FORMAT GUIDELINES FOR DISSERTATIONS, TREATISES,

THESES AND REPORTS

TEXAS

The University of Texas at Austin

The University of Texas at Austin

Graduate School

September 2018

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

TABLE OF CONTENTS

I. INTRODUCTION TO FORMAT GUIDELINES

The Graduate School accepts electronic theses, reports, dissertations and treatises (henceforth called ETDs) in pdf format only. The pdf file of your ETD must be uploaded directly to the Texas Digital Library (TDL) at https://utexas-etd.tdl.org/. Even if you receive a preliminary format check, one will be performed at the time that you submit your final paperwork to the Graduate School. We recommend you request a format check by the Graduate School Degree Evaluators in Main Building, Room 101, prior to uploading your ETD.

It is critical that your submission be complete and correct. After submission no revisions or corrections will be allowed except for those required by the Graduate Dean.

Templates to assist you in formatting your ETD in MS Word for Windows and Mac OS are available at https://gradschool.utexas.edu/academics/theses-and-dissertations/digital-submission-requirement .

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

Additional information on preparing ETDs is available at https://gradschool.utexas.edu/academics/theses-and-dissertations/digital-submission-requirement

Both Master's and Doctoral students must upload the pdf version of their ETD to the Texas Digital Library. Master's students must submit the Master's Committee Approval form with ALL committee member signatures (no proxy signatures allowed) with their final paperwork. PhD students must submit the Report of Dissertation Committee signed by ALL committee members and GSC Chair or their representative (no proxy signatures allowed) with their final paperwork.

All Master's and Doctoral students must submit proof of completion of the Copyright tutorial, the Statement of Research with Human Participants, and the Statement of Research in Restricted Regions to the Graduate School in Main 101 on or before the published submission deadline. The Statement of Research forms are required of all students whether or not the student used human participants and/or traveled to restricted regions.

II. YOUR OFFICIAL/PREFERRED NAME AT THE UNIVERSITY OF TEXAS

All students must represent their full name as it is officially recorded by the Office of the Registrar at The University of Texas at Austin, unless the student has officially registered a preferred name with the Gender and Sexuality Center. This official name or registered preferred name must be used anywhere your name appears in your ETD. If you have any questions about your officially recorded name or registered preferred name you should contact the Student Records section of the Office of the Registrar.

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

When you upload your ETD to TDL, your middle name will be truncated to a middle initial. However, when your ETD is published, it will be published under your name as officially recorded by the Registrar's Office or under your preferred name as registered with the Gender and Sexuality Center.

III. ARRANGEMENT OF ETD

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

1. *Copyright Page (Sample A). Include this page in the pretext page count, but do not place a page number on it.*

2. **Committee Membership Page** (Samples B & C). Include this page in the pretext page count, but do not place a page number on it.

3. **Title Page** (Sample D). Include this page in the pretext page count, but do not place a page number on it.

4. *Dedication and/or Epigraph.* Include this page in the pretext page count, but do not place a page number on it.

5. *Acknowledgments and/or Preface.* Begin placing pretext lowercase Roman numerals at the bottom of this page, counting all preceding pretext material except for the fly page. Page numbers are centered one inch from the bottom of the page.

6. **Abstract** (Sample E). Begin or continue pretext page numbering with lowercase Roman numerals.

7. **Table of Contents.** Continue pretext page numbering with lowercase Roman numerals.

8. *List of Tables. Continue pretext page numbering with lowercase Roman numerals.*

9. *List of Figures. Continue pretext page numbering with lowercase Roman numerals.*

10. *List of Illustrations/Maps/Slides. Continue pretext page numbering with lowercase Roman numerals.*

11. **Text**. All pages from the first page of text through the Vita are numbered consecutively in Arabic numerals, beginning with Arabic numeral "1" on the first page of the text.

12. *Appendix. Continue page numbering with Arabic numerals.*

13. *Glossary. May, instead, be placed after the Table of Contents in the area with the Lists of Tables, List of Figures, etc. Continue page numbering with Arabic numerals (or Roman if included behind Table of Contents).*

14. **Bibliography.** Other possible titles are "References" or "Works Cited." Continue page numbering with Arabic numerals. The bibliography is the last page of the

thesis or report and the last page listed on the Table of Contents if the author chooses not to include a Vita page.

