[[1]](#footnote-1)

Preparation of Papers for IEEE TRANSACTIONS and JOURNALS(February 2017)

Jose Zavala, *Student, University of Essex*

*Abstract*—These instructions give you guidelines for preparing papers for IEEE Transactions and Journals*.* Use this document as a template if you are using Microsoft *Word* 6.0 or later. Otherwise, use this document as an instruction set. The electronic file of your paper will be formatted further at IEEE. Paper titles should be written in uppercase and lowercase letters, not all uppercase. Avoid writing long formulas with subscripts in the title; short formulas that identify the elements are fine (e.g., "Nd–Fe–B"). Do not write “(Invited)” in the title. Full names of authors are preferred in the author field, but are not required. Put a space between authors’ initials. The abstract must be a concise yet comprehensive reflection of what is in your article. In particular, the abstract must be self-contained, without abbreviations, footnotes, or references. It should be a microcosm of the full article. The abstract must be between 150–250 words. Be sure that you adhere to these limits; otherwise, you will need to edit your abstract accordingly. The abstract must be written as one paragraph, and should not contain displayed mathematical equations or tabular material. The abstract should include three or four different keywords or phrases, as this will help readers to find it. It is important to avoid over-repetition of such phrases as this can result in a page being rejected by search engines. Ensure that your abstract reads well and is grammatically correct.

*Index Terms*—Enter key words or phrases in alphabetical order, separated by commas. For a list of suggested keywords, send a blank e-mail to [keywords@ieee.org](mailto:keywords@ieee.org) or visit <http://www.ieee.org/organizations/pubs/ani_prod/keywrd98.txt>

# INTRODUCTION

T

HIS document is a template for Microsoft *Word* versions 6.0 or later. If you are reading a paper or PDF version of this document, please download the electronic file,  
trans\_jour.docx, from the IEEE Web site at [www.ieee.org/authortools](http://www.ieee.org/authortools) so you can use it to prepare your manuscript. If you would prefer to use LaTeX, download IEEE’s LaTeX style and sample files from the same Web page. You can also explore using the Overleaf editor at [https://www.overleaf.com/blog/278-how-to-use-overleaf-with-ieee-collabratec-your-quick-guide-to-getting-started#.Vp6tpPkrKM9](https://www.overleaf.com/blog/278-how-to-use-overleaf-with-ieee-collabratec-your-quick-guide-to-getting-started%23.Vp6tpPkrKM9)

If your paper is intended for a conference*,* please contact your conference editor concerning acceptable word processor formats for your particular conference.

# Background

The famous Tic-Tac-Toe, or OXO, is a “Full Information” game, which refers to the fact that all players have complete knowledge of the state of the match at any given point in time, unlike games like “Poker”, in which certain information (i.e. the hand of a given player) is unavailable [Implementing No-Loss, In Search of No-Loss]. Other examples of this type of games are Chess, Go, and Checkers.

## Tic-Tac-Toe Knowledge

The size of the board for a game of Tic-Tac-Toe is 3x3 and each slot can have any of three symbols (‘X’, ‘O’, *empty*) at any given time, so intuition indicates that there are or 19,683 possible game states [In Search of No-Loss]. However, these are limited by both conditions that restrict the feasibility of a game state of occurring (Figure 1) and the fact that by rotating the board some game states are equivalent (Figure 2) [In Search of No-Loss].

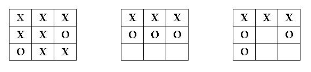


Figure 1 - Infeasible game-states [In Search of No-Loss]

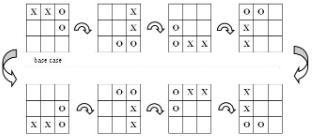


Figure 2 - Equivalent game-states [In Search of No-Loss]

These conditions reduce the intuitive number to 765 unique game-states.

## Monte Carlo Tree Search

Monte Carlo Tree Search (MCTS) is a commonly used technique for the creation of agents capable of playing these types of games [Go, Adversarial]. For instance, the recent success of the *AlphaGo*, which used supervised learning from real-game examples followed by reinforcement learning, team at defeating the human world champion of Go motivated the development of *AlphaGo Zero*, which implements a form of MCTS for unsupervised learning with a policy network to search high-probability moves [Go]. The results of the MCTS approach have been surprising, since *AlphaGo Zero* has defeated its predecessor with a score of 100-0 [Go].

MCTS uses a variation of the Upper Confidence Bounds (UBC) algorithm, called UCB applied to trees (UTC) [Bandit]. This multi-armed bandit approach takes the action that takes to a node which maximizes Equation 1 for the current state [Bandit]. Where is the number of wins after visiting the ith node, is the number of simulations after the ith node and is the total number of simulations ever considered [Bandit].

Equation 1 - UCT Node Selection [Bandit]

This allows the algorithm to explore the possible scenarios of different games just by correctly encoding its mechanics into the algorithm, which demonstrates the effectiveness of MCTS for tracking future game states and predicting the optimal move based on that information [Adversarial, Go]. However, its implementation is inherently time and resource expensive since it needs to recreate a full tree in each turn since the game state changes with every move. Also, the random nature of the algorithm may overlook particular game paths that may result on a loss since these may be the consequence of “weird” plays.

