



Graduate Thesis/Capstone Project Formatting and Submission Guide

Effective Spring 2022

This guide will explain the formatting requirements and walk you through the process of submitting your thesis or capstone project to Utica University. Once approved by your committee, theses and capstone projects are submitted to the Office of Graduate & Professional Studies for review; after the Office of Graduate & Professional Studies accepts it, the thesis/capstone project will be placed online.

NOTE: Your thesis or capstone project must be on file with and accepted by the Office of Graduate & Professional Studies in order to graduate and receive your diploma.

Included in this guide:

- Formatting Requirements (page 2-4)
- Submission Instructions (pages 5-6)
- Checklist (page 7)

For examples of formatting, see the Word document template available at utica.edu/ogs – click on either the Forms link or the Getting to Graduation link.

Questions regarding this Formatting and Submission Guide should be directed to:

*Utica University – Office of Graduate & Professional Studies
1600 Burrstone Road, 123 Addison White Hall
Utica, NY 13502-4892
phone: (315) 792-3335 * fax: (315) 792-3170
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Graduate Thesis/Capstone Project Format Requirements

Theses and capstone projects prepared by Utica University graduate students are made available as a PDF file on the Frank E. Gannett Memorial Library's website and in ProQuest's online database for the appropriate informational and academic use by faculty, students, and other researchers. *To ensure consistency and quality in presentation, students must adhere to the following formatting requirements, which supersede any guidelines on the UMI ETD Administrator/ProQuest website:*

1. Style Guide:

Each graduate program determines which style guide or style manual (e.g., APA, MLA, AMA) must be followed when writing a thesis or capstone project. A style guide is used to ensure consistency throughout a document and provides guidance on formatting, organization, and how to cite references, but it also may go further and provide guidance on ethical writing and how to write clearly. Many style guides are updated periodically, so be sure to use the correct version or edition. Reference citations must conform to the standard approved for use by the discipline in which the student is enrolled.

Beginning with the Fall 2020 term those programs using the APA style guide will use APA 7.

The next sections, "Format" and "Organization," take precedence over and supersede any style guide being used. Upon submission of your final thesis or capstone project to the Office of Graduate & Professional Studies, the format items listed below will be reviewed. Any documents that do not meet the following format requirements will be returned for revision. The Office of Graduate & Professional Studies is available to assist students with format requirements outlined below and is willing to provide a quick review of format compliance prior to final submission. ***A Word document template that students are strongly encouraged to use is available online at utica.edu/ogs*** – click on either the Forms link or the Getting to Graduation link. The template is preset with the formatting and organization requirements listed below.

2. Format:

- a. Page setup must be for paper size US Letter (8-1/2 by 11 inches).
- b. Type throughout the document must be Times New Roman font, 12-point type face (size), and black, unless otherwise specified.
- c. Footnotes or endnotes must be in Times New Roman font, black, and a minimum of 9-point type face.
- d. Type for headings must be Times New Roman font, 12-point type face, and black. Other formatting (e.g., bold, italics, all caps) may be applied as long as it is consistent with the program-specific style guide.
- e. Text must be double-spaced; footnotes or endnotes must be double-spaced.
- f. The thesis or capstone project title should be informative and concise, no more than 175 characters including spaces, using uppercase and lowercase letters, centered between the left and right margins, formatted in an inverted pyramid.
- g. The last sentence of the abstract must start with the word "Keywords:" followed by the academic program [select appropriate academic program and include *as written here*: Cybersecurity, Financial Crime and Compliance Management,

Liberal Studies], thesis/capstone project adviser's full name, and up to five additional keywords that are not included anywhere else in the abstract. Example of last sentence: Keywords: Liberal Studies, Dr. Polly Smith, sociological, anthropological, social, qualitative, human rights.

