



*GUIDE FOR THE PREPARATION OF MASTER'S THESES  
AND DOCTORAL DISSERTATIONS*

*at*

*THE UNIVERSITY OF TEXAS AT DALLAS*

This guide was prepared by the Office of the Dean of Graduate Studies. Questions concerning these guidelines or any aspect of manuscript preparation for the thesis or dissertation should be directed to the Office of the Dean of Graduate Studies, FA3.104, (972) 883-2034. **Revised March 2009**

# INSTRUCTIONS FOR GRADUATE STUDENTS APPLYING FOR GRADUATION FALL 2009

## ALL DEGREE CANDIDATES

1. An on-line Application for Graduation and diploma order form must be completed by the applicant by **AUGUST 31, 2009**. If past the deadline the student must go through his/her program office and will be responsible for \$100 late fee.
2. It is your responsibility to check with your advisor to ensure that all requirements for your graduation will be satisfied before the end of this semester. If after having applied for graduation you realize that you are not going to finish by the end of the semester, please notify your department or the Graduate Dean's Office at (972) 883-2034.
3. You must be registered during the **FALL 2009** session to be eligible for graduation. For more complete details pertaining to graduation procedures, see Policy Memorandum 87-III.25-48, "Policy and Procedures for Completing a Graduate Degree." The official version is on the web at <http://www.utdallas.edu/provost/policies.html>. The policy may also be found in your Program Office, the Graduate Dean's Office, in the Guide for the Preparation of Master's Theses and Doctoral Dissertations, and the Graduate Student Guide. If there are any discrepancies between these and the official version, the official version will take precedence.
4. Gown rental, invitations, etc., are handled at the UTD bookstore. Diplomas will be mailed to graduate students eight weeks after graduation.

## CANDIDATES WRITING A DISSERTATION OR THESIS

The "Guide for the Preparation of Master's Theses and Doctoral Dissertations" is posted on the Web at [www.utdallas.edu/dept/graddean/dgIndex.htm](http://www.utdallas.edu/dept/graddean/dgIndex.htm). Prepare your document in accordance with these guidelines. **Questions about format should be directed to Julie Welch in the Graduate Dean's office at [julie.welch@utdallas.edu](mailto:julie.welch@utdallas.edu) or (972) 883-5346.**

## FINAL ORAL EXAMINATION AND/OR APPROVAL BY COMMITTEE

- **Master's Candidates:** Scheduling of any final presentation is done through your Program Office.
- **Doctoral Candidates:** A "Request for Final Oral Examination" must be filed with the Graduate Dean's Office by **NOVEMBER 3, 2009**.

Your Program Office will establish a time and place for the examination. The last day to conduct a Final Oral Examination will be **NOVEMBER 17, 2009**. The "Request" form must be signed by every committee member and accompanied by two hard copies of the dissertation (1 copy in a 3 ring binder, 1 copy in a folder for formatting review, and 1 CD with 1 PDF file of the dissertation).

An Outside Chair will be appointed by the Graduate Dean and will officiate at the oral examination. Final oral examinations may not be conducted during winter and spring breaks. Final oral examinations must be held while classes are in session.

Following the examination, the Outside Chair will report to this office on the outcome of the examination.

**All Candidates:** After completing all changes required by your committee, obtain signatures of all committee members on signature pages in the format set forth in the "Guide" and on acid-free archival paper available at the UTD Copy Center. The three required signature pages must be originals. **Signature pages must be approved by the Graduate Dean's office before printing on acid-free archival paper.**

## FINAL WRITTEN THESIS OR DISSERTATION

1. **The format of the document must be checked before making final copies.** You will be required to leave your thesis/dissertation in the Graduate Dean's office for at least two days for the format check. An email will be sent to you with any format corrections.



***NECESSARY STEPS TO GRADUATE  
FOR LAST SEMESTER GRADUATE STUDENTS***

**CHECKLIST**

1. \_\_\_\_ Check with your program to ensure that all necessary coursework to graduate has been completed.
2. \_\_\_\_ Make certain to complete all incomplete grades. Check with your program office to be certain necessary Grade Change forms have been received by Records.
3. \_\_\_\_ Pay all necessary fees in the Records office.
4. \_\_\_\_ Check with your program for any holds which may be on your transcript - parking fees, library fees, etc.
5. \_\_\_\_ Fill out application for graduation with online by semester deadline. If applicable, complete inabsentia form.

**THESIS/DISSERTATION SUBMISSION STEPS**

**MASTER'S CANDIDATES**

1. When Supervising Professor declares you are ready to defend your thesis, contact the person responsible for graduate students within your program/department for the next steps.
2. When you pass your defense and your Supervising Professor and committee are satisfied with your thesis, submit your thesis (1 hard copy and 1 CD with thesis in a PDF file) to the Graduate Dean's Office for final formatting review
3. When formatting has been approved take PDF file on disk to copy center to have 3 hard copies made.