## Alternatives to MCTS

The power of MCTS but the disadvantages it carries have motivated the development of models that imitate its behavior but are more time and resource efficient [MCTS to Learn DT, Thinking Fast]. These implementations aim to train models based on remembering the decisions taken by MCTS for quicker decision making [MCTS to Learn DT], or by observing multiple runs and training a model with the examples gathered and the decisions taken by the MCTS for a given state [Thinking Fast].

The objective of these implementations is to create a model that is capable of recognizing which actions are taken more frequently over different games, reducing time needed for decision making and removing the random factor of MCTS.

These models show that it is feasible to imitate the behavior of a MCTS with another, more time efficient, Machine Learning model, such as a Deep Neural network with promising results [Thinking Fast].

## Decision Trees

Decision Trees (DTs) have been proven to work against *Minimax,* another powerful algorithm that provides a No-Loss solution to the game [Implementing a No-Loss]. This works since *Minimax* has been proven to not perform optimal moves when the opponent makes a sub optimal choice [Implementing a No-Loss]; however, it maintains a No-Loss Strategy in a non-optimal number of moves. DTs have been trained to perform a best optimal action despite the opponent’s actions [Implementing a No-Loss]. However, this DT was manually created, which is non-optimal for our purposes.

Following the research mentioned on II.C, it is possible to implement a DT trained on different games performed by a MCTS, to learn to imitate the behavior of the algorithm without the need of creating a full tree each time it need to perform a move.

This provides enough theoretical ground to explore the performance of training a Decision Tree that imitates the behavior a MCTS to play Tic-Tac-Toe [Thinking Fast, MCTS to Learn DT, Implementing a No-Loss].

# Methodology

The goal of the analysis is to determine if a Decision Tree algorithm may be used to imitate the MCTS behavior for a game of Tic-Tac-Toe with successful results. Unlike [MCTS to Learn DT], the aim of this is not to train a DT with the UCT algorithm (Equation 1). Instead, the approach is to observe the decisions taken by an MCTS and train a DT with that information.

## Model

To achieve the goal, a DT with information grain (ID3) will be used [Alpaydin]. The model will receive the state of the board as an input of 9 features, each one symbolizing a position, and target those results to the cell that was selected by the MCTS algorithm.

The DT solution was selected for two major reasons. First, it will be able to identify the most selected plays by the MCTS for a given game state. Since the game has a very limited number of states [In Search of No-Loss], the DT should be able to determine which choices were most played overall, removing the *random* factor of the MCTS algorithm [Bandit]. The second reason is that, since the DT is going to be trained to model the MCTS agent, and not merely to learn “how to play”, the resulting tree will provide more insight about the relevance of certain cells over others at given game states.

To determine the decisions of the tree, the entropy function will be used to determine information gain [Alpaydin]. The Entropy Function (Equation 2) allows us to know the homogeneity of a sample. The more homogeneous it is, the more relevant it becomes to know which action to take [Alpaydin]. The information gain takes the Entropy of the current state and the Entropy of the state if a given feature (or cell in the board) was to be selected. The feature that gives the most Information Gain is selected to split the node at the given game state.

Equation 2 - Entropy Function

Equation 3 - Information Gain

This allows the DT to understand which cells are more important for the MCTS algorithm in a given situation having enough training examples to choose from. To “understand” the importance of a cell is to learn which cell’s states possess less entropy as to correctly discriminate the next action taken. At a leaf node, the action taken is the one with the most representation available, which statistically should be the most effective move performed by the target MCTS [Bandit].

To implement the DT, the DecisionTreeClassifier package from scikit-learn (<https://scikit-learn.org/stable/modules/generated/sklearn.tree.DecisionTreeClassifier.html>) is going to be used. A game state will be encoded in a vector of data, in which each slot is a cell in the game board, and the target will be one number from 0 to 8, indicating the slot in which the next move will be performed.

## Dataset Collection

To gather data to train the proposed DT model, the code provided by the Monte Carlo Tree Search Research Hub (<http://mcts.ai/code/python.html>) was used as a basis. The original code provides an implementation of the UCT algorithm for three games: Nim’s Game, OXO (Tic-Tac-Toe), and Othello. The Code was modified to save the game states during a match from the perspective of the player whose current turn is being played.

Previous research mentioned in II.A indicates that there are 765 unique game states in the board at any possible time [In Search of N|o-Loss]. However, since neither MCTS nor DT can determine when a state is a rotation of another game state, we undo this knowledge to have a number of 6,120 game states. To be sure to capture all this, an arbitrary number of 10,000 games will be stored as to account for the validation set. No repeated game states will be removed since they reflect the frequency the MCTS makes those choices.

To allow our implementation to play either as “X” or “O”, we encoded the board of the game depending on the current player, and not as “X”’s and “O”’s, , being “X” if it indicates a piece placed by the current player, “Y” if it was placed by the rival, and “\_” represents an empty slot (Figure 5).

