

COMPREHENSIVE COMPLIANCE & GOVERNANCE STANDARDS

Version: **Scope:** Formatting, Privacy, Citation, and Phrasing **Authority:** Derived from Federal Court Best Practices, Bombay High Court Notifications, IEEE Author Guidelines, and Vireo Thesis Standards

SECTION 1: DATA PRIVACY & PERSONALLY IDENTIFIABLE INFORMATION (PII)

Applicability: Universal / Federal Court Filings

Source Authority: *Best Practices: Redaction of Information*

1.1 Mandatory Redaction Requirements

To facilitate compliance with Fed. R. Civ. P. 5.2, Fed. R. Crim. P. 49.1, and 18 U.S.C. 3509(d), the following rules apply strictly to all filings:

- **Personal Identifiers:** Parties must redact sensitive information, specifically personal identifiers, from all filings.
- **Hidden Data Cleansing:** Filers must ensure PDF documents are completely free of hidden data or metadata containing redacted information.
- **Revision History:** Files must be purged of metadata that contains revision history, notes, or track changes, as this may reveal previously deleted text.

1.2 Prohibited Redaction Methods

The following methods are strictly **non-compliant** and must not be used:

- **Font Color Masking:** Changing font color to white is prohibited; text remains selectable and searchable.
- **Word Processor Masking:** Placing black boxes over text within a word processor (e.g., Word) prior to PDF conversion is prohibited, as text often remains recoverable underneath.
- **Physical Masking:** Ink-marking or using semi-translucent tape on physical paper before scanning is prohibited if it allows any information to show through.

1.3 Permitted Redaction Syntax

- **Substitution:** The original text must be replaced with the literal phrase [REDACTED] or [NAME REDACTED].
 - **Consistency:** Redaction must be applied to all variants of the identifier (e.g., "John Wilkes Booth," "John Booth," "J. Wilkes Booth").
-

SECTION 2: JUDICIAL & LEGAL DOCUMENT FORMATTING

Applicability: High Court of Judicature at Bombay & Goa State Filings

Source Authority: *Official Gazette Notifications (Series I No. 29)*

2.1 Physical Paper Standards

- **Paper Quality:** All filings must use "Superior quality A4 size white paper".
- **Paper Weight:** The paper must have a weight of **not less than 75 GSM**.
- **Prohibited Paper Types:** The use of "foolscap size" or "durable paper of foolscap size" is strictly prohibited and must be replaced by A4.

2.2 Typography & Layout

- **Allowed Fonts:** Text must be printed in **Times New Roman** or **Georgia**.
- **Font Size:** The required font size is **14**.
- **Printing Surface:** Printing must occur on **both sides** of the paper.
- **Mirroring:** The layout must account for "mirror image on the back side of page" to maintain margin consistency.

2.3 Margin Specifications

- **Inner Margin:** Must be exactly **5 cms**.
 - **Outer Margin:** Must be exactly **3 cms**.
 - **Prohibited Layouts:** Do not use the "outer three quarters margin only" or leave the "inner one-quarter margin... blank" style.
-

SECTION 3: ACADEMIC THESIS & DISSERTATION STANDARDS

Applicability: University Thesis/Dissertation (Vireo Standards)

Source Authority: *Vireo Formatting Checklist*

3.1 Global Document Formatting

- **Margins:** All pages must have a **1-inch margin** on all sides (top, bottom, left, right).
- **Alignment:** Paragraph alignment (left or justified) must be consistent throughout the entire document.
- **Paragraph Spacing:** All paragraphs must be either indented OR have a blank line between them; this style must be consistent.
- **Content Bounds:** All text, tables, and figures must fit strictly within the four margins. Only page numbers may appear outside these bounds.

3.2 Font & Typography

- **Typeface:** Must use a professional font such as **Times New Roman** or **Garamond**.
- **Size:** Font must be **12 pt** throughout the Front Matter, Text Section, and Back Matter.
- **Consistency:** The same font must be used for all page numbers and body text.
- **Exceptions:**
 - Table/Figure titles and captions may be **10-12 pt**.
 - Text *within* a figure/table can be larger than 12 pt and does not need to match the body font.