**DOCTORAL CANDIDATES**

1. \_\_\_\_ Take your thesis/dissertation to Graduate Dean's Office for a format check.
2. \_\_\_\_ When the Supervising Professor declares you are ready to defend your dissertation, distribute dissertation copies to all committee members who should have two weeks to read it.
3. \_\_\_\_ When all committee members agree you are ready to defend, obtain a Request for Final Oral Examination from your program.
4. \_\_\_\_ Set a date, time and place for your Final Oral Exam through your School/Department office. Check with your program office or the Graduate Dean's Office for the deadline date for the semester during which you plan to graduate.
5. \_\_\_\_ Take completed Request for Final Oral Examination form to the Graduate Dean's Office, along with two hard copies of the dissertation (1 copy in a 3 ring binder, 1 copy in a file folder for formatting review, and 1 CD with 1 PDF file of the dissertation) **AT LEAST TWO WEEKS BEFORE THE SCHEDULED FINAL ORAL EXAM DATE**. The Graduate Dean's Office will secure an Outside Chair. Notice of your defense will be e-mailed to all faculty and posted outside the Graduate Dean's Office.
6. \_\_\_\_ **Take a hard copy bound in three ring binder to your department/program office for display there.**
7. \_\_\_\_ Bring three original signature pages with you to your defense so that your committee members may sign them. This will save you steps later. Be certain signature pages are copied on required paper with watermark right side up & identical to paper you use for final copies of your dissertation.
8. \_\_\_\_ Take final hard copy of dissertation to Graduate Dean's Office for format check. This copy **must** be printed from your PDF version of your dissertation.
9. \_\_\_\_ Once approved to copy by the Graduate Dean's Office, have the required number of copies of your dissertation made; return to Graduate Dean's Office with copies and original signature pages. The Copy Center will send one bound copy of your dissertation to your Supervising Professor. The second copy will be sent to your school/dept. office. The third required copy will go to the Library. Check with your dept. / program office or the Graduate Dean's Office for the deadline final copies of your dissertation are due for the semester during which you plan to graduate.
10. \_\_\_\_ After copies are checked, you will be given an Approval of Thesis/Dissertation form
  - a) Take required number of dissertation copies to the Copy Center (in front of bookstore) for binding - **HOURS ARE 8:00 A.M. TO 3:30 P.M. - MONDAY- FRIDAY**
  - b) Return form (signed by representative in Copy Center) to the Graduate Dean's Office

***MASTER'S CANDIDATES-ABSTRACT MAXIMUM – 150 WORDS***

***DOCTORAL CANDIDATES-ABSTRACT MAXIMUM - 350 WORDS***

***THE END!!***

***ACTUALLY JUST THE BEGINNING!!***

***CONGRATULATIONS - SEE YOU AT GRADUATION!!***

## COMMON DISSERTATION/THESIS FORMAT ERRORS

1. Make absolutely sure that all text is the same font size throughout, including chapter headings. Try to also keep figures and tables same font size as text (we realize that this is not always possible).
2. Realize that the guide we send you is meant to be a broad guide and that if you need specific format questions answered, you must go to the **Kate Turabian** guide to research papers mentioned in our guide; which is available at the campus bookstore and the library.
3. Do *not* bold text within the preliminary pages.
4. Be certain that chapters and all major headings are centered, all in caps and two inches from the top of the page.

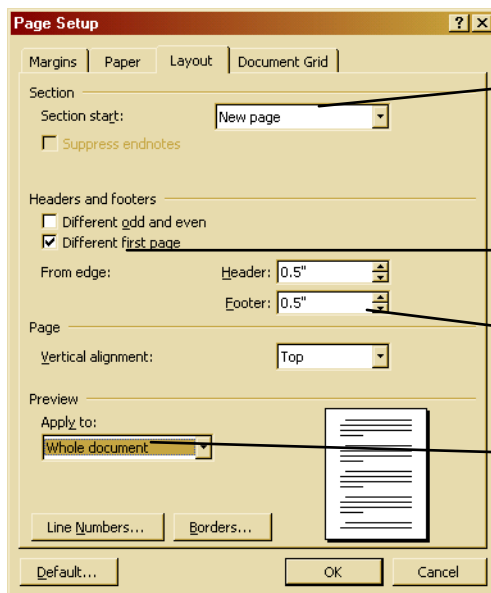
(Example)  
(line 1) CHAPTER ONE  
(line 2) (one single line or one double space)  
(line 3) INTRODUCTION (title of chapter)  
(line 4) (TWO SINGLE LINES)  
(line 6) START THE TEXT

This will hold true for Bibliography, Appendices, etc.

