

# A Handbook for Theses and Dissertations



*The Graduate School*  
THE UNIVERSITY OF UTAH

Copyright © The Graduate School of the University of Utah 2010

All Rights Reserved

# A HANDBOOK FOR THESES AND DISSERTATIONS

THE GRADUATE SCHOOL  
THE UNIVERSITY OF UTAH

2010

The Thesis Office of The Graduate School of the University of Utah  
is located in the Park Building, room 302

Mailing address: 201 South President's Circle #302, Salt Lake City, UT 84112-9016

CHRISTINE PICKETT  
Thesis and Dissertation Editor  
christine.pickett@gradschool.utah.edu  
801-581-8893

MARTHA KLEIN  
Assistant Thesis Editor  
martha.klein@gradschool.utah.edu  
801-581-5076

KELLY HARWARD  
Assistant Thesis Editor  
kelly.harward@gradschool.utah.edu  
801-581-7643

FAX: 801-585-6749

# CONTENTS

<b>LIST OF FIGURES</b>	<b>v</b>
<b>LIST OF TABLES</b>	<b>vi</b>
<b>1 GENERAL INFORMATION AND UNIVERSITY REGULATIONS</b>	<b>1</b>
Procedures	1
Statement of Completion	2
University Regulations	3
Topic Approval	3
Contract Research	3
Oral Defense	3
Submission of Thesis or Dissertation	3
Publication of Theses and Dissertations Involving Patents and Restricted Data	3
Content Requirements	3
Coauthored Theses and Dissertations	4
Coauthors as degree candidates.	4
Material coauthored with nonstudent(s).	4
Multiple author releases required.	4
Approval Requirements	4
Publication Requirements	4
Copyright	4
Notice of Copyright	5
Registration of Copyright	5
Avoiding Infringement	5
Use of Journal Articles in Theses or Dissertations	5
Obtaining Approval	5
Use of Previously Published Material	5
Use of Material Accepted for Publication	6
Property Rights	6
<b>2 CONTENT AND ORGANIZATION OF THE MANUSCRIPT</b>	<b>7</b>
Preliminary Pages	7
Title Page	7
Copyright Page	8
Statement of Thesis/Dissertation Approval	8
Abstract	8
Dedication	8
Frontispiece, Epigraph	11
Contents or Table of Contents	11
Lists	11
Acknowledgments	12
Preface	12
The Text	12
Division into Parts	12

Quotations . . . . .	13
Headings . . . . .	13
Spacing. . . . .	13
Length. . . . .	13
Placement. . . . .	13
Consistency. . . . .	16
Numbering. . . . .	16
Tables and Figures . . . . .	16
Table and Figure Order . . . . .	16
Table and Figure Placement . . . . .	16
Figure Numbering and Captions . . . . .	17
Table Numbering and Titles . . . . .	17
Local numbering. . . . .	17
Landscape (broadside) placement. . . . .	17
Page number placement. . . . .	20
Reductions. . . . .	20
Oversize tables and figures. . . . .	20
Part-title pages. . . . .	20
Equations . . . . .	20
Footnotes and Reference Citations . . . . .	20
Spacing of footnotes and endnotes. . . . .	20
Placement of footnotes. . . . .	21
The Appendix or Appendices . . . . .	21
References or Selected Bibliography . . . . .	22
Citation of Web-accessed Information . . . . .	22
Vita . . . . .	22
<b>3 DOCUMENTATION STYLE AND WRITING STYLE . . . . .</b>	<b>23</b>
Documentation Style . . . . .	23
Writing Style . . . . .	23
<b>4 PREPARATION AND SUBMISSION OF THE MANUSCRIPT . . . . .</b>	<b>24</b>
Print Quality . . . . .	24
Margins . . . . .	24
Electronic Version Submitted for Thesis Release . . . . .	25
Distribution of Theses and Dissertations . . . . .	25
Personal Copies . . . . .	25
Fees . . . . .	25
<b>A COMPARISON OF SPACING REQUIREMENTS . . . . .</b>	<b>27</b>
<b>B USING PUBLISHED ARTICLES AS DISSERTATION CHAPTERS . . . . .</b>	<b>29</b>
<b>C SUPERVISORY COMMITTEE AND FINAL READING APPROVAL FORMS . . . . .</b>	<b>31</b>
<b>INDEX . . . . .</b>	<b>33</b>

# LIST OF FIGURES

- [2.1 Sample Statement of Thesis Approval](#) ..... 9
- [2.2 Sample Statement of Dissertation Approval](#) ..... 10
- [2.3 Format for subheadings](#) ..... 14
- [2.4 Examples of figure and table placement on a page of text](#) ..... 18
- [2.5 Sample of a landscaped table](#) ..... 19

# LIST OF TABLES

[4.1](#) Recommended fonts and print sizes ..... [24](#)

[4.2](#) Options for Personal Copies of Theses and Dissertations ..... [26](#)



# CHAPTER 1

## GENERAL INFORMATION AND UNIVERSITY REGULATIONS

This handbook has been prepared by The Graduate School of the University of Utah to aid students writing theses and dissertations. The handbook must be used in conjunction with one style manual accepted by the student's department (see Chapter 3) for references, table and figure format, and other stylistic considerations. It is the student's responsibility to be familiar with the regulations governing theses and dissertations and all other requirements for graduation. The following is a general outline for preparing a thesis or dissertation for approval by the student's department and The Graduate School.

### Procedures

1. Plan a schedule for the research and writing of the thesis or dissertation with the chair of the supervisory committee.
2. Consult this handbook and the thesis and dissertation editor with questions about style guide selection, the use of illustrations, acceptable print size, the use of copyrighted materials, and other aspects of manuscript preparation.
3. Submit the thesis or dissertation to members of the supervisory committee. The chair must receive a copy at least 3 weeks before the final oral examination. The other members of the committee must receive a copy at least 2 weeks before the oral examination. Some departments require more than 3 weeks; check with your chair. As a courtesy to students, a manuscript (hard copy only) may be submitted to the thesis editor for "preliminary review" at any time before the defense. The manuscript will not be read at this time, but it will be examined for obvious errors in University format. After the defense, manuscripts are accepted for Format Approval only.
4. Prior to the defense, prepare one copy of the Supervisory Committee Approval and Final Reading Approval forms (available on The Graduate School Website, "Sample Forms," or in the Thesis Office). Prepare the signature forms by typing in student and faculty full legal names and avoiding use of degrees and titles, such as M.D., Ph.D, Dr., Professor, etc. (see "Thesis and Dissertation Forms" and "Sample Forms" on The Graduate School website).
5. Defend the thesis or dissertation at a public oral examination scheduled and announced by the committee. The date should be set early enough in the semester to allow submission of the manuscript to the Thesis Office for Format Approval 6 weeks prior to the closing date of the semester (i.e., the last day of final examinations; see the Calendar on The Graduate School website for specific dates).
6. Make any changes to the manuscript that the committee may require after the oral defense. Have the signature forms signed in ink by the committee members. By majority vote the members of the supervisory committee certify on the Supervisory Committee Approval form that the thesis or dissertation has been found satisfactory for the degree.

7. The committee chair signs the Final Reading Approval form and certifies that the final thesis or dissertation has been read and approved, that all materials are in order, and that the manuscript is ready to submit to The Graduate School. After obtaining signatures of the committee and the chair as final reader, the student submits the manuscript to the department chair or dean of the student's college or school for approval on the Final Reading Approval form. **A manuscript will not be accepted for Format Approval until it has been successfully defended and signatures of a majority of the supervisory committee, the final reader, and the chair of the department have been obtained.** (See Appendix C for further details.)

The signature of the dean of The Graduate School is given after the final manuscript is approved by the thesis editor.

8. Submit a hard copy of the thesis or dissertation that has been publicly defended and approved by the supervisory committee, the final reader, and the chair of the department to the Thesis Office for Format Approval. For graduation in a particular semester, the defended and committee-approved thesis or dissertation must be submitted 6 weeks prior to the closing date of the semester. Students with manuscripts greater than 200 pages should consult with the thesis editor regarding time to complete and submission date. Manuscripts are accepted for Format Approval at any time during the semester; however, manuscripts submitted for Format Approval after the deadline are reviewed as time permits. **IMPORTANT: The manuscript submitted must adhere to the guidelines in this handbook in order to qualify as meeting the deadline.** Graduation cannot be guaranteed for a specific semester if manuscripts are submitted after the Format Approval deadline (see the Calendar on The Graduate School website). **Manuscripts are reviewed in the order in which they are received.**
9. After notification by the Thesis Office that the submitted manuscript has been read (generally 2 to 10 working days after submission; manuscripts over 200 pages may take 10 to 20 days to process), meet with the thesis editor regarding any corrections. **Discussion of corrections is by appointment only.** Once all corrections have been made, a Format Approval is issued.
10. After receiving Format Approval, the student will be given instructions for submitting a PDF file. The final manuscript should be uploaded no later than the Monday before examination week (the final week of the semester; see filing date listed in the Calendar on The Graduate School website). If the final manuscript is satisfactory, the dean of The Graduate School signs the Final Reading Approval and a Thesis Release is issued. **All processing of the manuscript must be completed by the last day of the semester for graduation in the semester.**

If a Thesis Release cannot be issued by the closing date of the semester, the date on the title page of the manuscript must be changed to reflect the next semester graduation date. The diploma also is dated that semester. **If the student was registered for 3 semester hours the semester of the oral defense, no further registration fees are required in order to graduate in a subsequent semester.**

## Statement of Completion

A Statement of Completion may be obtained from the Graduation Office after the Thesis Release is issued if the student's file is complete in the Graduate Records Office and all grades have been recorded for the Application for Admission to Candidacy (for master's candidates) or the Program of Study (for doctoral candidates). The Statement, which may be used in place of the diploma, shows the month of graduation and the date all the requirements for the degree were completed. Diplomas are mailed to students by the Graduation Office approximately 3 months after the closing date of the semester of graduation.