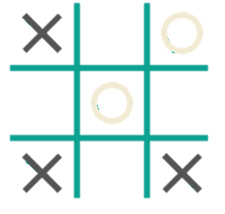


Figure 3 - Game State

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 1 | 0 | 2 | 0 | 2 | 0 | 1 | 0 | 1 |

Figure 4 - Original Encoding by MCTS Research Hub

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Y | \_ | X | \_ | X | \_ | Y | \_ | Y |

Figure 5 - Encoding Used if Second Player's Turn (O)

Upon inspection of data, it was decided that every move should be stored, even from the perspective of a losing agent. This was determined since MCTS will always perform the best possible move available for a given scenario [Bandit]. In an optimistic approach, even if the agent loses, it means that no better move was possible for a scenario [Go]. Also, it is assumed that in the long run, the MCTS algorithm will chose the best moves more frequently over the non-optimal ones [Bandit][Go], which the DT implementation should capture.

## Training

Training will ensure that the DT reflects the behavior of the MCTS algorithm, and not the performance of the DT as a playing agent. To evaluate the model’s performance over the original dataset, 10-Fold Cross Validation (CV) will be used. The CV is needed for exploring the values for the minimum impurity decrease for pre-pruning, diminishing the possibility of overfitting.

When an optimal parameter is found, the classifier will be trained over 70% of the dataset, using the remaining 30% as a testing set to measure performance with accuracy, precision, recall, and the F1-Score [Aplaydin].

# Experiments

To test the effectiveness of the model on the task of recognizing the best plays for a given game state, the trained classifier will compete against the MCTS algorithm which was used to train it 10 times.

For each 10 matches, we will store the number of wins of the DT model over the MCTS; the states of the game will also be stored. The number of wins will be used as a win\_rate score, while the stored game states will be used to further train the model to allow for a better performing DT. To give the DT field to grow, only the 90% of the time the agent will perform the move signaled by the DT Model, while the remaining 10% of the turns it will perform a random move.

Once multiple plays are recorded, we will move on to make the DT compete against previous iterations of itself to see if repeated play allows the DT to learn optimal moves and a No-Loss strategy.

This will be repeated across multiple matches to determine if the win\_rate score increases over time, or if the agent fails to recognize the game winning plays.

[MENTION HOW GO USED THIS TECHNIQUE TO IMPROVE THE MODEL]

# Discussion

The word “data” is plural, not singular. The subscript for the permeability of vacuum µ0 is zero, not a lowercase letter “o.” The term for residual magnetization is “remanence”; the adjective is “remanent”; do not write “remnance” or “remnant.” Use the word “micrometer” instead of “micron.” A graph within a graph is an “inset,” not an “insert.” The word “alternatively” is preferred to the word “alternately” (unless you really mean something that alternates). Use the word “whereas” instead of “while” (unless you are referring to simultaneous events). Do not use the word “essentially” to mean “approximately” or “effectively.” Do not use the word “issue” as a euphemism for “problem.” When compositions are not specified, separate chemical symbols by en-dashes; for example, “NiMn” indicates the intermetallic compound Ni0.5Mn0.5 whereas “Ni–Mn” indicates an alloy of some composition NixMn1-x.

Be aware of the different meanings of the homophones “affect” (usually a verb) and “effect” (usually a noun), “complement” and “compliment,” “discreet” and “discrete,” “principal” (e.g., “principal investigator”) and “principle” (e.g., “principle of measurement”). Do not confuse “imply” and “infer.”

Prefixes such as “non,” “sub,” “micro,” “multi,” and “ultra” are not independent words; they should be joined to the words they modify, usually without a hyphen. There is no period after the “et” in the Latin abbreviation “*et al.*” (it is also italicized). The abbreviation “i.e.,” means “that is,” and the abbreviation “e.g.,” means “for example” (these abbreviations are not italicized).

A general IEEE styleguide is available at [www.ieee.org/authortools](http://www.ieee.org/authortools).



Fig. 1. Magnetization as a function of applied field. Note that “Fig.” is abbreviated. There is a period after the figure number, followed by two spaces. It is good practice to explain the significance of the figure in the caption.

TABLE I

Units for Magnetic Properties

|  |  |  |
| --- | --- | --- |
| Symbol | Quantity | Conversion from Gaussian and  CGS EMU to SI a |
| Φ | magnetic flux | 1 Mx → 10−8 Wb = 10−8 V·s |
| *B* | magnetic flux density,  magnetic induction | 1 G → 10−4 T = 10−4 Wb/m2 |
| *H* | magnetic field strength | 1 Oe → 103/(4π) A/m |
| *m* | magnetic moment | 1 erg/G = 1 emu  → 10−3 A·m2 = 10−3 J/T |
| *M* | magnetization | 1 erg/(G·cm3) = 1 emu/cm3  → 103 A/m |
| 4π*M* | magnetization | 1 G → 103/(4π) A/m |
| σ | specific magnetization | 1 erg/(G·g) = 1 emu/g → 1 A·m2/kg |
| *j* | magnetic dipole  moment | 1 erg/G = 1 emu  → 4π × 10−10 Wb·m |
| *J* | magnetic polarization | 1 erg/(G·cm3) = 1 emu/cm3  → 4π × 10−4 T |
| χ*,* κ | susceptibility | 1 → 4π |
| χρ | mass susceptibility | 1 cm3/g → 4π × 10−3 m3/kg |
| μ | permeability | 1 → 4π × 10−7 H/m  = 4π × 10−7 Wb/(A·m) |
| μr | relative permeability | μ → μr |
| *w, W* | energy density | 1 erg/cm3 → 10−1 J/m3 |
| *N, D* | demagnetizing factor | 1 → 1/(4π) |

