Graduate School one quarter prior to the defense. This happens when you submit the approved Dissertation Prospectus. Review your Supervisory Committee and Reading Committee members in MyGrad prior to requesting the Final Examination. If Committee changes are needed, you must submit a Change of Committee form to the PhD Program Office before submitting the MyGrad Request.

Following the Final Exam, candidates are required to submit 3 items: Electronic Thesis/Dissertation, the Survey of Earned Doctorates (SED) Certificate of Completion, and the Doctoral Dissertation Reading Committee Approval Form (signed by committee members who have read and approved the final copy of the dissertation). The forms are to be electronic (scanned) for submission. Committee Approval Forms are now uploaded to the Administrative Documents Section of the ETD Administrator Site at the time of your electronic thesis/dissertation submission.by the last day of the quarter (or within 14 days of the end of quarter by paying a waiver fee). If this deadline is not met, the candidate may have to be re-examined.

#### Familiarize yourself with the electronic submission process ahead of submission

### <http://grad.uw.edu/for-students-and-post-docs/thesisdissertation/final-submission-of-your-thesisdissertation/>

To graduate with doctoral (dissertation) degree at the University of Washington, graduate students are required to submit a dissertation through the [UW Electronic Thesis/Dissertation (ETD) Administrator Site](http://www.etdadmin.com/washington). The UMI resource page is where you will create a special account for submission, and it contains much relevant information. We strongly advise you to take time in advance to read through much of the information in this document, especially the general FAQs.

Documents will be published by ProQuest/UMI Dissertation Publishing and made available on an open access basis through UW Libraries [ResearchWorks Service](http://digital.lib.washington.edu/). (Information on copyright and open access in [Digital Library](http://digital.lib.washington.edu/etd-faq.html).)

The process has many steps, including surveys at ProQuest that must be filled out and several decisions that are made by the student during the submission process. Reading through the instructions ahead of time will save you a lot of stress at the end. If you have scanned and prepared your materials ahead, the actual submission process will be about 15 minutes.

Students who anticipate difficulty in meeting the appropriate deadline for submitting the thesis or dissertation should contact Graduate Student Services (well before the deadline) to learn of acceptable situations in which deadline exceptions may be made. In some situations, solutions may be found to problems beyond the student’s control and/or extenuating circumstances.

***E-mail:*** uwgrad@uw.edu

***Phone: 206.685.2630***

## Doctoral Dissertation Reading Committee Approval Form

Printout this form and take it to the Defense. If the Supervisory Committee has further changes to the dissertation prior to final approval, all should sign the form at the Defense and the Chair should keep it until final approval.

This form must be signed in original signatures, scanned, and submitted to the Graduate School.

<http://grad.uw.edu/wordpress/wp-content/uploads/phd-approval-form.pdf>

## Final Check of Dissertation Format by the School of Social Work

### What do I Submit to the School of Social Work?

Once your entire document is nearly complete, you must submit it to the School of Social Work Doctoral Program Office for approval **before submitting the final to the Graduate School**.

The complete dissertation will be checked for format and consistency, and notations made of all errors to be fixed. The guidelines for formatting are all presented below. Contact the PhD Program Assistant Director in advance to request this check. Plesase send an electronic file for checking. This check can usually be accomplished in 1-2 working days.

You may also contact the Assistant Director in advance for a training session on how to format your files in Word.

The version submitted for SSW check must be close to complete, with only minor revisions pending, and all parts must be included.

* **Un-numbered pages:** *Title Page* through the *Abstract*.
* **Preliminary pages:** *Table of Contents* through the *Dedication*.
* **Text:** All chapters, figures, and tables. (Include separate Introduction and Conclusion sections for multiple paper dissertations.)
* **Final Pages:** *List of References/Bibliography* (required for all types of dissertations), *Appendices* (if included) and *Vita*.
* **Format Items Checked**
* **Correctly formatted page numbers:** One of the things we check for is missing pages and pagination correspondence between the text, *Table of Contents,* and the *List of Figures/Tables.*
* **Margins/Consistency**
* **Headings and subheading** consistency
* **Header/Footer** consistency (including consistency across papers/chapters)
* **Citation** style consistency
* **All required parts in place**

## Final Submission of Your Electronic Thesis or Dissertation (ETD)

### [Introduction to the UW ETD Administrator Site](https://grad.uw.edu/for-students-and-post-docs/thesisdissertation/final-submission-of-your-thesisdissertation/)

There are three major sections in the UW ETD Administrator Site:

* **My ETDs** – step-by-step ETD submission instructions
* **Resources & Guidelines** – information such as format guidelines; copyright issues; creating PDFs; UW contacts for formatting help, copyright and open access questions
* **PDF Conversion** – a tool that may be used to convert Microsoft Word, WordPerfect, or RTF (rich text format) documents into PDF format. **Your thesis/dissertation must be uploaded as a PDF; the maximum file size that can be uploaded is 1,000 MB.**

### [Prerequisites](http://www.grad.washington.edu/students/etd/info.shtml#prereq)

#### PhD students

1. Schedule a doctoral final exam in [MyGrad – Student View](http://www.grad.washington.edu/mygrad/student.htm).
2. Obtain *original* signatures on your [Doctoral Dissertation Reading Committee Approval Form](http://grad.uw.edu/wordpress/wp-content/uploads/phd-approval-form.pdf) to be uploaded to the UW ETD Administrator Site by the deadline indicated below.
3. Complete the [Survey of Earned Doctorates (SED)](https://sed.norc.org/survey). Upload the SED Certificate of Completion to the UW ETD Administrator site with your *signed* Doctoral Dissertation Reading Committee Approval Form.

### Activate Your Account

To get started, you must activate your account in the UW ETD Administrator Site. You are encouraged to do so well before you submit your dissertation so you can become familiar with the Site.

1. Go to the [UW ETD Administrator Site](http://www.etdadmin.com/washington)
2. Select “Submit my dissertation/thesis” under “Ready to begin?”
3. Select “Create an Account” under “New user?”
4. Fill in the required fields and select the “Sign Up” button
5. Check for an email message from UMI ETD Administrator with the subject line UMI ETD Administrator: Account Confirmation for [your name]

**Troubleshooting:** If the email message is not in your inbox, it may have been blocked or filtered into your spam or junk email box. If it is not in one of these locations, you can try to login to re-send the email message, but first make sure your account is set-up to accept email messages from the domain@proquest.com. If you need further technical assistance retrieving the email message, please call ProQuest at 1.877.408.5027 – available 9:00 a.m. – 6:00 p.m. EST, Monday through Friday (excluding U.S. holidays).

1. The email message includes a link to activate your account. Select the link to confirm your account. You should be taken to Instructions under the My ETDs section.

### Start Your ETD Process.

1. Go to [MyGrad - Student View](http://www.grad.washington.edu/mygrad/student.htm)
2. Select "Start Your Electronic Thesis/Dissertation (ETD) process
3. Login in with your UW NetID and password

A page will open showing your name and dissertation/thesis details on record with the UW and the Graduate School. The dissertation/thesis details you enter in the UW ETD Administrator Site must match this record. We recommend that you keep this page open when you begin the submission process in the UW ETD Administrator Site to ensure the information is transferred accurately. If you experience any problems opening this page, please send an email to uwgrad@uw.edu.

### Submit Your Thesis or Dissertation

1. Go to the [UW ETD Administrator Site](http://www.etdadmin.com/washington)
2. Select “Submit my dissertation/thesis” under “Ready to begin?”
3. Login with your username and password
4. Read the Instructions under the My ETDs section
5. Begin the submission process. Submission steps are outlined in the left-hand column.

If you need help, select “Help” in the UW ETD Administrator Site for instructions (see Contents), frequently asked questions (see FAQ), and customer service (see Support). For technical assistance with the site, call 1.877.408.5027 – available 9:00 a.m. – 7:00 p.m. EST, Monday through Friday (excluding U.S. holidays).

### Important Notes about your Final Submission

* If you need to finish your submission later (for instance, if you need to update your PDF file before uploading it), you can save your information and come back to finish. No information will be lost.
* Once your thesis/dissertation is submitted, no additional changes to the document are allowed with the exception of a major data error in the document. In this circumstance, a letter outlining the necessary changes is required from your supervisory committee chair.
* Submissions are reviewed by GEMS advisors before they are delivered to ProQuest for publication. If you do not format your title page correctly, you will receive an email from a GEMS advisor requesting revisions and your graduation may be delayed.
* When your submission has been accepted by a GEMS advisor, you will receive email confirmation.
* Your submission will be delivered to ProQuest/UMI for publishing 4-6 weeks after graduation and you will receive email confirmation.

### What am I Paying For?

* There are **no required fees**. During the submission process, you have the option to register your copyright via ProQuest for a fee.

