

THE UNIVERSITY OF TULSA
THE GRADUATE SCHOOL

GUIDELINES FOR THE PREPARATION OF THE MASTER'S THESIS AND
DOCTORAL DISSERTATION

by
The University of Tulsa Graduate School

A standards document
for all thesis and dissertations submitted to
The University of Tulsa Graduate School

The Graduate School
The University of Tulsa

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TABLE OF CONTENTS

ACKNOWLEDGEMENTS	ii
TABLE OF CONTENTS.....	iii
LIST OF FIGURES	v
INTRODUCTION	1
CHAPTER 1: THE THESIS OR DISSERTATION PROCESS	2
1.1 Enrollment Requirement	2
1.2 Deadlines for Deposit of the Thesis or Dissertation in the Library	2
1.3 Thesis or Dissertation Timeline	3
1.4 Requirements for Binding, Copying, and Distributing	4
CHAPTER 2: RESPONSIBILITIES OF THE STUDENT, ADVISOR, AND COMMITTEE	6
2.1 Responsibilities of the Student	6
2.2 Plagiarism	6
2.3 Responsibilities of the Advisor	6
2.4 Responsibilities of the Committee	7
CHAPTER 3: GUIDELINES AND OTHER RESOURCES	8
3.1 Guidelines Documents	8
3.2 Word and LaTeX Templates	9
3.2.1 <i>Using the Word Template</i>	9
3.3 Contacting the Graduate School	10
CHAPTER 4: PUBLICATION AND INTELLECTUAL PROPERTY	11
4.1 Public Access to Theses and Dissertations	11
4.2 Copyright	11
4.3 Publication of Dissertations by UMI	11
4.3.1 <i>Plagiarism and UMI Publication</i>	12
4.4 Other Publication of Dissertations	12
4.5 Inclusion of Text from a Student’s Previously Published Papers	12

CHAPTER 5: MECHANICAL DETAILS OF THE THESIS OR DISSERTATION	13
5.1 Margins	13
5.2 Centering	13
5.3 Typing	13
5.4 Body Text	14
5.5 Quotations	14
5.6 Footnotes	14
5.7 Page Numbering	14
5.8 Tables, Figures, and Plates	14
5.9 Captions	15
5.10 Mathematics and Notation	15
5.11 Miscellaneous Issues	16
CHAPTER 6: STRUCTURE AND FORMATTING OF THE THESIS OR DISSERTATION	17
6.1 Preliminary Portion	17
6.1.1 <i>Title Page</i>	17
6.1.2 <i>Signature Page</i>	19
6.1.3 <i>Optional Copyright Statement</i>	20
6.1.4 <i>Abstract</i>	21
6.1.5 <i>Acknowledgments</i>	22
6.1.6 <i>Table of Contents</i>	23
6.1.7 <i>List of Tables, Figures, Plates, and Other Items</i>	25
6.2 Text Portion	26
6.2.1 <i>Optional Introduction</i>	26
6.2.2 <i>Chapters</i>	27
6.3 Reference Portion	29
6.3.1 <i>Bibliography</i>	29
6.3.2 <i>Optional Appendices</i>	29
6.4 Optional Optical Media	30

LIST OF FIGURES

6.1	Formatting of the Title Page	17
6.2	Formatting of the Signature Page	19
6.3	Formatting of an Optional Copyright Page.....	20
6.4	Formatting of the Abstract	21
6.5	Formatting of the Acknowledgements.....	23
6.6	Formatting of the Table of Contents	24
6.7	Formatting of a List of Tables, Figures, or Other Items	26
6.8	Formatting of an Optional Introduction.....	27
6.9	Formatting of a Typical Chapter.....	28
6.10	Formatting of the Bibliography	29
6.11	Formatting of an Appendix.....	30

INTRODUCTION

This document provides guidelines for the preparation of all master's theses (MA, MS, MSE, and MFA) and doctoral dissertations at The University of Tulsa; it

- provides a timeline and deadlines a student must observe to complete a thesis or dissertation;
- provides references to guideline documents;
- outlines the responsibilities of the student, advisor, and committee;
- covers publication and intellectual property issues; and
- provides instructions intended to standardize the format, page arrangement, typing details, and techniques of citation and bibliography in theses and dissertations.

Students are required to read these guidelines and to follow them; this material supplements the *Graduate Bulletin* of The University of Tulsa.

CHAPTER 1

THE THESIS OR DISSERTATION PROCESS

Sections 1.1 and 1.2 list the deadlines thesis and dissertation students must observe. Section 1.3 provides a timeline or checklist they must follow. Section 1.4 outlines the specifications and procedures students must follow to bind, reproduce, and distribute a thesis or dissertation at The University of Tulsa.

As students plan their time, they must be mindful that conducting, supervising, reviewing and evaluating a research study is time-consuming: the time advisors and committees require to provide counsel and reviews is dependent upon their other University duties and responsibilities. See Sections 2.3 and 2.4.

Students who plan to complete a thesis or dissertation in order to be graduated at a particular commencement must work well in advance of the deadlines as outlined in these Guidelines and the Graduate Bulletin.

1.1 Enrollment Requirements and Deadlines

Students must be enrolled during the semester in which they complete the degree requirements and in which they plan to graduate; they must plan accordingly. See the section in the front of the *Graduate Bulletin* titled “Master's Degree Requirements” or “Doctoral Degree Requirements” and the sections concerning the general and discipline-specific requirements and deadlines students must meet in order to be graduated at a particular commencement.

1.2 Deadlines for Deposit of the Thesis or Dissertation in the Library

As specified in the *Graduate Bulletin*, all work must be completed and the thesis or dissertation deposited in McFarlin Library by the following dates:

- Fall semester: December 1, but preferably by November 15
- Spring semester: April 15, but preferably by April 1
- summer term: last day of the summer term

1.3 Thesis or Dissertation Timeline

Students are advised to read this section thoroughly; then, to work through the lists line-by-line and in-order. Each item has a blank, allowing students to mark their progress.