## University Regulations

### Topic Approval

The supervisory committee is responsible for approving topics for theses and dissertations. No thesis or dissertation subject may be approved that prevents the completed manuscript from being made available for public use by the time the degree is granted.

### Contract Research

According to the standard research agreement for sponsored, contract work, the University of Utah, "... as a state institution of higher education, engages only in research that is compatible, consistent and beneficial to its academic role and mission and therefore significant results of research activities must be reasonably available for publication. The University agrees, however, for a period not to exceed six (6) months following completion of the project, that it will obtain sponsor approval prior to publication, which approval will not be unreasonably withheld by sponsor. The University agrees to keep confidential any sponsor proprietary information supplied to it by sponsor during the course of research performed by the University, and such information will not be included in any published material without prior approval by sponsor" (Office of the University of Utah Vice President for Research).

### Oral Defense

The supervisory committee schedules a public oral examination at which time the candidate must defend the thesis or dissertation satisfactorily. The departmental director of graduate studies and the supervisory committee determine how the oral defense is publicized. The supervisory committee approves the manuscript after a successful defense.

### Submission of Thesis or Dissertation

Following the editing and format approval process, the final thesis or dissertation is submitted through the Thesis Office for distribution to ProQuest/UMI and the University of Utah libraries for public use.

### Publication of Theses and Dissertations Involving Patents and Restricted Data

Departures from the policies above must be approved by the dean of The Graduate School, in consultation with the Graduate Council, and can be made only in exceptional circumstances in which a delay is required. Examples are (a) to protect the rights of patent applicants, (b) to prevent unjust economic exploitation, (c) to protect the privacy of research subjects, and (d) to avoid copyright conflicts. To protect the rights of patent applicants and to prevent unjust economic exploitation, the dean of The Graduate School, in consultation with the Graduate Council, may delay granting of the degree and/or publication of the thesis or dissertation. The committee chair, with the knowledge of the department chair, must approve requests for this action. In either case the delay should be no longer than 6 months, with possible extension if approved by the dean of The Graduate School.

Students may request an embargo on access to their thesis or dissertation on the Final Reading Approval form. Students must indicate the reason for the request: a patent pending through the Technology Transfer Office or a journal copyright issue. The embargo is for 6 months, extending from the date the embargo is approved by the dean of The Graduate School. Both the student and chair of the supervisory committee must sign the form. The embargo may be lifted upon written request. A request for an additional 6 months must be submitted in writing prior to the date the embargo is lifted. Both requests require the student's signature as well as that of the chair of the supervisory committee.

### Content Requirements

Master's and doctoral candidates must submit a thesis or dissertation "... embodying the results of scientific or scholarly research or artistic creativity which gives evidence of originality and ability in independent

investigation and is a contribution to knowledge or the creative arts.” Manuscripts “... must show a mastery of the relevant literature and be represented in acceptable style. The style and format... are determined by departmental policy and registered with the thesis editor, who approves the style and format of individual [theses and] dissertations in accordance with departmental policy” (University Regulations Library 6-203-III-F).

The contents of the thesis or dissertation must meet the standards of the college, the department, and the supervisory committee of the candidate. Style, content, and documentation of the thesis or dissertation are approved by the supervisory committee. The thesis editor approves format and editorial style of the manuscript prior to graduation.

## Coauthored Theses and Dissertations

**Coauthors as degree candidates.** A single thesis that a student has coauthored with another student (or students), each of whom is a candidate for a master’s degree, may be submitted provided the supervisory committee gives prior recommendation and approval to each student’s role in the collaboration, the thesis represents the work equivalent of a single, independent thesis for each coauthor (i.e., the scope, depth of analysis, and sophistication of approach reflect the work of more than one author), and it is evident that each student has made a significant contribution to the thesis. Candidates for the doctoral degree may not collaborate on a single dissertation.

**Material coauthored with nonstudent(s).** A degree candidate may use previously published or submitted material that has been coauthored with a nonstudent (e.g., faculty member, research director) as part or all of a thesis or dissertation if the supervisory committee recommends the material be included and has determined the candidate’s role in the collaboration “... gives evidence of originality and ability in independent investigation and is a contribution to knowledge or the creative arts” (University Regulations Library 6-203-III-F).

**Multiple author releases required.** In all cases of multiple authorship, releases from the coauthor(s) must be submitted to the thesis editor prior to graduation. Forms for the legal release required are available in the Thesis Office and on The Graduate School website (see “Sample Forms” and “Thesis and Dissertation Forms.”)

## Approval Requirements

Before the final submission of the manuscript for a Thesis Release, approvals must be received from the supervisory committee members, who sign the Supervisory Committee Approval form; from the final reader of the manuscript and the chair of the department (or dean of the college/school), who sign the Final Reading Approval form; and from the thesis editor, who issues Format Approval.

## Publication Requirements

Doctoral dissertations and master’s theses must be available to other scholars and to the general public. The University publication requirement is met if one of the following occurs:

1. The entire dissertation or thesis is submitted to ProQuest Information and Learning Company and copies are made available for public sale.
2. The abstract only is published if the entire dissertation or thesis has been previously published and distributed, exclusive of vanity publishing. The candidate may elect to microfilm the entire previously published work.

## Copyright

U.S. copyright law is complex. Details of the law, including an explanation of “fair use,” may be found at <http://www.gradschool.utah.edu/thesis/lib-copyright.php>.

Students preparing theses and dissertations must be aware of how to protect their own works and how to avoid infringing upon the works of others. Protection of one's own work is accomplished through placement of a copyright notice and registration of copyright.

## Notice of Copyright

Copyright protection is obtained by placing notice of copyright on the thesis or dissertation and the extra abstracts.

Copyright © Your Name 2010  
All Rights Reserved

## Registration of Copyright

Registration is not required, but it does place details of a copyright claim on public record. Registration is accomplished by filing federal form TX with the U.S. Copyright Office, Library of Congress, Washington DC 20559, or having ProQuest Information and Learning register the claim.

Registration of copyright allows the owner to qualify for an award of statutory damages in cases of infringement. Otherwise, a copyright owner will be awarded actual damages only.

## Avoiding Infringement

"Permission to Quote Copyrighted Material" and "Multiple Author Release" forms are available on The Graduate School website under "Thesis and Dissertation Forms" and "Sample Forms". Obtaining permission to quote copyrighted material is federal law. Students are required to obtain written permission (hard copy, facsimile, or electronic signature) for any figure or table in its entirety, any poem or musical composition, words or music of popular songs, questionnaires, prose beyond the amount defined as "fair use," etc.

Students must use the credit line specified by the copyright owner and place it where required by the owner.

All sources must be cited whenever use is made of the material of others, even if the use is limited and no copyright permission is necessary. Direct use of the work of others without citing the source is plagiarism.

## Use of Journal Articles in Theses or Dissertations

### Obtaining Approval

If students wish to use articles accepted or published by reputable scholarly journals in a thesis or dissertation or to type the thesis or dissertation in the style of a particular journal for subsequent submission, they must first obtain the recommendation and approval of the supervisory committee. If the journal is not on the list of department-approved journals and manuals of style on The Graduate School website, the chair of the department or the director of graduate studies must notify the thesis editor of departmental approval of the journal, and the student must submit a sample of the journal and/or journal guidelines.

### Use of Previously Published Material

Appendix B outlines the procedures for the incorporation of previously published, accepted, and submitted articles as chapters of a thesis or dissertation.

A thesis or dissertation containing one or more articles published by a scholarly journal must meet all format specifications outlined in this handbook. The manuscript must have a title page, signature pages, abstract, and table of contents. Previously published articles are treated as separate chapters (or sections). They may be combined in a manuscript with chapters that have not been previously published. Reprints used in theses and dissertations must meet University margin requirements. Reprint pages must be numbered in sequence with the rest of the manuscript.

More than one reprint may be used in the thesis or dissertation if the specifications noted above are met and the supervisory committee considers the subject materials to be related. One reprint may be used as all of the thesis or dissertation if the specifications noted above are met.

The title of the thesis or dissertation must reflect the entire work. There must be an abstract summarizing the entire work, even though individual chapters may have abstracts. Citation and reference style may vary for published chapters.

Any use of previously published material requires that permission to quote copyrighted material be obtained from the copyright owner(s) and filed in the Thesis Office. Multiple author release(s), if required, also must be filed.

### **Use of Material Accepted for Publication**

An article or articles that are accepted by journals but have not yet been published may be used as part of a thesis or dissertation. The student may follow the instructions to contributors in regard to format if the instructions do not conflict with the format specified in this handbook. Running heads (i.e., an abbreviated title of the manuscript often with the author's last name printed in the upper margin of each page) may **not** be used, and tables and figures must be referred to by number in the text and placed after their first reference.