### Deadlines

* See [Dates and Deadlines](http://grad.uw.edu/for-students-and-post-docs/dates-and-deadlines/) for important deadlines.
* Deliver your *signed* Doctoral Dissertation Reading Committee Approval Form to GEMS no later than 5:00 p.m. PST on the last day of the quarter. GEMS cannot graduate you until your signed form has been received.
* Submit your document in the UW ETD Administrator Site by 11:59 p.m. PST on the **last day of the quarter**.
* Doctoral candidates who qualify to graduate without being enrolled by paying the Graduate Registration Waiver Fee:
The $250 Graduate Registration Waiver Fee is an optional fee paid in lieu of registration.  It is available to qualifying students for a 2-week period directly following the quarter in which all Graduate School and graduate program degree requirements are met.  Qualifying students who pay this fee will graduate in the quarter following the fee payment period.  **Note**: This option may have an effect on the grace period for student loans becoming due; students should check with their lenders for registration requirements before utilizing this option in lieu of registration.
Final submission must be completed according to the guidelines explained in this manual and on the Graduate School site.
Consult the full policy and procedures for the [Graduate Registration Waiver Fee](https://grad.uw.edu/policies-procedures/general-graduate-student-policies/graduate-registration-waiver-fee/)

# Part II –Style: Formatting the Thesis or Dissertation

## Dissertation Format Options

Two general formats have been approved by the Graduate School and the Social Welfare faculty. The first is the monograph or “book” format. In this format, the dissertation is organized as an integrated set of chapters written as a logical progression of ideas pertaining to a central topic. The second dissertation format is a series of three to four research papers that may differ in topic but are clearly reflective of a coherent program of research.\* Each format has advantages and disadvantages having to do with publication goals and career plans, and these should be carefully considered by the candidate in consultation with his/her dissertation committee.

\* When the dissertation is composed of a set of research papers that are inclusive of co-authored manuscripts, the candidate must be the primary contributor and lead author.

Be sure to check the [Graduate School guidelines](https://grad.uw.edu/for-students-and-post-docs/thesisdissertation/final-submission-of-your-thesisdissertation/required-sections-for-your-document/) for any changes to the format instructions.

You should also check the [ProQuest recommended guidelines.](https://grad.uw.edu/wordpress/wp-content/uploads/Preparing-Your-Manuscript-for-Submission-Revised-31jul2015.pdf)

## Arrangement and Numbering of Pages

Links below are to the Graduate School guidelines for each item. Any SSW requirements in addition to the Graduate School ones are in the sections below in this manual. The dissertation pages must be arranged in the following order.

**Un-Numbered Pages**: No page number

|  |  |
| --- | --- |
| **Page/Section Title**  | **Optional or Required**  |
| [Title Page](https://grad.uw.edu/wordpress/wp-content/uploads/sample-phd-title.pdf)  | Required  |
| [Copyright Page](https://grad.uw.edu/wordpress/wp-content/uploads/sample-copyright.pdf)  | Required: may be page 1 or 2  |
| [Abstract](https://grad.uw.edu/wordpress/wp-content/uploads/sample-abstract.pdf) | Required (for multi-paper dissertations, one abstract linking the papers) |

**Preliminary Pages:** Lower case Roman numerals

Page numbers centered .75" from bottom. Use the [SSW Front Pages Template.](http://socialwork.uw.edu/sites/default/files/sswfiles/programs/phd/phd-dissertation-front-pages-template.docx)

|  |  |
| --- | --- |
| **Page/Section Title**  | **Optional or Required**  |
| Table of Contents  | Required  |
| List of Figures  | Required if document contains figures |
| List of Tables  | Required if document contains tables |
| Glossary/Index\*  | Optional  |
| Preface  | Optional  |
| Acknowledgments | Optional  |
| Dedication | Optional |

**Main Text:** Arabic numerals .75" from top (center or upper right)

|  |  |
| --- | --- |
| **Page/Section Title**  | **Optional or Required**  |
| Introduction  | Required (for multi-paper dissertations, serves as introduction for all) |
| Chapters/Sections | Required |
| Conclusion | Required (for multi-paper dissertations, serves as linking summary for all) |

**Final Pages:** Arabic numerals .75" from top (center or upper right)

|  |  |
| --- | --- |
| **Page/Section Title**  | **Optional or Required**  |
| End Notes  | Optional  |
| List of References/Bibliography  | Required (even when individual chapters/papers contain reference lists) |
| Appendices  | Optional  |
| Vita | Required |