Vertical lines are optional in tables. Statements that serve as captions for the entire table do not need footnote letters.

aGaussian units are the same as cg emu for magnetostatics; Mx = maxwell, G = gauss, Oe = oersted; Wb = weber, V = volt, s = second, T = tesla, m = meter, A = ampere, J = joule, kg = kilogram, H = henry.

# Conclusion

## Types of Graphics

The following list outlines the different types of graphics published in IEEE journals. They are categorized based on their construction, and use of color / shades of gray:

### *Color/Grayscale figures*

### Figures that are meant to appear in color, or shades of black/gray. Such figures may include photographs, illustrations, multicolor graphs, and flowcharts.

### *Line Art figures*

### Figures that are composed of only black lines and shapes. These figures should have no shades or half-tones of gray, only black and white.

### *Author photos*

### Head and shoulders shots of authors that appear at the end of our papers.

### *Tables* Data charts which are typically black and white, but sometimes include color.

## Multipart figures

Figures compiled of more than one sub-figure presented side-by-side, or stacked. If a multipart figure is made up of multiple figure types (one part is lineart, and another is grayscale or color) the figure should meet the stricter guidelines.

## File Formats For Graphics

Format and save your graphics using a suitable graphics processing program that will allow you to create the images as PostScript (PS), Encapsulated PostScript (.EPS), Tagged Image File Format (.TIFF), Portable Document Format (.PDF), or Portable Network Graphics (.PNG) sizes them, and adjusts the resolution settings. If you created your source files in one of the following programs you will be able to submit the graphics without converting to a PS, EPS, TIFF, PDF, or PNG file: Microsoft Word, Microsoft PowerPoint, or Microsoft Excel. Though it is not required, it is strongly recommended that these files be saved in PDF format rather than DOC, XLS, or PPT. Doing so will protect your figures from common font and arrow stroke issues that occur when working on the files across multiple platforms. When submitting your final paper, your graphics should all be submitted individually in one of these formats along with the manuscript.

## Sizing of Graphics

Most charts, graphs, and tables are one column wide (3.5 inches / 88 millimeters / 21 picas) or page wide (7.16 inches / 181 millimeters / 43 picas). The maximum depth a graphic can be is 8.5 inches (216 millimeters / 54 picas). When choosing the depth of a graphic, please allow space for a caption. Figures can be sized between column and page widths if the author chooses, however it is recommended that figures are not sized less than column width unless when necessary.

There is currently one publication with column measurements that do not coincide with those listed above. Proceedings of the IEEE has a column measurement of 3.25 inches (82.5 millimeters / 19.5 picas).

The final printed size of author photographs is exactly   
1 inch wide by 1.25 inches tall (25.4 millimeters x 31.75 millimeters / 6 picas x 7.5 picas). Author photos printed in editorials measure 1.59 inches wide by 2 inches tall (40 millimeters x 50 millimeters / 9.5 picas x 12 picas).

## Resolution

The proper resolution of your figures will depend on the type of figure it is as defined in the “Types of Figures” section. Author photographs, color, and grayscale figures should be at least 300dpi. Line art, including tables should be a minimum of 600dpi.

## Vector Art

In order to preserve the figures’ integrity across multiple computer platforms, we accept files in the following formats: .EPS/.PDF/.PS. All fonts must be embedded or text converted to outlines in order to achieve the best-quality results.

## Color Space

The term color space refers to the entire sum of colors that can be represented within the said medium. For our purposes, the three main color spaces are Grayscale, RGB (red/green/blue) and CMYK (cyan/magenta/yellow/black). RGB is generally used with on-screen graphics, whereas CMYK is used for printing purposes.

All color figures should be generated in RGB or CMYK color space. Grayscale images should be submitted in Grayscale color space. Line art may be provided in grayscale OR bitmap colorspace. Note that “bitmap colorspace” and “bitmap file format” are not the same thing. When bitmap color space is selected, .TIF/.TIFF/.PNG are the recommended file formats.

## Accepted Fonts Within Figures

When preparing your graphics IEEE suggests that you use of one of the following Open Type fonts: Times New Roman, Helvetica, Arial, Cambria, and Symbol. If you are supplying EPS, PS, or PDF files all fonts must be embedded. Some fonts may only be native to your operating system; without the fonts embedded, parts of the graphic may be distorted or missing.

A safe option when finalizing your figures is to strip out the fonts before you save the files, creating “outline” type. This converts fonts to artwork what will appear uniformly on any screen.