### **Property Rights**

Publication rights (copyright) are reserved by the author, subject to the provisions of research contracts, patent rights, or other agreements made by the author with the University.

# CHAPTER 2

## CONTENT AND ORGANIZATION OF THE MANUSCRIPT

In this chapter, each component of the manuscript is listed in the order it occurs. Format details are specified for each page. Samples of the major parts of the manuscript are available on The Graduate School website (see “Sample Pages” and “Sample Forms”).

### Preliminary Pages

Preliminary pages are, in order, the title page; copyright page; statement of thesis/dissertation approval; abstract; dedication (optional); frontispiece (optional); epigraph (optional); table of contents; lists of tables, figures, symbols, and abbreviations; and acknowledgments (optional).

The preliminary pages are counted in sequence (except the copyright page, which is neither counted nor numbered). Any page with a major heading on it (title page, abstract, table of contents, etc.) is counted, but no page number is typed on the page. Second pages to the abstract, table of contents, lists, and acknowledgments are numbered with lower case Roman numerals centered within the thesis margins one line above the 1-inch bottom margin (see “Sample Pages” on The Graduate School website).

### Title Page

The title page is page i (Roman numeral) of the manuscript (page number not shown).

The title of the thesis or dissertation is typed in all capital letters. The title should be placed in the same size and style of font as that used for major headings throughout the manuscript. If longer than 4 1/2 inches, the title should be double spaced and arranged in an inverted pyramid. The title should be a concise yet comprehensive description of the contents for cataloging and data retrieval purposes. There should be no initials, abbreviations, or acronyms in the title, and numerals, formulas, superscripts, subscripts, and symbols should be avoided in the title.

The title page includes the **full legal name** of the author. The name is not typed in all capital letters.

The **statement** “A thesis submitted to the faculty of The University of Utah in partial fulfillment of the requirements for the degree of” appears in the middle of the title page (“Sample Pages” on The Graduate School’s website). For doctoral candidates, the phrasing reads “A dissertation submitted. . . .”

The appropriate **degree** follows six lines below the statement. (In the event the name of the degree differs from the name of the department, e.g., Master of Science in Environmental Humanities, the words “Master of Science” are placed six lines below the statement, followed by “in” and then the degree program.) Thus, a student receiving a doctorate in history need use only the words “Doctor of Philosophy.” A student receiving a doctorate in Geophysics must put “Doctor of Philosophy in Geophysics.”

Below the degree field, the full name of the **department** is listed on the title page.

The name of the **institution**, “The University of Utah,” is listed a double space below the department name.

The **date** appears on the title page a double space below “The University of Utah.” Only the month and year appear, with no punctuation separating them. The month indicates the **last month** in the semester

the degree is granted: fall semester, December; spring semester, May; summer semester, August.

## Copyright Page

The second page is the copyright page, which is uncounted and unnumbered. A copyright notice appears in every copy of the thesis or dissertation and with the extra abstract. The notice, as illustrated below, is centered within the thesis margins and the top and bottom margins of the page.

Copyright © Student's Full Legal Name 2010

All Rights Reserved

There is a double space between the two lines.

## Statement of Thesis/Dissertation Approval

The statement of thesis/dissertation approval is page ii (Roman numeral) of the manuscript (page number not shown). This statement is prepared as shown in Figures 2.1 (for master's students) and 2.2 (for doctoral students), which should be used as a template (templates in .doc and .pdf format are also available on The Graduate School website under "Thesis and Dissertation Forms").

The statement of thesis/dissertation approval signifies that the thesis or dissertation has been approved by the committee chair and a majority of the members of the committee and by the department chair and the dean of The Graduate School. Only the names of those committee members who approved the thesis or dissertation are listed.

The full name of the student, as it appears on the title page and copyright page, must be used.

As with the hard copy signature sheets, full legal names of committee members must be listed. Neither degrees nor titles should be listed with the names of faculty members. No signatures are required.

## Abstract

The abstract is page iii, unnumbered; if there is a second page, it is page iv, and a number appears on the page. The abstract is a concise, carefully composed summary of the contents of the thesis or dissertation. In the abstract, the author defines the problem, describes the research method or design, and reports the results and conclusions. No diagrams, illustrations, subheadings, or citations appear in the abstract. The abstract is limited to 350 words (approximately one and one-half pages double-spaced). A second copy of the extra abstract of all doctoral candidates is published in Dissertation Abstracts International. The word ABSTRACT is placed 2 inches from the top of the page in all capital letters. Following a triple space (1/2 to 3/4 inch for most fonts), the abstract text begins, with the first line indented the same size space as for the paragraphs in the remainder of the manuscript. The text of the abstract must be double-spaced.

If a manuscript is written in a foreign language, the abstract is in the same language, but an English version (or translation) of the abstract must precede the foreign language abstract. The two abstracts are listed as one in the table of contents. The first page of each version is unnumbered but counted. If there is a second page to each version of the abstract, the page number (lower-case Roman numeral) is centered 1 inch from the bottom of the page.

## Dedication

The dedication is an optional entry; enumeration continues in sequence, but no page number appears on the page. It follows the abstract and precedes the table of contents. Often only one or two lines, it is centered within the top and bottom margins of the page and within the thesis margins. It is not labeled "Dedication" and is not listed in the table of contents.



**STATEMENT OF THESIS APPROVAL**

The thesis of William Allen  
has been approved by the following supervisory committee members:

Michelle Smith, Chair 1/23/2010  
Date Approved

Fredrick M. Pannell, Member 1/29/2010  
Date Approved

Nicole Jones, Member 2/3/2010  
Date Approved

and by Jacquelyn Coleman-Stewart, Chair of  
the Department of Philosophy

and by Charles A. Wight, Dean of The Graduate School.

Figure 2.1: Sample Statement of Thesis Approval

### STATEMENT OF DISSERTATION APPROVAL

The dissertation of Sharon Campbell-Ochoa  
has been approved by the following supervisory committee members:

<u>Shon Gillespie</u>	, Chair	<u>1/7/2010</u> <small>Date Approved</small>
<u>Vilma S. Browne</u>	, Member	<u>1/21/2010</u> <small>Date Approved</small>
<u>Jerome Scott</u>	, Member	<u>1/9/2010</u> <small>Date Approved</small>
<u>Robert D. Cusick</u>	, Member	<u>1/19/2010</u> <small>Date Approved</small>
<u>Erin Forster</u>	, Member	<u>1/15/2010</u> <small>Date Approved</small>

and by Gloria Browning, Chair of  
the Department of Neurobiology and Anatomy

and by Charles A. Wight, Dean of The Graduate School.

Figure 2.2: Sample Statement of Dissertation Approval

## Frontispiece, Epigraph

These are rarely used entries. The frontispiece is an illustration that alerts the reader to the major theme of the thesis or dissertation. An epigraph is a quotation of unusual aptness and relevance.

## Contents or Table of Contents

The table of contents follows the abstract (or dedication if one is used). The word CONTENTS (or TABLE OF CONTENTS) is placed 2 inches from the top of the page in all capital letters. Following a triple space, the table of contents begins (see the samples provided in “Sample Pages” on The Graduate School website). The table of contents, essentially an outline of the manuscript, lists the preliminary pages beginning with the abstract (page iii). It does not list a frontispiece, dedication, or epigraph if these are used, nor is the table of contents listed in the table of contents; these pages are, however, counted. The list of figures and list of tables, if used, are included (see “Sample Pages” on The Graduate School website).

All main sections and all first-level subheadings of the manuscript are listed in the table of contents. It is not necessary and, in manuscripts with numerous second- and third-level subheadings, it is not recommended to list other than first-level subheadings. Beginning page numbers of each section listed are lined up with each listing by a row of evenly spaced, aligned periods (period leaders). Page 1 begins the text. The numbers, titles, and subheadings of chapters or sections used in the table of contents must agree **exactly** in wording and capitalization with the way these divisions appear in the text.

The table of contents reflects the relationship of the chapters and subheadings. Chapter titles appear in all capital letters, as do titles of appendices. First-level subheadings have only the first letter of major words (or the first letter of the first word depending on how they appear in the text) capitalized. Subheadings are neither underlined nor italicized in the table of contents. If the table of contents continues to a second page, it begins 1 inch from the top of the page, and it is not labeled “Table of Contents Continued” (see “Sample Pages” on The Graduate School website). Main headings are followed by a double space in the table of contents; all subheadings are single-spaced. The words “Chapter” and “Appendices” are used as referents only, printed above the list of entries. The word “Chapter” or “Appendix” is not repeated with each entry.

## Lists

The enumeration continues in sequence; no number appears on pages with MAIN HEADINGS. A list of tables, a list of figures, a list of symbols, a list of abbreviations, or a glossary may be used. All lists follow the table of contents. The title is placed 2 inches from the top edge of the page in all capital letters: LIST OF TABLES. Following a triple space, the list begins. A list of tables or a list of figures is required if there are 5 to 25 entries. Lists with fewer than 5 entries or more than 25 are not recommended. It is not permissible to combine a list of tables and figures. In a list, the word “Table” or “Figure” should be printed only above the number of the table or figure. The word “Table” or “Figure” is not repeated with each entry (see “Sample Pages” on The Graduate School website).