### Fonts, Language, Margins

#### Fonts

* Any serif font that is simple, reproduces clearly, and is easily read is acceptable (e.g., Georgia 11 pt is recommended by ProQuest as easy to read onscreen; Times New Roman 12 pt; Garamond, 11 pt). Sans serif fonts like Arial are also permitted.
* **The same font/typeface and size must be used throughout the text**.
* Figures and Tables can be in a different font, including sans serif fonts, at a smaller size than in the text.
* Acceptable text font sizes are: 11 point, 12 point, and 13 point.
Larger type up to 16 point can be used for document/chapter/section titles.
* Captions, footnotes and footnote numbers can be in a smaller font than text, e.g., 9 point.
* Special fonts for such languages as Chinese, Sanskrit, Russian, etc., are allowed within the text, but cannot be used exclusively.

[Note: Check [Graduate School](https://grad.uw.edu/for-students-and-post-docs/thesisdissertation/final-submission-of-your-thesisdissertation/required-sections-for-your-document/) and [ProQuest](https://grad.uw.edu/wordpress/wp-content/uploads/Preparing-Your-Manuscript-for-Submission-Revised-31jul2015.pdf) guidelines for updates.

#### Language

* The dissertation must be written in English.
* Under exceptional circumstances, when the main audience to be reading a dissertation would need for it to be written in another language, that language may be used if the Graduate School and your Department have granted *prior* approval. (This would be accomplished via a *Petition to the Dean*).
**In all cases, however, the following pages must be in English:**
1. Title Page (although the *title itself* can be in another language)
2. Abstract.

#### Margins

* A minimum of 1 inch on all sides of the pages is required by ProQuest.
In addition to the page margins, set the header and footer margins for .75 inch (per ProQuest).

**TIP for those using Word:** To get the page number in the proper location from the top and bottom of the page, go to File, Page Setup, Layout, Header/Footer to input your position and margins.

### Use of Color

#### Color in the Text

* It is acceptable to use a colored font for urls (web links) in your document, but use only very easy-to-read colors such as blue or purple. All other text in your document should be black.

#### Color in Figures and Tables

* Use of color for images or text in figures and/or tables is acceptable.

## Formatting the Un-Numbered Pages

### Copyright Page –- no page number.

* Copyright privileges reside with you immediately upon creation of your work. Registration of your copyright establishes a public record of your dissertation and confers additional legal rights.
* Your name must appear exactly as it does on your *Title Page*.

SAMPLE [COPYRIGHT PAGE](https://grad.uw.edu/wordpress/wp-content/uploads/sample-copyright.pdf)

### Title Page – required (no page number)

The title of your document will appear on your University of Washington transcript after your degree is awarded.

DO NOT USE BOLD FACE ON THE TITLE PAGE. See the Graduate School sample for spacing and requirements.

* Formulas, symbols, superscripts, subscripts, Greek letters, and chemical names *which cannot be duplicated on the transcript* must be expressed in words in the title.
* *Your full name must conform exactly to University records.* The use, or non-use of middle names, or middle initials is your choice. The word "by" should not appear before your name.
* Do not use a larger font size for typing your name. Only document or section titles may be in a larger size font. No professional or other titles or initials such as "MD" may accompany your name.
* Type the *exact* title of the degree being earned; type the words "Master of Arts" or "Doctor of Philosophy" instead of typing MA, or PhD Also note that "Master" is singular (don’t use "Master’s") and PhD candidates should take care to use "Doctor" (not "Doctorate").
* The Reading Committee is listed on the title page (see samples).
* The "Program Authorized to Offer Degree" is the official UW academic unit through which the degree is offered. These words must appear above the degree academic unit.
* Images or figures of any kind are not allowed on the Title Page.

[SAMPLE TITLE PAGE](https://grad.uw.edu/wordpress/wp-content/uploads/sample-phd-title.pdf)

### Abstract - no page number

* The title and student name appear exactly as they do on the Title Page.
* The name of your Supervisory Committee Chairperson must appear in full with the appropriate academic title, such as Professor or Associate Professor typed BEFORE THE NAME. No professional titles (such as MD) will be accepted.
* Double-space: abstract (ProQuest requirement).
* Do not put illustrations in the abstract.

[SAMPLE ABSTRACT](https://grad.uw.edu/wordpress/wp-content/uploads/sample-abstract.pdf)

## Formatting the Numbered Preliminary Pages

This next group of pages, referred to as the “preliminary pages,” is where page numbering beginsusing **lower case Roman numerals centered .75 inch from the bottom of the page** (per ProQuest). (The [SSW dissertation front pages](http://socialwork.uw.edu/sites/default/files/sswfiles/programs/phd/phd-dissertation-front-pages-template.docx) template is set up for these guidelines.)

