RUSH UNIVERSITY

Requirements for PhD Dissertations and Masters Theses

September 2024

TABLE OF CONTENTS

INTRODUCTION

PhD candidates at Rush University are required to submit a dissertation as part of their degree conferral process. This document outlines the formatting, submission, and distribution guidelines for dissertations and theses. It's crucial to adhere to these guidelines, as failure to do so may result in the degree not being conferred. Students should also consult their department's specific requirements.

ADVANCED PLANNING OF THE DISSERTATION

The dissertation topic must receive prior approval from the student's academic program. If intending to use published work as part of the dissertation, program approval is necessary. Dissertations must be original and not previously submitted for any degree at Rush University or elsewhere.

WRITING THE DISSERTATION

Rush University Dissertation Guidelines

Dissertations should demonstrate original research, provide a comprehensive review of the literature, and be clearly written. They must include substantial independent research of publishable quality, introduction and conclusion chapters that frame the thesis, and a clear indication of the contributions of any collaborative work. Consult your publishing agreements regarding the inclusion of published work.

Formatting

Follow the CAE's formatting guidelines meticulously. Formatting errors may delay degree conferral. Visit the CAE website for sample templates and common formatting errors.

Writing Resources

The Center for Academic Excellence offers consultations and workshops. For assistance, visit CAE's website or contact cae@rush.edu.

ACKNOWLEDGING THE WORK OF OTHERS

Respect for intellectual property is paramount. Acknowledge all sources of information and adhere to the Rush University Honor Code, and also Academic Honesty Policy. Use the citation style recommended by your department.

Citation & Style Guides

Students may consult a variety of guides as they draft their dissertation, and the two most common style guides used at RUSH UNIVERSITY are APA and AMA:

- *Publication Manual of the American Psychological Association, 7th edition*
- *AMA Manual of Style: A Guide for Authors and Editors, 11th edition*
- Day, Robert A. and Barbara Gastel. *How to Write & Publish a Scientific Paper*
- Strunk, William. *The Elements of Style*
- Turabian, Kate L. *A Manual for Writers of Term Papers, Theses, and Dissertations, 9th edition*

<div align="center">USE OF COPYRIGHTED MATERIAL</div>

Copyrighted material belonging to others must credit the author and publisher of the work. If a quotation exceeds "fair use," permission from the copyright owner must be obtained and uploaded as a supplemental file when submitting the dissertation. Visit the RUSH UNIVERSITY Library for information about fair use, publishing and licensing, state copyright laws, and more. Students who are reproducing, publishing, distributing, or displaying work in a foreign country will need to investigate the copyright term in that country.

- Permission to use copyrighted material is obtained from the owner of the copyright.
- Any permission required for use of copyrighted or licensed material must be obtained before the dissertation is submitted.
- If a student includes their own previously published material in the dissertation, and if the student had transferred rights to the publisher, then the student must obtain permission from the publisher to include this material in the dissertation.
- Any permission requested should allow the material to be used as part of the dissertation in all forms and media, including but not limited to digital and print forms.

<div align="center">### ProQuest and Copyright</div>

ProQuest requires copies of copyright permission documents and assumes no liability for copyright violations. The documents should be submitted in a section of ProQuest ETD as a separate supplemental file with the title, "Permission Letters, Do Not Publish." Copyright permission letters are not published.

- When images or quotations from materials obtained from libraries, archives, museums, and the like are included in the dissertation, students should also follow the policies of the respective repositories concerning permission or citation requirements.
- When material copyrighted by someone other than the author appears in a dissertation exceeding fair use, and when the author has failed to obtain permission from the copyright holder for ProQuest to sell such material, ProQuest cannot make the complete dissertation available for sale to anyone other than the author.

FORMATTING REQUIREMENTS

Language of the Dissertation

The default language is English. Dissertations in foreign languages are subject to departmental approval.

Length

Dissertations typically range from 100 to 300 pages, and theses from 40 to 100 pages, depending on departmental guidelines.

Page and Text Requirements

Margins: 1 inch on all sides.

Spacing: Double spacing for the body text, with single spacing for block quotations, footnotes, and bibliographies. Tables and figures may be single-spaced.

Font: Use a standard, legible font size 10-12 pt. Arial, Times New Roman, and other fonts listed in the manual are acceptable.

Recommended Fonts and Point Size

Use 10-12 point size. Fonts must be embedded in the PDF file to ensure all characters display correctly.

