

*University of Washington  
Graduate School*

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# **Style and Policy Manual for Theses and Dissertations**

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*Revised Edition*  
**2002\***

*\* Formatting requirements have not changed since the 1999 edition.*

## **To the Graduate Student**

A thesis or a dissertation is the outcome of a substantial effort. Its content and style will reflect on you, faculty members who have guided your work, and on the University of Washington. By adhering to the standards set forth in the following pages you will be presenting your work in a professional manner, to the credit of all who have contributed to it.

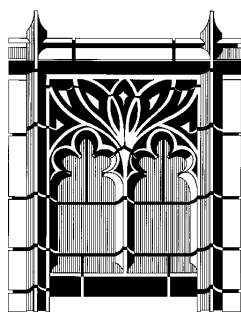
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The Graduate School

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## **Style and Policy Manual**

### **for Theses and Dissertations (Revised 2002\*)**

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#### **Introduction** (*PLEASE read carefully before proceeding*)

- The requirements described in this style and policy manual have been established so that theses and dissertations are presented in a form suitable for library cataloging and shelving. The document takes its place in the library as a product of original thinking and research, and it is, therefore, designed to appear in form comparable to a published work.
- It is your responsibility to read and follow the requirements presented here and to submit documents of the highest quality. The final copies will not be accepted with corrections, insufficient margins, or if they are of such poor quality that reproduced and/or microfilmed copies cannot be made.
- The Graduate School requirements cover the general rules of format and appearance. Please consult your Supervisory Committee for specific content requirements. Thesis advisers in the Graduate School are available for questions and should be consulted before the final preparation and presentation of the thesis.
- Because of changes in requirements, students should not use existing library or departmental copies of theses/dissertations as examples of proper format.
- 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 constitutes plagiarism whether it is intentional or unintentional and whether it is the work of another or of you.

**The University of Washington takes plagiarism very seriously.  
It will not be tolerated.**

\* *Formatting requirements have not changed since the 1999 edition.*

## **Information for Graduation**

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### **Deadlines--Application for Degree**

#### **Master's Candidates**

- Candidates must now apply for graduation on the web at:  
<http://www.grad.washington.edu/stsv/mastapp.htm>
- The secure web site will ask you for your UW NetID and password. If you cannot complete the online master's request, please contact Graduate School Student Services.

The on-line application period commences Monday, the third week of each quarter and closes Friday (midnight ) Pacific Time), the second week of the subsequent quarter (the quarter you intend to graduate). For example, if completing in Winter Quarter, the earliest an on-line request can be submitted is the third week of Autumn Quarter and the latest is Friday of the second week of Winter Quarter.

If you do not receive your degree in the requested quarter, you must complete another degree request the quarter in which you expect to complete requirements.

- **Thesis Option:** The signed *Request for Master's Degree* (hereafter called the *Warrant*), and two signed and approved copies of the master's thesis must be submitted to the Graduate School **by 5:00 p.m.** on the last day of the quarter (the last day of final examination week).
- **Non-thesis Option:** The signed warrant must be submitted to the Graduate School **by 5:00 p.m.** on the last day of the quarter (**the last day of final examination week**).

#### **Ph.D. Candidates**

- A Reading Committee consisting of three members of the Supervisory Committee is established with the Graduate School. Students are encouraged to establish this committee the quarter before the Final Examination.
- When the Supervisory Committee agrees that the doctoral candidate is prepared to schedule the Final Examination, a Request for Final Examination form signed by all members of the Supervisory Committee is presented to the Graduate School. The Request must be submitted a minimum of three weeks prior to the scheduled examination date.
- If the Candidate has met all Graduate School requirements for the degree, a warrant authorizing the examination will be issued by the Graduate School. The date, time, and location are published in University Week.

## **Submission of Theses/Dissertations to the Graduate School**

- Documents will no longer be evaluated or accepted on a walk-in basis. The **ONLY** exception is during Finals Week.
- Preliminary checks will be done for documents left at the Graduate School Receptionist's Desk (G-1 Communications). Results will be available within 1-2 days.
- Appointments are **required** for final submission of theses and dissertations and optional for those needing additional assistance with a complex document.

### **Preliminary Check of Your Document:**

- If at all possible, we ask that preliminary evaluations of documents be done **BEFORE** Finals Week.
- Students are to leave their documents at the Receptionist's desk with phone number and e-mail address where they can be reached.
- Once the document has been evaluated, the student will be notified via phone or e-mail that the document is ready for pick up. At that time, the student will be informed if formatting is correct or if corrections must be made. Specific correction information will be attached to the document.
- Students may choose to pick up the document in person or have it sent to them via Inter-campus mail.
- Documents will **NOT** be returned via U.S. Postal Service unless the student submits a self-addressed, stamped envelope.

### **Appointments for Final Submission**

**Appointment hours: 10-11:30 a.m. and 1:30-3:45 p.m.**

- **15 minute appointments may be made in the following ways:**
- Phone: 206/543-5900
- E-mail: [blueizs@grad.washington.edu](mailto:blueizs@grad.washington.edu)
- In Person: Graduate School Reception Desk, G-1 Communications

### **Submission of Final Copies (Master and Ph.D. )**

- Two **unbound** copies of your manuscript must be submitted **in person** to the thesis adviser at the Graduate School, G-1 Communications Building. If you are unable to present the document yourself, another person may submit it for you. (For those **OUTSIDE** the Seattle area, please see *Submission of Theses and Dissertations by Mail* on page 7.)



- Each Copy must be presented in a separate envelope with a copy of the Title Page taped securely to the outside. Please do not use padded envelopes. **Do NOT bind the document in ANY way.** The envelope will hold your pages together.
- Each document must have a signature page with original signatures.
- Remember to bring the green binding fee receipt from the Cashier's Office with you.
- If completed at the time, bring the original signed warrant with you when you submit your document. Please make a copy for your records **before** submitting it to Student Services.