5. Be sure to follow the guide samples in the back of the booklet for the signature, abstract pages.
6. The signatures should be in the lower right hand corner of the page on your signature page.
7. **DO NOT COPY THE FORMAT OF A FORMER STUDENT'S DISSERTATION WITHOUT LOOKING AT THE *GUIDE FOR THE PREPARATION OF MASTER'S THESES AND DOCTORAL DISSERTATIONS*.** If you have a former student's dissertation and there is a discrepancy between it and the guide, go with the guide.
8. Please make sure the thesis or dissertation is printed on one type of paper. Mismatched or discolored paper *will not* be accepted.
9. Theses/dissertations that do not show the watermark on the acid-free paper used for final copies *will not* be accepted.

## HOW TO SET PAGE NUMBERS IN MICROSOFT WORD

1. For setting up page numbers in your document you will need to first *section* your document. Each chapter should be a different section and also any other sections that require a different page numbering format. To make this easier, do the following:
  - a. Go to **Format->Reveal Formatting**
  - b. Check the box for 'Show all formatting marks'. Now you will be able to see where everything is.
  - c. Put your cursor and click in on the page BEFORE the page where your section ends and go to **Insert->Break**. Then select **Section break Next Page or Continuous**.
  - d. Repeat this until you have all the desired sections.
2. With your document open click on **View->Header and Footer** on the top toolbar. You will now see header and footer for section 1, 2, 3....etc. Now you will apply the formatting to each section as desired.
3. Click on **Page Setup** (open book icon) in the **Header/Footer Menu**.
4. Click on the **Layout tab** (**Page Layout tab for Office 2007**) and make the following changes:



Set *section start* to new page or new section depending on what you have.

Make sure *different first page* is selected if you want a different first page number format that the rest.

Set header and footer distance from edge depending on requirements.

Set *apply to* Whole Document or Section depending on your document setup.

Set margins, paper, or document grid if needed by clicking on the appropriate tab. Click **OK**.

5. Position cursor and tab to the middle of the *first page footer* (bottom of page) and click on ***Insert Page Number*** (first icon). Move on to the next page, position cursor and tab to the *top right header* and ***Insert Page Number***.
6. To start page numbers at a certain number, click on ***Format Page Number***.
7. Repeat this for all sections.
8. TO PUT THE PAGE NUMBER .75” from top right corner:
  - a. Highlight the page number. In the top ruler part of the page you will see a little triangle. Position this to where you want and the rest of the page numbers should follow.
9. For more information on headers and footers, click on *Microsoft Word Help* and search under header and footer.

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## INTRODUCTION

Completion of the master's thesis or doctoral dissertation is generally the final step in earning a graduate degree. This guide is designed to help the student present the results of graduate study and research for the use and interest of the academic community and the public. The guide contains format requirements for:

- the traditional thesis or dissertation,
- the manuscript thesis or dissertation (in which manuscripts of articles that have been or will be submitted to journals in the field are used in the body of the thesis or dissertation.)

Detailed information concerning the procedures for completing a graduate degree at The University of Texas at Dallas is contained in Policy Memorandum 87-III.25-48, "Policy on Procedures for Completing a Graduate Degree." The entire text of the policy is contained in the final section of this guide.

## POLICY ISSUES

### Prior to Conducting the Research

#### USE OF COPYRIGHTED MATERIAL

The author of a thesis or dissertation is expected to conform to the provisions of the copyright law with regard to quoting copyrighted materials. Because microfilm is tantamount to publication, University Microfilms International requires that the author of the dissertation sign an agreement form certifying that the use of any copyrighted material in the manuscript, beyond brief excerpts, is done with the written permission of the copyright owner.

In ordinary practice it is generally assumed that the quotation of a prose passage of approximately 150 words or less or the quotation of a few lines of verse in a work of scholarship or criticism does not require written permission of the copyright owner. However, the area of “fair use” of copyrighted materials can be defined only by court action, and existing precedents are insufficient to make an exact or strict definition of its limits. The Chicago Manual of Style and other style manuals provide further discussion of “fair use”. Should the student decide that it is necessary to obtain permission from the copyright owner; the usual procedure is to write the owner and obtain a written reply authorizing use of the material. Ordinarily the only condition for use is that proper acknowledgment be made. If the student has already published any portion of the thesis or dissertation, written authorization from the journal(s) must be obtained before the material is used. Written copyright permissions should be available for inspection by the Dean of Graduate Studies Office at the time of submission of the final draft for approval.

Software owned by a company or corporation is protected under U.S. law. It is illegal to use, in whole or in part, any software, design and/or documentation in any activity, including research, publications, university papers, assignments, theses or dissertations without prior written permission from the company or corporation. If more information about copyrighted material is needed, contact the Graduate Dean’s office, FA3.104.

