

**FORMAT GUIDELINES FOR DISSERTATIONS, TREATISES,  
THESES AND REPORTS**



**The University of Texas at Austin  
Graduate School**

July 2014

**Formatting questions not addressed in these guidelines should be directed to a  
Graduate School Degree Evaluator in person in Main 101 or by phone at 512-471-4511**

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## I. INTRODUCTION TO FORMAT GUIDELINES

The Graduate School accepts electronic theses, reports dissertations and treatises (henceforth called ETDs) in pdf format only. The pdf file of your ETD must be uploaded directly to the Texas Digital Library (TDL) at <https://utexas-etd.tdl.org/>. We recommend you request a format check by the Graduate School Degree Evaluators in Main Building, Room 101, prior to uploading your ETD. If you do not receive a preliminary format check, one will be performed at the time that you submit your final paperwork to the Graduate School.

Templates to assist you in formatting your ETD in MS Word for Windows and Mac OS are available at <http://www.utexas.edu/ogs/pdn>.

Graduate School Thesis and Dissertation Support Specialist Bob Penman is available to assist students who encounter formatting problems or who require assistance using the templates. Bob can be reached at [bpenman@austin.utexas.edu](mailto:bpenman@austin.utexas.edu) or at (512) 475-9365.

Additional information on preparing ETDs is available at <http://www.utexas.edu/ogs/etd/>.

In addition to uploading the pdf version of your ETD to the Texas Digital Library, all students must submit paper copies of the Title Page, Signature Page (with original signatures of the supervising committee), the Abstract on single-sided, white paper, the Statement of Research with Human Participants and the Statement of Research in Restricted Regions to the Graduate School in Main 101 on or before the published submission deadline. These last two forms are required of all students whether or not you used human participants and/or traveled to restricted regions. In addition, doctoral students must also provide proof that they have completed the Intellectual Property Tutorial.

NOTE: Committee signatures are not included on the signature page contained within the pdf file that is uploaded to the Texas Digital Library. Committee signatures are required on the loose signature page that is submitted to the Graduate School.

## II. YOUR OFFICIAL NAME AT THE UNIVERSITY OF TEXAS

All students must represent their full name as it is officially recorded by the Office of the Registrar at The University of Texas at Austin. This official name must be used anywhere your name appears in your ETD. Please note that your name in UT Direct may not reflect your officially recorded name. If you have any questions about your officially recorded name, you should contact the Student Records section of the Office of the Registrar.

If you wish to change your name (for example, to add a middle name or married name), you will need to contact the Student Records section of the Office of the Registrar in MAI 1.

When you upload your ETD to TDL, your middle name will be truncated to a middle initial. However, when your ETD is published, it will be published under your        name        as        officially        recorded        by        the Registrar's Office.

### III. ARRANGEMENT OF ETD

Each ETD must be arranged in the following order. *Italicized pages are optional.*

1. **Copyright Page** (Sample A) Include this page in the pretext page count, but do not place a page number on it.
2. **Signature Page** (Samples B & C) Include this page in the pretext page count, but do not place a page number on it.
3. **Title Page** (Sample D) Include this page in the pretext page count, but do not place a page number on it.
4. **Dedication and/or Epigraph.** *Include this page in the pretext page count, but do not place a page number on it.*
5. **Acknowledgments and/or Preface.** *Begin placing pretext lowercase Roman numerals at the bottom of this page, counting all preceding pretext material except for the fly page. Page numbers are centered one inch from the bottom of the page.*
6. **Abstract** (Sample E) Continue pretext page numbering with lowercase Roman numerals.
7. **Table of Contents.** Continue pretext page numbering with lowercase Roman numerals.
8. **List of Tables.** *Continue pretext page numbering with lowercase Roman numerals.*
9. **List of Figures.** *Continue pretext page numbering with lowercase Roman numerals.*
10. **List of Illustrations/Maps/Slides.** *Continue pretext page numbering with lowercase Roman numerals.*
11. **Text.** All pages from the first page of text through the Vita are numbered consecutively in Arabic numerals, beginning with Arabic numeral "1" on the first page of the thesis or report text.
12. **Appendix.** *Continue page numbering with Arabic numerals.*
13. **Glossary.** *May, instead, be placed after the Table of Contents in the area with the Lists of Tables, List of Figures, etc. Continue page numbering with Arabic numerals.*

