



Graduate Studies  
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## Checklist for Preparing ETD (PDF) for Submission ADV Form 11

Graduate students must submit their dissertation or thesis electronically. The ETD website, <http://etd.lib.byu.edu>, has detailed information on the electronic submission requirements and formatting guidelines. It also has comprehensive tutorials to help you prepare your electronic document.

- [ETD - Converting Word to PDF Mainstream Method](#)
- [ETD - Converting Word to PDF Alternate Method](#)
- [ETD - Using Word Styles](#)
- [ETD - Properly Formatting Page Numbers](#)
- [ETD - Generating an Automatic Table of Contents](#)

To ensure the uniformity and continuity of style and format of all dissertations and theses submitted to the university, please follow the university requirements listed here as well as the guidelines in the style manual required by your department. The work's citations, references, and bibliographic style are to be consistent and follow the department's or the discipline's style guide. Please do not use a past work submitted to your department as your guide. Check your work carefully against the following university format requirements before submitting it to your committee, department, and college for final approval.

### A. University Format Requirements

#### MARGINS

1. Margins: 1 inch on all sides. (Change automatic margins and spacing set by Microsoft Word.)

#### FONT

1. Font should be black, a standard size (12 point for text, including titles and headings and 10 or 11 point for tables and figures).
2. Use a standard, easily readable serif typeface such as Times New Roman or Palatino. Ornamental typefaces, including script, may not be used.
3. No bold fonts. No running headers in preliminary pages.
4. When converting your work to a PDF, embed all fonts, using the full professional version of Adobe Acrobat. Failure to embed all fonts will result in many font errors in a printed and bound document.

#### SPACING

1. See the sample for correct spacing: [Sample Preliminary Pages for Dissertations and Theses \(ADV Form 11a\)](#).
2. Use the correct template (choose thesis or dissertation).  
[Preliminary Pages Template - Thesis \(ADV Form 11b\)](#)  
[Preliminary Pages Template - Dissertation \(ADV Form 11d\)](#).
3. The title page is a combination of single and double-spaced lines, evenly spread from top to bottom with 1" margins (please use sample and template to ensure correct spacing).
4. The abstract is single-spaced with a double space between each paragraph.
5. The body of the work is double-spaced.

#### PAGE NUMBERING

All pages are counted and numbered correctly according to the following:

1. No roman numeral page numbers are to be on the first three preliminary pages (title page, abstract, and optional acknowledgements page).
2. Preliminary pages are to be counted in the pagination and, except for the first three preliminary pages, numbered with lowercase roman numerals.
3. The body of the work should be numbered consecutively with arabic numerals, beginning with 1 and continuing into any appendices (1a, 10c, B1, etc., are not acceptable).
4. Pages should be numbered according to the following sequence, with a page number included on the page as indicated:

Title page	no number, but counted; begin with roman numeral i, number consecutively
Abstract	no number, but counted
Acknowledgments (if included)	no number, but counted
Table of Contents	number; continue with lowercase roman numerals as appropriate (iii or iv)
List of Tables (if included)	number
List of Figures (if included)	number
Body of work and appendices	number; begin with arabic numeral 1, continue consecutively

**TITLE**

Use the [Sample Preliminary Pages for Dissertations and Theses \(ADV Form 11a\)](#) and [Preliminary Pages Template - Thesis \(ADV Form 11b\)](#) or [Preliminary Pages Template - Dissertation \(ADV Form 11d\)](#).

- 1. The title on the title page PDF is double-spaced and in an inverted pyramid format.
- 2. The title on the abstract page PDF is single-spaced and in an inverted pyramid format.
- 3. The words and capitalization of the title must be exactly the same on the title page and on the abstract page.
  - a. Capitalization is correct.
    - i. Capitalize both words in hyphenated words (i.e. Reversed-Phase Liquid).
    - ii. Capitalize prepositions 5 letters or more (i.e. After, Between, Through).
  - b. Spelling is correct.
  - c. Punctuation is correct (i.e. no period at end of title; capitalize the first letter after a colon; include commas and periods inside quotation marks; and colons and semicolons come after quotation marks).
  - d. Italicize titles of books, periodicals, movies, and plays.
- 4. The title on the title page PDF matches the title on the ETD metadata online.

**ABSTRACT**

- 1. The title and body of the abstract are single-spaced with a double space between each paragraph.
- 2. Add keywords at the bottom of your abstract. Key words should include pertinent place names and full names of persons as well as descriptive words useful in automated retrieval. Capitalize proper nouns only. (See template for abstract spacing.)

**NAME OF STUDENT**

Enter your name as it appears on your university record and include appropriate punctuation. Please note that your name must be the same in the following places:

- 1. [Approval for Final Dissertation or Thesis \(ADV Form 8d\)](#)
  - 2. Title page PDF in two places: a) after the title; b) after copyright (Copyright © 2014 David A. Hill).
  - 3. Abstract PDF
- Note: If you made an official name change after you applied for graduation, contact Graduate Studies when you are in the ETD system.