**Engineering students:** If your paper is published with IEEE, please send a letter requesting permission to use what has been published in your thesis/dissertation to:

Jackie Hansson, IEEE Copyright Office  
445 Hoes Lane, P.O. Box 1331  
Piscataway, New Jersey 08855-1331

or email the permission letter to:  
w.hagen@ieee.org

**Please be sure to do this at least two weeks before you need to show it to the Graduate Dean’s Office as it takes a couple of weeks to be returned.**

#### USE OF HUMAN SUBJECTS IN RESEARCH

The University Institutional Review Board for the Protection of Human Subjects is charged by the University President under federal law with the responsibility of protecting the rights of individuals who are subjects of any research, whether funded or unfunded, and whether on or off campus, conducted by students, faculty or staff of The University of Texas at Dallas.

Written permission must be obtained through the Institutional Review Board for the Protection of Human Subjects before any research can be undertaken involving human subjects. All research is covered, including questionnaires and observation.

Forms requesting permission to undertake a study involving human subjects may be obtained from the Office of Research Administration and Sponsored Projects (MP 3.208) or the School

Dean's office. The completed forms, with signatures of authorized University officials, must be attached to the thesis or dissertation when it is presented to the Dean of Graduate Studies for approval.

#### **USE OF ANIMALS IN RESEARCH**

The University Institutional Animal Care and Use Committee (IACUC) is charged by the University President under federal law with the responsibility of protecting the welfare of animals used in research. No animals may be used in research without the approval of the IACUC. Forms requesting permission to undertake a study involving animal subjects may be obtained from the Office of Research Administration and Sponsored Projects (MP 3.208) or the School Dean's office. The completed forms, with signatures of authorized University officials, must be attached to the thesis or dissertation when it is presented to the Dean of Graduate Studies for approval.

## GENERAL FORMAT REQUIREMENTS

The thesis or dissertation is intended to demonstrate the student's ability to conduct, document and communicate the results of independent research. While content is the domain of the student and the student's supervising committee, format standards are established by the University. This guide is intended to acquaint the student with standards to which the final copies of the thesis or dissertation report must conform in order to be approved by the Graduate Dean's office prior to binding.

The Assistant Graduate Dean is available in FA3.104 or at phone 972 883 2034 - FAX 972 883 4308 for advice on standards and requirements. **Students must bring the final draft to the Office of Graduate Studies FA (Founder's Annex) 3.104, for review prior to having final copies printed. Once the final copies of a thesis or dissertation have been approved by the Graduate Dean's office, no alterations may be made without the Graduate Dean's office's permission.**

## MANUSCRIPT MECHANICS

### CONTENTS OF THE THESIS/DISSERTATION

Each thesis/dissertation should contain the following elements arranged as listed:

1. Fly-page
2. Signature Page
- \*3. Copyright
- \*4. Dedication
5. Title Page
6. A Preface or Acknowledgements
7. Abstract: counted, number typed (150 words-Master's thesis 350 words-Doctoral Dissertation)
8. Table of Contents: counted, number typed
- \*9. List(s) of Tables, Figures (if any), and all others: counted, number(s) typed
10. Text -- The text should be divided into as many books, chapters, or sections as are necessary.
- \*11. Appendices
12. Bibliography
13. Vita

**\*Not all theses/dissertations contain these items, but if they are included, they must be placed in this order.**

### PAPER

Quality bond paper of 100% cotton content, 16 to 20 pound weight, or acid-free archival paper (available at the Bookstore and the UT Dallas Copy Center, located in the Bookstore Building, Room 1.5) must be used in all copies of the thesis/dissertation for the Graduate Dean's Office. It is advisable to check the watermark that will appear on all quality paper to determine the fiber content of the paper. The standard sheet size is 8 1/2 by 11 inches. **(NOTE: Copies produced at the UT Dallas Print Shop or Copy Center will be made ONLY on acid-free archival paper.)**

We strongly suggest using the UT Dallas Copy Center as the price is competitive and the person copying is familiar with UT Dallas' thesis/dissertation guidelines.

**Please notify the Copy Center if there is any heat-sensitive material in your thesis/dissertation.**

### STYLE

The thesis or dissertation is to be printed in black characters on one side of the paper. The entire text must be produced with the same **laser printer font** or typeface (with the exception of tables and figures produced by different technology or by a graphic artist).

Conventional type styles are acceptable, using **either** 10 or 12 characters per inch (CPI) - 12 or 14 font sizes in Word. The size font must be one size consistently throughout the thesis or dissertation. The only font size exceptions will be for figures and tables and only with the prior approval of the Graduate Dean's office. (To determine the CPI, put a ruler under a line of text and count the average number of characters in an inch. The number may vary with the use of right justification or a printer that gives proportional spacing.) Matrix printing or non-standard print styles must receive prior approval from the Dean of Graduate Studies. The finished

thesis/dissertation reflects the ability and character of its author. The final copy must be a professional quality manuscript, correct in spelling and punctuation and neat in form.