If you are unsure whether your chosen font will display correctly, use one of the following fonts:

- Arial   10 pt
- Century   11 pt
- Courier New   10 pt
- Garamond   12 pt
- Georgia   11 pt
- Lucida Bright   10 pt
- Microsoft Sans Serif 10 pt
- Tahoma   10 pt
- Times New Roman   12 pt
- Trebuchet MS   10 pt
- Verdana   10 pt

If fonts are not embedded, non-English characters may not appear as intended. Fonts embedded improperly will be published to DASH as-is. It is the student's responsibility to make sure that fonts are embedded properly prior to submission.

Instructions for Embedding Fonts

To embed your fonts in recent versions of Word, follow these instructions from Microsoft:

1. Click the File tab and then click Options.
2. In the left column, select the Save tab.
3. At the bottom, under Preserve fidelity when sharing this document, select the Embed fonts in the file check box.
4. Clear the Do not embed common system fonts check box.
5. Click OK.

For reference, below are some instructions from ProQuest UMI for embedding fonts in older file formats:

To embed your fonts in Microsoft Word 2010:

1. In the File pull-down menu click on Options.
2. Choose Save on the left sidebar.
3. Check the box next to Embed fonts in the file.
4. Click the OK button.
5. Save the document.

Note that when saving as a PDF, make sure to go to "more options" and save as "PDF/A compliant"

To embed your fonts in Microsoft Word 2007:

1. Click the circular Office button in the upper left corner of Microsoft Word.
2. A new window will display. In the bottom right corner select Word Options.
3. Choose Save from the left sidebar.
4. Check the box next to Embed fonts in the file.
5. Click the OK button.
6. Save the document.

Using Microsoft Word on a Mac:

Microsoft Word 2008 on a Mac OS X computer will automatically embed your fonts while converting your document to a PDF file.

If you are converting to PDF using Acrobat Professional:

1. Open your document in Microsoft Word.
2. Click on the Adobe PDF tab at the top. Select "Change Conversion Settings."
3. Click on Advanced Settings.
4. Click on the Fonts folder on the left side of the new window. In the lower box on the right, delete any fonts that appear in the "Never Embed" box. Then click "OK."
5. If prompted to save these new settings, save them as "Embed all fonts."
6. Now the Change Conversion Settings window should show "embed all fonts" in the Conversion Settings drop-down list and it should be selected. Click "OK" again.
7. Click on the Adobe PDF link at the top again. This time select Convert to Adobe PDF. Depending on the size of your document and the speed of your computer, this process can take 1-15 minutes.
8. After your document is converted, select the "File" tab at the top of the page. Then select "Document Properties."
9. Click on the "Fonts" tab. Carefully check all of your fonts. They should all show "(Embedded Subset)" after the font name.
10. If you see "(Embedded Subset)" after all fonts, you have succeeded.

Body of Text

Pagination

Sequential pagination is required, using Roman numerals for preliminary pages and Arabic numerals for the main body and beyond.

Tables, Figures, and Captions

Maintain consistency in font use across all text elements. Place tables and figures near their first mention in the text, ensuring all elements are legible and properly formatted.

Title Page

The title page should include the dissertation title, author's name, a statement indicating the fulfillment of dissertation requirements for the degree, the department's and institution's names (Rush University), and the submission date.

Directly after the title page, include a copyright statement: "© [Year] by [Author's Full Name]. All rights reserved." This should be centered at the bottom of the page.

[Provide a link to Sample Title Page for a PhD Dissertation or insert it directly here.]

Copyright Statement

The copyright statement is the second page in your manuscript and this page will bear the center-justified title COPYRIGHT STATEMENT on the first line of the page. The copyright statement page will not display its page number. You will begin the copyright statement on the second line of the page. You must reproduce the following double-spaced, left-justified text of the copyright statement:

> I hereby guarantee that no part of the [dissertation or thesis] entitled [title, in italics] which I have submitted for publication, has been copied from a copyrighted work, except in cases of passages properly quoted from a copyrighted work, copied with permission of the author, or copied from a work in which I own the copyright; that I am the sole author and proprietor of the [dissertation or thesis]; that the [dissertation or thesis] in all respects complies with the Copyright Revision Act of 1976; that the [dissertation or thesis] contains no matter which, if published, will be libelous or otherwise injurious to, or infringe in any way the copyright of any other party; and that I will defend, indemnify and hold harmless Rush University Medical Center against all suits and proceedings which may be brought and against all claims which may be made against Rush University Medical Center by reason of the publication of the [dissertation or thesis].