**TIP for those using Word:** A section break: new page command must be used to separate the various types of page numbered sections. To see these breaks and other hidden characters in Word, find the button that has the paragraph symbol on it in the menu with the paragraph commands [¶;] turning it on shows you all tabs, paragraph endings, spaces, and any other formatting indicators.

### Table of Contents – required.

* Double-spaced, per ProQuest.
* The first page of the *T of C* should be numbered as page “i.” (Do not list the “Table of Contents” as the first item in the Table of Contents.)
* You do not have to use the term “Chapter” to designate your main sections. (For example, multi-paper dissertations could have the sections labeled Paper 1: title, Paper 2: title, etc.) However, for the purpose of the dissertation, the main sections of your document act the same as chapters.
The first page of each chapter/paper **must start on a new page**.
* You may use the chapter/paper, and sub-chapter/section designation system of your choice: Roman numerals; Arabic numbers (1, 2, 3…), written numbers (One, Two, Three…), or no numbers. You may choose to list some, all, or none of your sub-chapter headings in the *T of C.* You may choose to number your sub-headings, or not to number them. **However, whatever choices you make, you must carry them out consistently through each chapter/paper of your document.** You may not choose to list “some” sub-headings and not others. **Be consistent in all formatting.**
* Use Title Case for line entries and do not use **bold** or *italics* on this page. With the exception of the words “Table of Contents,” do not use ALL CAPS.
* The **numbering and wording** of chapter/paper titles and subtitles listed in the *T of C* must be exactly the same as that in the text. If you write “Chapter One” in the text, you may not list “Chapter 1” in the *T of C.* Similarly, the wording of the titles and subtitles must match exactly: Do not abbreviate section titles for the *T of C.* Entries that take up more than one line should be single-spaced with at least 6 points of space between entries.
* *Acknowledgments, Dedication,* and *Vita* are **not included** in the *T of C*. (See the [SSW dissertation front pages](http://socialwork.uw.edu/sites/default/files/sswfiles/programs/phd/phd-dissertation-front-pages-template.docx).)

**TIPS:** you can **line up** **page numbers** in the *T of C* by setting tabs to be right justified with the appropriate leader: Choose “Format,” click “Tabs”; choose a “Tab stop position”; under “Alignment,” choose Right; choose number 2 as your leader if you desire a dotted line out to your page numbers (……….).
To **add space between paragraphs** in Word, Choose “Format,” click “Paragraph”; click “Indents and Spacing,” type “6 pt” into the “Spacing, After” field. (You may use more space, up to 12 pt.)

**Creating a Table of Contents in Word**: You can set up your document headings and use the Word to create the table of contents such that the page numbers are automatically added. This also makes it easy to update the TOC when page numbering changes. [References tab in Word: far left Table of Contents menu.] If you use the auto TOC program, you will need to define the TOC paragraph style as double-spaced.

### List of Figures and Tables.

* If your document includes figures and/or, you must identify them in a *List of Figures* and *List of Tables,* formatted according to the example in the [SSW dissertation front pages template](http://socialwork.uw.edu/sites/default/files/sswfiles/programs/phd/phd-dissertation-front-pages-template.docx). Do not combine *“Lists”* of any kind on a single page. Each new “*List”* requires its own page and a separate listing in the *T of C.*
* You **don’t** need to use entire figure captions or table titles in the lists*.*
* *“Lists”* of any kindare the first entry in your *T of C* and are arranged in alphabetic order: List of Figures, then List of Tables.(If any other type of list is included, it would be placed in alpha order, too.)
* See the SSW dissertation front pages template for numbering options with figures: they may be numbered consecutively throughout the dissertation, or start over with each separate chapter/paper (e.g., 1.1, 1.2; 2.1, 2.2; 3.1., 3.2, etc.).
* Copyright permission for reprint must be obtained for any previously published tables/figures/illustrations.

### Optional Pages

#### Glossary

* May be located here, after your last “*List,”* or before the *Bibliography/List of References.*
* The Glossary is included in your *T of C,* placed either after your last *“List,”* or before your *Bibliography/List of References*….as you decided above.

#### Preface

* The *Preface*, should you decide to have one, is included in your *T of C*.

#### Acknowledgments

* *Acknowledgments* are **not** included in your *T of C*.
* You may format the *Acknowledgments* in any way you choose as long you meet the font, spacing, and margin requirements described in the *General Information* section of this manual and you title the page “Acknowledgments.”