### **SPACING**

The thesis/dissertation must be double-spaced or space-and-a-half throughout with the exception of quotations, footnotes, and bibliography. These should be single-spaced within each entry, but must be double-spaced **between** entries. The table of contents, list of tables, list of figures, and lengthy tables may also be single-spaced.

“**Widows**” (a short line ending a paragraph at the top of a page) and “**orphans**” (a heading or subheading at the bottom of a page that is not followed by text) should be avoided. Widows and orphans will not be accepted.

### **MARGINS**

**After photocopying**, the left (binder's) margin and the top margin must be at least 1 1/4 inches, the right and bottom margins 3/4 inch. The page number in the upper right-hand corner should be 3/4 inch from the top of the page and 3/4 inch from the right edge of the paper - when centered on the bottom, the page number should be 1/2 inch from the bottom of the page. **These margins must conform throughout the manuscript, including pages containing tables, figures, or other illustrative materials.** If in doubt about the acceptability of spacing or margins, the student should consult the Assistant Graduate Dean.

### **ARRANGEMENT AND PAGINATION**

#### **Preliminary Pages**

Preliminary pages include all sections that precede the text and should be arranged and numbered as follows:

1. Fly page: not counted, not saved in PDF file
2. Signature page: counted, number not typed on page
3. Copyright (if any): counted, number not typed on page
4. Dedication (if any): counted, number not typed on page
5. Title page: counted, number not typed on page
6. Preface or Acknowledgments: counted, number typed  
*(This is the first page on which a number should appear.)*
7. Abstract: counted, number typed
8. Table of Contents: counted, number typed
9. List(s) of Tables, Figures (if any): counted, number(s) typed

Lower case Roman numerals, centered at the bottom of the page, should be used to number preliminary pages, beginning with the preface or acknowledgments. Example: if a dissertation contains a copyright page and a one-page dedication is used, the acknowledgment page should be numbered “v”. If *neither copyright nor dedication is used*, the beginning of the acknowledgments should be “iii” and arranged and numbered as follows:

1. Fly page: not counted, not saved in PDF file
2. Signature page: counted, number not typed on page
3. Title page: counted, number not typed on page
4. Preface or Acknowledgements: counted, number typed  
*(This is the first page on which a number should appear)*

5. Abstract: counted, number typed
6. Table of Contents: counted, number typed
7. List(s) of Tables, Figures (if any): counted, number(s) typed

### **Text and Remaining Elements**

Following the text, the other sections of the thesis/dissertation are arranged as follows:

10. Text
11. Endnotes (if any)
12. Appendices (if any)
13. Bibliography/References/Works Cited
14. Vita: no page number listed on this page

**The first page of the text is number “1” regardless of the number of preliminary pages which precede it. All remaining pages of the thesis/dissertation are numbered consecutively with Arabic numerals with the exception of the vita page on which no number appears.**

- **On pages carrying major headings such as the first page of a chapter and the first page of the endnotes, appendices and bibliography, the page number is centered at the bottom of the page at least one-half inch from the bottom.**
- On all other pages the number appears at the right margin of the page  $\frac{3}{4}$  inch from the top of the page.

Pages carrying illustrative materials must be given page numbers appropriate to their place in the thesis or dissertation. They may not be inserted after the text has been numbered and given numbers such as 15a, etc.

If a separate page is used to give titles or legends for figures or other illustrative materials, this page must face the figure or illustration and bear no number, but the page is counted.

### **ELEMENTS OF THE THESIS/DISSERTATION**

There are certain format requirements associated with some individual elements of the thesis/dissertation.

#### **Fly Page**

This is a blank page used for protection in binding.

#### **Signature Page**

This sheet contains the approval signatures of the student's supervising committee members. Each of the required copies of the thesis/dissertation must include a signature sheet with original signatures. (See example pg. 17.)

#### **Copyright**

Copyright protection automatically subsists from the time the work is created in fixed form and immediately becomes the property of the author who created it. To take advantage of this protection accorded by the Copyright Act of 1976, the author must include the notice of copyright. The student's name must appear as it is on file in the Registrar's Office as it appears on the title page and the abstract. If the copyright notice is not included, the work goes into the public domain: it is available for unrestricted use because unprotected by copyright.