As noted for entries in the table of contents, the listing of tables and figures must agree **exactly** in wording, capitalization, and punctuation with the title or caption of the table or figure. (An exception to this rule occurs if the table title appears in all capital letters on the table itself; table titles in the list of tables are not typed in all capital letters.) Capitalization in lists must be consistent and must agree with textual entries. The first letter of the first word of the title or caption may be capitalized, or the first letter of major words may be capitalized. Capitalization styles may not be mixed. In the case of long titles or captions, care should be taken to make the first sentence convey the essential description of the item. The first sentence alone then can be used in the list. Long captions may not be summarized.

The page on which each table or figure appears is listed at the right margin of each list. The table title or figure caption begins at the left margin. As in the table of contents, the page numbers are lined up with each entry by a row of evenly spaced, aligned periods (period leaders). If a table or figure occupies more than one page, only the initial page number is listed. If the title or caption of a table or figure appears on a part-title page preceding the table or figure, the page number in the list refers to the number of the part-title page.

If a list continues to a second page, the second page of text begins 1 inch from the top of the page. The second page is not labeled “List of Tables Continued” or “List of Figures Continued.” Individual entries are

single-spaced with a double space between each entry.

A list of symbols and abbreviations or a glossary does not replace defining terms, symbols, or abbreviations upon their first occurrence in the text.

## Acknowledgments

The enumeration continues in sequence; no number appears on the first page. Acknowledgments are optional. If a preface is used, the acknowledgments are added to the end of the preface without a separate heading. The word ACKNOWLEDGMENTS is placed 2 inches from the top of the page in all capital letters. Following a triple space, the acknowledgments begin. The text of the acknowledgments must be double-spaced. In the acknowledgments, students may wish to recognize special assistance from committee members, friends, or family members who may have helped in the research, writing, or technical aspects of the thesis or dissertation. Research funding, grants, and/or permission to reprint copyrighted materials should be acknowledged. Individuals employed to prepare the manuscript (typists, editors) are not acknowledged.

## Preface

The enumeration continues in sequence; no number appears on the page. This is an optional entry. The word PREFACE is placed 2 inches from the top of the page in all capital letters. Following a triple space, the preface begins. The text of the preface must be double-spaced. A preface includes the reasons for undertaking the study, the methods and design of the researcher, and acknowledgments. Background data and historical or other information essential to the reader's understanding of the subject are placed in the text as an introduction, not in the preface. Theses and dissertations generally do not contain a foreword (i.e., a statement about the work by other than the author).

## The Text

The text follows the preliminary pages and is numbered with Arabic numerals. Page numbers of the text are in the upper right corner of the page no higher than 3/4 inch from the top and a double space above the first line of text. The number is placed so that it does not extend into the right margin. Pages with MAIN HEADINGS (the first page of chapters or sections) are counted in sequence with the rest of the text (**beginning with page 1**); however, no number appears on main heading pages. The heading of each major section, e.g., INTRODUCTION, CHAPTER 1, CHAPTER 2, is placed 2 inches from the top of the page in all capital letters. Following a triple space, the title for numbered chapters appears in all capital letters. Following another triple space, the text begins. If chapter numbers are not used, a triple space separates the title from the first paragraph of text.

The organization of the text is the responsibility of the author and the supervisory committee and varies by discipline and subject. The text must be well organized and must adhere to standards in the author's field. The text may begin with a separate introduction, or the introduction may form all or a portion of the first chapter or section. Text may be divided into chapters, numbered with Roman or Arabic numerals (but not both), each chapter having its own title.

Another option is to divide the text into sections. If this option is chosen, the section divisions may or may not be numbered. For example, if the text is divided into INTRODUCTION, REVIEW OF LITERATURE, METHODS, RESULTS, and DISCUSSION (or other similar divisions), the INTRODUCTION may be assigned the number "1" and other sections numbered sequentially or only the word INTRODUCTION may stand as the section title. Note that such section titles are in all caps.

**The text must be double-spaced throughout.** No additional space is inserted between paragraphs. All paragraphs must be uniformly indented.

## Division into Parts

Long manuscripts may be divided into separate parts composed of related chapters. Individual parts may or may not be titled, but they must be numbered. Each part is then preceded by a part-title page (see the Appendices at the end of the handbook). The part number and title (if used) are typed in all capital

letters, centered within the thesis margins and between the top and bottom margins of the page. If both part number and title are used, there is a triple space after the number and before the title. The page is counted in sequence with the rest of the manuscript, but no number appears on the page. The chapter number or title of the first section of the first part begins on the page following the part-title page 2 inches below the top of the page. The chapters or sections, if numbered, are numbered consecutively throughout the text.

If part-title pages are used to designate separate parts in a manuscript, they also must be used before each appendix (if used) and before the references (or selected bibliography). Format and numbering are the same as described in the preceding paragraph. When part-title pages are used with appendices and references, the title of each section is not repeated on the following page, and the text begins 1 inch from the top of the page.

If a reprint of a previously published article is incorporated as a chapter, a part-title page will precede the first page of the reprint. The chapter title is placed on the part-title page. A full credit line (stating “Reprinted with permission from” followed by the source) must be placed on the part-title page.

## Quotations

Quotations three lines of print or fewer require double quotation marks. They also must have citation and page numbers listed for them. Quotations longer than three lines of print are indented from the left margin and have no extra space between lines. A quotation blocked in this manner is separated from the text by a double space. Quotation marks are not used with a block quotation unless quotation marks appear within the source quoted. Citation and page numbers must be listed for block quotations.

## Headings

Headings establish the organization of the manuscript. There are two types of headings in any manuscript: main headings and subheadings. Main headings are centered, printed in all capital letters, and used for chapter or section titles (CHAPTER 1, INTRODUCTION), the titles of the preliminary divisions of the paper (ABSTRACT, TABLE OF CONTENTS, LISTS, ACKNOWLEDGMENTS), and other major sections of the paper (APPENDIX, REFERENCES). Subheadings are not printed in all capital letters.

**Spacing.** Main headings always are followed by a triple space. Main headings of two or more lines always have a double space between lines. Freestanding subheadings (i.e., all subheadings except paragraph headings) are preceded by a triple space and followed by a double space. Two or more freestanding subheadings in a row are separated by a double space. Paragraph headings are preceded by a double space only. (See Appendix A for a comparison of spacing requirements.) Subheadings on two or more lines may have no extra space or a double space between the lines, but the spacing must be consistent throughout the manuscript.

**Length.** Main headings and subheadings over 4 1/2 inches in length are split and placed on two or more lines with the first line the longest and subsequent lines successively shorter (inverted pyramid form).

**Placement.** Main headings (i.e., those in all capital letters) always begin a new page of text and are placed 2 inches down from the top of the page. If the main heading is preceded by the word “CHAPTER” and its numerical designation, the word “CHAPTER” and the Roman or Arabic numeral following it begin 2 inches from the top of the page. After a triple space, the title of the chapter follows. The text begins after a triple space if no subheadings are used. If a subheading follows the main heading, the text begins after a double space.

Subheadings begin on a new page of text only if the text on the preceding page continues to the usual bottom margin and if there is not enough room on the preceding page for at least two lines of text to follow the subheading. Subheadings are used for divisions of the various chapters or sections of the manuscript. Subheadings must be used in descending order and must be used **consistently throughout** the manuscript. Many students use no more than one or two levels of subheadings. Some, however, require additional levels (see Figure 2.3 ).

## CHAPTER 1

## FORMAT FOR HEADINGS AND SUBHEADINGS

Notice that if the main divisions of the manuscript are designated as chapters, both the word chapter and the title of the chapter are placed in all capital letters. If there is no chapter designation, the section title is placed in all capital letters. There is a triple space between the chapter designation and the title and between the title and the first line of text of the first paragraph.

Handling Subheadings

Any freestanding subheading is preceded by a triple space and followed by a double space. The spacing before a freestanding subheading is the same spacing as after a chapter title. If, however, two subheadings follow one another without intervening text, they are separated by a double space only.

First-Level Subheading

## Second-Level Subheading

The subheading examples in this figure illustrate five levels of subheading. Most manuscripts do not require that many levels. If only one level of subheading is needed, any of the levels illustrated here may be selected. If two levels are needed, any two levels illustrated may be chosen as long as they are used consistently in descending order. The centered, underlined level is the most superior; the paragraph heading is the lowest order.

Figure 2.3: Format for subheadings. These pages illustrate appropriate spacing.

Third-Level Subheading

## Fourth-Level Subheading

In a scheme requiring four levels of subheadings, the third and fourth levels may be placed flush at the left margin. No subheading is freestanding and indented.

Fifth-level subheading as a paragraph heading. No extra space precedes the paragraph heading because it is not freestanding. The text begins on the same line as the paragraph heading. The subheading is indented the same number of spaces as a usual paragraph. The first word only is capitalized. If a sixth level of subheading is needed, a paragraph heading without underlining (or bold or italics) is used.

For three or fewer levels of subheadings, follow the scheme as outlined below.