15. *Vita (Sample F). When included, this brief biographical sketch of the author is the last page of the thesis or report and the last page listed on the Table of Contents. Continue page numbering with Arabic numerals.*

IV. PAGE FORMAT AND LAYOUT

a.   Font

Your ETD should be correct in spelling and punctuation and presented in a consistent, structured format. The font size should be sufficient for the average person to read the document on a computer monitor without difficulty (12-pt is recommended.) Headings may be bolded and normally not more than 2 points larger than the rest of the text. Accuracy and consistency in presentation and form make your ETD a usable research tool for other readers.

b.   Margins

Margins should be no smaller than 1 inch on all sides. These margins should be consistent throughout the document, including pages in the appendix.

c.   Spacing and Page Arrangement

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

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

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

d.   Numbering of Pages

Beginning with the first page of the Acknowledgments or Preface, if used, all preliminary pages preceding the actual text must be numbered in lowercase Roman numerals; e.g., iii, iv, v, etc. If there are no Acknowledgments or Preface pages, the first page with a page number will be the Abstract page. These numerals must be centered under the text with at least one inch of space between the number and the bottom of the page. Do not number the copyright page, committee membership page, title page, or dedication, but do include each of them in the pretext page count.

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

e.   Tables and Illustrations

Pages carrying illustrative material must be given page numbers appropriate to their place in the document.

There are three acceptable locations for tables and figures:
▪ within the chapter immediately following first reference to them
▪ grouped at the end of the relevant chapter
▪ grouped at the end of the text before the appendix and/or bibliography
Whichever method you choose, you must be consistent. If your table and figures are grouped at the end of the text, you must include an entry in the table of contents that directs the reader to their location.

All tables, figures, illustrations, and other types of examples included and referenced in the text of the dissertation should be numbered for identification. There should be no duplication of these numbers; i.e., no two tables should be assigned the same number. Tables and Figures may be numbered in one of two ways:

- consecutively throughout the document (Table 1 – Table *x*), or

- double-numbered so that the illustrations' numbers reflect their locations in the document (Figure 9.3 is the third figure in Chapter 9, or Figure A2 is the second figure in Appendix A.)

Do not mix these two types of numbering schemes within your ETD.

If possible, captions and legends must be placed on the same page with the figure, graph, table or illustration they describe. In addition, the captions should be consistently placed either all above or all below the tables and figures throughout the document. In order to fit both figure and caption on the same page, captions may be single-spaced, margins may be decreased to one inch, and figures may be reduced in size to fit.

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

When a table or figure can fit entirely onto a single page with its caption, it is recommended that they do, even if that leaves some blank space in the preceding page, and not split across two pages.

When a table or figure cannot fit entirely on a single page, each page of the table or figure should be identified with a caption. You should place the primary caption on the first page of the table or figure, then on all subsequent pages, a caption that says Table (or Figure) *x*, cont. Figures, captions, and page numbers must be easily readable when the electronic document is viewed at 100 percent.

NOTE: All tables and figures must fit within the required margins. If not, you may place them on landscape-oriented pages.

f.   Oversize Pages or Plates

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

g.   Copies

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

V. CONTENTS

a.   Committee Membership Page

Committee members' names must be typed on this page. Educational or professional titles (Ph.D. or Dr.) <u>are not</u> included for committee members, but the titles indicating committee supervisory status ("Supervisor" or "Co-supervisor") must follow the names of committee members who have been officially designated in these roles. If you have any questions about this, please see a Degree Evaluator in the Graduate School.

The committee membership page in the pdf file that is uploaded for archiving and publication should not contain committee signatures.

For master's students the signatures of all committee members are required on the Master's Committee Approval form that is submitted to the Graduate School along with the other required final paperwork listed in the Graduate School Checklists at https://gradschool.utexas.edu/academics/graduation/deadlines-and-submission-instructions by the submission deadline.

For doctoral students the signatures of all committee members are required on the report of dissertation committee that is submitted to the Graduate School along with the other required paperwork listed in the Graduate School Checklists at https://gradschool.utexas.edu/academics/graduation/deadlines-and-submission-instructions by the submission deadline.

All committee members must sign the appropriate form for graduating students. Signatures should all be on a single page. Scanned or electronic signatures will be accepted as long as they are legible and dark enough to be imaged. Typed names as a signature are not allowed. Electronic and digitally authorized signatures may be accepted in any font format so long as they include the insignia or logo of the e-signature software used showing authorization. Examples below:

DocuSign:

Adobe Acrobat:

NOTE: Extensions will not be granted because a committee member was not available to sign. If you have committee members who are traveling or who do not live in Austin, take this into account and plan accordingly.

b.   Abstracts

The abstract is a concise statement of the nature and content of your ETD, indicating its significance as a piece of research. It should be continuous prose, not disconnected notes or an outline. It should be 1.5 or double spaced, not single spaced. The title on the abstract must match exactly the title of the finished ETD.

c.   Table of Contents

The Table of Contents is placed in the document immediately before any pretext lists of tables, figures, illustrations, etc. These pretext lists, if present, will be the first item noted on the Table of Contents. If Lists of tables, figures and/or illustrations are included, each must begin on a separate page.