For further information about copyright protection, write:  
 Information and Publications Section LM-455  
 Copyright Office  
 Library of Congress  
 Washington, DC 20559

Registration with the U.S. Copyright Office is not required to secure a copyright; it is a legal formality to place on public record the basic factors of a particular copyright. Copyright of a dissertation may be registered through University Microfilms International if the student so desires. An additional fee will be charged by University Microfilms International for this service. Those who wish to have the dissertation copyright registered should refer to the information on page 7 of the Microfilm Agreement form, "Copyright Registration Form - Optional"; or to John Charles Hogan and Saul Cohen's An Author's Guide to Scholarly Publishing and the Law, (available in the library). Procedures and forms for registering the copyright of both theses and dissertations may also be obtained from the Copyright Office at the address given above.

### **Title Page**

The student's name must appear here as it does on the copyright page and on the abstract. The date on this page is the date of the conferral of the degree, NOT the date of the submission of the thesis/dissertation.

If the thesis or dissertation has a main title and a subtitle, put the main title on a single line, followed by a colon, and organize the subtitle in inverted pyramid form below the main title. If the main title is too long to fit on a single line, also organize the main title in inverted pyramid form.<sup>1</sup> (See example pg. 19.)

### **Preface or Acknowledgments**

**AT THE END OF THIS PAGE JUST THE MONTH AND YEAR THE THESIS/DISSERTATION IS SUBMITTED TO THE SUPERVISING COMMITTEE SHOULD APPEAR. COME DOWN TWO SPACES BELOW THE LAST LINE TYPED AND PUT THE MONTH AND YEAR. THIS IS THE FIRST PAGE ON WHICH ROMAN NUMERALS SHOULD APPEAR.**

### **Abstract: General**

The abstract should be a concise statement of the nature and content of the thesis/dissertation, indicating its significance as a piece of research. It should be a continuous summary, not disconnected notes nor an outline.

Doctoral dissertations should not exceed 350 words and Master's theses should not exceed 150 words (To determine this number, count the number of characters [including spaced and punctuation] in a line of average length and multiply by the number of lines.)

In an average abstract, there will be about 70 characters per line. Abstracts must follow the form of the example within this guideline.

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<sup>1</sup> Turabian, Kate L., *A Manual for Writers of Research Papers, Theses, and Dissertations* (Chicago: University of Chicago Press, 2007), pp. 378 and 386.

**Abstract: Dissertation/Thesis**

Special care must be taken in the preparation of the dissertation/thesis abstracts since they will be published in Dissertation Abstracts International and Master's Abstracts International without further editing or revision. Copies of this publication are available in the library and may be consulted in relation to abstract preparation.

The candidate must submit one copy of the dissertation abstract and one copy of the title page to the Office of the Dean of Graduate Studies when submitting the final copies for binding. Abstracts must be on the same kind of paper and adhere to the style standards used for the dissertation.

The candidate must make certain that the name appearing on the abstract is the same as that on the copyright page and title page. The title of the abstract must be the same as the title on the finished dissertation. Mathematical formulas and words in foreign languages should be set down clearly and accurately so that they may be printed in Dissertation Abstracts International and Master's Abstracts International without error; otherwise, the abstract may be withheld temporarily from publication until the author can be queried.

**Table of Contents**

It is important that the table of contents accurately reflects the outline and organization of the manuscript. It should include the abstract, list of tables, list of figures, chapters of the text, appendices, references, and vita. (The vita is listed in the table without page number.) There is no required format for the table of contents; sample tables are included in this guideline.

**Appendices**

Materials which are peripheral but relevant to the main text of the thesis/dissertation should be placed in appendices. In the Chemistry dissertations any previous practica that must be included should be done so as an appendix. These may include such things as survey instruments, additional data, computer printouts and programs, and details of a procedure of analysis.

Appendix material must meet the same requirements of margins, pagination, and paper quality as the text itself. Reduction of materials to meet margin requirements is acceptable only if the print remains clear and legible.

**Bibliography**

The bibliography should indicate materials actually used (and the edition, if that used is not the first); by this means, accuracy of quotation and citation may be readily verified. Reference materials should be listed according to the alphabetical order of the authors' names. Primary sources (books, manuscripts, periodicals, etc., which are the factual basis of the investigation) should be listed separately from secondary

**Vita**

Vita should be double-spaced and written in third person. At the end of each thesis/dissertation there should be a brief biographical sketch of the writer including: date and place of birth; names of parents; schools and colleges attended; degrees awarded; publications; and any experience in teaching, business, industry, or military service the writer may have. This page is not numbered. (See example pg. 27.)

## **TABLES, FIGURES, AND OTHER ILLUSTRATIVE MATERIALS**

Tables, figures, maps and illustrations should be prepared to facilitate binding and preservation and to avoid awkwardness or unnecessary bulk. Oversized charts and graphs may be utilized by the use of reduced photostats and photographs; however, this reduction must not seriously degrade their readability or usefulness.