#### Dedication

* The *Dedication* **is** **not** included in your *T of C*.
* You may format the *Dedication* in any way you choose as long you meet the font, spacing, and margin requirements described in the *General Information* section of this manual and you title the page “Dedication.”

## Formatting the Text Section

### Introduction, Chapters, Sections, Subheadings, Citations, Page Breaks/Numbering

Your text section begins after the last preliminary page, with an *Introduction*  or the first Chapter. Here also **begins the use of Arabic page numbers placed a minimum of .75 inch from the top of the page, either centered or in the right corner.** (Placement in the right-hand corner would be less intrusive for the reader.)

Some general information about the text section:

* Double-space: abstract, dedication, acknowledgements, table of contents, and body of the manuscript.
* References/bibliography, footnotes, text in figures/tables, quotations and captions for figures and tables should be single-spaced.
* **Each page must have a page number, *including* the first page of each chapter or main section.**

#### Introduction

In a book format dissertation, Chapter 1 can serve as the Introduction without the title being “Introduction.” In a multiple paper dissertation, a separate Introduction must precede the papers to provide context and linkage between the papers and describe the rationale for grouping them together, along with their individual and collective contributions to the field.

#### Chapters, Sections, and Subheadings

Chapters or main sections may be divided into subdivisions to aid in the presentation of information in a logical sequence. You may use whatever type of organization scheme you prefer to define the system of subheadings within your document; however, the School of Social Work prefers standardization following the APA format for heading levels. See the [SSW paragraph styles template](http://socialwork.uw.edu/sites/default/files/sswfiles/programs/phd/phd-Dissertation-paragraph-styles-Template.docx).

**Adhere to the following requirements in regards to subheadings:**

* Choose one system and use it consistently throughout your document.
* New chapters/papers or main sections (such as references, appendices, bibliography) must begin on a new page. Subsections should **not** start on a new page.
* Chapter titles, headings, and subheadings should be single-spaced with extra spacing above and below (as shown in the SSW paragraph styles template).
* **Do not place a subheading at the bottom of a page** if there is not room for at least two lines of accompanying text—instead, move the subheading to the top of the following page. (If you use the paragraph styles set in the SSW template, headers will automatically flow to the next page if they are at the end of a page.)

#### Citations

With a few exceptions, listed below, you may use whatever citation format your Supervisory Committee deems appropriate for your discipline. However, APA is preferred for the School of Social Work.

* See APA (6th edition) style for citations in text in parentheses by author/date format. For a book dissertation, you may either have a list of citations (References) at the end of each chapter or at the end of all chapters. Each reference list should start on a new page. For a multi-paper dissertations, a list of References should be included at the end of each paper.
* “*Works Cited*” within each Chapter/Paper do not take the place of a final *Bibliography.*  **Your document must have a comprehensive *Bibliography.*** Citations make specific references to information you used or consulted from other sources to support your arguments and conclusions. The *Bibliography* is a complete list of all sources you read or consulted during the course of your research, whether you made specific citations to material contained in those references or not. A complete *Bibliography* gives the reader a measure of the breadth and depth of your research effort.
* See the *Bibliography* section for further information on documenting your sources.

#### Page Breaks and Page Numbering

* Note the following appropriate locations of page breaks:
* When transitioning to a new chapter/paper
* When a figure or table is too large for the space remaining on the page.
* When a subheading starts at the bottom of a page without room for at least two lines of text.
* When numbering your pages, use only whole numbers.
* Blank pages with or without page numbers will not be accepted.

## Formatting Separate Studies/Papers/Articles

Separate studies, papers, or articles submitted as one dissertation are to be treated as “Chapters” although they do not have to be called “Chapters.” The student and Supervisory Committee should discuss the rationale for presenting the papers as a group and their individual and collective contributions to the field. In this format, at least three independent papers must be included as chapters (four papers may be used if approved by the Supervisory Committee). Your final document must include one comprehensive *Abstract*, *Table of Contents*, *Introduction*, *Conclusion*, and *Bibliography,* as well as a uniform system of citation.

If any part of your work was previously published with multiple authors, the source should be listed in the *Bibliography;* however, you must have been first author on any previously published work used as part of a dissertation.