### Special Dissertation Requirements

Several forms will be given the Ph.D. candidate at his/her defense. They will need to be completed as follows:

1. **Doctoral Dissertation Agreement Form (*required*)** The form is also known as the "Microfilm Agreement Form". The form is page **A6** in the 8½ x 11 inch pamphlet entitled, *Publishing Your Dissertation: How to Prepare Your Manuscript for Publication*.

- Be certain to sign the back of the form and attach an extra copy of your title page and abstract.
- **If you are microfilming only the Abstract**, you will need a different Agreement Form. It is available at the Student Services Office when you submit your dissertation.

Please tell your Thesis Adviser at the time of submission that you will need the *Publish Abstract Only Agreement*.

**The Abstract Only choice requires you bring an extra envelope with a title page attached** which will contain the *Publish Abstract Only Agreement* and extra copy of the title page and abstract.

2. **Survey of Earned Doctorates (*optional*)** If you choose not to complete this questionnaire, write your name on the front and submit it to Student Services uncompleted.
3. **Exit Questionnaire (*optional*)**
4. **Diploma Card (*required if you want to receive a diploma*)**

## **Fees**

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**Fees are to be paid at the Cashier's Office, 129 Schmitz.** The green receipt must be shown to the Thesis Adviser at the time the manuscript is submitted. Fees are subject to change.

### **Master's Thesis**

- \$25     Covers binding costs for two copies required by the UW.  
The Graduate School will send your documents to the Bindery.  
Both copies will be placed in the University library. (For additional copies, please see **Additional Copies** section below.)

### **Doctoral Dissertation**

- \$25     Covers binding costs for two copies required by the UW.  
Both copies will be placed in the University library. (For additional copies, please see **Additional Copies** section below.)
- \$60     Microfilming entire dissertation.
- \$60     Microfilming abstract only.
- \$45     Optional copyright fees (Not available to those microfilming only the abstract.)

### **Please note:**

*Part of the obligation of research is publication, and in the case of doctoral research, this means microfilm publication of the dissertation and/or abstract. This is a Graduate School requirement in addition to any previous or planned publication of any or all the dissertation. Microfilming allows worldwide distribution of your work.*

## **Extra Bound Copies of Your Thesis or Dissertation**

- Arrangements can be made at the **Communications Copy Center, B-042 (206/543-9630)** or **Gerberding Hall Copy Center, B-36 (206/543-6131)** for additional copies. Take extra copies of the manuscript you wish to have bound to the copy center and pay fees when you place your order. If you have any questions regarding your bound copies after you have placed your order, please contact the copy center where you ordered your copies.
- If you order extra copies of **dissertations** from **Proquest Information and Learning**, it will probably take longer to get your copies than if you order from a campus copy center. Your dissertation is not sent to them until one to two months **after the end of the quarter** due to time needed for proofing the graduation list and processing the shipment. Any questions regarding your order should be directed to **Proquest Information and Learning** at 800/521-0600, ext. 7020.
- Student Services is not involved with the process of ordering additional copies and is unable to assist with questions regarding orders placed by students.

## **Submission of Theses and Dissertations by Mail**

**For those who live outside of Seattle**, you may submit a completed thesis or dissertation via U.S. Mail, Federal Express, UPS, etc., only if you ensure the items listed below are included with your thesis or dissertation. (For those in the Seattle area, please see *Submission of Final Copies (Master and Ph.D.)* on page 3.) **We will not accept a dissertation or thesis by mail if any required documents are missing. You must also have had a preliminary check done for correct format as you will be required to send the receipt given to you by the thesis adviser.**

Documents should be mailed to:

Thesis/Dissertation Adviser  
Graduate Student Services, Box 353770  
G1 Communications Building  
University of Washington  
Seattle, WA 98195-3770

### **Master's Thesis**

- Two copies of the thesis with original signed signature pages and Quote Slips.
- Two envelopes large enough to hold a copy of the thesis, each with a copy of the title page attached to the envelope.
- Green fee receipt showing the \$25 binding fee has been paid at the Cashier's Office. You can pay in advance by mail, but the fee receipt is **REQUIRED**. Do **NOT** send a check to Student Services with your thesis. Contact the Cashier's Office for instructions on payment by mail. (staccts@u.washington.edu)
- The receipt indicating your thesis was brought in to a thesis adviser for a preliminary check on your format.
- It is YOUR responsibility to make certain the signed *Request for Master's Degree* (Warrant) has been submitted to the Graduate School by 5:00 p.m. on the last day of finals week. Include the signed Warrant with your thesis if you have it. If your department has agreed to submit the signed warrant for you, please call Student Services to verify the Warrant has arrived.

It is **strongly** recommended you send your thesis via certified mail in plenty of time for it to arrive BEFORE 5:00 p.m. on the last day of finals week. **Graduate Student Services will not be responsible for a thesis that does not arrive before the deadline.** Students whose documents do not arrive before the deadline will **NOT** graduate until the next quarter and will be required to be registered for a minimum of 2 credit hours.



## Doctoral Dissertation

- Two copies of the dissertation with original signed signature pages and Quote Slips.
- Two envelopes large enough to hold a copy of the dissertation, each with a copy of the title page attached to the envelope.
- Green fee receipt indicating fees have been paid at the Cashier's Office. You can pay in advance by mail, but the fee receipt is **REQUIRED**. Do **NOT** send a check to Student Services with your thesis. Contact the Cashier's Office for instructions on payment by mail. (staccts@u.washington.edu)
- The receipt indicating your dissertation was brought in to a thesis adviser for a preliminary check on your format.
- It is YOUR responsibility to make certain the signed Warrant has been submitted to the Graduate School by 5:00 p.m. on the last day of finals week, OR by the end of your 60 days, whichever comes first. Either include the warrant with your thesis if you have it, or check with your department to make certain the signed document was returned by them for you.
- All questionnaires and surveys must be included with your dissertation.
- The microfilm form **MUST** be included with your dissertation. A copy of the title page and abstract form must be attached to it.
- If you are microfilming only the abstract, you must contact Student Services for a copy of the Abstract microfilm form in time to complete it and include it when you send your dissertation.