To prepare for writing a thesis or dissertation, the student must do the following:

1. _____ Select a topic and begin the enquiry per Section 2.1.
2. _____ Obtain and read a current copy of these Guidelines, and obtain and study appropriate discipline-specific style guides per Section 3.1.
3. _____ Obtain a current *Word* or *LaTeX* template per Section 3.2.

To prepare for the oral defense, the student must:

1. _____ Submit a copy of the signature page on plain paper to the Graduate School for formatting review. *If a signed signature page is formatted incorrectly, the student will obtain new original signatures before the thesis or dissertation may be released to the library for binding per Section 6.1.2.*
2. _____ Make all needed copies of the signature page approved by the Graduate School per Section 1.4.

At the oral defense, the student must:

1. _____ Obtain a signature from each committee member for each copy of the document to be bound per Section 1.4. The chair should withhold his or her signature or retain the original signature pages until the document is ready for submission to the Graduate School.

To prepare the document for review by the Graduate School, the student must:

1. _____ Make all changes required by the committee.
2. _____ *Print* the work on plain paper to find and correct font problems, bad page breaks, incorrect page numbers, and other problems that may develop during editing. Seek assistance from the Graduate School or advisor as needed.

To submit the document for review by the Graduate School review, the student must:

1. _____ Deliver an original signature page signed by all committee members and a draft of the thesis or dissertation on plain paper to the Graduate School. *The draft must be publication-ready including color plates and any other color elements unless the student makes other arrangements with the Graduate School.*
2. _____ Wait approximately 72 hours (not including weekends or holidays) for the Graduate School to communicate that the document is ready for pickup. *Those facing special constraints are advised to make arrangements with the Graduate School as early as possible.*

To prepare the document for the Library, the student must:

1. _____ Make the required improvements.
2. _____ *Print* the work on plain paper to find and correct font problems, bad page breaks, incorrect page numbers, and other problems that may develop during editing. Unless previously requested, this final check does not need to be done by the Graduate School. Seek assistance from the Graduate School or advisor as needed.
3. _____ Make a minimum of 3 copies on rag/cotton paper and any other necessary copies of the final work per Section 1.4.
4. _____ Take all of the copies to the Graduate School, which will certify the final amount due for binding and/or copyright fees (described in Section 1.4) on the Approval and Binding of Thesis and Dissertation form (hereafter, the binding form).
5. _____ Take the completed binding form to the Business Office for payment of fees and certification of receipt. The binding form must be signed and dated by the Business Office after payment of fees.

To deposit the document in the Library and complete the binding process, the student must:

1. _____ Take the binding form and copies to the Library Periodical Desk by the dates indicated in Section 1.2 to have the binding form signed and dated by a Library representative.
2. _____ Return the completed binding form (with three signatures) to the Graduate School.

To complete the dissertation process, one must also:

1. _____ Complete a Survey of Earned Doctorates form and return it to the Graduate School.
2. _____ Submit the dissertation to UMI using the ETD system per Section 4.3.

1.4 Requirements for Binding, Copying, and Distributing

The University requires 3 copies of the document on rag/cotton paper that is

- white, neither ivory nor cream;
- at least 25% rag/cotton;
- at least 20 lb but no more than 24 lb; and
- 8-1/2" x 11" in size.

The candidate may reproduce the thesis or dissertation using a professional

photocopier or a high-quality laser printer. Pages which carry mounted illustrations must be of the quality and size specified above.

The first copy is placed in an uncirculated file as part of the archival collection of all theses and dissertations at the Library; the second is shelved at the Library as the circulating copy; and the third is deposited with the department. The advisor may use the departmental copy, but it is the property of the department.

The department may require the student to provide complimentary copies of the thesis or dissertation for agencies funding the research. In Art, slides, photographs, or a CD of the creative works are included in the thesis. The University will retain the original creative works.

In addition, students may elect to have additional copies of their manuscripts bound. These copies need not be reproduced on rag/cotton paper; however, unless the Dean of the Graduate School makes an exception, each bound copy must have a signature page bearing original signatures from every committee member on the same paper as the rest of the document.

As of June 2014, the Library charges \$57.00 for binding of the 3 required copies. Each additional copy, including personal copies, is \$19.00.

Additional fees may be incurred to copyright a dissertation; please contact the Graduate School regarding binding and copyright fees as they are subject to change.

Note that binding will take 3 to 6 weeks.

CHAPTER 2

RESPONSIBILITIES OF THE STUDENT, ADVISOR, AND COMMITTEE

2.1 Responsibilities of the Student

The graduate student preparing a thesis or dissertation is responsible for selecting a research area, conducting a thorough search in related literature, defining a research problem, selecting methods of investigation and research, developing investigative techniques and methods, evaluating results of investigations, and preparing the thesis or dissertation. The student is solely responsible for the form, style, clarity, proper use of English, and other details.

2.2 Plagiarism

Further, the student is responsible for avoiding plagiarism. **Plagiarism** is presenting as one's own efforts the work of someone else without proper acknowledgment of that source. Exact copying is to be enclosed in quotation marks with an appropriate indication of its origin. Paraphrasing, wherein the basic sentence structure, phraseology, and unique language remain the same, is also plagiarism. The failure to acknowledge unique, unusual, or new ideas and facts not the product of one's own investigation or creativity is plagiarism.

The student is also responsible for avoiding self-plagiarism per Section 4.5.

When in doubt, it is the student's responsibility to seek guidance from his or her advisor or committee.

Those working with a dissertation should also see Section 4.3.1.