**COMMITTEE MEMBERS**

The committee members must be the same people on all of the following:

- 1. ADV Form 8d signature page
- 2. Title page PDF
- 3. Progress Report online

**TITLES OF COMMITTEE MEMBERS**

- 1. "Dr." or degree titles (PhD etc.) are not used with any committee member's name.
- 2. "Chair" is listed after committee chair's name following the comma (i.e. John R. Smith, Chair).

**DATE**

- 1. On ADV Form 8d enter your expected Graduation Month and Year
- 2. The year of the Dean's signature on ADV Form 8d is the year used on the title page PDF (Year of Copyright)

**RELEASE STATUS**

Release status/availability (secured is for patents or export controls only) must match on the following:

- 1. ETD metadata online
- 2. ADV Form 8d

**OTHER**

- 1. Copyright year and name on title page PDF are in correct order (Copyright © 2014 David A. Hill).

- 2. All signatures on ADV Form 8d must be original and on one page; if you have any electronic signatures, obtain them first (see [Echosign Instructions: http://graduatestudies.byu.edu/content/electronic-thesis-and-dissertation-information](http://graduatestudies.byu.edu/content/electronic-thesis-and-dissertation-information)).
- 3. Document must have bookmarks accessed by the icon on the left side of the PDF
- 4. ADV Form 8d must be original, not a copy.

### B. Preparing Your Work for Approvals

- 1. Give a copy of your entire work, following the university format requirements specified, to each member of your committee two weeks prior to your oral defense.
- 2. After your defense, complete [Approval for Final Dissertation or Thesis \(ADV Form 8d\)](#), pages 1 and 2. This form will be provided by your department and is also available online at the Graduate Studies website.
- 3. Once your work has been defended, corrected, and approved, present your work and the completed ADV Form 8d to each member of your graduate committee and to your graduate coordinator or department chair for final approval and signatures. Signatures should be in black or blue ink so they image properly. All signatures on ADV Form 8d must be original, on one page, **with electronic signatures obtained first** (see [Adobe Sign Instructions: http://gradstudies.byu.edu/file/esign-tutorial](http://gradstudies.byu.edu/file/esign-tutorial)).
- 4. After obtaining the signatures of your committee and your graduate coordinator or department chair, present your work to the dean or associate dean in your college who is designated to review and sign the ADV Form 8d. Allow enough time to meet the submission deadline for your intended graduation. Refer to the Graduate Studies website for the current deadline dates: [Graduation Deadlines \(ADV Form 8\)](#).

### C. Preparing and Submitting Your ETD and Forms

All dissertations and theses must be submitted on the ETD website: <http://etd.byu.edu>.

- 1. After your content has been approved by all levels, including correctly formatted preliminary pages, convert your work to PDF format using the full professional version of Adobe Acrobat, embed all fonts, add bookmarks, and save your document. The Multimedia Lab in the Library (422-5627) has computers with Adobe Acrobat and can assist in converting files.
- 2. Log in to the ETD website and complete the required metadata information about your work and desired level of access.
- 3. Upload your work and submit for approval. An email is sent to your department approver, who will then log into the ETD website and review your document. If it is approved, it moves on to the college approver. If your document is disapproved for any reason, at either level, you will receive an email about the disapproval. You must make the requested changes, convert to PDF, embed fonts, add bookmarks again, and resubmit for another review cycle. Be sure to only use one account on the ETD website.
- 4. After your document is approved by the college, your ETD status will display "Grad Office Review." At this status, you must take your ADV Form 8d to Graduate Studies (105 FPH). Graduate Studies will review and approve each ETD for cataloging in the digital library. If Graduate Studies finds errors in the first three preliminary pages (title page, abstract, or acknowledgements), they will need to be corrected. Please bring a thumb drive with your ETD, just in case you have to make minor edits.

#### **DOCTORAL STUDENTS ONLY**

- Complete this step once your ETD has the status of "Grad Office Review" before bringing ADV Form 8d to Graduate Studies. Submit your ETD to UMI by going to: <http://www.etdadmin.com/byu> for Proquest/UMI Dissertation Publishing. Follow the instructions to login, upload your ETD on the UMI website, and print the confirmation email verifying the completed submission. If you wish UMI to register your copyright, you may do so in the UMI website. See [Publishing Your Doctoral Dissertation with UMI Dissertation Publishing \(ADV Form 13\)](#)
- Complete Survey of Earned Doctorates (SED) and print off SED certificate and bring to Graduate Studies with the 8d. See [Survey of Earned Doctorates \(ADV Form 14\)](#)
- Deliver your copy of the UMI confirmation email, SED certificate, and ADV Form 8d to Graduate Studies (105 FPH).
- 5. If you need bound copies (departmental or personal) you may submit a PDF to [gradworksonline.com](http://gradworksonline.com).

**NOTE for all ETDs:** The BYU library catalogs and preserves the digital ETD. The library will print a single copy from the submitted ETD PDF file, bind it, and deposit that copy in Special Collections (Archives). There will not be a bound copy on the library shelves for check out.