It is **strongly** recommended that you send your document via certified mail in plenty of time for it to arrive BEFORE 5:00 p.m. on the last day of finals week or at the end of your 60 days, whichever comes first. **Graduate Student Services will not be responsible for a dissertation that does not arrive by the deadline.** Students whose documents do not arrive before 5:00 p.m. on the last day of finals week will **NOT** graduate until the next quarter. The student will be required to register for a minimum of 2 credit hours.

## General Information

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### Language

- The thesis must be written in English.
- Under exceptional circumstances, another language may be used if the Graduate School and your graduate department have granted prior approval.
- The fact that English is not one's native language does not constitute an exceptional circumstance.

### Paper

- Use only 8 ½" x 11" white paper.
- Smooth, flat-surfaced paper such as photocopy paper is preferred.
- Special cotton bond thesis paper is not required.

### Margins

- **Margins are white spaces with nothing in them. Due to printer variations, measure your margins to make certain your margins are accurate.**
- The strict margin requirement is due to the bindery process in which the pages are trimmed.
- A minimum of 1.5 inches on the left (binding side).
- A minimum of 1 inch on top, right and bottom.
- Page numbers and footnotes **cannot** be located in the margins.

- **A 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, Header/Footer. Once there, type 1" for both header and footer.

## Fonts

- Fonts that will be accepted without question are: Times Roman, Helvetica, Courier and Bookman. Any font that is simple, reproduces clearly and is easily read will be accepted.
- The same typeface and size must be used throughout the text.
- Acceptable font sizes are: 10 point, 11 point, 12 point, and 13 point.
- Larger type up to 16 point can be used for chapter/section titles.
- Footnotes and footnote numbers can be in a smaller font than text, i.e., 9 point.
- Special fonts for such languages as Chinese, Sanskrit, Russian, etc., are allowed within the text, but cannot be used exclusively.
  - If a computer font is not available for a symbol or a language, characters can be written neatly by hand with black ink.

## Printer

- All laser printer copy will be accepted if using a new printer cartridge.
- When producing a master's thesis the text must be near-letter-quality if using a dot-matrix printer.
- Dot-matrix printers **cannot** be used for doctoral dissertations due to microfilming requirements.
- Ink jet copies can run when wet. If possible, please give us copies of documents if you use ink jet printers instead of the original pages.

## Corrections

- Corrections on the submitted copies, i.e., whiteout, correction tape, interlineations, etc., will not be accepted. If you need to use whiteout or correction tape on a page, remember to make a copy of the page before bringing it in for submission.
- All submissions must be neatly executed and correct in spelling, punctuation and format.
- **PROOF CAREFULLY** before copying and submitting your document to the Graduate School!
- After your thesis or dissertation has been submitted to the Graduate School corrections will only be accepted under extremely limited circumstances! A letter from the Chair of your committee will be required.
- Once copies are sent to the bindery, no corrections will be accepted.



## **Duplicating the Thesis/Dissertation**

Only black type on white paper will be accepted.

- In addition to original laser copies, we will accept high quality copies of original laser pages.
- Copies presented to the Graduate School must be clear and the same intensity throughout. Submissions will not be accepted if the print is of poor quality.
- Quality varies regardless of whether you use an on-campus copy center or one off-campus. Before leaving the copy center with your document it is recommended you check your documents for quality and to ensure there are no missing pages.

## **Arrangement of pages and pagination**

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### **Copyright Page (*optional—see example on pages 28-29*)**

#### **Master's Thesis**

- Registration for copyrighting is **optional** for Master's candidates. If you choose to copyright, you must do so independently through the copyright office of the Library of Congress. Call the Federal Information Office, (202) 707-3000 for information.

#### **Doctoral Dissertation**

- Registration for copyrighting is optional for Doctoral Candidates. If you choose to formally copyright your work, you retain all other control over your dissertation and are free to grant all other publishing rights as you wish. See "Fees" on page 29 for copyright fee information. If you have questions about copyrighting, please call **Proquest Information and Learning** at: (800) 521-0600. The publishing agreement with **Proquest Information and Learning** (*formerly University Microfilms International—UMI*), allows for publication from a microform master copy only.
- To copyright through **Proquest Information and Learning** you must have the entire dissertation microfilmed, not just the abstract. Candidates choosing to publish only the abstract may copyright their dissertations by following the instructions for the master's theses.
- Copyrighted materials cannot be used beyond "fair use" in dissertations without the permission of the author(s). If you have questions, please check the following resources:

**UW Copyright Connection:** <http://depts.washington.edu/uwcopy>

**Proquest Information and Learning** at (800) 521-0600.

<http://lcweb.loc.gov/copyright/>

<http://www.loc.gov/copyright/faq.html>

<http://www.bellhowell.infolearning.com/hp/Support/DServices/prepare/>

### **Title Page (*required—see example on pages 30-31*)**

- The Title Page is not counted and has no page number.
- The UW transcript will allow a total of two hundred characters, including spaces, in the title.
- Formulas, symbols, superscripts, subscripts, Greek letters, and chemical names must be expressed in words.
- **Type the exact title of the degree being earned.** Do NOT abbreviate degree; type the words. Some departments offer several degrees. Please check with your department if you are uncertain of which degree you are earning.
- Your **first and last name** must conform exactly to University records.
- No professional or other titles or initials such as "M.D." may accompany your name.
- The Program Authorized to Offer Degree is the academic unit through which the degree is officially offered, not the title of the degree itself.
- Do not put illustrations on the title page.