Folded material must be carefully prepared and placed so that it will not be cut by the trimming at the bindery. Large tables or maps may also, at the discretion of the Supervising Professor, be neatly folded and inserted in a pocket or envelope and placed after all other materials, including the vita.

When the thesis or dissertation is bound, the envelope or pocket is mounted on the inside back cover. (There is an extra binding charge for this mounting.) Reference should be made in the list of tables, figures, maps, etc., to such material and the words “following vita” or “pocket” should be given in lieu of page numbers. Pictures should be mounted on the specified paper with a permanent type cement (to be dried under weight), a mounting cement, or dry mounting tissue. Rubber cement, white glue, or mucilage is not acceptable. When a number of pictures are used throughout the manuscript, it would be well to mount part of them at the top of the page and part at the bottom to distribute the bulk. These should be included in the PDF file with rest of the dissertation/thesis.

Students using microscopic slides to illustrate their manuscripts should be aware that such slides are difficult to reproduce legibly. High quality prints of the slides should, therefore, be provided.

Horizontal figures and tables must be positioned correctly: they will be bound at the top (i.e., the top of the figure or table will be the left margin). Figure captions and table headings should be placed in the same horizontal direction as the figure or table. See example of a horizontal table in Kate Turabian.

Tables, plates and figures should bear their identifying numbers on the pages upon which they appear. A figure's number is generally placed below it; tables and plates are numbered above. **If a table or figure requires more than one page, the second page should be labeled in italic letters “*Table \_\_ continued*” or “*Figure \_\_ continued*” at the top.**

Pages containing illustrative materials should always bear a page number as well. Refer to the “Arrangement and Pagination” section of this guide for instructions on numbering these pages.

## **DOCUMENTATION OF SOURCES**

Sources of direct quotations and authorities for statements of fact or opinion must be cited clearly and concisely. Reference to these sources is usually made by means of footnotes placed at the bottom of the page of text or endnotes which may follow each chapter or be placed at the end of the text. References should be numbered continuously either throughout each chapter or throughout the manuscript.

## **PLAGIARISM**

Plagiarism will not be tolerated. **The Graduate Dean’s Office will run the dissertation/thesis through the program Turnitin to check for any plagiarism.**

**NON-PRINT THESES/DISSERTATIONS**

Specific format requirements for videotapes, paintings and so forth should be obtained from the Office of the Dean of Graduate Studies prior to the start of the creative project.

**STYLE MANUALS**

In addition to adhering to the requirements explained in this guide, each student **must** consult the current edition of Turabian, Kate L. A Manual for Writers of Research Papers, Theses and Dissertations concerning questions of format. Studying the practice of one of the major academic journals or texts in his/her field may also prove helpful. Having decided upon the methods of research presentation and the mechanics of form, the student should remember that accuracy and consistency are all-important matters. These qualities make the thesis or dissertation report a usable research tool for other readers.

## PRINTING AND PROCESSING

### **METHODS OF DUPLICATION**

If the student wishes to use methods of producing the necessary copies other than Xerox, offset or laser printing, samples on the specified paper must be submitted to the Graduate Dean's Office for approval prior to reproduction of the thesis or dissertation. All copies must be free from evidence of error and corrections and from streaks or shadows resulting from the copying process. The student should make certain that each copy of the manuscript is properly collated and that no pages are missing or duplicated.

NOTE: Each of the copies required by the Graduate Dean's Office must have the **original** signatures of committee members on the signature page. **Although it is not mandatory, the committee members should sign in the same color ink, preferably black.**

### **MULTIPLE VOLUMES**

Measuring the thickness of the manuscript will determine whether the thesis or dissertation will be more than one volume. If the manuscript is more than one volume, the first page of each additional volume should be an unnumbered title page duplicating the original title page. Pages of the text, numbered consecutively with the pages in the previous volume(s), immediately follow this title page. In multiple-volume theses/dissertations, the volume number (Volume I, Volume II, etc.) must be shown on each title page immediately following the title. (See Kate Turabian for format.)

### **SUBMISSION OF REQUIRED COPIES**

Three unbound copies of the thesis and 3 copies of the dissertation are required by the Dean of Graduate Studies on or before the date specified in the Academic Calendar for each semester. The candidate should check with his/her Supervising Professor to see if other program copies may be required. At this time doctoral students who have not already done so are required to submit the Survey of Earned Doctorates form to the Office of Graduate Studies.

After the final approval of the manuscript by the Graduate Dean's Office, the student must take the approved copies to the copy center and pay the appropriate fees, including the cost of binding. This must be done prior to graduation. At the student's option, personal copies of the dissertation/thesis or copies for professors may be submitted to the copy center at this time. These copies must be suitably boxed before presentation for binding. Personal copies will be bound only in standard University colors.