2.3 Responsibilities of the Advisor

The graduate faculty member supervising a student's research is responsible for suggesting appropriate research areas, evaluating general appropriateness of the research topic, suggesting limitations or expansions of the scope of the study, suggesting possible sources of information, advising on investigative routines and methods, suggesting methods of testing or evaluating results, advising on the preparation of the written material, and performing minor editing of the written material. Advisors are responsible for evaluating form, style, clarity, and use of English; however, they are not responsible for any extensive editorial rewriting of the student's material.

If a draft of the document is poorly written, the advisor may recommend that the student seek the assistance of a professional editor. Early drafts of the thesis or dissertation that are submitted to the advisor should be reviewed in a timely manner (generally two to three weeks) and returned to the student with comments.

2.4 Responsibilities of the Committee

The primary responsibility of the committee is to uphold the University's standards of graduate research in evaluating and approving the thesis or dissertation. The committee members are responsible for providing counsel, advice, and suggestions in all areas of the research project, as well as for performing minor editing, provided such editing is sought while the project is in process.

The committee members are also responsible for reading the thesis or dissertation in a timely manner prior to the defense. They are also expected to evaluate the quality and validity of the research and scholarship.

CHAPTER 3

GUIDELINES AND OTHER RESOURCES

3.1 Guidelines Documents

Consistency in style throughout the thesis or dissertation is required. Because formatting and stylistic guidelines can change from year to year, students must always consult with their advisors for the proper style or guidelines to follow in their fields of research, and they should not use a previously accepted thesis or dissertation as a guide, unless their advisors instruct them to do so.

Students are to follow the guidelines documents listed by precedence below:

1. One should first consult the “Guidelines for the Preparation of the Master’s Thesis and Doctoral Dissertation”, this document, available at <http://www.utulsa.edu/academics/colleges/Graduate-School/Current-Student-Information/Thesis-and-Dissertation-Information.aspx>.
2. For issues not addressed by the above Guidelines, one should consult the discipline-specific style guide listed below.
3. For all other issues, one should consult Kate L. Turban, *A Manual for Writers of Research Papers, Theses, and Dissertations*, 7th Edition (2007), or Joseph Gibaldi, *MLA Handbook for Writers of Research Papers*, 7th Edition (2009).

The following list contains discipline-specific style guides:

- Education and Psychology: *Publication Manual of the American Psychology Association*, Fifth Edition, American Psychological Association (2001)
- Electrical Engineering: *IEEE Transactions, Journals, and Letters: Information for Authors*, The Institute of Electrical and Electronics Engineers, Inc. (February, 2000) or *Preparation of Papers for IEEE Transactions and Journals* (April, 2002)
- Geosciences: Any Standard Geoscience Guide
- Mathematics: *A Manual for Authors of Mathematical Papers*, American Mathematical Society, Providence, R.I. (1990)
- Mechanical Engineering: *Journal of American Society of Mechanical Engineers; Journal of Pressure Vessel Technology* (most recent issue)
- Petroleum Engineering: *How to Write, Communicating Ideas and Information*, Herbert and Jill Meyers, Barnes and Noble, copyright 1993, ISBN 1-56619-272-2

Not all disciplines are represented in the list of style guides above. If your discipline is not listed, confer with your advisor about the appropriate style guide to be

used in conjunction with these Guidelines. Any departure in style from that presented in the above manuals and these Guidelines must be approved by the Graduate School.

3.2 *Word* and *LaTeX* Templates

The Graduate School supports users of *Word* and *LaTeX* by providing templates to help them format their theses or dissertations; these templates are available on the Graduate School web page, <http://www.utulsa.edu/academics/colleges/Graduate-School/Current-Student-Information/Thesis-and-Dissertation-Information.aspx>.

A *LaTeX* sample and the TU thesis style file (.sty) are available on the same web page. The Graduate School has worked to make the *LaTeX* and *Word* templates consistent; however, the two packages embody very different models of typesetting, and users will notice some differences in the documents they produce.

To keep their manuscript information secure, the Graduate School suggests that students download the templates to their *filers* which are available through the UTulsa home page.

Students must refer to these Guidelines as they use the templates.

3.2.1 *Using the Word Template*

Templates are available for several versions of *Word*; each covers all elements of the preliminary portion, the main portion, and the reference portion. Each template contains fields bound by square brackets: simply highlight them, including the brackets, and enter the appropriate information as described in these Guidelines, being careful not to damage the surrounding punctuation and formatting. *Word* users may also examine the original *Word* version of this document to see how the formatting was implemented.

Word users are advised to

- thoroughly familiarize themselves with the documentation for the version *Word* they are using;
- become comfortable with *Word's* way of handling tabs in order to understand the formatting of the table of contents;
- check all auto corrections *Word* makes against these Guidelines and the style guidelines they have chosen;
- turn on *Word's* "Show all nonprinting characters" option to make tabs, other whitespace characters, styling information, and paragraph marks visible;
- use the paragraph formatting option "Page break before" instead of using manual page breaks because some versions of *Word* randomly ignore empty paragraphs after manual page breaks;
- schedule time to build the lists of figures, tables, and plates and the table of contents manually because *Word* can not build them automatically;
- be aware that *Word* does not spell-check elements in all-capitols; and

- make only minimal use of *Word's* styles mechanisms because styles behave unpredictably.

3.3 Contacting the Graduate School

Students are encouraged to contact their advisors or committee members for assistance reconciling the guidelines with discipline- or document-specific needs. If questions remain, the Graduate School is available to help resolve them.