## Using Labels Within Figures

### Figure Axis labels

Figure axis labels are often a source of confusion. Use words rather than symbols. As an example, write the quantity “Magnetization,” or “Magnetization *M*,” not just “*M*.” Put units in parentheses. Do not label axes only with units. As in Fig. 1, for example, write “Magnetization (A/m)” or “Magnetization (Am−1),” not just “A/m.” Do not label axes with a ratio of quantities and units. For example, write “Temperature (K),” not “Temperature/K.”

Multipliers can be especially confusing. Write “Magnetization (kA/m)” or “Magnetization (103 A/m).” Do not write “Magnetization (A/m) × 1000” because the reader would not know whether the top axis label in Fig. 1 meant 16000 A/m or 0.016 A/m. Figure labels should be legible, approximately 8 to 10 point type.

### Subfigure Labels in Multipart Figures and Tables

Multipart figures should be combined and labeled before final submission. Labels should appear centered below each subfigure in 8 point Times New Roman font in the format of (a) (b) (c).

## File Naming

Figures (line artwork or photographs) should be named starting with the first 5 letters of the author’s last name. The next characters in the filename should be the number that represents the sequential location of this image in your article. For example, in author “Anderson’s” paper, the first three figures would be named ander1.tif, ander2.tif, and ander3.ps.

Tables should contain only the body of the table (not the caption) and should be named similarly to figures, except that ‘.t’ is inserted in-between the author’s name and the table number. For example, author Anderson’s first three tables would be named ander.t1.tif, ander.t2.ps, ander.t3.eps.

Author photographs should be named using the first five characters of the pictured author’s last name. For example, four author photographs for a paper may be named: oppen.ps, moshc.tif, chen.eps, and duran.pdf.

If two authors or more have the same last name, their first initial(s) can be substituted for the fifth, fourth, third... letters of their surname until the degree where there is differentiation. For example, two authors Michael and Monica Oppenheimer’s photos would be named oppmi.tif, and oppmo.eps.

## Referencing a Figure or Table Within Your Paper

When referencing your figures and tables within your paper, use the abbreviation “Fig.” even at the beginning of a sentence. Do not abbreviate “Table.” Tables should be numbered with Roman Numerals.

## Checking Your Figures: The IEEE Graphics Analyzer

The IEEE Graphics Analyzer enables authors to pre-screen their graphics for compliance with IEEE Transactions and Journals standards before submission. The online tool, located at <http://graphicsqc.ieee.org/>, allows authors to upload their graphics in order to check that each file is the correct file format, resolution, size and colorspace; that no fonts are missing or corrupt; that figures are not compiled in layers or have transparency, and that they are named according to the IEEE Transactions and Journals naming convention. At the end of this automated process, authors are provided with a detailed report on each graphic within the web applet, as well as by email.

For more information on using the Graphics Analyzer   
or any other graphics related topic, contact the IEEE Graphics Help Desk by e-mail at [graphics@ieee.org](mailto:graphics@ieee.org).

## Submitting Your Graphics

Because IEEE will do the final formatting of your paper,   
you do not need to position figures and tables at the top and bottom of each column. In fact, all figures, figure captions, and tables can be placed at the end of your paper. In addition to, or even in lieu of submitting figures within your final manuscript, figures should be submitted individually, separate from the manuscript in one of the file formats listed above in section VI-J. Place figure captions below the figures; place table titles above the tables. Please do not include captions as part of the figures, or put them in “text boxes” linked to the figures. Also, do not place borders around the outside of your figures.

## Color Processing / Printing in IEEE Journals

All IEEE Transactions, Journals, and Letters allow an author to publish color figures on IEEE *Xplore*® at no charge, and automatically convert them to grayscale for print versions. In most journals, figures and tables may alternatively be printed in color if an author chooses to do so. Please note that this service comes at an extra expense to the author. If you intend to have print color graphics, include a note with your final paper indicating which figures or tables you would like to be handled that way, and stating that you are willing to pay the additional fee.

# Conclusion

## A conclusion section is not required. Although a conclusion may review the main points of the paper, do not replicate the abstract as the conclusion. A conclusion might elaborate on the importance of the work or suggest applications and extensions.

Appendix

Appendixes, if needed, appear before the acknowledgment.

Acknowledgment

The preferred spelling of the word “acknowledgment” in American English is without an “e” after the “g.” Use the singular heading even if you have many acknowledgments. Avoid expressions such as “One of us (S.B.A.) would like to thank ... .” Instead, write “F. A. Author thanks ... .” In most cases, sponsor and financial support acknowledgments are placed in the unnumbered footnote on the first page, not here.

References and Footnotes

## References

References need not be cited in text. When they are, they appear on the line, in square brackets, inside the punctuation. Multiple references are each numbered with separate brackets. When citing a section in a book, please give the relevant page numbers. In text, refer simply to the reference number. Do not use “Ref.” or “reference” except at the beginning of a sentence: “Reference [3] shows ... .” Please do not use automatic endnotes in *Word*, rather, type the reference list at the end of the paper using the “References” style.