14. **Bibliography.** Other possible titles are “References” or “Works Cited.” Continue page numbering with Arabic numerals. The bibliography is the last page of the thesis or report and the last page listed on the Table of Contents if the author chooses not to include a Vita page.
15. **Vita** (*Sample F*) *When included, this brief biographical sketch of the author is the last page of the thesis or report and the last page listed on the Table of Contents. Continue page numbering with Arabic numerals.*

## IV. PAGE FORMAT AND LAYOUT

### a. Font

Your ETD must be correct in spelling and punctuation and presented in a consistent, structured format. A single, legible font must be used throughout, the only exceptions being in tables, figures, graphs, appendices, and supplemental files. Headings may be bolded and no more than 2 points larger than the rest of the text. The font size should be sufficient for the average person to read the document on a computer monitor without difficulty (12-pt is recommended.) Accuracy and consistency in presentation and form make your ETD a usable research tool for other readers.

### b. Margins

Your ETD must have minimum margins of 1.25 inches. These margins must be consistent throughout the document, including pages in the appendix. **All page numbers must be placed at least one inch from the bottom center of the page.**

### c. Spacing and Page Arrangement

Your ETD must be double-spaced or 1.5-spaced; however, single spacing may be used in the Table of Contents, List of Tables, footnotes, endnotes, charts, graphs, figures, tables, captions, glossary, appendices, and bibliography. Paragraph indentions may be five to ten spaces.

Prose quotations over four lines long should be in block quote, double or single-spaced, and indented on the left. Do not use quotation marks in the block quote except when indicating quotations within the block quote.

Each new chapter or major section (i.e., Chapter 1, Chapter 2, Appendix, Bibliography, Vita) must begin on a new page.

### d. Numbering of Pages

Beginning with the first page of the Acknowledgments or Preface, if used, all preliminary pages preceding the actual text must be numbered in lowercase Roman numerals; e.g., iii, iv, v, etc. If there are no Acknowledgments or Preface pages, the first page with a page number will be the Abstract page. These numerals must be centered under the text with at least one inch of space between



the number and the bottom of the page. Do not number the copyright page, signature page, title page, or dedication, but do include each of them in the pre-text page count.

The first page of the text begins at Arabic numeral 1. All pages within the text must contain an Arabic page number, bottom-centered, at least one inch from the bottom edge of the page. The first page of every major section (chapters, appendices, bibliography, Vita, etc.) must begin on a new page.

#### **e. Tables and Illustrations**

Pages carrying illustrative material must be given page numbers appropriate to their place in the document. Illustrative material may not be inserted after the document has been numbered and given page numbers such as “10a.”

All tables, figures, illustrations, and other types of examples included and referenced in the text of the dissertation should be numbered for identification. There should be no duplication of these numbers; i.e., no two tables should be assigned the same number. Tables and Figures may be numbered in one of two ways: consecutively throughout the document (Table 1 – Table x), or double-numbered so that the illustrations’ numbers reflect their locations in the document (Figure 9.3 is the third figure in Chapter 9, or Figure A2 is the second figure in Appendix A.) Do not mix these two types of numbering schemes within your ETD.

Captions and legends must be placed on the same page with the figure, graph, table or illustration they describe. In addition, the captions should be consistently placed either all above or all below the tables and figures throughout the document. In order to fit both figure and caption on the same page, captions may be single-spaced, margins may be decreased to one inch, and figures may be reduced in size to fit. If the figures are reduced from their original size, then the page number must be added after the reduction so as not to alter its size.

If there is no way to fit the table or figure and its caption onto a single page, you may put an identifying caption on the same page as the figure or table (i.e., Figure X), then on the following page, place the full caption by itself. Your text will then continue on the following page.

When a table or figure can fit entirely onto a single page with its caption, they should be placed all together on a single page, even if that leaves some blank space in the preceding page, and not split across two pages.