The Graduate School is housed in Lorton Hall 201. Contact information for Graduate School faculty and staff follows:

- Dr. Janet A. Haggerty, Vice Provost for Research & Dean of the Graduate School / 918.631.2304 / janet-haggerty@utulsa.edu
- Dr. Richard A. Redner, Associate Dean of Research & Graduate Students / 918.631.2634 / richard-redner@utulsa.edu
- Hope Geiger, Assistant Director of Graduate Enrollment and Student Services / 918.631.2715 / hope-geiger@utulsa.edu: Directs enrollment management for all graduate programs, Datatel training and documentation, interpretation of Graduate School policies and procedures, Graduate Council secretary, governmental/professional agency liaison, statistical data analysis of graduate programs, questionnaires/surveys, oversees enrollment policies and procedures, probation reviews, and manages graduation process.
- Marjean McDonald, Student Award and Budget Advisor / 918.631.2291 / marjean-mcdonald@utulsa.edu: Graduate School budget officer, processing of assistantship, tuition scholarship, fellowship and travel awards, student enrollment, answer student award questions
- Diahann Moffitt, Administrative Assistant / 918.631.2336 / diah-moffitt@utulsa.edu: Processing of admission letters, student enrollment, Dean's appointment calendar, assists with Graduate Student Orientations, troubleshooting problems and answering students' questions, liaison with International Student Services

CHAPTER 4

PUBLICATION AND INTELLECTUAL PROPERTY

4.1 Public Access to Theses and Dissertations

All theses and dissertations will be bound and available in the library upon submission and acceptance by the Graduate School. The Vice Provost for Research and Dean of the Graduate School, an appropriate University officer, and any external funding sources must agree to any exceptions at the time of thesis or dissertation proposal submission and prior to the commencement of the research.

The University of Tulsa Research and Intellectual Property Policy, available at <http://www.utulsa.edu/research/PPG/intellectualproperty.html#ownership>, applies to all research conducted by University of Tulsa students.

4.2 Copyright

The act of writing usually confers copyright; however, if a student wishes to clearly assert copyright, then the student may include an optional copyright statement page after the signature page per Section 6.1.3.

Students who include copyright statements may also choose to register their copyrights with the U.S. Office of Copyright to gain additional legal protections for an additional fee. Doctoral students who choose to formally register their copyrights with the U.S. government may do so when they publish through UMI per Section 4.3. Thesis students who wish to register their copyrights must contact the Graduate School for assistance.

As of this writing, the copyright fee is \$55. Please contact the Graduate School for the current fees. A copyright fee is not required unless a student wishes to formally register with the U.S. Office of Copyright. There is no charge for inserting the copyright page by itself.

4.3 Publication of Dissertations by UMI

UMI Dissertation Publishing of Ann Arbor, Michigan (UMI) offers digital and analog publishing of dissertations and makes them accessible through the UMI dissertation database, a globally used research database.

Doctoral students are required by University policy to submit an electronic copy

of their dissertation to UMI through the TU ETD portal. More information about this is available online at <http://www.etsadmin.com/utulsa>.

There is no fee for submitting dissertations through the ETD system. Candidates may also purchase copies of their dissertations from UMI.

4.3.1 Plagiarism and UMI Publication

UMI specifies that the “writers of dissertations must assume full responsibility for use of any copyright material in their manuscripts. Written permission of the copyright owner must be obtained when extensive use is contemplated.” Customarily, authorization is granted on the condition that proper acknowledgment is made. In some instances, however, copyright owners require payment for quotations taken from their work. Letters granting permission to include such material should be kept on file by the candidate for later reference in case questions arise.

4.4 Other Publication of Dissertations

Since many dissertations will be important to other scholars and to a more general body of readers, candidates for degrees should plan to publish their work in refereed outlets. Such publication is permitted if proper credit is given to The University of Tulsa.

4.5 Inclusion of Text from a Student’s Previously Published Papers

A student may use text from his/her own previously published papers for portions of his/her thesis or dissertation. The use of this material is at the discretion of the student’s advisor. In certain situations, authors and coauthors for faculty-led labs freely share copyright permissions within the group for joint publications. However, other faculty may only recognize work contributed directly by the student for inclusion in a thesis or dissertation. Final decision regarding the use of previously published material is at the discretion of the student’s thesis/dissertation committee chair and members.

If a student is given permission to use previously published materials in their thesis/dissertation, affected text must be cited in accordance with the appropriate discipline-specific style guide and these Guidelines. This includes providing the source document for the original text and obtaining releases for use of copyrighted material when necessary.

CHAPTER 5

MECHANICAL DETAILS OF THE THESIS OR DISSERTATION

This chapter specifies mechanical and other details that apply to the entire thesis or dissertation.

5.1 Margins

The left margin is 1.5 inches (allowing 0.5 inches for binding); the other margins (top, bottom, and right) are 1 inch. This applies to all materials including text, tables, figures, plates, and folded materials. However, note that on the first page of a chapter or section, the chapter or section heading must be positioned 1.5 inches from the top of the page.

5.2 Centering

Because the left margin includes an extra 0.5 inches for binding, all centered items should be centered across the remaining 6 inches.

5.3 Typing

The thesis or dissertation must be typed on only the front of the paper, and black ink must be used for text. The same font-family and font-size (10 to 12 points) must be used throughout the document. No font-size smaller than 6 points should be used for tables, figures, or plates. Table captions must use the same font-size as that used throughout the document. New Times Roman and Times Roman are the standard font types; only with the approval of the Graduate School may other typefaces be used. The use of typewriter font is discouraged. Do not use enlarged or elongated print. Text may be ragged-right or right-justified. See Section 1.4 for paper and printing requirements.

Do not use grammatical contractions in the thesis or dissertation unless quoting directly. For example, use *is not* rather than *isn't*—this sentence breaks the rule to clarify it.

Note that because these Guidelines are reproduced so frequently; they may be reproduced using both sides (making the margins look awkward) to save paper.

5.4 Body Text

The body text of the thesis or dissertation is double-spaced. All paragraphs are to be indented 0.5 inches. Note that because these Guidelines are reproduced so frequently, single-spaced body text is used to save paper.