### **Signature Page (*required—see examples on pages 32-35*)**

- The Signature Page is not counted and has no page number.
- Remember: You will need **TWO** copies with original signatures.
- The number of signature lines can be adjusted according to the size of your Committee.
- Do **NOT** include the Graduate Faculty Representative.
- Do **NOT** include professional titles or degrees on the Signature Page.
- **Master's Thesis:** All committee members. (*see example*)
- **Doctoral Dissertation:** Chair of the Supervisory Committee and all Reading Committee members. (*see example*) **If your chair is part of the Reading Committee, have him/her sign as chair AND as Reading Committee Member.**

### **Quote Slip (*required*)**

- The Quote Slip is not counted and has no page number
- If you are submitting a dissertation, **do not confuse this page with the Microfilm Agreement Form** that is found in the black and orange 8½ x 11 inch pamphlet entitled, *Publishing Your Dissertation: How to Prepare Your Manuscript for Publication*.
- Original signed Quote Slips must be included in both copies.
- Choose the appropriate wording:
  1. Master's candidates must use **Example 1** (*See Example 1 on page 36-37*)
  2. Doctoral candidates choosing to microfilm their entire dissertation must use **Example 2**. (*See Example 2 on page 38-39*)
  3. Doctoral candidates choosing to microfilm only their abstract must use **Example 3**. (*See Example 3 on page 40-41*)

### **Abstract (*required for dissertations—see example on page 42-43*)**

- The abstract is not counted and has no page number.
- Optional for Master's thesis.
- The title of the document must appear exactly as 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 M.D. will be accepted.
- The text of the Abstract must be one-and-one-half or double-spaced and must conform to margin requirements.
- All Doctoral abstracts are published in full in Dissertation Abstracts International and must not exceed 350 words.
- Do not put illustrations on the Abstract.

## **General information for the following preliminary pages:**

- Each page is numbered using lower case Roman numerals centered at the bottom of the page.
- **Preliminary pages should appear in this order:** Table of Contents, List of Figures, List of Tables, Glossary, Preface, Acknowledgements, Dedication. **EACH PAGE MUST HAVE A PAGE NUMBER, *including* the first page of the Table of Contents.**

### **1. Table of Contents** (*required—see example on page 44-45*)

- The first page of the Table of Contents is counted as page one.
- Lower-case Roman numeral page number must be centered at the bottom of the page.
- The numbering and wording of titles and headings must be consistent with the text.
- All preliminary pages must be included in the Table of Contents **except** Acknowledgements, Dedication and Vita.

### **2. List of Figures** (*required—see example on page 46-47*)

- If your document includes figures, you must identify them in a List of Figures that is a separate page in the preliminary pages.
- The List of Figures must be formatted according to example.
- Lower-case Roman numeral page number must be centered at the bottom of the page.
- The page number must run consecutively with the last page of the Table of Contents.
- Captions may be abbreviated if necessary, but you must include caption title with the figure number.
- The List of Figures should be included in your Table of Contents.

### 3. **List of Tables** (*required—see example on pages 48-49*)

If your document includes tables, you must identify them in a List of Tables that is a separate page in your Preliminary pages. Do not list tables on the same page you have listed your Figures.

- Lower-case Roman numeral page number must be centered at the bottom of the page.
- Captions may be abbreviated if necessary, but you must include caption title with the figure number.
- The List of Tables should be included in your Table of Contents.

### 4. **Glossary** (*optional*)

- Can also be located before the Bibliography.
- The Glossary should be included in your Table of Contents.
- Lower-case Roman numeral page number must be centered at the bottom of the page.

### 5. **Preface** (*optional*)

- The Preface **DOES** appear in the Table of Contents
- Lower-case Roman numeral page number must be centered at the bottom of the page.

### 6. **Acknowledgements** (*optional—see example on pages 50-51*)

- Acknowledgements do **NOT** appear in the Table of Contents.
- Lower-case Roman numeral page number must be centered at the bottom of the page.

### 7. **Dedication** (*optional—see example on pages 52-53*)

- Dedication does **NOT** appear in the Table of Contents.
- Lower-case Roman numeral page number must be centered at the bottom of the page.

## Text

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- Must be space-and-one-half or double-spaced.
- Footnotes, tables and quotations may be single-spaced.
- The first page of the text is counted as page 1.
- **EACH PAGE MUST HAVE A PAGE NUMBER, *including* the first page of each chapter or main section.**
- The Bibliography/List of References, Appendices, and Vita appear in this order after the main body of the text.

## Pagination

- Each page is numbered using Arabic numerals centered at the top of the page or in the upper right-hand corner.
- **Page numbers** must be 1 inch from the top and right edge of the paper. This is required by the bindery and is not negotiable. The text begins at 1.5 inches from top of the page.
- Use only whole numbers. Manuscripts using numbers such as 1a, 1b, etc., will not be accepted.
- Page numbers **cannot** be embellished with dashes, parentheses, etc.
- Documents with running heads will not be accepted.
- Papers submitted with hand-written page numbers will not be accepted.
- Blank pages with or without page numbers will not be accepted.

## Organization

- Only major divisions, whether called chapters or not, are to start on a new page.
- Divisions within chapters must be contiguous with the previous text.
- Major divisions, Chapter Notes and End Notes must start on a new page.
- SPECIAL INSTRUCTIONS for Theses and Dissertations containing separate studies or papers:
  - Separate studies or papers submitted as one thesis or dissertation are to be treated as "Chapters" although they do not have to be called "Chapters".
  - Combined papers require one comprehensive Abstract, one set of preliminary pages, and Bibliography or List of References.
  - Page numbers must run consecutively throughout the text.

## Citations

- Notes contain additional textual material or references to specific citations in the text and may be presented in one of three ways:
  1. **Footnotes** located at the bottom of each page.
  2. **Chapter Notes** appearing at the end of each chapter. They begin on a new page and should be titled: "Notes to Chapter \_\_\_\_."
  3. **End Notes** at the end of the text and placed before the Bibliography or List of References. **End Notes cannot substitute for a Bibliography or List of References**



**The following sections should appear after the text in this order:** Bibliography, List of References, Appendices, Vita. For page details, see entries below.

### **Bibliography/List of References** (*required*)

- A Bibliography or List of References is a comprehensive list of all sources used by the author arranged alphabetically.
- Paginate consecutively with the rest of the document.
- The Graduate School will accept any recognized format.
- Do not confuse the Bibliography/References with End Notes.
- References can be single-spaced, but you should insert a space-and-a-half or double-space between each entry.