When a table or figure cannot fit entirely on a single page, each page of the table or figure must be identified with a caption. You should place the primary caption

on the first page of the table or figure, then on all subsequent pages, a caption that says Table (or Figure) x, cont.

Figures, captions, and page numbers must be easily readable when the electronic document is viewed at 100 percent.

**f. Oversize Pages or Plates**

Plates, graphs, or charts which are oversized (more than 11x14 inches) should be uploaded to the Texas Digital Library as Supplemental Files.

**g. Copies Required**

All students at The University of Texas at Austin are required to upload a pdf file of their ETD to the Texas Digital Library (TDL) submission site. The ETD serves as the University's archival copy. As an extra measure of security, students are strongly encouraged to keep a copy of their approved ETD and to provide an additional copy to their supervisor or department/program library, if applicable. By keeping an electronic backup on hand, students can easily provide scholars with a copy of their ETD during the time between submission and publication, if necessary. A paper copy of the ETD will not be accepted by the Graduate School, although one may be required by the student's graduate department or program.

## V. CONTENTS

### a. Table of Contents

While there are a variety of acceptable ways to format the Table of Contents for your ETD, the Table of Contents must conform to margin requirements. The Table of Contents is placed in the document immediately before any pretext lists of tables, figures, illustrations, etc. These pretext lists, if present, will be the first item noted on the Table of Contents. If Lists of tables, figures and/or illustrations are included, each must begin on a separate page.

The Table of Contents must include the major section headings for Text and Bibliography and their respective page numbers. All chapter titles and subheadings listed on the Table of Contents must exactly match the headings as presented in the text. For example, a chapter labeled “Chapter 3” in the Table of Contents should not appear as “Chapter III” within the text.

Major sections and chapters within the document are listed on the Table of Contents with left-justified headings (not indented.) Each of these major sections should begin on a new page within the text. Subheadings, which do not need to begin on new pages within the text, must be indented under the appropriate major section heading on the Table of Contents. The page numbers for **all** sections listed on the Table of Contents are right-justified and preceded by a dot leader.

Table of Contents entries are generally double-spaced. However, chapter titles and subheadings, when more than one line long, should be indented at the second line and single-spaced. For example:

Chapter One: Title.....	1
Chapter Two: Title.....	23
Subheading Title.....	24
Subheading Title Extending Over One Or More Lines, at the Author’s Discretion.....	38

Master’s students may have a minimal Table of Contents, consisting only of the sections Text and Bibliography, with their respective page numbers, if the text has no divisible chapters or major sections.

## **b. Footnotes and Bibliography**

Every ETD must include a comprehensive reference, or bibliography, section, even when chapter end notes or chapter references have been used. This section may be called “Bibliography,” “References,” or “Works (or Sources) Cited.” The bibliography is the last required section of the ETD and the last section heading listed on the Table of Contents unless an optional Vita page is included. When a Vita page is included, the bibliography immediately precedes the Vita at the end of the document. The bibliography may be deleted **only** in ETDs that are wholly original, such as novels or musical compositions.

The bibliography must indicate materials actually used, including the edition number when later than the first, so that the accuracy of quotations and citations may be readily verified. Footnote citations and references should be sufficiently exact to enable the reader to find the source with ease.

Any standardized form for footnotes and bibliography is acceptable if it is used consistently and has been approved by your supervisor. Students should consult their supervisor on questions of form. Several useful manuals for learning more about footnote/bibliography format include the W.G. Campbell, *Form and Style in Thesis Writing, A Manual of Style*, The University of Chicago Press; K.L. Turabian, *A Manual for Writers of Term Papers, Theses, and Dissertations*; Horn and Zivley, *Helps in Writing Your Thesis*.

## **c. Signature page**

**The original signatures of all your committee members are required on the signature page. This is true whether or not your committee members were physically present at the final defense.** All committee members must sign in black or blue ink, and your supervisor must sign on the top line. If you have a Co-supervisor, they must sign the second line. Signatures should all be on a single signature page. In rare instances, we will accept signatures on more than one page when there are extenuating circumstances (such as when a committee member is out of the country and cannot mail the signature page to you before our deadline). Please see a Degree Evaluator in MAI 101 if you have any questions about this.