5.5 Quotations

All quotations that are less than 4 lines of text should be enclosed in quotation marks. Quoted materials 4 or more lines in length should be set off from the rest of the text and single-spaced. Such quotations should be indented 0.5 inches from both the left and right margins.

5.6 Footnotes

Footnotes are used in many fields to acknowledge materials directly quoted, cite a source of authority for a statement, define words or terms, expand a point with additional illustrations, and refer to other portions of the text. Students are encouraged to use the same font-size to set footnotes and body text; however they may use a minimum font-size of 10 points for footnotes. Footnotes should be typed single-spaced. A solid black line should cross the page directly above the first footnote on any given page.

5.7 Page Numbering

The title page carries no page number, but subsequent pages in the preliminary portion are numbered using lower-case, regular-face Roman numerals starting with *ii*.

The pages of the text portion and reference portion are numbered using Arabic numerals.

All page numbers are centered horizontally and positioned one-half inch from the bottom of the page. Facing page figure or plate captions also require page numbers, likewise aligned. Figures, plates, or tables that are landscape oriented also require page numbers, likewise aligned. ***All page numbers appear in the same position and orientation. Page numbers are the only elements permitted outside the margins.***

5.8 Tables, Figures, and Plates

All tables, figures, and plates must have titles and numbered designations. They may also have captions as described in Section 5.9. ***All document elements except page***

numbers must fit within the required margins. Consistent whitespace should appear around all, and excessive whitespace after them should be avoided.

Text in tables and figures must be at least 6 points in size, be clear and crisp, and be set in high-quality fonts consistent with the surrounding document. Similarly, schematics and diagrams appearing in figures should be created using professional-quality tools to avoid pixelization and other distracting artifacts.

Plates may be used if photography was used as a form of documentation and the number of photographs is best presented as plates rather than individual figures. All plates must meet discipline-specific standards and must fit within the margins.

Students who wish to include large folded sheets of illustrative material must have the approval of the directing department and the assistance of the Graduate School.

If a page contains no chapter headings, subheadings, or body text, then one may rotate the contents of the page 90 degrees counter-clockwise (such that the binding is above the rotated content). One may insert page breaks to separate rotated content from chapter headings, subheadings, and body text. When content is rotated, the margins and page numbers remain unchanged.

5.9 Captions

Captions may not be placed in the margins of the document or on the facing page. If additional room is required for a caption, place it on the page prior to the table or figure to which it refers. Captions are to be clear, crisp, and visually consistent with and throughout the document.

5.10 Mathematics and Notation

Any mathematics or notation appearing in a thesis or dissertation is to be typeset in a professional manner such that it is consistent with the document as a whole. ***The use of bitmap images of mathematics (or other notation) in body text or tables is not acceptable.*** The following are to be consistent throughout the document:

- the punctuation and whitespace surrounding mathematics or notation,
- the typefaces of mathematical and other symbols,
- the styling of equation numbers or similar items, and
- the styling of callouts for equations or notation.

Further, when the word *where* is used to modify a proceeding sentence of mathematics, the word *where* must be part of the same paragraph as the sentence of math and must be in lower-case. Many programs, including *Word*, will introduce errors by auto-capitalizing the word *were* when they should not.

Students are strongly advised to consult with their advisors to choose appropriate style guides before setting mathematics or other notation.

5.11 Miscellaneous Issues

Students may avoid many of the consistency and formatting problems the Graduate School sees most frequently by using the templates and appropriate style guides. Students should also print their documents and read all the way through them, placing similar pages and items side by side to check for consistency. Note that grammar requirements may be relaxed inside direct quotations as allowed by discipline-specific standards.

Students are advised to check that their documents meet the following requirements before submitting them to the Graduate School:

- All lists are formatted in a consistent manner.
- All lists broken out from the body text are set using a hanging indent or discipline-specific formatting so that they stand out and will not be mistaken for subheadings formatted per these Guidelines.
- All numbers, unit symbols, or punctuation used to indicate units is set consistently throughout the document.
- Any abbreviations are used in a consistent and grammatically correct manner.
- All spelling, hyphenation, capitalization, and punctuation preferences are applied consistently.
- All prepositions and required helper words are used in a consistent and correct manner.
- All sentences meet agreement and parallel structure requirements. Students who are unfamiliar with these requirements are advised to seek assistance from a professional writer of English.
- A consistent voice is used throughout the document.
- No grammatical contractions appear outside of quotations.
- A uniform font-size is used throughout the body copy including blank lines to make white spaces consistent. *Word* users must ensure this manually.
- Fonts are used in a consistent way throughout the entire document. *Word* users must ensure this manually.
- Widows and orphans are well-managed.

CHAPTER 6

STRUCTURE AND FORMATTING OF THE THESIS OR DISSERTATION

This chapter provides the required formatting for all sections of a thesis or dissertation presented in the order in which they are to appear in a finished thesis or dissertation.

Figures depicting the required formatting for all sections of a thesis or dissertation are included. The figures are visually correct; however, *Word* users should see the *Word* template for the techniques they should use while constructing the actual pages.

In the figures, each box bounds a line of type within the margins—in an actual thesis or dissertation, each line of type is 6 inches wide. A blank box indicates a required blank line. A numbered box has corresponding directions for its formatting in the figure’s descriptive text. An unnumbered box containing text is to be duplicated. All example text appearing in a box is

- indented, centered, or otherwise aligned;
- punctuated;
- in mixed-case or all-capitals; and
- in regular-face, bold-face, or italic-face

as required. All light gray boxes appearing on a page are to contain equal amounts of vertical whitespace to achieve the goals stated in the directions for that page.

6.1 Preliminary Portion

6.1.1 Title Page

Figure 6.1 provides line-by-line instructions for constructing the title page. No page number appears on the title page per Section 5.7.