### **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.
- Appendices should be paginated consecutively with the rest of the document.
- If necessary, you must reduce the size of the Appendix material to fit the required margins.
- Illustrations in previously published material that you are presenting as appendices may retain the original identification and should not be listed in the preliminary pages.
- Each appendix must have a title. That title should also appear in the Table of Contents. See Table of Contents example on page 45.

### **Vita** (*required for Ph.D., not required for Master's candidates—Sample on pages 54-55*)

- A Vita or biographical note must contain the name of the author and the date and granting institution of each advanced degree.
- The Vita may also include other publications by the author.
- The Vita should be paginated consecutively with the rest of the document.
- Do **NOT** include Vita in the Table of Contents.

## **Figures**

---

- Figures include photographs (original or photocopies), charts, graphs, maps, diagrams, and drawings. You may call them "examples", "exhibits", "illustrations", etc. but they are all considered to be figures.
- All figures must be listed in the preliminary pages in a List of Figures.
- Include the figure number and title of the figure in the List of Figures. If necessary, titles can be abbreviated in the List of Figures.

### **Placement of Figures**

- A figure is either inserted in the text as close as possible after the first reference is made to it, or grouped at the end of the chapter in which it is discussed with the other illustrations. Use one method and use it consistently.

### **Color**

- Color copies are accepted, but if color is used in one copy presented to the Graduate School, it must be used in both.

### **Figure Captions**

- **Captions must appear below the figure.**
- Figure captions should contain the illustration number, i.e., Figure 1, and its title.
- You can number them using Arabic or Roman numerals as long as you pick one and use it consistently.
- You can number figures consecutively throughout the text or within the chapter or section, i.e., Figure 1.1 [Title] as long as you pick one and use it consistently.
- Captions may be single-spaced.
- Figure captions must all be in the same typeface throughout the document.
- If illustrations are reduced, font style and size of font used for the caption and page number must be consistent throughout the document.
- Captions must not appear on mounted materials.

### **Fonts Used Inside Figures**

- Type within the table or figure does not have to be the same size or font as the caption.

## Horizontal Orientation of Figures

- Figures appearing horizontally on the page should be positioned so that the top is on the left margin.
- **The caption must also be placed horizontally.**
- The page number must still be located in the same place and orientation as other page numbers in the document. This can be done by cutting, pasting and copying the page; typing the number on the page using a typewriter; or running the page through the printer once for the number and again for the illustration.

### A tip for those using Word:

- If you have a figure positioned horizontally on the page, you will need to place the page number in the same orientation as the page numbers in the rest of your document.
- To rotate a page number, choose Insert and then Text Box. A cross will appear in place of your cursor. Click on the page where you want your number located.
- In the small instruction box that appears, type your page number. (You may have to resize the box to read the number.)
- Click the right icon to “Change Text Direction”. Click until the number is in the proper orientation.

## Facing Captions

- Facing captions can be used if the figure is large enough to not allow space for it and the caption on the same page.
- The caption appears on the left facing the figure on the right.
- The facing page is bound on the right side, therefore the right margin must be 1.5 inches.
- **Both the caption page and the figure page are considered one page. The page number appears on the facing page either centered or in the upper left corner, whichever corresponds to the number position in the rest of the text.**
- In single-sided presentations, the facing page may not be printed on the back of the preceding page.

## Tables

---

- All tables must be listed in the preliminary pages in a List of Tables.
- If necessary, titles may be abbreviated in the List of Tables.

### Placement of Tables

- A table is either inserted in the text as close as possible after the first reference is made to it, or grouped at the end of the chapter in which it is discussed with the other tables. Choose one method and use it consistently.
- Long tables may be broken to fit onto more than one page. “Table [insert table number] continued” should be typed at the top of the next section of the table.

### Table Captions

- Table captions are located **ABOVE** the table.
- You may number tables consecutively throughout the text or within the chapter or section, i.e., Table 1.1 [Title] as long as you pick one and use it consistently.
- You may number them using Arabic or Roman numerals as long as you pick one and use it consistently.
- Table captions should contain the illustration number, i.e., Table 1, and its title.
- They may be single-spaced.
- Table captions must all be in the same typeface throughout the document.
- If fonts inside the table are reduced, the caption and page number must remain the same size as those of the other figures.
- Captions must not appear on mounted materials.

### Fonts Used Inside Tables

- Type within the table or figure does not have to be the same size or font as the caption.

## Horizontal Orientation of Tables

- Tables are captioned ABOVE the table.
- Tables appearing horizontally on the page should be positioned so that the **top** runs along the left margin.
- **The caption must also be placed horizontally.**
- The page number must still be located in the same place and orientation as other page numbers in the document. This can be done by cutting, pasting and copying the page; typing the number on the page using a typewriter; or running the page through the printer once for the number and again for the illustration.

### A tip for those using Word:

- If you have a table positioned horizontally on the page, you will need to place the page number in the same orientation as the page numbers in the rest of your document.
- To rotate a page number, choose Insert and then Text Box. A cross will appear in place of your cursor. Click on the page where you want your number located.
- In the small instruction box that appears, type your page number. (You may have to resize the box to read the number.)
- Click the right icon to “Change Text Direction”. Click until the number is in the proper orientation.

## Facing Captions

- Facing captions can be used if the table is large enough to not allow space for it and the caption on the same page.
- The caption appears on the left facing the table on the right.
- The facing page is bound on the right side, therefore the right margin must be 1.5 inches.
- **Both the caption page and the table page are considered one page. The page number appears on the facing page either centered or in the upper left corner, whichever corresponds to the number position in the rest of the text.**
- In single-sided presentations, the facing page may not be printed on the back of the preceding page.

## **Oversized Figures and Tables**

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- If figures or tables are larger than 8 ½ x 11 inches, you have three options: Reduction of the figure or table, folding the figure or table and binding it into the document, or putting the folded figure or table in a pocket.