### MAIN HEADING

#### Major Subheading (first-level subhead)

Either the first letter of major words or only the first letter of the first word of the subheading may be capitalized in major subheadings. One scheme or the other must be followed consistently. Bold print or italics may be substituted for underlining for any subhead level.

#### Minor Subheading (second-level subhead)

Either the first letter of major words or only the first letter of the first word of the subheading may be capitalized in minor subheadings. One scheme or the other must be followed consistently. Bold print or italics may be substituted for underlining.

Paragraph heading (third-level subhead). A double space only is placed before a paragraph heading. A paragraph heading is indented the same size space as other paragraphs in the manuscript. Only the first letter of the first word of the paragraph heading is capitalized. The paragraph heading is followed by a period and two spaces, with the text commencing on the same line. A paragraph heading is underlined or placed in bold print or italics.

**Consistency.** It is not necessary to use every level of subheading in every section or chapter; however, a subheading level must appear in the same form whenever it is used, and subheadings always must be used in descending order. The student should first determine the maximum number of subheadings required to establish the pattern of subheadings. Chapters or sections with fewer than the maximum number of levels use the early levels of the chosen subheading scheme in descending order.

**Numbering.** In some disciplines, subheadings are numbered with a decimal enumeration system. If this system is used, chapters or sections must be numbered with Arabic numerals. The first subheading is then numbered 1.1 followed by the title, the second 1.1.1, and so on. If this system is used, all levels must receive a number.

## Tables and Figures

A table is a compilation of data in columns or rows (tabular form). A figure is a visual or graphic presentation or illustration. Photographs, maps, diagrams, plates, or schematic presentations are all figures. Tables and figures must be referred to by number in the text prior to their appearance. The expressions “the following table/figure” or “the table/figure below” may not be used.

### Table and Figure Order

Tables and figures also must be referenced in order (i.e., Table 1, Table 2, Table 3, not Table 1, Table 3, Table 2). Once the item has been referred to, it can be mentioned again out of its sequential order (e.g., it would be perfectly appropriate at this point in the handbook to refer to Figure 2.1 because it has been mentioned previously. It is not appropriate to refer to Figure 2.4, however, because Figure 2.3 has not been mentioned.) Each figure or table appears only once; a figure or table cannot be repeated.

### Table and Figure Placement

A large table or figure is placed by itself on the page, centered within the thesis margins. Although it is not necessary for large tables or figures to be centered precisely between the top and bottom margins of the page, tables and figures should be placed so that they look balanced on the page. Full-page tables or figures must be placed on the page immediately following the textual reference.



The easiest method of dealing with tables or figures is to place them on a separate page without text or, if the textual references occur closely together, to group two or more smaller items together on a page without text. If two or more items are placed on a page, they must be separated by a triple space. The page then appears after the last item on it has been mentioned in the text.

Tables or figures may appear on a page with text (see Figure 2.4) if (a) they are first referenced in the text; (b) they begin or end the page; and (c) at least six consecutive lines of text accompany the table or figure. A figure or table is never placed in the middle of a page between two paragraphs. In addition, when a table or figure is placed on a page with text, it must be separated from the text by a triple space. A table or figure requiring more than one page may not be placed on a page with text. When a table or figure continues to a second page, the number and the word “continued” are placed in the appropriate location.

Alternatively, tables and figures may be placed at the end of the chapter. They are placed in the order in which they are referenced, or they may be grouped: all figures followed by all tables (or vice versa). If this option is selected, it must be used for all chapters. All tables and figures must be referenced in order in the text, and all must have an accompanying title or caption. In other words, a list of titles or captions may not be placed prior to the tables and figures, as is common in some journal submission formats.

### Figure Numbering and Captions

All figures must be numbered consecutively (1, 2, 3 . . .) throughout the manuscript and appendices or numbered locally (1.1, 1.2 . . . 3.1 . . . A.1) by chapter. If figures are numbered locally, the divisions of the manuscript must be numbered with Arabic numerals. Figures cannot be numbered by subsection (within subheadings). The number and caption are placed underneath the figure within the thesis margins. A figure with parts needs a general caption covering all parts; then an explanation of individual parts follows. Parts must be labeled (a, b, c, d). Figure captions must be in one consistent format throughout the manuscript. All captions for figures must have no space between lines. If there are super- or subscript numbers in the figure captions, however, a double space between lines may be used. All figure captions must be in the same font style and size as the text. Print within a figure may be no smaller than 2 millimeters.

### Table Numbering and Titles

Tables also are numbered consecutively (1, 2, 3 . . .) throughout the manuscript and appendices or numbered locally (1.1, 1.2 . . . 3.1 . . . A.1) by chapter. Tables cannot be numbered by subsection (within subheadings). The number and title of each table is placed above the table. Table titles may have a double space or no extra space between lines, but the spacing should be consistent throughout the manuscript. The longest line of the title should not exceed the width of the table. One consistent format must be used throughout. All table titles must be in the same font style and size as the text. Table titles are separated from the table by a double space. Regardless of the style guide selected, there are solid, horizontal lines spanning the data presented, below the title, after the column headings, and at the end of the table (see Figure 2.5). Generally, vertical lines are not necessary in a table. Tables and figures should not be enclosed in thick-lined boxes. Spacing between entries in a table is dependent on the best method of presenting the material. When a table continues to a second page, the table number and the word “continued” are placed above column headers before the table continues. Print within a table may be no smaller than 2 millimeters.

**Local numbering.** If tables and figures are numbered locally (i.e., within each main heading), the first table or figure within the first main heading is given the number 1.1, the second 1.2, and so on. If local numbering is used for figures, it also is used for tables. If local numbering is used, the main divisions of the manuscript must be numbered with Arabic (1, 2, 3) numerals. Tables or figures in the appendix of a manuscript numbered locally are numbered A.1, A.2, and so on.

**Landscape (broadside) placement.** Tables and figures may be landscaped or placed broadside (i.e., running the long way on the page) if necessary. In this case, the top of the figure or the table title is placed at the left 1 1/4-inch margin. For a landscaped table or figure, the title or caption is also landscaped (see Figure 2.5) if the title or caption is on the same page as the table or figure. If the title or caption to a full-page landscaped table or figure is on a separate page, however, the title or caption is placed running the width of the page in the usual manner.

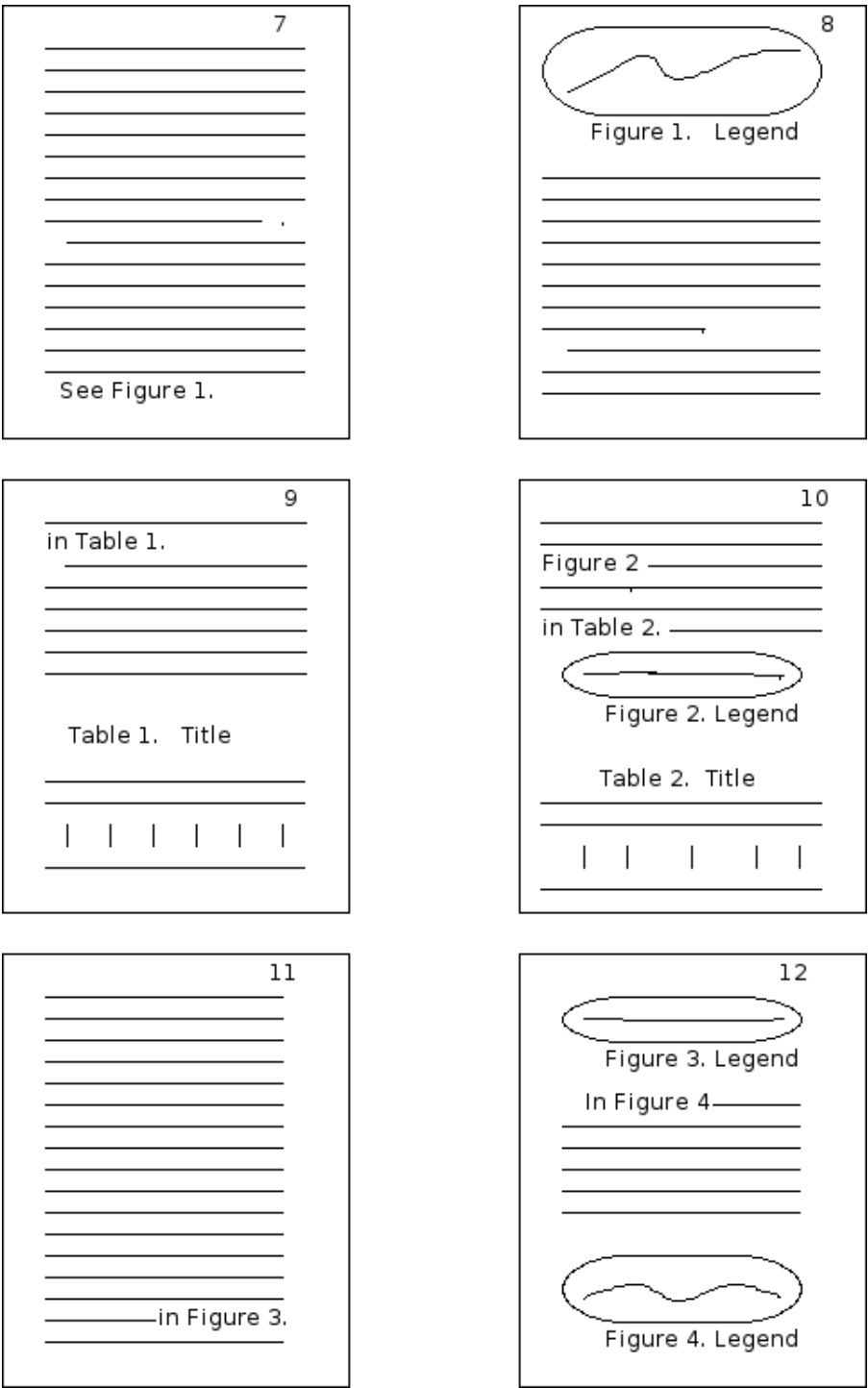


Figure 2.4: Examples of figure and table placement on a page of text.