3.3 Pagination Rules

- **Location:** Page numbers must be centered at the bottom of the page, located *under* the 1-inch bottom margin.
- **Front Matter:** Must use **Roman numerals** (I, II, III).
 - Numbering begins physically on the **Table of Contents** page.
 - The Title Page is counted but *must not* show a number.
- **Text Section:** Must use **Arabic numerals** (1, 2, 3), starting over at "1" on the first page of the Text Section.

3.4 Front Matter Structure

- **Arrangement:** Pages must follow the specific arrangement required by the checklist.
- **Bold Restriction:** The Title Page must **not** contain any bold font.
- **Title Formatting:**
 - Must be in **ALL CAPS**.
 - Must be **double spaced**.
 - Must follow an **inverted pyramid** format (longest line on top, getting shorter downwards).
- **Attribution Phrasing:**
 - The word "by" must be lowercased with a blank double-spaced line before and after it.
 - The student's name must match the official name on file.

- **Committee Members:** Names listed at the bottom; strictly **no titles** (Dr., Mrs., Mr.) allowed, except for "Chair" or "Co-Chair".

3.5 Headings & Table of Contents (TOC)

- **TOC Content:** The "TABLE OF CONTENTS" heading must be **ALL CAPS, bold, and centered**.
 - **Consistency:** Chapter titles and subheadings in the TOC must match the text *exactly* (word-for-word and capitalization).
 - **Dot Leaders:** Must use dot leaders with a right tab to connect entries to page numbers; the last word must touch the dot leader.
 - **Chapter Headings:**
 - Must be in **ALL CAPS**.
 - Must be numbered using either Roman or Arabic numerals (consistent style required).
 - Must begin on a new page.
-

SECTION 4: TECHNICAL & ENGINEERING PUBLISHING STANDARDS

Applicability: IEEE Transactions, Journals, Letters, and Proceedings

Source Authority: *Information for IEEE Transactions, Journals, and Letters Authors*

4.1 Ethical & Originality Requirements

- **Exclusivity:** Submissions must be original work submitted to a single IEEE Journal; they must not be under consideration elsewhere.
- **Permissions:** Authors must obtain written permission for any charts, photographs, or graphics reused from previously printed material.
- **ITAR Compliance:** U.S. nationals or employees of U.S.-based organizations must ensure submissions do not violate the **International Traffic in Arms Regulation (ITAR)**.

4.2 Document Structure (IEEE)

- **Abstract:**
 - Must be limited to **50–200 words**.
 - Must concisely state what was done, how it was done, principal results, and significance.

- **Required Components:** Full papers must include: Title, Byline, Author Affiliation, Footnote (financial support), Index Terms, Abstract, Introduction, Body, Conclusions, Reference List, and List of Figures/Table Captions.

4.3 Citation & Reference Style (IEEE)

- **Numbering:** References must be a numbered list at the end of the paper.
- **Order:** Arranged in **order of citation in text**, not alphabetical order.
- **Format:**
 - Reference numbers must be enclosed in **square brackets** (e.g., [1]).
 - In-text citations should read "in [1]" rather than "in reference [1]".
 - Dates of references should usually *not* be mentioned in the text body.
- **Author Names:** It is not necessary to mention author names in the text unless relevant.
- **Sample Formats:**
 - *Books:* [1] G. O. Young, "Title," in Book,
 - *Periodicals:* [3] J. U. Duncombe, "Title," IEEE Trans..., vol. ED-11, pp. 34-39, Jan. 1959..
 - *Electronic:* Must include [Online] and Available: site/path/file.

4.4 Typography & Mathematical Notation

- **Acronyms:** Must be defined the first time they are used in the text.
- **Units:** The **International System of Units (SI)** is advocated.
 - Unit symbols (e.g., 1 mm) should be used with quantities.
 - Unit names (e.g., "millimeters") should be used in text without quantities.
- **Mathematical Notation:**
 - **Boldface:** Indicated by a wavy line under a character; used for vectors and matrices.
 - **Italic:** Indicated by a straight line under a character; used for all text variables.
 - **Equation Width:** Must fit in a space no wider than **21 picas (3.5 inches)**.
 - **Number Grouping:** Numbers with more than four digits should be separated into groups of three by a space (not a comma) (e.g., 12 531).