Committee members’ names must be typed under the signature lines on this page. While educational or professional titles (Ph.D. or Dr.) are not included on the signature lines for committee members, the titles indicating committee supervisory status (“Supervisor” or “Co-supervisor”) do follow the names of committee members who have been officially designated in these roles. **We will not accept a signature page if supervisor and co-supervisor status are not**

**designated correctly.** If you have any questions about this, please see a Degree Evaluator in the Graduate School.

The signature page with the original committee signatures must be submitted to the Graduate School along with the other required paperwork listed in the Graduate School Checklists at <http://www.utexas.edu/ogs/pdn> by the submission deadline.

We recommend doctoral students bring several copies of their signature page to their final oral defense. The signature page in the pdf file that is uploaded for archiving and publication does not contain committee signatures.

Please note that extensions will not be granted because a committee member was not available to sign your signature page. If you have committee members who are traveling or who do not live in Austin, take this into account. All signatures must be original – we do not accept any form of electronic, faxed, scanned or proxy signatures.

#### **d. Abstracts**

The abstract is a concise statement of the nature and content of your ETD, indicating its significance as a piece of research. It should be continuous prose, not disconnected notes or an outline; and it should not exceed 350 words. It should be 1.5 or double spaced, not single spaced. The title on the abstract must match exactly the title of the finished ETD. Foreign words must be set down clearly and accurately so that they may be printed without error.

## VI. PUBLICATION AND COPYRIGHT INFORMATION

### a. **Publication of ETDs**

The University of Texas at Austin requires that all ETDs be published as a part of each student's graduation. Currently, electronic copies of all ETDs are published open access and are globally available through the Texas Digital Library (TDL). Primary publishing and archiving are done electronically. The submission site for publication is provided on the Graduate School web site at <http://www.utexas.edu/ogs/pdn>.

### b. **Delay of Publication (embargo)**

The Graduate Dean will consider petitions to delay publication for a period of one year. These petitions must be submitted to the Graduate School by the student's supervisor on departmental letterhead and should state the reason and timeframe for the requested embargo. Embargo requests may be sent to the Graduate School separately, but we prefer if they are brought in when you bring in your final paperwork. Please note that we cannot withhold publication of your ETD without the written request from your supervisor.

### c. **Copyright Registration**

Basic information regarding copyrights and copyright registration is available at [www.utexas.edu/ogs/pdn](http://www.utexas.edu/ogs/pdn). Students who wish to officially register their copyright may do so by obtaining and registering the necessary forms with the U.S. Copyright Office. The address is Library of Congress, Copyright Office, Washington, D.C., 20599, <http://www.loc.gov/teachers/copyrightmystery/text/steps/>. Students are strongly encouraged to include a copyright legend in their dissertations even if they choose not to officially register their copyright (See Sample A.)

**d. Using Materials Copyrighted by Others**

Students must certify that any copyrighted material used in their ETD beyond brief excerpts, is being used with the written permission of the copyright owner and that the student will hold harmless The Texas Digital Library and The University of Texas at Austin from any damages which may arise from copyright violations. The copyright disclaimer and certification are completed as a part of the student's electronic submission to The Texas Digital Library. Additional information about the copyright law is available at <http://www.utexas.edu/ogs/pdn>.

**e. Using Your Previous Publications in your ETD**

Students may include articles they have previously published in their ETD. However, the article must be modified so that it is not verbatim to the previous publication. In addition, on the first page of the chapter based on the previous publication, a footnote must be included that gives the full citation of the previous publication. If there are co-authors on that paper, a brief statement giving the contribution of each co-author is also required.