### **1. Reduction**

- Copies must be clearly legible.
- Page numbers and captions must remain full-size.

### **2. Folding**

- An oversized page can be bound into the document provided it is folded properly. The page should be 11" in height to be bound properly with the other pages.
- Please do not fold pages without consulting a thesis adviser. If it is not done correctly, the page may be damaged in the binding process.
- Correct margins and position of page number must be maintained on the oversize page.

### **3. Pocket Material**

- Pocket material must be folded to within 7 x 10 inches. No number is required, but pocket material must be listed in the Table of Contents.
- If the pocket material is a CD, Ph.D. candidates must submit 3 copies as Bell & Howell Information and Learning keeps a CD for their records.

## **Exhibits**

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- Items such as videos, a group of slides, or a model can be submitted with a thesis/dissertation.
- The exhibit must be clearly and neatly labeled.
- Extra copies of the Title Page are required to attach to the exhibit for identification purposes.
- If an exhibit is an integral part of the thesis/dissertation, two identical versions must be submitted. In certain instances this is unfeasible, such as in the case of a three-dimensional model. With prior approval from the Graduate School, the two copies of the thesis/dissertation may be presented with one exhibit only.

## **Double-Sided Format**

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- This format is most useful for theses and dissertations consisting primarily of text with few figures or tables.
- Those planning to incorporate folding pages or photographic paper for figures will find it difficult to follow the double-sided format. In these instances we strongly recommend using the single-sided format.
- Your document should be copied front-to-back before you submit it to the Graduate School. The pages you submit will be bound as is. The Graduate School ***WILL NOT*** make the front-to-back copies for you.

### **Paper**

- Paper must be heavy enough to minimize print on reverse side showing through.

### **Margins**

- The same margins are in effect as in the one-sided format, i.e., 1.5 inches on the binding side and 1 inch on the remaining three sides.

### **Pages Remaining Single-Sided:**

- Title Page
- Signature Page
- Quote Slip
- Abstract

### **Double-Sided Pages**

#### **Table of Contents begins double-sided pages**

- Page numbers remain the same as single-sided format, i.e., lower case Roman numerals centered at the bottom of the page with a 1" margin below the number.

#### **Text is Double-Sided**

- Page numbers appear at the top of the page either centered or on the outer corner of the page.
- Page numbers on the left page must be centered or in the upper **left-hand** corner.
- **The first page of Text must begin on a right-hand page.**
- There can be ONE unnumbered blank page located between the preliminary pages and Chapter 1 to allow the first page of text to appear on the right.
- Subsequent chapters or major sections **start on the next page with no blank pages between.**

**Figures**

- Figures will carry text on the reverse side.

**Facing Captions**

- If you use Facing Captions, the captions must face the figure or table to which they refer.
- No blank pages may appear in the text to accomplish this.
- Unlike single-sided presentations, each page will be numbered separately.



## **Sample Pages**

---

## **Sample Copyright Page**

### **—Should NOT have a page number**

Instructional information is placed in brackets to help you format your document. Please do not include brackets or instructional information in your document.

Hints:

- Those using Microsoft Word can find the copyright symbol by choosing “Insert”, then “Symbol”. Double-click the “©” and Word will insert it onto your page at the cursor location.
- The student’s name as in university records means that the first name and the last name should be the same. You can use the middle name or the middle initial, or not include the middle name in any form.

See page 12 for further information on copyrighting.

[Page number 29 is for Style Manual only.  
Do NOT put a page number on your Copyright page.]

[Sample Copyright Page]

©Copyright [Year]

[Your name as it appears in UW student records]

## **Sample Title Page**

**—Should NOT have a page number**

Instructional information is placed in brackets to help you format your document. Please do not include brackets or instructional information in your document.

Hints:

- The student's name as in university records means that the first name and the last name should be the same. You can use the middle name or the middle initial, or not include the middle name in any form.
- Be certain to type in the correct degree title. If you are uncertain of the EXACT wording of your degree, please check with your department.
- If you are a Master candidate, do NOT use the plural of Master, i.e., "Master's" in your degree title. It should be singular, "Master".
- If you are a Ph.D. candidate, do NOT use the term, "Doctorate" in your degree title. It should be Doctor of Philosophy, Doctor of Education, or Doctor of Musical Arts.
- The "Program authorized to Offer Degree" is your department or program's name, NOT the degree title.

Additional instructions for the Title Page are on page 13.

[Page number 31 is for Style Manual only.  
Do NOT put a page number on your Title page.]

[Sample Title Page]

[Title of your document]

[Your **name** as found in official UW records, do not include professional titles]

A [**thesis or dissertation, choose one**] submitted in partial fulfillment of the  
requirements for the degree of

[Name of Degree]  
[Spell out degree, do **NOT** abbreviate]

University of Washington

[Type in YEAR of graduation--Do NOT include day and month]

Program Authorized to Offer Degree: [type in your program or department name]

## **Sample Dissertation Signature Page**

### **—Should NOT have a page number**

Instructional information is placed in brackets to help you format your document. Please do not include brackets or instructional information in your document.

#### Hints

- The student's name as in university records means that the first name and the last name should be the same. You can use the middle name or the middle initial, or not include the middle name in any form.
- If you are writing a Dissertation and your Chair is also on the Reading Committee, please include a line in the Reading Committee section for him or her.
- Type the names of your Chair and Reading Committee beneath the signature lines, but do not include titles or initials such as Professor or Ph.D.

Additional instructions for the Signature Page are on page 13.

[Page number 33 is for Style Manual only.  
Do NOT put a page number on your Signature page.]

[Sample Dissertation Signature Page]

University of Washington  
Graduate School

This is to certify that I have examined this copy of a doctoral dissertation by

[Your **name** as found in official UW records, no professional titles]

and have found that it is complete and satisfactory in all respects,  
and that any and all revisions required by the final  
examining committee have been made.