After the copyright statement, you will add a double space, and then add your own name and the month and year of your submission, as follows:

Albert R. Einstein
March 20210

You may customize the copyright statement for your particular project by changing the bracketed text, and your name and the month and year of submission. For example, if you are submitting a thesis, you must remove the words "dissertation and" from between the brackets, and you must include the full title of your project in underlined text where the statement reads "[title, in italics]." You must also remove all brackets from the statement. Please see the second page of this manual for a sample copyright statement. You will also find the text of this statement in Appendix A.

Abstract

The abstract provides a succinct summary of the dissertation, highlighting the research question, methodology, main findings, and the significance of the study. The abstract should not exceed 350 words and must clearly articulate the contribution of your work to the field of study.

[Insert a Sample Abstract here, ensuring it includes a statement of the problem, methodology, results, and conclusion, all within 350 words.]

Table of Contents

List all chapters, sections, and significant sub-sections, along with their starting page numbers. Ensure alignment and accuracy in titles as they appear in the dissertation.

Front and Back Matter

Front Matter: Comprises the title page, copyright statement, abstract, and table of contents, plus any lists of tables, figures, and abbreviations.

Back Matter: Includes appendices and references, each clearly labeled and paginated as part of the overall document.

Supplemental Material

Detail any additional supporting content, specifying its relevance and instructions for access. Ensure all such materials are properly referenced within the main text. Most supplemental materials should be organized in Appendices.

Dissertations Comprising Previously Published Works

Dissertations may include previously published works by the author, provided they contribute directly to the argument and narrative of the dissertation. Clear attributions and permissions must be obtained and documented. Each work must be integrated into the structure of the dissertation, with a coherent introduction and conclusion framing the work.

Top Ten Formatting Errors
1. Incorrect margin settings.
2. Inconsistent use of fonts and sizes.
3. Improper pagination.

4. Tables and figures not in compliance with specified formatting.
5. Incorrectly formatted citations and references.
6. Overuse of direct quotations without analysis.
7. Lack of consistency in heading levels.
8. Inadequate spacing and paragraph indentation.
9. Misalignment of Table of Contents entries.
10. Failure to embed fonts in the PDF file.

Review the formatting checklist in Appendix A to avoid these common errors

Further Questions

For any additional questions regarding dissertation formatting, submission, or any other concerns, please contact the Center for Academic Excellence at cae@rush.edu | Our staff is here to assist you throughout the submission process.

By following these guidelines carefully, you will ensure your dissertation meets the required standards for submission and review at Rush University. Remember, attention to detail in formatting reflects the quality and rigor of your scholarly work.

SUBMISSION

Program Submission

Begin by submitting your finalized dissertation for review to your department, adhering to any program-specific guidelines and requirements. This initial step is crucial for ensuring your work aligns with academic and research standards set by your program.

Dissertation Acceptance

Following departmental review and any required revisions, your dissertation will be formally accepted for the degree conferral process. This acceptance signifies your research meets the rigorous standards expected by Rush University and your academic program.

CAE Office Submission

- **PDF Submission:** Convert your dissertation to a PDF and submit it via the ProQuest ETD system, in line with the submission deadlines outlined on the CAE's website or the Degree Calendar.
- **Formatting Check:** Prior to submission, thoroughly review your document against the CAE's formatting guidelines to avoid delays in the degree conferral process.
- **Approval Sheet:** Include a digital copy of the signed Dissertation Approval Sheet with your submission.
- **Embargo Requests:** For dissertations requiring an embargo longer than two years, attach a signed approval form from your department chair.

The CAE will evaluate your dissertation for adherence to formatting standards and will communicate with you directly regarding acceptance or necessary revisions.

Redaction

In exceptional instances where your dissertation contains sensitive information requiring concealment or removal, consult with the CAE for guidance. This step ensures that all disseminated work respects privacy and confidentiality without compromising academic integrity.

DISTRIBUTION

Making Your Dissertation Publicly Available

Rush University encourages the public availability of your dissertation to advance scholarly communication. You'll have options regarding the visibility of your work.

Deposit in the University Database Archives

All dissertations are archived in the university's database, ensuring long-term preservation and access within the academic community.

Delayed or Restricted Access (Embargoes)

If your work contains sensitive or proprietary information, you may request an embargo, temporarily restricting access to your dissertation. Specify the duration and rationale for the embargo during the submission process.

ProQuest Dissertation Publishing

Your dissertation will be made available through ProQuest, enhancing its discoverability. You have options regarding open access and can control the degree of access through ProQuest's platform.