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

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

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

Chapter One: Title…………………………………………...……………………..1

Chapter Two: Title…………………………………………………………………..23

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

d.   Footnotes and Bibliography

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

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

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

VI. PUBLICATION AND COPYRIGHT INFORMATION

a.   Publication of ETDs

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

b.   Delay of Publication (embargo)

The Graduate Dean will consider requests to delay publication for a period of seven years in order to protect patent or other rights. The Request to Delay Publication form is available on the Graduate School website (https://gradschool.utexas.edu/sites/default/files/Request%20to%20Delay%20Public ation.pdf), and should be submitted to the Graduate School along with final paperwork. Please note that publication of the ETD cannot be withheld unless the Graduate School receives the embargo request, which includes the signature of the dissertation supervisor.

c.   Copyright Registration

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

d.   Using Materials Copyrighted by Others

Students must certify that any copyrighted material used in their ETD beyond brief excerpts, is being used with the written permission of the copyright owner and that the student will hold harmless The Texas Digital Library and The University of Texas at Austin from any damages which may arise from copyright violations. The copyright

disclaimer and certification are completed as a part of the student's electronic submission to The Texas Digital Library. Additional information about the copyright law is available at https://gradschool.utexas.edu/academics/theses-and-dissertations/doctoral-candidacy/copyright-tutorial

e. Using Your Previous Publications in your ETD

Students may include articles they have previously published in their ETD. The format of the dissertation today ranges from the traditional "book" authored by a single student to a series of unrelated papers and/or journal articles, with single authorship or with multiple authorship. Graduate School policy recognizes that approaches to the dissertation vary across disciplines, and specifies only that the format chosen for students of a doctoral program be consistent with practices of similar programs in AAU institutions.

Dissertations containing one or more papers or articles must include brief introductions and conclusions that put the work in context and an acknowledgement of any previous publication of each paper in another dissertation or other venue. In the case of multi-authored papers a statement must be included explaining the contribution of the dissertator to each paper The contribution statement might include, for example, information about the dissertator's contribution to designing research, performing research, contributing new reagents or analytic tools, analyzing data, writing the dissertation or other area-specific classification of research activities. When papers or articles that have been previously published are included the dissertation must include permission(s) of the copyright holder(s) for reproduction in the dissertation. The supervisor and dissertation committee will review the stated contributions and must be satisfied that the dissertator's collective contribution to the multiple-authored papers or articles is sufficient to represent a dissertation.

Copyright

by

Full Official Name

2018

(No page number on the actual copyright page)

Sample B: Master's Committee Membership Page

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

Certifies that this is the approved version of the following (Insert One: thesis

or report):

Title of Thesis or Report Centered

and Double-Spaced

SUPERVISING COMMITTEE:

Supervisor's name, Supervisor

Co-supervisor's name, Co-supervisor (OR just
Member's name, if member is not officially
designated a Co-supervisor)

_____Do Not Include Information Below This Line on This page _____

In the electronic document that is uploaded to The Texas Digital Library, this page should include the members' typed names. Supervisor and co-supervisor status should be noted to the left of the member's name.

Sample C: Doctoral committee membership page

The Dissertation (or Treatise) Committee for (Insert your Official UT Name)

certifies that this is the approved version of the following dissertation

(or treatise):

Title of Dissertation or Treatise Centered
And Double-Spaced

Committee:

Supervisor's Name, Supervisor

Member's Name, or Co-Supervisor

Member's Name

Member's Name

Member's Name

_____Do Not Include the Information Below This Line on This Page_____

In the electronic document that is uploaded to The Texas Digital Library, this page should include the members' typed names. Supervisor and co-supervisor status should be noted to the left of the member's name.

(No page number on the actual signature page)

Sample D: Title Page

Title of ETD Centered
and Double-Spaced

by

Full Official Name (or registered preferred name)

Document Type (Dissertation, Treatise, Thesis or Report)

Presented to the Faculty of the Graduate School

of the University of Texas at Austin

in Partial Fulfillment

of the Requirements

for the Degree(s) of

Name of Degree

(The degree sought must be worded in the form given in the

Graduate Catalog. If dual degree, list both degrees on a separate line separated by

the word And.)

The University of Texas at Austin

Month (May, August, or December only) Year

(No page number on the actual title page)

19

Sample E: Abstract

Title of ETD Centered
and Double-Spaced

by

Full Official Name, (Insert Official Abbreviation of Degree Sought)

The University of Texas at Austin, <year>

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

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

_____**Do Not Include Information Below This Line on the Actual Abstract**_____

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

VITA

Elizabeth Marie Smith was born in Dallas, Texas. After completing her work at Lamar High School, Houston, Texas, in 2006, she entered Southwest Texas State University in San Marcos, Texas. During the summers of 2008 and 2009 she attended Sarah Lawrence College in Bronxville, New York. She received the degree of Bachelor of Science from Sarah Lawrence College in May 2010. During the following years, she was employed as a biology teacher at Austin High School. In September, 2012, she entered the Graduate School at the University of Texas at Austin.

Address: myemailaddress@domain.com

This manuscript was typed by the author.

or

This manuscript was typed by John L. Jones.

_____**Do Not Include Information Below This Line on the Actual Vita**_____

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