Figure 6.1: Formatting of the Title Page

1. The text “THE UNIVERSITY OF TULSA” appears, where one space separates the letters inside a word and three spaces separate the words.
2. Fill the gray regions with *equal* numbers of spaces such that the date appears 3 blank lines (or a few lines higher if necessary) from the bottom margin. The goal is to

- produce a visually balanced page.
3. The document's title appears double-spaced and in all-capitals.
 4. The student's name appears as it will throughout the preliminary portion.
 5. This line indicates whether the document is a master's thesis or a doctoral dissertation.
 6. This line indicates the type of degree to be awarded.
 7. This line indicates the student's academic discipline.
 8. This line indicates the year of the document's publication.

1	THE UNIVERSITY OF TULSA
	THE GRADUATE SCHOOL
2	
3	HOW TO PREPARE THE PERFECT
	THESIS OR DISSERTATION DOCUMENT
	by
4	John Q. Smart
5	A thesis submitted in partial fulfillment of
6	the requirements for the degree of Master of Science
7	in the Discipline of Electrical Engineering
	The Graduate School
	The University of Tulsa
8	2013

6.1.2 Signature Page

The signature page provides space for the signatures of the advisory committee. ***Unless the Dean of the Graduate School makes an exception, each bound copy must have a signature page bearing original signatures from every committee member on the same paper as the rest of the document.***

The student must submit an unsigned copy of the signature page on plain paper to the Graduate School for formatting review prior to the defense. ***If a signed signature page is formatted incorrectly, the student will obtain new original signatures before the thesis or dissertation may be released to the library for binding.***

Figure 6.2 provides instructions for creating a signature page. The page numbers start on this page with *ii* per Section 5.7.

Figure 6.2: Formatting of the Signature Page

1. *The University of Tulsa* appears as on the title page.
2. Fill the gray boxes with ***equal*** numbers of blank lines so that the last signature is close to bottom margin. Other vertical spaces between sections on the signature page may be adjusted to make room for longer titles or numerous committee members provided the adjusted vertical spaces are of equal size in comparison to each other for visual balance.
3. The title appears as it does on the title page.
4. The student's name appears as it does on the title page.
5. This line indicates whether the document is a thesis or a dissertation.
6. This line indicates the discipline of the document.
7. This line indicates, again, whether the document is a thesis or a dissertation.
8. Each signature line begins 1.5 inches from the margin and is 3 inches wide. Signature lines for the chair or co-chairs appear first. The vertical spacing may be adjusted as described below.
9. The committee members' names appear under the signature lines. ***The committee members' names appear without academic titles or other forms of address.***
10. A blank line appears between each signature line/name pair.
11. Each committee member has a signature line.

1	THE UNIVERSITY OF TULSA
	THE GRADUATE SCHOOL
2	
3	HOW TO PREPARE THE PERFECT
	THESIS OR DISSERTATION DOCUMENT
	by
4	John Q. Smart
5	A THESIS
	APPROVED FOR THE DISCIPLINE OF
6	ELECTRICAL ENGINEERING
7	By Thesis Committee
8	_____, Chair
9	I.M. Brilliant
10	_____
	Jane Doe

6.1.3 Optional Copyright Page

Candidates who wish to explicitly assert copyright as described in Section 4.2 are to include a page as shown in Figure 6.3.

Figure 6.3: Formatting of an Optional Copyright Page

1. This line provides the year of the copyright, and the student’s name as on the title page.
2. This text is formatted body text and is justified to be consistent with all other body text in the thesis or dissertation. A student’s line breaks may vary slightly.

	COPYRIGHT STATEMENT
1	Copyright © 2010 by John Q. Smart
2	All rights reserved. No part of this publication may be reproduced, stored
	in a retrieval system, or transmitted, in any form or by any means (electronic,
	mechanical, photocopying, recording, or otherwise) without the prior written
	permission of the author.

6.1.4 Abstract

The abstract is a summary of the chief findings of the thesis or dissertation, with conclusions (if any are offered) reached by the investigation. Explanatory material, illustrations, and opinions are to be excluded from this abstract. The abstract should give the information that will enable scholars to decide whether or not to read the complete work.

Figure 6.4 provides line-by-line instructions for constructing the abstract.

Figure 6.4: Formatting of the Abstract

1. The student’s full name appears as on the title page followed by the full name of the student’s degree and program in parenthesis.
2. The full title of the thesis or dissertation appears single-spaced.
3. The words *directed by* appear as shown followed by a list of the faculty who directed the research.
4. This line provides the Arabic page number of the last page of the document (including any appendices, tables, figures or bibliographies at the end of the document) followed by the number and name of the last traditional chapter in mixed-case. Please note the last page in the last chapter may not be the end of the document.
5. This line indicates the number of words in the abstract.
6. Body text appears. The abstract must be no longer than 2 pages; additional pages will be truncated from the electronic form of the abstract.

	ABSTRACT
1	John Q. Smart (Master of Science in Electrical Engineering)
2	How to Prepare the Perfect Thesis or Dissertation Document
3	Directed by I. M. Brilliant
4	92 pp., Chapter 5: Conclusions
5	(19 words)
6	In order to prepare a perfect thesis or dissertation, we do hereby follow these
	illustrious instructions to the letter.

6.1.5 Acknowledgements

The thesis or dissertation may contain a brief acknowledgement of assistance and guidance given to the student during the research process, and it is subject to the following content guidelines:

- Any external funding sponsors should be acknowledged.
- Each department may specify the nature of acknowledgment to both the advisor and the University.
- If the thesis or dissertation or any part of it is published, it is customary to acknowledge both the University and the advisor in the published work. Each program is authorized to specify the nature of this credit; however, the student should be considered the principal author.
- The thesis or dissertation is a professional document, and it should reflect a professional tone and nature. Comments of a religious nature are discouraged; however, a very brief acknowledgement of family members is acceptable.
- A dedication may appear as the last full sentence of the acknowledgements; however, a separate dedication page is not permitted.