Additional Bound Copies

You may order bound copies of your dissertation for personal use, departmental archives, or as gifts for advisors and colleagues. Information on ordering and the associated costs can be found on the ProQuest ETD website.

SERVICES AND INFORMATION

ProQuest Publishing Orders and Payments

Upon submission to ProQuest, you have the option to order printed copies of your dissertation. These orders can be made directly through the ProQuest platform. Payment for these services is handled online at the time of your order. You will find various binding options and prices listed on ProQuest's website. Ensure you review the final cost, including shipping and handling, before completing your order.

Local Copy Services

For additional copies or special printing needs, local copy services offer a range of options. These services provide an alternative for producing bound copies of your dissertation, often with a selection of paper types, binding styles, and cover designs. Prices and production times vary, so we recommend contacting these services directly for quotes and turnaround times.

Bookbinders

For those seeking high-quality binding options, professional bookbinders offer a variety of services from basic to premium binding, including leather covers, embossing, and custom finishes. This option is ideal for creating presentation copies of your dissertation or for special archival purposes. Conduct a Google search for local recommendations.

Comments or Suggestions

The Center for Academic Excellence is committed to supporting your academic journey and ensuring the highest standards for dissertation preparation and submission. We welcome your feedback and suggestions on how to improve our services, guidelines, or any aspect of the dissertation process. Please share your thoughts by contacting us directly at [insert CAE contact email] or via our website feedback form.

Your input helps us enhance our support for future candidates and continue our tradition of academic excellence. For any additional queries or detailed information on any of the services mentioned, please do not hesitate to get in touch with the CAE office.

APPENDIX A

RUSH UNIVERSITY FORMATTING CHECKLIST

This checklist serves as a comprehensive tool for evaluating the formatting of your manuscript prior to submission to Rush's ProQuest ETD portal. Utilize this checklist to ensure your manuscript adheres to the formatting standards required for approval.

Name:	
Program:	
Date (version under review was submitted):	

☐	The manuscript has passed the initial format check but requires revisions. Resubmit the revised manuscript before the final deadline for the current degree conferral period to allow time for any further revisions.
☐	The manuscript requires a second format check due to major revisions needed. Resubmit your revised manuscript within 7 days from receipt of this checklist to remain eligible for the current degree conferral period.

- When ▉ appears before an item, it indicates a need fo revision.
- When ___ appears before an item, it signifies no further revision is required.
- Any additional comments will appear in red.

General Requirements

Font
___ 12-point font/typeface throughout the manuscript.
___ Footnotes in the same font, but at 11 or 10 pt.

Margins
___ 1-inch margins on all sides, including top and bottom headers.

Spacing
___ Main text double-spaced.
___ No extra space before/after headings or subheadings, at the bottom/top of pages, between paragraphs/sections, or before tables/figures.
___ Block quotes single-spaced.

Page Numbering
___ Lower case Roman numerals for front matter.
___ Page numbers in the upper right corner in the same 12 pt font as the text.
___ Main text starts with Arabic numeral 1, with standard numerals thereafter.
___ Page numbers must meet margin requirements.

Layout
___ Contents in correct order.
___ Headings follow the formatting style guide (APA or AMA) with appropriate bolding, capitalization, and indentation.

___ Paragraphs indented using the Tab command.

Front Matter

Title Page
___ Match the example in Rush's Formatting Guide.
___ No page number should be displayed, but it should be counted in pagination.
___ Margins, text placement, and spacing meet specified requirements.
___ Complete and correctly formatted candidacy statement.
___ Correctly formatted copyright statement.
___ Year of degree conferral as the date.
___ No running head displayed.

Copyright Statement
___ Format as shown in Rush's Formatting Guide.
___ No page number displayed in the upper right corner, but included in pagination.
___ "COPYRIGHT STATEMENT" in uppercase and center-justified.
___ Copyright text double-spaced and indented like a standard paragraph.

Acknowledgments
___ "ACKNOWLEDGEMENTS" in uppercase and center-justified.
___ Double-spaced text.
___ Standard double spacing between heading and text.
___ Paragraphs indented with the Tab command.
___ Lowercase Roman numeral page numbering.

Dedication
___ Centered text, top to bottom and left to right.
___ Right-aligned attribution (if included).
___ No page number displayed but included in pagination.
___ Section optional.

Preface
___ "PREFACE" heading in uppercase and center-justified.
___ Double-spaced text.
___ Lowercase Roman numeral page numbering.
___ Section optional.