Reference numbers are set flush left and form a column of their own, hanging out beyond the body of the reference. The reference numbers are on the line, enclosed in square brackets. In all references, the given name of the author or editor is abbreviated to the initial only and precedes the last name. Use them all; use *et al*. only if names are not given. Use commas around Jr., Sr., and III in names. Abbreviate conference titles. When citing IEEE transactions, provide the issue number, page range, volume number, year, and/or month if available. When referencing a patent, provide the day and the month of issue, or application. References may not include all information; please obtain and include relevant information. Do not combine references. There must be only one reference with each number. If there is a URL included with the print reference, it can be included at the end of the reference.

Other than books, capitalize only the first word in a paper title, except for proper nouns and element symbols. For papers published in translation journals, please give the English citation first, followed by the original foreign-language citation See the end of this document for formats and examples of common references. For a complete discussion of references and their formats, see the IEEE style manual at [www.ieee.org/authortools](http://www.ieee.org/authortools).

## Footnotes

Number footnotes separately in superscripts (Insert | Footnote).[[2]](#footnote-2) Place the actual footnote at the bottom of the column in which it is cited; do not put footnotes in the reference list (endnotes). Use letters for table footnotes (see Table I).

# Plan

## Review Stage Using Word 6.0 or Higher

If you want to submit your file with one column electronically, please do the following:

--First, click on the View menu and choose Print Layout.

--Second, place your cursor in the first paragraph. Go to the Format menu, choose Columns, choose one column Layout, and choose “apply to whole document” from the dropdown menu.

--Third, click and drag the right margin bar to just over 4 inches in width.

The graphics will stay in the “second” column, but you can drag them to the first column. Make the graphic wider to push out any text that may try to fill in next to the graphic.

## Final Stage Using Word 6.0

When you submit your final version (after your paper has been accepted), print it in two-column format, including figures and tables. You must also send your final manuscript on a disk, via e-mail, or through a Web manuscript submission system as directed by the society contact. You may use *Zip* for large files, or compress files using *Compress, Pkzip, Stuffit,* or *Gzip.*

Also, send a sheet of paper or PDF with complete contact information for all authors. Include full mailing addresses, telephone numbers, fax numbers, and e-mail addresses. This information will be used to send each author a complimentary copy of the journal in which the paper appears. In addition, designate one author as the “corresponding author.” This is the author to whom proofs of the paper will be sent. Proofs are sent to the corresponding author only.

## Review Stage Using ScholarOne® Manuscripts

Contributions to the Transactions, Journals, and Letters may be submitted electronically on IEEE’s on-line manuscript submission and peer-review system, ScholarOne® Manuscripts. You can get a listing of the publications that participate in ScholarOneat

<http://www.ieee.org/publications_standards/publications/authors/authors_submission.html> First check if you have an existing account. If there is none, please create a new account. After logging in, go to your Author Center and click “Submit First Draft of a New Manuscript.”

Along with other information, you will be asked to select the subject from a pull-down list. Depending on the journal, there are various steps to the submission process; you must complete all steps for a complete submission. At the end of each step you must click “Save and Continue”; just uploading the paper is not sufficient. After the last step, you should see a confirmation that the submission is complete. You should also receive an e-mail confirmation. For inquiries regarding the submission of your paper on ScholarOne Manuscripts, please contact oprs-support@ieee.org or call +1 732 465 5861.

ScholarOne Manuscripts will accept files for review in various formats. Please check the guidelines of the specific journal for which you plan to submit.

You will be asked to file an electronic copyright form immediately upon completing the submission process (authors are responsible for obtaining any security clearances). Failure to submit the electronic copyright could result in publishing delays later. You will also have the opportunity to designate your article as “open access” if you agree to pay the IEEE open access fee.

## Final Stage Using ScholarOne Manuscripts

Upon acceptance, you will receive an email with specific instructions regarding the submission of your final files. To avoid any delays in publication, please be sure to follow these instructions. Most journals require that final submissions be uploaded through ScholarOne Manuscripts, although some may still accept final submissions via email. Final submissions should include source files of your accepted manuscript, high quality graphic files, and a formatted pdf file. If you have any questions regarding the final submission process, please contact the administrative contact for the journal.

In addition to this, upload a file with complete contact information for all authors. Include full mailing addresses, telephone numbers, fax numbers, and e-mail addresses. Designate the author who submitted the manuscript on ScholarOne Manuscripts as the “corresponding author.” This is the only author to whom proofs of the paper will be sent.

## Copyright Form

Authors must submit an electronic IEEE Copyright Form (eCF) upon submitting their final manuscript files.  You can access the eCF system through your manuscript submission system or through the Author Gateway. You are responsible for obtaining any necessary approvals and/or security clearances. For additional information on intellectual property rights, visit the IEEE Intellectual Property Rights department web page at

<http://www.ieee.org/publications_standards/publications/rights/index.html>.

References

*Basic format for books:*

J. K. Author, “Title of chapter in the book,” in *Title of His Published Book, x*th ed. City of Publisher, (only U.S. State), Country: Abbrev. of Publisher, year, ch. *x*, sec. *x*, pp. *xxx–xxx.*

*Examples:*

1. G. O. Young, “Synthetic structure of industrial plastics,” in *Plastics,* 2nd ed., vol. 3, J. Peters, Ed. New York, NY, USA: McGraw-Hill, 1964, pp. 15–64.
2. W.-K. Chen, *Linear Networks and Systems.* Belmont, CA, USA: Wadsworth, 1993, pp. 123–135.