* Statements about co-authorship, previously published remarks, or submitted for publication remarks **must not** appear under the title on the first page of each chapter. Notes of this nature should be included in the Acknowledgments.
* Abstract: The abstract briefly describes and links the independent papers.
Remove or re-name any separate *Abstracts* that may have been part of the original papers.
* Table of Contents: follows the format described above in the preliminary pages section.
* Introduction: Provide context and linkage between the papers and describe the rationale for grouping them together, along with their individual and collective contributions to the field.
* Conclusion: At minimum the conclusion should summarize the findings from the papers, their respective limitations, and the important implications for the field and future research.
* Bibliography: This comprehensive list of readings includes not only all the references cited in the individual papers, but also any additional important materials related to the topic that were part of the your research readings.
* When placing sections of tables, figures, etc. at the end of each paper, the reference section **must** be last.
* All sections of tables, figures, references, etc. located at the end of each chapter **must** start on a new page.

## Formatting Figures and Tables

### Reduction

* Any text within reduced figures/tables must be clearly legible. Also note that the page numbers and captions must remain full-size.

### Figures

For the purpose of dissertations, the definition of a figure is quite broad. “Figures” include charts, diagrams, drawings, examples, graphs, illustrations, maps, photographs, etc. In the majority of cases, if it’s not a table, it is a figure. All figures must be listed in the preliminary pages’ *List of Figures*. Figures should not carry over to a second page.

#### Figure Captions

* Captions must appear below the figure, single-spaced, on the same page as the figure.
* Figure captions follow the current APA style (*Figure X*. Title).
Use the same font and font size as that used throughout the document.
* Figure captions should start with the illustration number, i.e., Figure 1 (or 1.1), then its title.
* For book style, you may number figures consecutively throughout the text or within the chapter, i.e., Figure 1.1 [Title] for the first figure in Chapter 1 and Figure 2.1 [Title] for the first figure in Chapter 2. As always, pick one method and use it consistently throughout your document. (For multi-paper dissertations, always use the second style: 1.1, 1.2, 2.1., 2.2, etc.)

#### Fonts Used Inside Figures

Text within the figure may be a different font type and size from that used in the rest of your document. However, the font size within a figure should never exceed 16 pt.

#### Landscape (Horizontal) Orientation of Figures

* Figures appearing horizontally on the page should be positioned so that the top of the figure is along the **left margin**. To temporarily change the paper from vertical to horizontal, create a section break before and after the figure(s), then make just that section horizontal. Make sure that the page numbering system continues throughout.
* The **caption** must **also** be placed **horizontally, below** the figure.

#### Location of Figures

Figures may be located in one of two places. You must **choose one system** and use it consistently throughout your work:

* Insert each figure within the text, as close as possible after the first reference is made to it, or
* Place figures at the **end of each chapter/paper** *(*before *References)* in which they are first discussed.

### Tables

A table is broadly defined as a compact, systematic list of data (facts, figures, values, etc.), generally arranged in columns and/or rows. All tables must be listed in the preliminary pages’ *List of Tables*.

#### Table Captions

* Table captions are located *above* the table, single-spaced, on the same page as the table and should follow APA style.
Table captions must be in the same font size as used throughout the document.
* Table captions should contain the illustration number, i.e., Table 1, and its title.
* You may number tables consecutively throughout the text or within the chapter, i.e., Table 1.1 [Title] for the first table in Chapter 1 and Table 2.1 [Title] for the first title in Chapter 2. As always, pick one method and use it consistently throughout your document. (In multi-paper dissertations, the second format is required: 1.1, 1.1, 2.1., 2.2, etc.)

### Fonts Used Inside Tables

* Text within the table may be in a different font type and size from that used in the rest of your document, but not smaller than 9 pt or larger than 16 pt.

### Landscape (Horizontal) Orientation of Tables

* Tables appearing horizontally on the page should be positioned so that the top of the table is along the **left margin (inside)**.
* The **caption** must **also** be placed **horizontally, *above*** the table, along the left margin of the page.

### Location of Tables in Your Document

Tables may be located in one of two places. You must **choose one system**, and use it consistently throughout:

* Insert each table within the text, as close as possible after the first reference is made to it.
* Place tables at the **end of the chapter/paper** (before *References)* in which they are first discussed.
* Long tables may be broken to fit onto more than one page. The phrase “Table [insert table number, i.e., 1.1] continued” must be typed at the top of the next section(s) of the table. List only the first page number of a multi-page table in the *List of Tables*.

#### Reduction

* Any text within reduced figures/tables must be clearly legible. Also note that the page numbers and captions must remain full-size.

## Formatting Final Pages

Begin final pages immediately after the last page of your text. Page numbers must appear in the same place as all pages in the previous text, i.e., .5 to .75 inches from the top (center or upper right corner).