Table of Contents
___ "TABLE OF CONTENTS" in uppercase, center-justified.
___ Double-spaced between major sections; single-spaced within sections.
___ Page numbers for entries in correct order and matching the text.
___ Chapter titles in uppercase; subsections in standard capitalization and indented.

Lists of Tables, Figures, Abbreviations
___ Headings in uppercase and center-justified.
___ Double-spaced text; single-space and indent long titles.
___ Titles/numbers followed by a period.
___ Page numbers for entries aligned and flush right.

Abstract
___ "ABSTRACT" in uppercase, center-justified.
___ Double-spaced text.
___ Lowercase Roman numeral page numbering.

Main Text
___ Chapter headings and titles in uppercase, center-justified.
___ Standard double spacing between heading and text.
___ New page for chapters/major sections.
___ Text matches TOC in titles/headings and page numbers.

Headings and Subheadings
___ Proper use of heading levels.
___ No headings at the bottom of a page without text following.

Tables and Figures
___ Consecutive numbering throughout the manuscript.
___ Single-spaced titles/descriptions, consistently aligned.
___ Avoid splitting tables; if necessary, ensure headers remain with the table.

Citations
___ Single-spaced block quotations with double spacing before and after.
___ Correct and consistent citation format throughout.

Appendices
___ Each appendix begins with a cover page titled in uppercase letters, centered.
___ Continuous page numbering from the main text in the upper right corner.
___ No page number displayed on the appendix title page, but included in pagination.

Reference List or Bibliography
___ "REFERENCES" heading in uppercase and center-justified.
___ Entries single-spaced with a double space between entries.
___ Consistent and correct citation style throughout.
___ Page numbers in the upper right corner, continuous from the text.

Approval Sheet
___ Correctly formatted according to Rush's Formatting Guide.
___ Uploaded as a supplemental PDF file in the ETD for the first format check.
___ Contains actual names, titles, and departments of the committee.
___ For the final copy, must be signed by the committee and uploaded to ETD.
___ The text of the approval sheet must be reproduced in its entirety.

This comprehensive checklist is designed to facilitate a smooth and efficient review process for your dissertation manuscript. Ensuring each item is checked and adheres to the specified guidelines before your first submission to Rush's ProQuest ETD portal can significantly streamline the approval process and reduce the need for extensive revisions. Please review each section carefully, apply the necessary revisions, and proofread your document thoroughly to meet Rush University's standards for academic excellence.

APPENDIX B

SUBMISSION TIMELINE

[INSERT TABLE BREAKING THIS DOWN]

Submission to the CAE Checklist

Event	Date	CAE	College
Subject Approval			✓
First Submission to ETD—Format & Turnitin Plagiarism Check	See CAE's Website	✓	
Dissertation Advising	∞		✓
Subsequent Submissions to ETD—always just to update the content and check the formatting	∞		
General Writing Support	∞	✓	
Dissertation Defense			✓
Manuscript Finalization	Post-defense		✓
Manuscript Format Meets Final Copy Standards—Deadline	See CAE's Website	✓	
Electronic Delivery to ProQuest ETD	After degrees are conferred	✓	
Hard Copies Delivered			

BIBLIOGRAPHY

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    University. Retrieved February 6, 2024, from
    https://gsas.harvard.edu/policy/formatting-your-dissertation

Johns Hopkins University Library. (n.d.). Formatting requirements for electronic theses &
    dissertations. Johns Hopkins Sheridan Libraries. Retrieved February 7, 2024, from
    https://www.library.jhu.edu/library-services/electronic-theses-
    dissertations/formatting-requirements/

Princeton University Library. (n.d.). Master's theses and Ph.D. dissertations submission
    guidelines. Princeton University Library Special Collections. Retrieved from
    https://library.princeton.edu/special-collections/policies/masters-theses-and-phd-
    dissertations-submission-guidelines

Purdue University Graduate School. (n.d.). Thesis and Dissertation Office. Purdue
    University Graduate School. Retrieved from
    https://www.purdue.edu/gradschool/research/thesis/index.html

Stanford Student Services. (n.d.). Prepare your work. Stanford University. Retrieved from
    https://studentservices.stanford.edu/my-academics/earn-my-degree/graduate-degree-
    progress/dissertations-and-theses/prepare-your-work-0

Yale University Registrar's Office. (n.d.). Dissertation submission. Yale University.
    Retrieved from https://registrar.yale.edu/students/dissertation-submission