Table 1

Title of Table

Heading information is enclosed in solid lines.
Data are presented in the body of the table. <sup>a</sup>

<sup>a</sup>Notes to the table are placed below the solid line following the data.

Figure 2.5: Sample of a landscaped table.

**Page number placement.** Page numbers are placed in the upper right corner on all pages with figures or tables even if the item is placed broadside on the page. Page numbers throughout should be placed in the same position.

**Reductions.** Tables and figures may be reduced to fit within the thesis margins, but the title or caption must be the same size print as the rest of the manuscript. Print size in a reduced table or figure may be no smaller than 2 millimeters.

**Oversize tables and figures.** Oversize tables and figures can be reproduced electronically, but the print may not be readable. Therefore, two hard copies of any oversize table or figure are required: one to be submitted to the Thesis Office to be forwarded to Special Collections in the Marriott Library and one the student submits to his or her department.

**Part-title pages.** A long table title or a long figure caption may be placed on a part-title page preceding the item if the table or figure is so large that the caption or title cannot be accommodated on the page. When a part-title page is used, the caption or title begins at or slightly above mid-page (depending on length) and has no space between lines. (A double space between lines may be used if there are super- or subscript numbers in the caption or title.)

If part-title pages are used for titles or captions, the pages are counted and numbered in sequence with the manuscript. Page numbers appear in the upper right corner in the same position as page numbers in the text. The page number that is listed in the List of Tables or List of Figures is the number of the part-title page.

## Equations

Format of equations is dictated by the style guide the student is following. Short equations are centered within the thesis margins. All equations are set off from preceding and following text by a triple space. Spacing must be uniform and consistent.

In general, equations should be numbered at the right margin of the manuscript with the number either in brackets or parentheses. Equations may be numbered consecutively or locally. If figures and tables are numbered locally, equations also must be numbered locally. If they are locally numbered, the main divisions of the manuscript must be numbered with Arabic numerals. Local numbering of equations never exceeds one decimal place (i.e., equations are never numbered according to the number assigned to a subheading). Equation numbers must be aligned with each other throughout the manuscript.

## Footnotes and Reference Citations

Whether a student uses a footnote or a reference citation system depends upon the discipline. The format of footnotes or reference citations should adhere to the format specified in the department-approved style manual the student has selected. Footnotes must adhere to the same margins as the rest of the text. Font should be a minimum of 2 millimeters.

If a number reference citation system is employed, numbers in the text may be superscript, in brackets, or in parentheses on the line of text depending on the style guide used. Superscript numbers always are placed outside all punctuation marks; if more than one reference is cited at a time, the numbers are separated by commas (e.g., many<sup>6,7,10–12</sup> agree with the findings of Einstein.<sup>4</sup>). Numbers in brackets or parentheses on the line of text are placed inside or outside punctuation depending on the style guide followed. At the end of the manuscript or at the end of each chapter there is a comprehensive reference list in numerical order.

Note that the Latin term “et al.” stands for “et alii” (and others). “Et” is not an abbreviation; it is never followed by a period. “Al.” however, is an abbreviation and is followed by a period. The style guide dictates whether “et al.” is italicized.

**Spacing of footnotes and endnotes.** Whether footnotes appear at the foot of the pages on which they occur or as notes at the end of each chapter or major section (endnotes), they must have no space between lines within each entry and a double space between entries. If print quality is clear, having no extra space

between entries may be acceptable. Notes at the end of each chapter begin with a new page of text. The word “Notes” or “Endnotes” should appear on the page listing them, 1 inch from the top of the page in the same form as other first-level subheadings in the manuscript. No space occurs between lines within each entry and a double space is placed between entries. Notes are not placed at the end of the manuscript. They are more accessible at the end of each chapter or at the foot of the page. In case of error, many notes would have to be renumbered if all were placed at the end of the manuscript. Notes (endnotes) must be listed in the table of contents in the same position as all other first-level subheadings.

**Placement of footnotes.** Footnotes placed at the bottom of the page appear in numerical order. If multiple references occur on the same page of text, all the notes referred to must begin on the same page as the reference. In the case of lengthy footnotes, what will not fit above the bottom 1-inch margin should be carried over to the area reserved for footnotes on the following page.

Footnotes are separated from the text by a solid 20-space line. This line does not extend into the left margin. The first line of the note begins a double space below the solid line and is indented the same number of spaces as paragraphs in the text. The numeral is raised above the line of the text in the note and is not followed by a period or a space before the note begins (see example at foot of page).<sup>1</sup>

Two or more very short footnotes (one to two words) may be placed together on the same line if they are separated by four or more spaces<sup>2</sup> (see example at foot of page).<sup>3</sup> Longer footnote entries have no space between lines, with a double or single space between entries.

## The Appendix or Appendices

If used, an appendix follows the text but precedes the references or bibliography. The pages of the appendix are numbered consecutively with the rest of the text. There is considerable flexibility in the kind of material that may be placed in appendices: computer programs, tables of raw data, questionnaires, letters, original historical source material, etc. Each appendix should be sequenced with upper-case letters of the alphabet (APPENDIX A, APPENDIX B). If there is only one appendix, no letter is used; one appendix may or may not have an explanatory title. If there is more than one appendix, each has an explanatory title. The appendix title(s) must be listed in the table of contents in all upper-case letters. Subheadings in an appendix, however, are not listed in the table of contents. Subheads in an appendix follow the same subhead scheme selected for the text.

The enumeration of any illustrative material (tables, figures, etc.) in the appendix is continuous with the text (e.g., if Table 20 is the last table in the text, the first table in the appendix is Table 21). The format and type font used in the appendix must be consistent with the rest of the manuscript. Exceptions are computer programs or similar documents. Consult with the thesis editor if there are questions concerning appendix materials.

Material in the appendix must adhere to the same margin specifications and print size specifications (characters may be no smaller than 2 millimeters) as the rest of the manuscript.

A separate page for the title of each appendix (i.e., part-title page) is often used when diverse, previously printed materials (e.g., computer programs, letters used in questionnaire surveys, questionnaires, etc.) are included. If a part-title page is used with one appendix, part-title pages must be used with all appendices. The first line of the title (e.g., APPENDIX A) begins at mid-page, centered within the thesis margins. The title of the appendix (e.g., QUESTIONNAIRES) follows after a triple space and is centered within the thesis margins. The part-title page is counted in sequence with the rest of the manuscript but no number appears on the page. The part-title page is considered the first page of the appendix for the purposes of the table of contents (see appendices herein).

Some departments require submission of a DVD. DVDs may not be submitted electronically because of copyright issues. However, students in departments with this requirement must submit two DVDs: one to the Thesis Office to be forwarded to Special Collections in the Marriott Library and one the student submits to his or her department.

---

<sup>1</sup>Footnote sample.    <sup>2</sup>Footnote sample.    <sup>3</sup>Footnote sample.

<sup>2</sup>Footnote sample.

<sup>3</sup>Footnote sample

## References or Selected Bibliography

The style of the references or selected bibliography must be patterned after the department-approved style guide the student has selected from the list of department-approved journals and manuals of style on The Graduate School website (see also Chapter 3 herein). The list of references is placed at the end of the manuscript in numerical or alphabetical order depending upon the system used. Scientific papers usually do not list any material in the references that has not been referenced in the text. The reference section is generally entitled “REFERENCES,” or less commonly, “LITERATURE CITED.” The references may be placed at the end of each chapter or section in manuscripts composed of a series of articles previously published or accepted for publication. In this case, the subtitle “references” is treated as a first-level subheading.

Writers in the humanities often consult background material that is not directly cited but is included in a bibliography. The compilation of direct and indirect reference material is entitled “SELECTED BIBLIOGRAPHY.”

The first page of the references or selected bibliography begins 2 inches from the top of the page with the main heading typed in all capital letters. A triple space follows. Entries have no extra space between lines within an entry and a double space between each entry. The reference section is listed as the last item in the table of contents (unless a vita is used).

If a separate part-title page is used with the reference section, the first reference begins 1 inch below the top of the page and no major heading is used on the page with the references (see “Division into Parts”).

## Citation of Web-accessed Information

Web citations must include name of author, title of publication, and date of publication. These items are formatted according to the style guide selected. In addition, the Uniform Resource Locator (URL) must be provided in the following form:

- protocol or access-mode identifier (i.e., http, https), followed by a colon and two forward slashes (e.g., http://)
- host name, always typed in lower case (e.g., http://www.ieee.org/)
- pathway to the document, including file name, typed exactly as it appears, including upper and lower case and punctuation
- A sample URL is: <http://www.ieee.org/Policy/Submis/Abstract/pabs587.cfm>

URLs may be broken only after a slash or double slash or after a period. Never insert a hyphen, and never break a URL at a hyphen.