- h. The Table of Contents and List of Illustrative Materials (e.g., tables, figures) must be single-spaced.
- i. There must be no additional space before and after paragraphs or headers beyond being double-spaced. Check the settings within the paragraph or document formatting menu of your word processing software, ensuring that the line spacing before and after a paragraph is 0 pt (zero point) and, if an option, check the box for "don't add space between paragraphs of the same style."
- j. There must be no floating headers (also called widows and orphans), where a new section heading appears at the bottom of a page but the paragraph text starts at the top of the next page. The typical solution is to bump the header to the next page.
- k. Running headers are not allowed.
- l. Margins
 - i. Justification must be left only (align text left, don't fully justify it so it aligns on both the left and right).
 - ii. Margins must be 1 inch on the left, top, right, and bottom.
- m. Pagination
 - i. Pages preceding the body of the text must be numbered consecutively in lower case Roman numerals. The first numbered page is the Copyright page, Roman numeral ii. The Title Page prior to that is counted for numbering purposes but does not display a number.
 - ii. The main body of text must be numbered consecutively in Arabic numerals, starting with Arabic numeral 1.
 - iii. Page numbers must appear centered on the bottom of the page.
- n. Citations must conform to the standard in the style guide approved for use by the discipline in which the student is enrolled (see Style Guide section above). For information on the style guide, contact the instructor of your thesis or capstone project course or the director of the program in which you are enrolled.
- o. Tables, graphs, charts, figures, photographs, and other illustrations (categorized as illustrative materials) must be clearly legible with good contrast, fit within the margins, and conform to the style guide standard approved for use by the discipline in which the student is enrolled. Graphs etc. may be in color if allowed by the discipline-specific style guide, but keep in mind that they should print with sufficient contrast in grayscale. Graph and chart headings, labels, and text may be in alternative fonts and sizes.

3. Organization:

The table below lists the required and optional parts of the thesis/capstone project in the order in which they must appear. Clarification of page numbering is also included. Additional parts beyond the ones listed below must not be included (e.g., Resumes are not allowed). See the Word document template for guidance on content specific to these required and optional parts; *the Word document template that students are **strongly encouraged to use is available online at utica.edu/ogs*** – click on either the Forms link or the Getting to Graduation link.

Part of Thesis/Capstone Project & Required Order	Required or Optional	Page Numbering
Title Page	Required	No Page Number
Copyright Page	Required	Begin Roman numeral page numbering with ii
Abstract	Required	Continue Roman numerals sequentially
Acknowledgments	Optional	Continue Roman numerals sequentially
Table of Contents	Required	Continue Roman numerals sequentially
List of Illustrated Materials	Required if illustrations are present in the body of text	Continue Roman numerals sequentially
Text (Main Body)	Required	Begin Arabic numeral page numbering with 1
References	Required	Continue Arabic numerals sequentially
Appendices	Optional	Continue Arabic numerals sequentially

Graduate Thesis/Capstone Project Submission Instructions

Graduate students **MUST** submit their final, approved thesis/capstone project to the Office of Graduate & Professional Studies ***by the submission deadline*** (see [Graduation Deadlines](#) for your semester's deadline) for the semester in which they wish to graduate. Utica University uses a web-based, online submission process via ETD Administrator whereby you upload your thesis/capstone project via a website. You will have to create an account in order to log in and submit your information and materials. Students are *strongly encouraged* to set up your account ahead of time so that all you need to do at the end is upload the final, approved paper and submit it; this will provide you an opportunity to become familiar with the system before the deadline, have time to get answers to any questions you may have, and avoid becoming stressed out.

ITEMS NEEDED – you will need the following for the online submission process:

- **Abstract** – You will need to have access to the Word document version of your paper so that you can copy and paste the abstract into the online submission form.
- **Committee Members** – first and last names
- **Subject Category** – You will be required to select a primary subject category and have the option to select up to two additional subject categories that best describe your field of research. The categories listed are not always exact matches to the studies offered at Utica, so you may wish to review them and discuss the possible subject categories with your advisor/committee chair or program director ahead of time. See Notes below.
- **Credit Card for Payment (if needed)** – There is **NO CHARGE** to submit your thesis/capstone project online. However, you will have the opportunity to purchase personal bound copies of your thesis/capstone project to have as a keepsake or share with your family or advisor. You will also be given the option of purchasing one or two other services from ProQuest, which are at the complete discretion of the student (Utica University has no official opinion).
 - ProQuest offers options for both “Traditional Publishing” (free) and “Open Access Publishing PLUS” (\$95.00 USD), as well as an additional option for your work to be searchable on major search engines such as Google and Yahoo.
- **Full Text PDF File** – Your final, approved thesis/capstone project (no more edits to be made) in the correct format (described in this guide) saved as a PDF file. The ETD Administrator website has a converter to save your Word document as a PDF if needed. The PDF file must have the fonts embedded – see Notes below.