Figure 6.5 provides line-by-line instructions for constructing the acknowledgements.

Figure 6.5: Formatting of the Acknowledgements

1. The acknowledgments section continues in body as described above. It is no longer than 2 pages; additional pages will be truncated from the electronic form of the abstract.

	ACKNOWLEDGEMENTS
1	The author thanks Dr. I. M. Brilliant, dissertation advisor, for his continuous
	patience and assistance in this endeavor.....

6.1.6 Table of Contents

All theses and dissertations produced at The University of Tulsa have visually-consistent tables of contents regardless of discipline. These tables of contents are some the most complex parts of theses or dissertations in terms of formatting. Candidates can avoid delays by using the templates described in Section 3.2. *Word* users must construct their tables of contents manually, including inserting the correct page numbers and adjusting whitespace within entries to align titles at each heading level; they must allow sufficient time for this task.

All subsections of a thesis or dissertation participate in a strict hierarchy per Section 6.2.2. All subheadings at and above the level the writer selects must be listed. Numbering sections is optional.

Students and their advisors may format headings below the third-level in any manner consistent with what is already specified in these Guidelines; however, they are advised to use lists or tables instead.

Figure 6.6 demonstrates the line-by-line formatting of a typical table of contents.

Figure 6.6: Formatting of the Table of Contents

1. This line appears if and only if a copyright statement page is included.
2. Page numbers will vary from document to document. The page numbers may be aligned as shown in this example, or they may be right justified against the right margin of the page. The dots, page numbers, and optional section numbers appear in regular-face.
3. Lists of tables, plates, equations, or any other such items appear here.
4. In some disciplines, it is common practice to include an introductory chapter before the first numbered chapter.
5. Chapter numbers appear in Arabic numerals. Titles are required and they appear in bold-face and all-capitals as shown. If a title spans multiple lines, the first character of each line must be aligned as indicated.
6. Titles are broken such that they remain approximately 0.25 inches from the page numbers, and the first letters of each line of a title or multi-line title are aligned for each heading level. *Word* users must accomplish this manually.
7. At least 3 dots should appear before the page number in each entry.
8. First-level subheadings are indented approximately 0.25 inches, and they appear in bold-face and mixed-case. Note that the section numbers to the left are optional. All section numbers appear in regular-face.
9. Second-level subheadings appear in italic-face and mixed-case. If the first-level subheadings are not numbered, the second-level subheadings should be indented at approximately 0.5 inches. If the first-level subheadings are numbered, then the first characters of the second-level entries should be aligned with the first characters of the first-level subheadings' titles.
10. Third-level subheadings appear in regular-face and mixed-case followed by a colon. If the second-level subheadings are not numbered, the third-level subheadings should be indented approximately 0.75 inches. If the second-level subheadings are numbered, then the first characters of the third-level entries should be aligned with the first characters of the second-level subheadings' titles.
11. Chapter entries are separated by blank lines or page breaks.
12. The bibliography, lists of symbols, and such are listed here.
13. Appendices are enumerated using English letters. No blank lines separate sequential appendix entries; the entries appear as a visual block. In all other ways, they are chapters.
14. Additional table of contents pages have no headings; the first line of any additional page is an entry or the continuation of an entry. One must place page breaks to control widows and orphans and to group information for readability.

Setting page breaks and selecting the exact dimensions for indenting section headings is a matter of judgment and taste; however, the student's completed table of contents should look very much like the examples in this document and in the templates.

	TABLE OF CONTENTS	
1	COPYRIGHT	iii
2	ABSTRACT	iv
	ACKNOWLEDGEMENTS	v
	TABLE OF CONTENTS	vi
3	LIST OF TABLES	vii
4	INTRODUCTION	1
5	CHAPTER 1: TITLE IS SINGLE SPACED AND HAS MATCHING	
6	TAB SETTINGS IF MORE THAN ONE LINE IN	
7	LENGTH	2
8	1.1 First-level subheading	2
9	1.1.1 <i>Second-level subheading</i>	3
10	1.1.1.1 Third-level subheading wrapped to	
	Demonstrate the required alignment:	4
11		
	CHAPTER 2: CHAPTER 2 TITLE	
12	BIBLIOGRAPHY	20
13	APPENDIX A: APPENDIX A TITLE	26
	APPENDIX B: APPENDIX B TITLE	29
14		

6.1.7 Lists of Tables, Figures, and Other Items

Theses or dissertations may contain numbered items including tables, figures, plates, and equations. It is customary to list these items in the preliminaries. Styles for numbering and calling out tables, figures, and similar items vary from discipline to discipline; however, consistency and clarity are required.

Figure 6.7 demonstrates the line-by-line formatting of a list of tables, figures, or other items.

Figure 6.7: Formatting of a List of Tables, Figures, or Other Items

1. This line indicates what kinds of items are itemized in the list; here, tables appear.
2. Each entry consists of an item number in regular-face without additional punctuation or other adornment, the title of the item as it appears in the document set in regular-face and mixed-case, dots, and a page number.
3. Entries are separated by blank lines.
4. Rules for indention, line breaks, formatting of the page numbers, and formatting of the dots are the same as those used to construct the table of contents. Each entry is single-spaced.
5. Additional table of contents pages have no headings; the first line of any additional page is an entry or the continuation of an entry. One must place page breaks to control widows and orphans and to group information for readability. This is often a matter of taste and judgment.