## Vita

A vita may be included but is not required. If used, it follows the references or selected bibliography and is listed in the table of contents as the last main heading of the manuscript. The author should use a standard short curriculum vita format that includes professionally relevant information such as name, colleges and universities attended, degrees and certificates, professional organizations, positions held, and publications. Do not include personal information such as birthdate, home address, or social security number.

Note that the spelling of the title of this section may be VITA or CURRICULUM VITA. Vitae is incorrect.

# CHAPTER 3

## DOCUMENTATION STYLE AND WRITING STYLE

### Documentation Style

The textual style and documentation of the thesis or dissertation are the student's responsibility and must receive the approval of the student's supervisory committee, subject to the regulations of the Graduate Council. A comprehensive, alphabetical list of department-approved journals appears on The Graduate School website. Following this list is a table of the most commonly used manuals of style, which have been approved by the dean of The Graduate School. Departmental additions or deletions for this list must be proposed to the thesis editor by the department chair or the director of graduate studies. Changes must be approved by the thesis editor in consultation with the dean of The Graduate School.

The student should pattern citations, references, and other stylistic aspects of the thesis or dissertation after the latest edition of the chosen style manual or recent articles and author instructions from the chosen journal. This handbook, however, should be followed for margin requirements, spacing of text, quotation placement, and presentation of figures and tables. This handbook should be followed in case of any discrepancies.

If the student follows the style of a journal selected from the department-approved journals and manuals of style list and the thesis office does not already have materials from this journal, the student may be asked to supply a recent article and/or author guide containing examples of a figure, a table, and a reference list.

### Writing Style

Because the student writing a thesis or dissertation is presenting the results of research primarily for other scholars within the academic community, the style should be formal rather than colloquial. The tone of the thesis or dissertation should be serious; in general, a conversational writing style is not appropriate. Despite a lack of particular knowledge about a field, an intelligent reader of a thesis or dissertation should be able to understand terminology and the discussion of research. Jargon must be avoided because it obscures rather than clarifies the topic.

For hyphenation and spelling, the current editions of Webster's New College Dictionary and Webster's Third New International Dictionary are standard sources. Punctuation, capitalization, and the rules of grammar can be found in any basic grammar book. For matters of English usage, the best source is R.W. Burchfield's Fowler's Modern English Usage (2004).

# CHAPTER 4

## PREPARATION AND SUBMISSION OF THE MANUSCRIPT

### Print Quality

The same size and style of print must be used throughout the manuscript. Characters must be clear and sharp. Smudged, indistinct, or blurred letters are not acceptable. Standard print size (10 or 12) must be used. Some font styles in 10, however, may be too small. (ProQuest requires a minimum of 2 millimeters for print. The Graduate School requires clear, legible print. The thesis editor should be consulted regarding unusually small or large print.) Font size must not affect accepted spacing of major headings and subheadings. See Table 4.1 for recommended fonts and print sizes.

The right margin of the manuscript may be justified if the spacing between words is not unusually large, if words are properly hyphenated, and if the right margin is justified on every full line of text, including footnotes and references.

No prepackaged computer program completely adheres to the University of Utah Graduate School thesis guidelines. The Knowledge Commons in the Marriott Library is an excellent resource for computer questions (phone number 801-581-6494).

Color should be used only where necessary. Any use of color must have prior approval of the thesis editor. Color may not be used for tables or text.

### Margins

All pages of the final duplicated copies of the manuscript must be within the following limits:

left and right margins:	1 1/4 inches
top and bottom margins:	1 inch
main (title) pages, top:	2 inches

Table 4.1: Recommended fonts and print sizes

Arial	10 pt. or 12 pt.
Century	11 pt. or 12 pt.
Garamond	12 pt.
Georgia	11 pt.
Microsoft Sans Serif	10 pt. or 12 pt.
Tahoma	10 pt.
Times New Roman	12 pt.
Trebuchet MS	10 pt. or 12 pt.
Verdana	10 pt.

Adapted from: ProQuest/UMI Gradworks Guide F2006



Pages of text must be of consistent length. Pages with full-page tables and figures will vary in length depending upon the amount of data displayed in the table or the size of the figure. Pages of text with a small table or figure beginning or ending the page must be the same length as pages of straight text. Because freestanding subheadings must be followed by at least two lines of text, the bottom margin may vary slightly on pages with freestanding subheadings. At least two lines of text must be placed on the last page of any section/chapter of the manuscript. If a chapter ends with only one line of text on a page, a line from the preceding page must be moved to the last page.

## Electronic Version Submitted for Thesis Release

After all corrections marked on the manuscript have been made and the Thesis Office issues a Format Approval, the student uploads the digital version according to ProQuest/UMI instructions. After the student receives notification the electronic thesis or dissertation has been approved, the student may verify graduation status through the Campus Information System (CIS).

## Distribution of Theses and Dissertations

Theses and dissertations are available in electronic and microform formats through traditional publishing with ProQuest/UMI. With the student's permission, they are also available openly through USpace, the University of Utah's institutional repository. Items in USpace are indexed by Google. Each document in USpace receives a unique URL for easy linking and sharing.

Hard copies of all theses and dissertations are housed in the Archives of the Marriott Library. The Archives' hard copy is produced by the Library, with no charge to the student.

An abstract of each thesis or dissertation is filed according to department in University of Utah Abstracts of Theses and Dissertations, available in Special Collections in the Marriott Library.

## Personal Copies

Table 4.2 lists options for hard copies of theses and dissertations.

## Fees

There is no fee for traditional electronic publishing through ProQuest/UMI. The fee for registration of a claim for copyright through ProQuest/UMI is \$55.00. Open access publishing for University of Utah theses and dissertations is provided at no charge through USpace.

Table 4.2: Options for Personal Copies of Theses and Dissertations

Vendor	Origin	Size	Inside Color	Cover	Other	Cost
University of Utah Library Espresso Book Machine® ( <a href="http://www.gradschool.utah.edu/thesis/lib-espresso.php">www.gradschool.utah.edu/thesis/lib-espresso.php</a> )	PDF	4.5" x 5.5" to 8.25" x 10.5"	black & white on acid-free paper	full color, paperback, perfect binding	limited to 830 pages; immediate turn around	\$0.05 per page
LULU.COM ( <a href="http://www.lulu.com">www.lulu.com</a> )	PDF	8.5" x 11" 100 pages	black & white	full color, paperback, or perfect binding	2-day turnaround	\$8+ shipping & handling
	PDF	8.5" x 11" 100 pages	full color	full color, paperback, perfect binding	7-9-day turnaround	\$26+ shipping & handling
	PDF	8.5" x 11" 100 pages	black & white	full color, hardcover	2-day turnaround	\$17.50 + shipping & handling
	PDF	8.5" x 11" 100 pages	full color	full color	7-9-day turnaround	\$34 + shipping & handling
BLURB.COM ( <a href="http://www.blurb.com">www.blurb.com</a> )	PDF	8.5" x 11" 150 pages	full color	full color, hard cover		\$36.95 + shipping & handling
	PDF	8.5" x 11" 150 pages	full color	full color, paperback		\$52.95 + shipping & handling
CREATESPACE.COM ( <a href="http://www.createspace.com">www.createspace.com</a> )	PDF	8" x 10" 150 pages	black & white	full color, paperback		\$4.50 + shipping & handling
	PDF	8" x 10" 150 pages	color	full color, paperback		\$19.75 + shipping & handling
BOOK1ONE.COM ( <a href="http://www.book1one.com">www.book1one.com</a> )	PDF	8.5" x 11"	100 black & white pages, 10 color pages	hard cover		\$95.86 + shipping & handling
	PDF	8.5" x 11"	100 black & white pages, 10 color pages	soft cover		\$59.10 + shipping & handling
University of Utah Bookstore (801.581.5352)	hard copy	8.5" x 11"	as provided by author	hard cover	up to 2" thick	\$59 (up to 2" thick) \$69 (over 2" thick)
Schaffer Bindery (801.463.1051)	hard copy	8.5" x 11"	as provided by author	hard cover	1 copy	\$35 (1 copy) \$25 (2-5 copies) \$20 (6-9 copies) \$16 (10-19 copies)

APPENDIX A

COMPARISON OF SPACING  
REQUIREMENTS

Triple Space <sup>1</sup>	Double Space <sup>2</sup>	Single Space <sup>3</sup>
<ul style="list-style-type: none"> <li>• after major headings</li> <li>• before all freestanding subheadings</li> <li>• before and after equations</li> <li>• between text and a figure or table that precedes or follows text AND between two or more figures or tables on a page without text (triple space is the minimum allowed in the latter case)</li> </ul>	<ul style="list-style-type: none"> <li>• between lines of text</li> <li>• after all freestanding subheadings</li> <li>• before paragraph headings</li> <li>• before and after single-spaced block quotes</li> <li>• between entries in lists of tables and figures and in references</li> <li>• before and after major heads in the table of contents</li> </ul>	<ul style="list-style-type: none"> <li>• within entries in lists of figures and tables</li> <li>• within entries in reference lists</li> <li>• between lines in block quotes</li> <li>• between subheads in table of contents</li> <li>• between lines in figure captions and table titles (spaces may be used if there are super- or subscript numbers in caption or title)</li> </ul>

<sup>1</sup>Triple space is equivalent to two blank lines or  $\frac{1}{2}$  to  $\frac{3}{4}$  inch, depending on the font used. **The spacing chosen must be consistent throughout.**

<sup>2</sup>Double space is equivalent to one blank line or approximately  $\frac{1}{4}$  inch. **The spacing chosen must be consistent throughout.**

<sup>3</sup>Single space is equivalent to no extra spacing between lines.