*Basic format for periodicals:*

J. K. Author, “Name of paper,” *Abbrev. Title of Periodical*, vol. *x, no*. *x,* pp*. xxx-xxx,* Abbrev. Month, year, DOI. 10.1109.*XXX*.123456.

*Examples:*

1. J. U. Duncombe, “Infrared navigation—Part I: An assessment of feasibility,” *IEEE Trans. Electron Devices*, vol. ED-11, no. 1, pp. 34–39, Jan. 1959, 10.1109/TED.2016.2628402.
2. E. P. Wigner, “Theory of traveling-wave optical laser,”   
   *Phys. Rev*.,   
   vol. 134, pp. A635–A646, Dec. 1965.
3. E. H. Miller, “A note on reflector arrays,” *IEEE Trans. Antennas Propagat*., to be published.

*Basic format for reports:*

J. K. Author, “Title of report,” Abbrev. Name of Co., City of Co., Abbrev. State, Country, Rep. *xxx*, year.

*Examples:*

1. E. E. Reber, R. L. Michell, and C. J. Carter, “Oxygen absorption in the earth’s atmosphere,” Aerospace Corp., Los Angeles, CA, USA, Tech. Rep. TR-0200 (4230-46)-3, Nov. 1988.
2. J. H. Davis and J. R. Cogdell, “Calibration program for the 16-foot antenna,” Elect. Eng. Res. Lab., Univ. Texas, Austin, TX, USA, Tech. Memo. NGL-006-69-3, Nov. 15, 1987.

*Basic format for handbooks:*

*Name of Manual/Handbook, x* ed., Abbrev. Name of Co., City of Co., Abbrev. State, Country, year, pp. *xxx-xxx.*

*Examples:*

1. *Transmission Systems for Communications*, 3rd ed., Western Electric Co., Winston-Salem, NC, USA, 1985, pp. 44–60.
2. *Motorola Semiconductor Data Manual*, Motorola Semiconductor Products Inc., Phoenix, AZ, USA, 1989.

*Basic format for books (when available online):*

J. K. Author, “Title of chapter in the book,” in *Title of Published Book*, *x*th ed. City of Publisher, State, Country: Abbrev. of Publisher, year, ch. *x*, sec. *x*, pp. *xxx–xxx*. [Online]. Available: http://www.web.com

*Examples:*

1. G. O. Young, “Synthetic structure of industrial plastics,” in Plastics, vol. 3, Polymers of Hexadromicon, J. Peters, Ed., 2nd ed. New York, NY, USA: McGraw-Hill, 1964, pp. 15-64. [Online]. Available: http://www.bookref.com.
2. *The Founders’ Constitution*, Philip B. Kurland and Ralph Lerner, eds., Chicago, IL, USA: Univ. Chicago Press, 1987. [Online]. Available: http://press-pubs.uchicago.edu/founders/
3. The Terahertz Wave eBook. ZOmega Terahertz Corp., 2014. [Online]. Available: http://dl.z-thz.com/eBook/zomega\_ebook\_pdf\_1206\_sr.pdf. Accessed on: May 19, 2014.
4. Philip B. Kurland and Ralph Lerner, eds., *The Founders’ Constitution.* Chicago, IL, USA: Univ. of Chicago Press, 1987, Accessed on: Feb. 28, 2010, [Online] Available: http://press-pubs.uchicago.edu/founders/

*Basic format for journals (when available online):*

J. K. Author, “Name of paper,” *Abbrev. Title of Periodical*, vol. *x*, no. *x*, pp. *xxx-xxx*, Abbrev. Month, year. Accessed on: Month, Day, year, DOI: 10.1109.*XXX*.123456, [Online].

*Examples:*

1. J. S. Turner, “New directions in communications,” *IEEE J. Sel. Areas Commun*., vol. 13, no. 1, pp. 11-23, Jan. 1995.
2. W. P. Risk, G. S. Kino, and H. J. Shaw, “Fiber-optic frequency shifter using a surface acoustic wave incident at an oblique angle,” *Opt. Lett.*, vol. 11, no. 2, pp. 115–117, Feb. 1986.
3. P. Kopyt *et al., “*Electric properties of graphene-based conductive layers from DC up to terahertz range,” *IEEE THz Sci. Technol.,* to be published. DOI: 10.1109/TTHZ.2016.2544142.