Chair of Supervisory Committee:

---

[Type **full name** of chair beneath signature line.]  
[If the chair is on the Reading Committee,  
include a line for him/her in the section below.]

Reading Committee:

---

[Type **full name** of committee member beneath signature line.]

---

[Type **full name** of committee member beneath signature line.]

---

[Type **full name** of committee member beneath signature line.]

Date: \_\_\_\_\_

## **Sample Thesis Signature Page**

### **—Should NOT have a page number**

Instructional information is placed in brackets to help you format your document. Please do not include brackets or instructional information in your document.

Hints:

- The student's name as in university records means that the first name and the last name should be the same. You can use the middle name or the middle initial, or not include the middle name in any form.
- ALL committee members are required to sign.
- Type the names of your Committee beneath the signature lines, but do not include titles or initials such as Professor or Ph.D.

Additional instructions for the Thesis Signature Page are on page 13.



[Page number 35 is for Style Manual only.  
Do NOT put a page number on your Signature page.]

[Sample Thesis Signature Page]

University of Washington  
Graduate School

This is to certify that I have examined this copy of a master's thesis by

[Your **name** as found in official UW records, do not include professional titles]

and have found that it is complete and satisfactory in all respects,  
and that any and all revisions required by the final  
examining committee have been made.

Committee Members: [All committee members are required to sign.]

---

[Type **full name** of committee member beneath signature line.]

---

[Type **full name** of committee member beneath signature line.]

Date: \_\_\_\_\_

## **Example 1: Quote Slip for Master's Thesis**

### **—Should NOT have a page number**

Instructional information is placed in brackets to help you format your document. Please do not include brackets or instructional information in your document.

Hint:

- Do not change the wording of the Quote Slip.

Additional instructions for the Master's Thesis Quote Slip are on page 14.

[Page number 37 is for Style Manual only.  
Do NOT put a page number on your Quote Slip.]

[Sample Thesis Quote Slip]

In presenting this thesis in partial fulfillment of the requirements for a Master's degree at the University of Washington, I agree that the Library shall make its copies freely available for inspection. I further agree that extensive copying of this thesis is allowable only for scholarly purposes, consistent with "fair use" as prescribed in the U.S. Copyright Law. Any other reproduction for any purposes or by any means shall not be allowed without my written permission.

Signature\_\_\_\_\_

Date\_\_\_\_\_

## **Example 2: Quote Slip for Doctoral Dissertation**

### **—Should NOT have a page number**

Instructional information is placed in brackets to help you format your document. Please do not include brackets or instructional information in your document.

Hints:

- Do not change the wording of the Quote Slip.
- The Quote Slip is permission for the Microfilming process. It is NOT the Microfilm Agreement Form. The Microfilm Agreement Form is the fold-out sheet in the black and orange 8 1/2 x 11 inch pamphlet entitled, *Publishing Your Dissertation: How to Prepare Your Manuscript for Publication*.

Additional instructions for the Doctoral Dissertation Quote Slip are on page 14.

[Page number 39 is for Style Manual only.  
Do NOT put a page number on your Quote Slip.]

[Sample Quote Slip for Doctoral Dissertation]

In presenting this dissertation in partial fulfillment of the requirements for the Doctoral degree at the University of Washington, I agree that the Library shall make its copies freely available for inspection. I further agree that extensive copying of the dissertation is allowable only for scholarly purposes, consistent with "fair use" as prescribed in the U.S. Copyright Law. Requests for copying or reproduction of this dissertation may be referred to Proquest Information and Learning, 300 North Zeeb Road, Ann Arbor, MI 48106-1346, to whom the author has granted "the right to reproduce and sell (a) copies of the manuscript in microform and/or (b) printed copies of the manuscript made from microform."

Signature\_\_\_\_\_

Date\_\_\_\_\_

### **Example 3: Quote Slip for Doctoral Dissertation, Abstract Only —Should NOT have a page number**

Instructional information is placed in brackets to help you format your document. Please do not include brackets or instructional information in your document.

Hints:

- Do not change the wording of the Quote Slip.
- The Quote Slip is permission for the Microfilming process. It is NOT the Microfilm Agreement Form. If you are choosing to have only your Abstract microfilmed, ask for the Abstract Only Microfilm Agreement Form at the Student Services office.

Additional instructions for the Abstract Only Doctoral Dissertation Quote Slip are on page 14.

[Page number 41 is for Style Manual only.  
Do NOT put a page number on your Quote Slip.]

[Sample Quote Slip for Doctoral Dissertation—Abstract Only]

In presenting this dissertation in partial fulfillment of the requirements for the Doctoral degree at the University of Washington, I agree that the Library shall make its copies freely available for inspection. I further agree that extensive copying of the dissertation is allowable only for scholarly purposes, consistent with “fair use” as prescribed in the U.S. Copyright Law. Requests for copying or reproduction of this dissertation may be referred to Proquest Information and Learning, 300 North Zeeb Road, Ann Arbor, MI 48106-1346, or to the author.

Signature\_\_\_\_\_

Date\_\_\_\_\_

## **Sample Abstract**

**—does not have a page number**

Instructional information is placed in brackets to help you format your document. Please do not include brackets or instructional information in your document

Hints:

- The student's name as in university records means that the first name and the last name should be the same. You can use the middle name or the middle initial, or not include the middle name in any form.
- Do not include titles such as Dr. or Ph.D. in front of your Committee Chair's name. Use the academic title such as Professor, Associate Professor, etc. instead.

Additional instructions for the Abstract are on page 14.



[Page number 43 is for Style Manual only.  
Do NOT put a page number on your Abstract.]