4.5 Figures & Graphics

- **Separation:** Graphics must be submitted as separate items from the text.
- **Formats:** Acceptable formats are **TIFF**, **PostScript (PS)**, or **Encapsulated PostScript (EPS)**.
- **Resolution:**
 - Line art: **600 dpi** (1 bit/sample).
 - Grayscale/Photos: **220 dpi** (8 bits/sample).
 - Color: **400 dpi**.
- **Naming:** Use lowercase letters when naming all figures and tables.

- **No Boxes:** Do **not** put boxes around figures to enclose them.
-

SECTION 5: GOVERNANCE & PHRASING

Applicability: General Publication & Copyright

Source Authority: *IEEE Author Rights* and *Vireo Checklist*

5.1 Copyright Notices (IEEE)

- **Submission Phase:** Electronic preprints must display: *"This work has been submitted to the IEEE for possible publication. Copyright may be transferred without notice, after which this version may no longer be accessible."*
- **Personal Servers:** Authors posting on personal servers must display: *"This material is presented to ensure timely dissemination of scholarly and technical work. Copyright and all rights therein are retained by authors or by other copyright holders."*

5.2 Required Disclaimers (Thesis)

- **Title Page Disclaimer:** Must explicitly state: *"A [thesis/dissertation] submitted to the Graduate Council of Texas State University in partial fulfillment of the requirements for the degree of..."*

administrative Compliance Rulebook (Mechanical Compliance Engine)

0. Executive Authority and Intent (Foundational)

This document constitutes the **exclusive, authoritative, and exhaustive Administrative Rule Set** for the Mechanical Compliance Engine. These rules apply **only and strictly** when a user has not uploaded a custom rule set. The purpose of this rulebook is to enable **deterministic, mechanical, and closed-world compliance verification**.

This rulebook is **not** a guideline, recommendation, best-practice manual, quality framework, or interpretive standard. Every rule herein is intended to be **machine-enforceable**, auditable, and reproducible.

The Compliance Engine must behave as a **non-reasoning verifier**. It does not evaluate truth, usefulness, intent, tone, persuasiveness, bias, ethics, or correctness unless a rule in this document explicitly instructs it to do so.

1.4 Rule Category Locking

Every enforceable rule must belong to exactly one of the following categories:

1. Data Privacy / PII
2. Citation Style
3. Document Structure & Formatting
4. Restricted / Required Phrasing (Governance)

No other category may be created or inferred.

2. Data Privacy / Personally Identifiable Information (PII)

2.1 Scope of PII Governance

For the purposes of this rulebook, PII refers strictly to information that can directly identify or uniquely associate with an individual **when explicitly listed below**. No expansion of this definition is permitted.

Covered PII includes:

- Full legal names of private individuals
- Names of minors
- Social Security Numbers or equivalent national identifiers
- Financial account numbers
- Dates of birth
- Home addresses
- Personal phone numbers
- Personal email addresses

Information not explicitly listed above is **out of scope** and must not be treated as PII.

2.2 Default Redaction Requirement

Unless a governing document explicitly requires full disclosure, all PII listed in Section 2.1 **must be redacted** prior to submission.

Redaction is mandatory regardless of:

- Document purpose
- Document audience
- Document confidentiality level

2.3 Mandatory Redaction Technique

Permitted redaction methods are limited to the following:

1. Literal replacement of sensitive text with standardized placeholders such as:
 - [REDACTED]
 - [NAME REDACTED]
 - [ACCOUNT NUMBER REDACTED]
2. Full flattening and sanitization of the document prior to PDF generation.

Any redaction method not explicitly listed above is prohibited.

2.4 Forbidden Redaction Methods

The following methods **must never** be used and constitute a **high-severity violation**:

- Changing text color to white or transparent
- Overlaying black boxes without flattening
- Hiding text behind shapes or layers
- Partial masking that allows reconstruction
- Image-only overlays that do not remove underlying text

2.5 Metadata Elimination

All submitted documents must be free of recoverable metadata that could expose redacted information.