## APPENDIX B

### USING PUBLISHED ARTICLES AS DISSERTATION CHAPTERS

## Incorporation of Previously Published, Accepted, and Submitted Articles as Chapters of a Dissertation

1. The dissertation (final product) looks like any other dissertation. In other words, it has the same component parts and the same format as any other dissertation.
2. Each previously published reprint and accepted or submitted article (or chapter as an article prepared for publication) is treated as a separate chapter.
3. The dissertation must have a general abstract that covers all components. A general introduction and general conclusion are recommended.
4. If a dissertation incorporating previously published articles as chapters is selected, references should be placed at the end of each chapter—not at the end of the manuscript. Each set of references may follow a different style guide, depending on the journal in which the chapter is published or will be published.
5. Reprints are acceptable. However, some departments require that previously published articles be reformatted to match all other chapters.
6. The reprints are accepted as they are except they must be single-sided copy only, must fit within the thesis margins, and must be numbered consecutively with the rest of the text. All other chapters (whether accepted, submitted, or in preparation) must fit U of U guidelines, as specified in the Handbook (margins, subheads, figure and table placement, etc.).
7. In the List of Figures and List of Tables, figures and tables from reprints are treated as if they are numbered with respect to the rest of the text. A local, decimal numbering scheme must be used. For example, in the List of Figures, the first figure in Chapter 5, which is a reprint, is listed as 5.1.
8. The requirement that all print be at least 2 mm does not apply to reprints.
9. Copyright issues frequently arise with previously published material. Students need to obtain permission to duplicate copyrighted material (and, possibly, multiple author releases).
10. As for any other thesis or dissertation, students are urged to submit their manuscripts prior to the defense for a preliminary review.
11. A full credit line (stating “Reprinted with permission from” followed by the source) must be placed on the part-title page preceding a reprint or as a footnote on the first page of a chapter that contains a previously published article that has been reformatted to match all other chapters.

## APPENDIX C

### SUPERVISORY COMMITTEE AND FINAL READING APPROVAL FORMS

## Supervisory Committee and Final Reading Approval Forms

The Supervisory Committee Approval form and Final Reading Approval form are available in the Thesis Office and on The Graduate School's website under "Thesis and Dissertation Forms" and "Sample Forms."

The full legal name of the student is printed (not in all capital letters) on the Supervisory Committee Approval form, centered under the words "of a thesis (dissertation) submitted by." The student's name should exactly match the name on the title and copyright pages (e.g., use John Jay Jones or John J. Jones, not both). The full legal names of the members of the supervisory committee are printed under the lines on the right. Academic degrees (e.g., PhD, RN) are not listed after the names of the supervisory committee members. Committee members are not referred to by their academic titles (e.g., Dr., dean). The date signed should be handwritten by each committee member on the short lines on the left of the form.

On the Final Reading Approval form, the full legal name of the student is printed after the words "I have read the thesis (dissertation) of." The name is not printed in all capital letters. The full legal name of the final reader of the manuscript is printed below the line and before the words "Chair of the Supervisory Committee." The full legal name of the chair of the major department or dean of the college (whichever applies) is printed below the line but before the words "Chair/Dean." The name of the dean of The Graduate School is already filled in on the form.

Students may request an embargo on access to their thesis or dissertation on the Final Reading Approval form. Students must indicate the reason for the request: a patent pending through the Technology Transfer Office or a journal copyright issue. The embargo is for 6 months, extending from the date the embargo is approved by the dean of The Graduate School. Both the student and chair of the supervisory committee must sign the form. The embargo may be lifted upon written request. A request for an additional 6 months must be submitted in writing prior to the date the embargo is lifted. Both requests require the student's signature as well as that of the chair of the supervisory committee.

There can be no corrections on the signature forms because they are considered legal documents certifying the acceptance of the thesis or dissertation. Each original form on which the appropriate names have been printed is made on acid-free paper prior to having each form signed in ink by the committee members. Photocopies of the signatures are not acceptable.

The Supervisory Committee Approval form is signed after the successful oral defense of the thesis or dissertation. The Final Reading Approval form is signed by the chair of the supervisory committee after the manuscript has been reviewed in final form. The final reader asserts that the student's manuscript has been read in its final form and that "(a) its format, citations, and bibliographic style are consistent and acceptable; (b) its illustrative materials including figures, tables, and charts are in place; and (c) the final manuscript is satisfactory to the supervisory committee and is ready for submission to The Graduate School."

After obtaining the signatures of the committee members and the final reader, the student submits the thesis or dissertation to the department chair or dean of the college for approval. The signature of the dean of The Graduate School is not given until the final thesis or dissertation has been approved by the thesis editor. Students are not responsible for obtaining the signature of the dean of The Graduate School on the Final Reading Approval form.

The signed Supervisory Committee Approval form and Final Reading Approval form must be submitted to the Thesis Office before a thesis or dissertation can be read for Format Approval.

Students may wish to prepare additional copies of the signature forms for personal use.



# INDEX

- abstract, 8, 30
- acknowledgments, 7, 12
- appendices, 11, 21
  - page numbering, 21
  - part-title pages, 21
- bibliography, 22
- captions, 17
- chapter titles, 11–13
- citation of Web-accessed information, 22
- citations, 20, 22
- coauthored theses and dissertations, 4
- coauthors, 4
- color, 24
- consistency, 16
- content, 3
- content requirements, 3
- contents, 11, 21
- contract research, 3
- copyright, 4
  - infringement, 5
  - notice of, 5, 8
  - registration of, 5
- copyright page, 5, 8
- copyrighted materials, 1
  - permission to reprint, 12, 30
- deadlines, 2
- dean of The Graduate School
  - signature, 2
- dedication, 8
- defense, 1, 2
- diploma, 2
  - Statement of Completion, 2
- doctoral dissertations, 4
- documentation, 23
- endnotes, 20
- epigraph, 11
- equations, 20
- fees, 25
- figures, 16–20
  - captions, 17
  - numbering, 17
  - order, 16
  - oversized, 17
  - placement, 16
  - text with, 17
  - with parts, 17
- final oral examination, 1–3
- Final Reading Approval form, 1, 2, 4, 32
- font, 24
- footnotes, 20
  - placement of, 21
- foreign language manuscripts, 8
- format approval, 1
- frontispiece, 11
- glossary, 11
- graduation, 2
  - date of, 2
  - delay of, 3
- headings, 16
  - main, 13
  - paragraph headings, 13
  - placement, 13
  - spacing, 13
  - subheadings, 13
- human subjects
  - privacy, 3
- infringement of copyright, 5
- journal articles, 5, 30
  - accepted, 6
  - published, 5, 6
- landscaped pages, 17
- lists, 11
  - abbreviations, 11
  - figures, 11
  - symbols, 11
  - tables, 11
- local numbering, 17
- main headings, 13
- manuscripts
  - final copies, 2
  - lengthy, 2
- margins, 23, 24
  - appendices, 21

- justified, 24
- reprints, 5
- microfilming
  - dissertations, 4
- multiple author releases, 4, 6, 30
- numbering
  - appendices, 21
  - equations, 20
  - figures, 17
  - headings, 16
  - tables, 17
- oral examination, 2
- page numbers, 20
  - abstract, 8
  - reprints, 5
- part-title pages, 12, 17, 20
  - appendices, 21
- parts, division of manuscript into, 12
- patents, 3, 6
- permission to quote copyrighted material, 6
- plagiarism, 5
- preface, 12
- preliminary pages, 7
- preliminary review, 1
- previously published material, 5
- print quality, 24
- print size, 1, 20, 24, 30
- ProQuest Information and Learning Company, 4, 24
- published articles, 5
- quotations, 13
- reduction of print, 20, 24
- references, 20–22
- registration fees, 2
- reprints, 5, 30
  - copyright permission for, 6, 30
  - multiple author releases for, 6, 30
- selected bibliography, 22
- signatures, 1
- spacing, 12, 28
  - block quotations, 13
  - endnotes, 20
  - equations, 20
  - footnotes, 20
  - headings, 13
- Statement of Completion, 2
- style guides, 1
  - published articles, 30
- style manuals, 1
- subheadings, 13
  - numbering, 16
- submission of manuscripts, 24
- supervisory committee, 1, 3
- Supervisory Committee Approval form, 1, 4, 32
- table of contents, 11
  - appendices in, 21
- tables, 16
  - numbering, 17
  - order, 16
  - placement, 16
  - text with, 17
- thesis release, 2
- title of thesis/dissertation, 7
- title page, 7
  - part-title page, 21
- URLs, 22
- vita, 22
- Web-accessed information, 22
- writing style, 23