[Sample Abstract]

University of Washington

**Abstract**

[Title of your thesis/dissertation]

[Your name as it appears in official UW records]

Chair of the Supervisory Committee:

[Academic title, i.e., Professor, Associate Professor, etc., **NOT** “Dr.”  
and name of committee chair]

[Chair’s department]

[Abstract text, space and a half or double-spaced, maximum of 350 words as required by  
Proquest Information and Learning]

## Sample Table of Contents

### Hints:

- You do not have to use the term “Chapter” to designate your main sections. For the purpose of the thesis or dissertation, the main sections of your document act the same as Chapters. The first page of each main section should start on a new page.
- You can use Arabic numbers to number your chapters even though for our example page we chose to use Roman numerals.
- Be certain to begin numbering your preliminary pages on the first page of the Table of Contents using **LOWER CASE** Roman numerals centered at the bottom of the page.
- If you are using Microsoft Word, you can line up your page numbers by setting your tabs to be right justified with the appropriate leader.

- Choose Format Tabs
- Choose the Tab Stop Position
- Choose Alignment Right
- Choose number 4 as your leader

Additional instructions for the Table of Contents are on page 15.

[Page number 45 is for Style Manual only. Table of Contents requires a lower case Roman numeral page number centered one inch from bottom of page]

[Sample Table of Contents]

## TABLE OF CONTENTS

	Page
List of Figures .....	ii
List of Tables .....	iii
Glossary [can also be located before Bibliography] .....	iv
Preface.....	v
Introduction.....	1
Chapter I: Case Study .....	2
Statement of Problem.....	3
Purpose of Study .....	3
Description of Terms .....	5
Chapter II: Conceptual Framework.....	12
Physiology of Problem.....	13
Sociology of Problem .....	21
Chapter III: Methodology .....	40
Selection of Communities.....	41
Selection of Subjects.....	43
Collection of Data.....	50
Analysis of Data.....	57
Chapter IV: Findings and Discussion .....	60
Description of Findings .....	63
Summary .....	71
Glossary [can also be located before Preface] .....	73
Bibliography .....	75
Appendix A: Questionnaire .....	77
Appendix B: Consent Form.....	78
Appendix C: Data Figures .....	79
Pocket Material: Map of Case Study Communities	

[Center lower case Roman numeral page number one inch from bottom of page]

## Sample List of Figures

Hints:

- Be certain to number using **LOWER CASE** Roman numerals centered at the bottom of the page.
- If you are using Microsoft Word, you can line up your page numbers by setting your tabs to be right justified with the appropriate leader.
  - Choose Format Tabs
  - Choose the Tab Stop Position
  - Choose Alignment Right
  - Choose number 4 as your leader

Additional instructions for the List of Figures are on page 15.

[Page number 47 is for Style Manual only. The List of Figures requires a lower case  
Roman numeral page number centered one inch from bottom of page]

[Sample List of Figures]

## LIST OF FIGURES

Figure Number	Page
1. Vicinity Map .....	12
2. Parcel Plan .....	13
3. Land Use .....	14
4. Local Access .....	16
5. Climate .....	17
6. Land Forms .....	18
7. Site Topography.....	21
8. Views .....	24
9. Functional Relationships.....	28
10. Spatial Magnitudes .....	36

[Center lower case Roman numeral page number one inch from bottom of page]

## Sample List of Tables

Hints:

- Be certain to number using **LOWER CASE** Roman numerals centered at the bottom of the page.
- If you are using Microsoft Word, you can line up your page numbers by setting your tabs to be right justified with the appropriate leader.

- Choose Format Tabs
- Choose the Tab Stop Position
- Choose Alignment Right
- Choose number 4 as your leader

Additional instructions for the List of Tables are on page 16.

[Page number 49 is for Style Manual only. The List of Figures requires a lower case Roman numeral page number centered one inch from bottom of page]

[Sample List of Tables]

LIST OF TABLES

Table Number	Page
1. Population Ratio .....	10
2. Parcel Development Since 1983 .....	13
3. Land Speculation .....	14
4. Local Access Estimate for the Year 2000.....	16
5. Climate Comparisons.....	17

[Center lower case Roman numeral page number one inch from bottom of page]

## Sample Acknowledgements

Hints:

- You can format the Acknowledgements in any way you choose as long as the margins are consistent with the rest of the document and the page number is a lower case Roman numeral centered at the bottom of the page.
- Acknowledgements do NOT appear in the Table of Contents.

Instructions for Acknowledgements can be found on page 16.



[Page number 51 is for Style Manual only. Acknowledgments Page requires a lower case Roman numeral page number centered one inch from bottom of page]

[Sample Acknowledgements]

## Acknowledgements

The author wishes to express sincere appreciation to the Department of English for their extended long-term support and especially to Professor John Smith for his vast reserve of patience and knowledge. This thesis would never have been completed without the encouragement and devotion of my family and friends.

[Center lower case Roman numeral page number one inch from bottom of page]

## Sample Dedication

Hints:

- You can format the Dedication in any way you choose as long as the margins are consistent with the rest of the document and the page number is a lower case Roman numeral centered at the bottom of the page.
- The Dedication does NOT appear in the Table of Contents.

Instructions for the Dedication can be found on page 16.

[Page number 53 is for Style Manual only. The Dedication requires a lower case Roman numeral page number centered one inch from bottom of page]

[Sample Dedication]

## **Dedication**

To my grandparents

[Center lower case Roman numeral page number one inch from bottom of page]

## Sample Vita

### Hints:

- The Vita should only accompany the Dissertation. They are not accepted for Master's Theses.
- You can format the Vita in any way you choose as long as the margins are consistent with the rest of the document and the page number is located in the same place as the preceding text.
- Some people only include their name and advanced degrees. The degree you are currently earning should also be listed on the Vita.
- Some people reformat their Resume to the margin and pagination requirements of the dissertation.
- The Vita does NOT appear in the Table of Contents.

Additional instructions for the Vita are on page 19.

**[page number must be centered or in upper right corner]**

[Sample Vita]

## **Vita**

Jonathan Jones was born in Chicago, Illinois. He has lived in many places throughout the world being the son of a military father. Currently he calls Seattle his home. At the University of Hawaii he earned a Bachelor of Arts degree in Art History and a Master of Arts in English Literature from Ohio State University. In 2001 he earned a Doctor of Philosophy at the University of Washington in English Literature.