TO SUBMIT YOUR THESIS/CAPSTONE PROJECT, GO TO:

<http://www.utica.edu/ogs/etdsubmit.cfm>

ADDITIONAL NOTES:

- The thesis or capstone project title should be informative and concise, no more than 175 characters including spaces, using uppercase and lowercase letters, centered between the left and right margins, formatted in an inverted pyramid.
- The last sentence of the abstract must start with the word “Keywords:” followed by the academic program [select appropriate academic program and include *as written here*: Cybersecurity, Financial Crime and Compliance Management, Liberal Studies], thesis/capstone project adviser’s full name, and up to five additional keywords that are not included anywhere else in the abstract. Example of last sentence: Keywords: Liberal Studies, Dr. Polly Smith, sociological, anthropological, social, qualitative, human rights.
- You are able to **save a draft** of your submission and log back in at any time to finalize the submission process. Starting the submission process does not count as having submitted the thesis/capstone project – you must actually click the SUBMIT button at the end by 11:59pm (Eastern Time) on the designated due date – see [Graduation Deadlines](#).
- The **Resources & Guidelines** tab within the ETD Administrator site may answer many of your questions, both UC-specific and ETD Administrator-related, regarding such topics as creating PDFs, embedding fonts, subject categories, and copyright. Please check that site for answers to your questions before contacting the Office of Graduate & Professional Studies. The formatting requirements outlined in this guide supersede any guidelines on the UMI ETD Administrator/ProQuest website.
- If **revisions** are needed to the submitted thesis/capstone project and the student responds in the timeframe given by the Office of Graduate & Professional Studies, the student can still graduate in that semester. If the student does not make the required revisions in the timeframe given, the student will not graduate in that semester and must (1) apply for graduation for the next semester, and (2) enroll in a credit-bearing course or in 997/998 Continuous Student Enrollment, which may carry a fee (see the Graduate Catalog for more details).
- If there are **multiple authors** for one publication (a group project), each author must create their own submission.
- Your **Graduate Thesis/ Capstone Project Completion Form**, signed and approved by all committee members, MUST be submitted to the Office of Graduate & Professional Studies in addition to your final, approved thesis/capstone project by the designated deadline in order for you to graduate in the anticipated semester (see [Graduation Deadlines](#)).
- The Utica University community has free, full-text **access to UC submissions**. Students maintain copyright of their thesis/capstone project. Should someone outside the UC community wish to purchase a copy of a UC thesis/capstone project, the student can receive royalties as long as their contact information is kept up-to-date with UMI ETD Administrator/ProQuest and the student didn’t choose to pay for Open Access during the submission process.
- **Questions?** Check the *Resources & Guidelines* tab within the ETD Administrator site first. If you don’t find the answer to your question(s) there, then contact the Office of Graduate & Professional Studies at ogs@utica.edu or (315) 792-3335.

Graduate Thesis/Capstone Project Checklist

- IF** my research involved human subjects (e.g., interviews, surveys), I obtained approval from Utica University’s Institutional Review Board (IRB)
- OPTIONAL (but recommended) – Used the Word document template to simplify the formatting and organization of my paper
- Submitted Application for Degree to the Registrar’s Office by the required deadline (see [Graduation Deadlines](#))
- Submitted [Graduate Thesis/Capstone Project Implementation Form](#)
- Submitted [Graduate Thesis/Capstone Project Modification form](#) (**Only** if the research topic or a committee member has changed)
- Submitted [Graduate Thesis/Capstone Project Completion form](#)
- Ensured that each Format item, above in the Format Requirements section, is correct (use items “a” through “o” as a checklist)
- Ensured that each Organization item, above in the Format Requirements section, is in the correct order and there are no additional parts included in my paper that are not in the list of required or optional parts
- I know the submission deadline for when my final, approved paper has to be submitted to the Office of Graduate & Professional Studies (see [Graduation Deadlines](#))
- OPTIONAL (but recommended) – I set up my account for online submission **AT LEAST ONE WEEK BEFORE** being ready to submit my final, approved paper (use the “items needed” as a checklist, above in the Submission Instructions section)
- Submitted my final, approved thesis or capstone project by the submission deadline