1	LIST OF TABLES	
2	1.1 Title of First Table in Chapter 1	1
3		
4	1.2 Long Titles Like This Follow the Same Wrapping and Alignment Rules Used in the Table of Contents	2
	2.1 Title of First Table in Chapter 2	3
	A.1 Title of the First Table in Appendix A	4
5		

6.2 Text Portion

The first page of the text portion is numbered *1* per Section 5.7. The text portion may begin with an optional introduction per Section 6.2.1, or it may begin with a chapter per Section 6.2.2

6.2.1 Optional Introduction

In some disciplines, it is customary to include an introduction before the numbered chapters to provide readers (most of whom have already read the abstract and chosen to read the document) background information they may need before reading the

numbered chapters.

Figure 6.8 demonstrates the line-by-line formatting of such an optional introduction.

Figure 6.8: Formatting of an Optional Introduction

1. Subheadings or body text appear as for any other chapter. See Section 6.2.2.

	INTRODUCTION
1	Subheadings or body text appear as for any other chapter. See Section
	6.2.2.

6.2.2 Chapters

The chapters contain the bulk and the core of the document’s content. These Guidelines specify the formatting of chapter headings and headings for three levels of subheadings, and they require a great deal of whitespace to make section breaks clearly visible to users of microfilm and similar media. These formatting and whitespace requirements supersede discipline-specific or individual formatting preferences per Section 3.1.

Students and their advisors may format headings below the third-level in any manner consistent with what is already specified in these Guidelines; however, they are advised to use bulleted lists or tables for finer structure instead of developing new heading levels.

Regardless of the discipline of the document, subsections must appear in a strict hierarchy per Section 6.1.6.

To avoid delays, candidates are strongly advised to observe these formatting requirements as they write.

Figure 6.9 depicts the formatting of a typical chapter. These Guidelines also serve as an example of chapter formatting, except a thesis or dissertation must have double-spaced body text.

Figure 6.9: Formatting of a Typical Chapter

1. The chapter number appears in Arabic numerals.
2. The title of the chapter appears single-spaced, in bold-face, and in all-capitals.
3. First-level subheadings are centered, single-spaced, in bold-face, and in mixed-case. Numbering is optional; however, if any subheading is numbered, all must be.
4. First- and second-level subheadings may be followed by body text separated from the heading by 1 blank line.
5. Three (3) blank lines or a page break are required before all sections headings regardless of the discipline of the document. A page break is only recommended when trying to fix a widowed or orphaned phrase at the end of a page or the beginning of the next.
6. Second-level subheadings are left-justified, single-spaced, in italic-face, and in mixed-case.
7. Third-level subheadings begin 0.5 inches from the left margin. They appear in regular-face and mixed-case. Headings at this level are double-spaced because they flow into the following body text; however, authors are advised to avoid wrapping titles at this level.
8. The document continues. One must control widows and orphans manually.

1	CHAPTER 1
2	THE TITLE OF THE CHAPTER
3	1.1 First-level Subheading
4	First- and second-level headings may be followed by body text.
5	
6	<i>1.1.1 Second-level Subheading</i>
7	1.1.1.1 Third-level Subheading: Body text immediately follows third-level
	subheadings.
8	

6.3 Reference Portion

6.3.1 Bibliography

A complete bibliography of sources cited in the preparation of the thesis or dissertation must be given. In some fields, the bibliography may also include works that students consulted in the preparation of their papers but which are not actually cited in the final texts. Students should confer with their advisors on this matter. See also Section 2.2.

Bibliographies differ greatly between disciplines; therefore, students may choose the title of the bibliography, use subsections as needed, and format the individual entries to meet discipline-specific requirements.

However, regardless of discipline, use of the term **et al.** (meaning *and others*) or use of similar language is permitted in the text of the thesis or dissertation but not in the bibliography. ***In the bibliography, all authors quoted or cited must be identified individually.*** This condition is especially important when referencing co-authors.

Further, the bibliography should be formatted to be visually consistent with the rest of the thesis or dissertation.

Figure 6.10 displays the required formatting of the bibliography.

Figure 6.10: Formatting of the Bibliography

1. The title of the bibliography appears centered, in regular-face and all-capitals. Possible titles include (but are not limited to) *bibliography*, *works cited*, and *literature cited*.
2. This line contains the first bibliography entry or a first-level subheading.

1	BIBLIOGRAPY
2	This line contains the first bibliography entry or a first-level subheading.

6.3.2 Optional Appendices

An **appendix** is a section of the document used to present materials that serve illustrative purposes or are too lengthy for the text. Lists of data, sample calculations, schedules and forms for collecting data, and large passages of quoted materials which augment citations already presented are included in appendices. See also Section 6.4.

Appendices must meet all formatting requirements for chapters unless they are reproductions of source documents. Figure 6.11 shows the required formatting of an appendix.

Figure 6.11: Formatting of an Appendix

1. The appendices are enumerated using capital English letters.
2. The title of the appendix appears centered, single-spaced, in bold-face and all-capitals.
3. The remainder is formatted as a chapter, or a page break may appear to allow tables or other elements to fit on the following pages.

1	APPENDIX A
2	THE FIRST APPENDIX TITLE
3	Body text, a page break, or a first-level subheading appears.

6.4 Optional Optical Media

Students may choose to include optical media such as CDs or DVDs containing raw data, maps, images, or other material to support theses or dissertations. *Students are strongly encouraged to provide large data sets on optical media rather than on paper to make them available for future analysis and to make the documents easier to reproduce.*

The reader must be able to understand a thesis or dissertation without access to the optical media. Therefore, the optical media may not contain chapters or other essential sections of the document. Further, writers may need to include reduced images or representative samples of data in their theses or dissertations when referring to bulk information on optical media.

Normally, the Graduate School does not review optical media; however, the optical media must meet the University’s intellectual property standards per Chapter 4 and discipline-specific standards for formatting, content, and presentation.

If a thesis or dissertation includes optical media, its last appendix must contain a list or description of the contents of the optical media written in a manner consistent with the requirements of Section 6.3.2.