*Basic format for papers presented at conferences (when available online):*

J.K. Author. (year, month). Title. presented at abbrev. conference title. [Type of Medium]. Available: site/path/file

*Example:*

1. PROCESS Corporation, Boston, MA, USA. Intranets: Internet technologies deployed behind the firewall for corporate productivity. Presented at INET96 Annual Meeting. [Online]. Available: http://home.process.com/Intranets/wp2.htp

*Basic format for reports and handbooks (when available online):*

J. K. Author. “Title of report,” Company. City, State, Country. Rep. no., (optional: vol./issue), Date. [Online] Available: site/path/file

*Examples:*

1. R. J. Hijmans and J. van Etten, “Raster: Geographic analysis and modeling with raster data,” R Package Version 2.0-12, Jan. 12, 2012. [Online]. Available: http://CRAN.R-project.org/package=raster
2. Teralyzer. Lytera UG, Kirchhain, Germany [Online]. Available: http://www.lytera.de/Terahertz\_THz\_Spectroscopy.php?id=home, Accessed on: Jun. 5, 2014

*Basic format for computer programs and electronic documents (when available online):*

Legislative body. Number of Congress, Session. (year, month day). *Number of bill or resolution*, *Title*. [Type of medium]. Available: site/path/file

***NOTE:*** ISO recommends that capitalization follow the accepted practice for the language or script in which the information is given.

*Example:*

1. U.S. House. 102nd Congress, 1st Session. (1991, Jan. 11). *H. Con. Res. 1, Sense of the Congress on Approval of Military Action*. [Online]. Available: LEXIS Library: GENFED File: BILLS

*Basic format for patents (when available online):*

Name of the invention, by inventor’s name. (year, month day). Patent Number[Type of medium]. Available: site/path/file

*Example:*

1. Musical toothbrush with mirror, by L.M.R. Brooks. (1992, May 19). Patent D 326 189

[Online]. Available: NEXIS Library: LEXPAT File: DES

*Basic format for conference proceedings (published):*

J. K. Author, “Title of paper,” in *Abbreviated Name of Conf.*, City of Conf., Abbrev. State (if given), Country, year, pp. *xxxxxx.*

*Example:*

1. D. B. Payne and J. R. Stern, “Wavelength-switched pas- sively coupled single-mode optical network,” in *Proc. IOOC-ECOC,* Boston, MA, USA,1985,   
   pp. 585–590.

*Example for papers presented at conferences (unpublished):*

1. D. Ebehard and E. Voges, “Digital single sideband detection for interferometric sensors,” presented at the *2nd Int. Conf. Optical Fiber Sensors,* Stuttgart, Germany, Jan. 2-5, 1984.

*Basic format for patents:*

J. K. Author, “Title of patent,” U.S. Patent *x xxx xxx*, Abbrev. Month, day, year.

*Example:*

1. G. Brandli and M. Dick, “Alternating current fed power supply,” U.S. Patent 4 084 217, Nov. 4, 1978.

*Basic format**for theses (M.S.) and dissertations (Ph.D.):*

a) J. K. Author, “Title of thesis,” M.S. thesis, Abbrev. Dept., Abbrev. Univ., City of Univ., Abbrev. State, year.

b) J. K. Author, “Title of dissertation,” Ph.D. dissertation, Abbrev. Dept., Abbrev. Univ., City of Univ., Abbrev. State, year.

*Examples:*

1. J. O. Williams, “Narrow-band analyzer,” Ph.D. dissertation, Dept. Elect. Eng., Harvard Univ., Cambridge, MA, USA, 1993.
2. N. Kawasaki, “Parametric study of thermal and chemical nonequilibrium nozzle flow,” M.S. thesis, Dept. Electron. Eng., Osaka Univ., Osaka, Japan, 1993.

*Basic format for the most common types of unpublished references:*

a) J. K. Author, private communication, Abbrev. Month, year.

b) J. K. Author, “Title of paper,” unpublished.

c) J. K. Author, “Title of paper,” to be published.

*Examples:*

1. A. Harrison, private communication, May 1995.
2. B. Smith, “An approach to graphs of linear forms,” unpublished.
3. A. Brahms, “Representation error for real numbers in binary computer arithmetic,” IEEE Computer Group Repository, Paper R-67-85.

*Basic formats for standards:*

a) *Title of Standard*, Standard number, date.

b) *Title of Standard*, Standard number, Corporate author, location, date.

*Examples:*

1. IEEE Criteria for Class IE Electric Systems, IEEE Standard 308, 1969.
2. Letter Symbols for Quantities, ANSI Standard Y10.5-1968.

*Article number in reference examples:*

1. R. Fardel, M. Nagel, F. Nuesch, T. Lippert, and A. Wokaun, “Fabrication of organic light emitting diode pixels by laser-assisted forward transfer,” *Appl. Phys. Lett.*, vol. 91, no. 6, Aug. 2007, Art. no. 061103.
2. J. Zhang and N. Tansu, “Optical gain and laser characteristics of InGaN quantum wells on ternary InGaN substrates,” *IEEE Photon. J.*, vol. 5, no. 2, Apr. 2013, Art. no. 2600111

*Example when using et al.:*

1. S. Azodolmolky *et al.*, Experimental demonstration of an impairment aware network planning and operation tool for transparent/translucent optical networks,” *J. Lightw. Technol.*, vol. 29, no. 4, pp. 439–448, Sep. 2011.

1. [↑](#footnote-ref-1)
2. It is recommended that footnotes be avoided (except for the unnumbered footnote with the receipt date on the first page). Instead, try to integrate the footnote information into the text. [↑](#footnote-ref-2)