#### Bibliography (required)

A comprehensive list of ***all*** sources used by the author is required; please title this list *Bibliography, List of References*, or simply *References.*

* Do not confuse the *Bibliography/References* with *Works Cited.* Please see *Citations* in the *Text Section* of this manual.
* The title of the first page (Bibliography, List of References, or References) should appear centered at the top of the page, similar to the **Table of Contents** (Header level 1).
* **Each bibliographic entry should be single-spaced, with a space-and-a-half or double-space between each entry**. (See instructions above on how to add space between paragraphs and if you are using APA, the [SSW paragraph styles template](http://socialwork.uw.edu/sites/default/files/sswfiles/programs/phd/phd-Dissertation-paragraph-styles-Template.docx) contains an APA reference paragraph style.)
* The School of Social Work standard is APA. However, if the dissertation is in the multiple-paper format, and the papers are going to be submitted to journals using a different format than APA, that format can be used, remembering that the format must be consistent across all papers and the final bibliography.

#### Appendices (optional)

* Appendices are for supplementary information such as articles and computer code. Do not use them for the main figures and tables discussed in your document.
* Each appendix must have a title in the same font style/size as other section headers, and that title should also appear in the *Table of Contents*.
* Appendices should be paginated consecutively with the rest of the document, and material must fit within the required margins, i.e., reduce if necessary.
* Text within an appendix may be of a different font and size than the main text of the document and lists in an Appendix are single-spaced.
* Illustrations in previously published material that you are presenting as appendices may retain the original identification and should not be listed in the *List of Figures/Tables.*
* Copyright permission for reprint must be obtained for any previously published tables/figures/illustrations.

### Vita (required)

* A *Vita* or biographical note must contain the name of the author and the granting institution of each advanced degree earned. The *Vita* may also include other publications by the author, or information similar to that on one’s resume.
* You may format the *Vita* in any way you choose as long as margin, font, and pagination requirements are met. The *Vita* is the last page(s).
* Do **not** include the *Vita* in the *Table of Contents*.
* If you choose to use your full CV, title the page *Curriculum Vitae*
* **Do not include your address or other contact information in your *Vita* or the *Curriculum Vitae.***

# Part III - Sample Pages

SSW formatted:

Un-numbered and preliminary front pages: Link to the [Dissertation Front Pages Template](http://socialwork.uw.edu/sites/default/files/sswfiles/programs/phd/phd-dissertation-front-pages-template.docx) file for pages you can copy into your document.

Paragraph styles for use in the main text: Link to SSW [Dissertation Paragraph Styles-Template](http://socialwork.uw.edu/sites/default/files/sswfiles/programs/phd/phd-Dissertation-paragraph-styles-Template.docx)

For the latest Graduate School Samples: <https://grad.uw.edu/for-students-and-post-docs/thesisdissertation/final-submission-of-your-thesisdissertation/required-sections-for-your-document/>

# Part IV–Other Graduation Information

## Purchasing Bound Copies of Your Document

There are **no required fees**, although you have the option to register your copyright via ProQuest for a fee. If you want to order bound (paper) copies of your document, you may do so through the [UW Copy Centers](http://f2.washington.edu/fm/c2/services/printcopy/hours-locations) or through ProQuest. Questions should be directed to the [UW Copy Centers](http://f2.washington.edu/fm/c2/services/printcopy/hours-locations) or to ProQuest at 1.800.521.0600, ext. 77020 – available 8:00 a.m. – 5:00 p.m. EST, Monday through Friday (excluding U.S. holidays).

## Participating in Commencement Exercises

Consistent with the eligibility criteria for participation in the University of Washington’s June commencement exercises, individuals are eligible for participation in the School of Social Work’s June commencement exercises if:

* The doctoral degree has been earned during the preceding Summer, or the Fall or Winter term of the current academic year.
* Alternatively, if a doctoral candidate has a reasonable expectation of graduating in either Spring or Summer of the current academic year he/she may choose to participate. “Reasonable expectation of graduation” is interpreted as having progressed sufficiently in the writing of a dissertation that is of sufficient academic standard that there is strong consensus by the candidate’s reading committee that a dissertation defense can be scheduled in sufficient time for graduation by the end of the Summer term (after the commencement exercises).

For information on participating in the School of Social Work commencement, see <http://socialwork.uw.edu/students/graduation>. To apply and participate in the University of Washington’s June commencement exercises go to the commencement homepage: <http://www.washington.edu/graduation/>