(Sample A: Copyright Page)

**Copyright**

**by**

**Full Official Name**

**2014**

(No page number on the actual copyright page)



(Sample B: Master's Signature Page)

**The Thesis (or Report) committee for (Insert your Official UT Name)**

**Certifies that this is the approved version of the following thesis**

**(or report):**

**Title of Thesis or Report Centered  
and Double-Spaced**

**APPROVED BY**

**SUPERVISING COMMITTEE:**

---

Supervisor's name, Supervisor

---

Member's name, or Co-Supervisor

\_\_\_\_\_ **Do Not Include Information Below This Line on the Signature Page** \_\_\_\_\_

**In the electronic document that is uploaded to The Texas Digital Library, this page should be unsigned, but should include the members' typed names under the blank lines. Supervisor and co-supervisor status should be noted to the left of the member's name. A loose signature page containing original committee signatures must be submitted to the Graduate School by the published submission deadline.**

(No page number on the actual signature page)

(Sample C: Doctoral signature page)

The Dissertation (or Treatise) Committee for (Insert your Official UT Name)  
certifies that this is the approved version of the following dissertation  
(or treatise):

**Title of Dissertation or Treatise Centered  
And Double-Spaced**

**Committee:**

---

Supervisor's Name, Supervisor

---

Member's Name, or Co-Supervisor

---

Member's Name

---

Member's Name

---

Member's Name

\_\_\_\_\_ Do Not Include the Information Below This Line on Your Signature Page \_\_\_\_\_

This page in hard copy with all original signatures must be submitted to the Graduate School. In the electronic document that is uploaded to the Texas Digital Library, this page should be unsigned, but should list members' names under the blank lines. There should be as many solid lines as there are members of the committee, and the supervisor should sign on the top line.

(No page number on the actual signature page)

(Sample D: Title Page)

**Title of ETD Centered  
and Double-Spaced**

by

**Full Official Name, Previous Academic Degrees (B.A.; B.S.; M.A.; etc.)**

**Document Type (Dissertation, Treatise, Thesis or Report)**

Presented to the Faculty of the Graduate School  
of the University of Texas at Austin  
in Partial Fulfillment  
of the Requirements  
for the Degree(s) of

**Name of Degree**

(The degree sought must be worded in the form given in the  
*Graduate Catalog*. If dual degree, list both degrees on a separate line separated by  
the word And.)

The University of Texas at Austin  
Month (May, August, or December only) Year

(No page number on the actual title page)

(Sample E: Abstract)

**Title of ETD Centered  
and Double-Spaced**

by

Full Official Name, (Official Abbreviation of Degree Sought)

The University of Texas at Austin, 2014

SUPERVISOR: Name of Supervisor(s), no titles or degrees

Indent and begin abstract here. It should be a concise statement of the nature and content of the ETD. The text must be either double-spaced or 1.5-spaced. Abstracts should be limited to 350 words.

\_\_\_\_\_Do Not Include Information Below This Line on the Actual Abstract\_\_\_\_\_

The degree sought must be the abbreviation of the degree as listed in the *Graduate Catalog*; e.g., Master of Fine Arts is abbreviated MFA; Master of Science in Engineering is abbreviated MSE, etc. The supervisor's name should not include any academic titles such as "Dr." or "PhD."

(Sample F: Vita)

## VITA

Elizabeth Marie Smith was born in Dallas, Texas. After completing her work at Lamar High School, Houston, Texas, in 1977, she entered Southwest Texas State University in San Marcos, Texas. During the summers of 1979 and 1980 she attended Sarah Lawrence College in Bronxville, New York. She received the degree of Bachelor of Science from Sarah Lawrence College in May 1982. During the following years, she was employed as a biology teacher at Austin High School. In September, 1997, she entered the Graduate School at the University of Texas at Austin.

Address: myemailaddress@domain.com

This manuscript was typed by the author.

*or*

This manuscript was typed by John L. Jones.

\_\_\_\_\_Do Not Include Information Below This Line on the Actual Vita\_\_\_\_\_

The Vita is a brief biographical sketch of the writer that provides information for future readers. The Vita page is optional and most often includes the author's full name, a contact method (we recommend using an email address where he or she may be reached, and the name of the typist. Because your ETD will be available electronically, be aware that certain personal information could be used to steal your identity. For this reason, you are advised not to include your date of birth, physical address, parents' names, or children's names.