This includes, but is not limited to:

- Revision history
- Comments and annotations
- Tracked changes
- Embedded file objects
- Hidden text layers

Presence of recoverable metadata constitutes a **high-severity violation**, regardless of visible redaction quality.

2.6 Consistency of Redaction

If a PII element is redacted in one location, **all occurrences and variants** of that element must be redacted throughout the document.

Variants include:

- Abbreviations
- Initials
- Possessive forms
- Alternate spellings

Partial redaction constitutes non-compliance.

2.7 Disclosure-Required Documents

If a document type explicitly requires disclosure of real names or identifiers (e.g., court filings), anonymization or redaction **must not** be applied unless explicitly instructed.

Unnecessary redaction in such cases constitutes a **medium-severity violation**.

3. Citation Style Compliance

3.1 Citation Trigger Condition

A citation is required **only when** user content explicitly references:

- External statutes
- Regulations
- Court cases
- Standards
- Published works
- External policies

If no external reference exists, citation requirements do not apply.

3.2 Citation Presence Requirement

When triggered, a citation must:

- Be present
- Be complete
- Be placed immediately following the referenced content

3.3 Citation Style Consistency

Once a citation style is used, it must be applied consistently throughout the document.

Mixing citation styles constitutes a **medium-severity violation**.

3.4 Citation Placement Rules

Permitted citation placements:

- Inline citations
- Footnotes
- Endnotes

The chosen placement method must remain consistent.

3.5 Prohibited Citation Practices

The following constitute violations:

- Placeholder citations (e.g., "TBD", "Insert citation")
- Unattributed quotations
- Broken or incomplete references

3.6 Absence of Citation Rules

If no citation style is explicitly mandated by a governing document, the engine **must not** enforce a specific citation format.

4. Document Structure & Formatting

4.1 Structural Integrity Requirement

Documents must maintain a clear, hierarchical structure.

Required structural elements include:

- A title or case name
- Section headings

- Page numbering where multi-page

4.2 Heading Hierarchy Enforcement

1. Heading levels must follow a logical order.
2. Skipping heading levels is prohibited.
3. Heading formats must be consistent.

4.3 Formatting Uniformity

Formatting must remain uniform across the document with respect to:

- Font family
- Font size
- Line spacing
- Paragraph spacing

Arbitrary variation constitutes non-compliance.

4.4 Page Layout Rules

1. Margins must be consistent across pages.
2. Content must not overflow page boundaries.
3. Headers and footers must not overlap body text.

4.5 Lists and Numbering

1. Lists must use a single numbering or bullet scheme.
2. Nested lists must maintain consistent indentation.
3. Cross-references must correspond to actual sections.

4.6 File Quality Requirements

1. PDFs must be flattened.
2. Scanned documents must be legible.
3. Illegible scans constitute a **medium-severity violation**.

5. Restricted / Required Phrasing (Governance)

5.1 Required Language Enforcement

Where a governing document mandates specific language, that language:

- Must appear verbatim
- Must not be paraphrased
- Must be placed in the required location

5.2 Forbidden Language Enforcement

Explicitly forbidden words or phrases must not appear anywhere in the document, including:

- Footnotes
- Appendices
- Captions

5.3 Standard Clause Integrity

Standard clauses must remain textually identical to their mandated form.

Any deviation constitutes a **high-severity violation**.

5.4 Absence of Phrasing Rules

If no required or forbidden phrasing is specified, **no phrasing violations may be generated**.

6. Severity Classification Framework

6.1 Low Severity

Applies to:

- Minor formatting deviations
- Cosmetic inconsistencies

6.2 Medium Severity

Applies to:

- Structural violations
- Citation inconsistencies
- Unnecessary redaction

6.3 High Severity

Applies to:

- Exposure of PII
 - Metadata leakage
 - Forbidden disclosure
-

7. Compliance Output Contract

The engine must output results strictly in the predefined JSON schema.

No additional fields, commentary, or interpretation is permitted.

8. Explicit Exclusions

This rulebook must **never** be used for:

- Fact checking
 - Tone analysis
 - Sentiment detection
 - Quality scoring
 - Plagiarism detection
-

9. Final Authority Clause

This document is the sole authoritative administrative rule set for default compliance enforcement. Any behavior outside its explicit instructions constitutes a system violation.