After all copies of the dissertation/thesis have been bound, the Library will retain one hard copy; one hard copy will be sent to the student's Supervising Professor and one copy will be sent to the student's department/program office. Personal copies will be distributed according to the student's instructions at the time of submission to the copy center.

### **FINAL SUBMISSION DOCTORAL AND MASTER'S CANDIDATES**

1. 3 unbound, hard copies of the dissertation
2. 1 CD containing the entire dissertation in PDF format

3. 1 hard copy –
- a. title page
  - b. abstract
  - c. completed UMI agreement form
  - d. completed Survey of Earned Doctorates form (Doctoral Students Only)
  - e. money order or check made out to UMI-PROQUEST
  - f. reprint permission letters
  - g. third party software licenses, if required
  - h. Turnitin form signed by supervising professor and student

Dissertations/theses will be electronically submitted to ProQuest/UMI. UMI will “publish bibliographic citations and abstracts for these documents in *Dissertation Abstracts International* and *Master’s Abstracts International* in print, on-line, CD-ROM and microform. Bibliographic information concerning these documents will also be made available to a world-wide network of online information providers and distributors including OCLC, Dialog®, and STN®. Where possible, print output of the document will be created, microfilmed and stored in UMI’s vaults. The PDF format of the document will be loaded into ProQuest Digital Dissertations, a digital archive of dissertations and theses. UMI Dissertations Publishing will check for document integrity and copyright compliance. If the document appears to be incomplete or if there are questions about the reproduction of previously copyrighted materials, publication will be delayed until those concerns are resolved.”

Your dissertation/thesis must be submitted on a CD in Adobe Acrobat PDF format.

Required copies of theses/dissertations are due in the Dean of Graduate Studies office on or before the date specified in the Academic Calendar for each semester. The candidate should check with his/her Supervising Professor to see if other program copies may be required. At this time doctoral students who have not already done so are required to submit the Survey of Earned Doctorates form to the Office of the Dean of Graduate Studies.

After the final approval of the manuscript by the Graduate Dean's Office, the student must take the approved copies to the Copy Center and pay the appropriate fees, including the cost of binding. This must be done prior to graduation. At the student's option, personal copies of the thesis/dissertation or copies for professors may be submitted to the Copy Center at this time. These copies must be suitably boxed before presentation for binding. Personal copies will be bound only in standard University colors.

### **MICROFILMING THE DOCTORAL DISSERTATION AND MASTER’S THESIS**

One copy of every doctoral dissertation and master’s thesis is sent to University Microfilms International for microfilming. A fee is charged for this service which includes the publication of the abstract in *Dissertation Abstracts International* and *Master’s Abstracts International*.

In order to protect the patent or other rights, the Dean of Graduate Studies can delay publication by microfilm for a period of up to one year. A letter requesting such a delay should be sent to the Graduate Dean by the candidate's Supervising Professor at least ten days prior to the anticipated graduation date.

## MANUSCRIPT FORMAT REQUIREMENTS

The graduate candidate has the option, subject to the approval of the Program, of including as part of the dissertation/thesis, the text of an original paper or papers that have been or will be submitted to journals in the field.

The inclusion of manuscripts co-authored by the candidate is acceptable but the candidate is required to make an explicit statement on who contributed to such work and to what extent. The dissertation/thesis must conform to all requirements explained in this guide. In addition, the following requirements apply.

### **CONTENTS**

Any thesis or dissertation prepared in the manuscript format must include a preface. That preface must contain the entire text of the two paragraphs which conclude the manuscript format section of the guide. The preface may also include other material at the student's option.

The thesis or dissertation must be more than a mere collection of manuscripts published or to be published. It must have an overall title; it may also have subtitles. It must include a comprehensive abstract, a full introduction and literature review and final overall conclusion which interprets the results of the research and describes the contribution to the field.

Where the student is not the sole author of a manuscript, the introductory material to the chapter comprised by the manuscript must explicitly describe the student's contribution to the work and acknowledge the contributions of the other author(s) of the work. Connecting texts which provide logical bridges between different manuscripts are necessary in the interests of cohesion.

Additional material (procedural and design data as well as descriptions of equipment) must be included in sufficient detail to allow a clear and precise judgment to be made of the importance and originality of the research reported. This is usually included in appendices.

### **FORMAT**

The styles used in manuscripts previously published or submitted for publication may follow the styles required by the journals; thus, styles may differ among parts. The pagination of the parts, however, must follow the guidelines for the traditional thesis/dissertation (see "Arrangement and Pagination"). The preliminary pages are the same as for the traditional thesis/dissertation.

In most cases, the manuscripts must be retyped to conform to the type size, margin, and legibility requirements of the traditional dissertation. However, in the rare cases in which preprints and reprints of previously published papers meet those standards, they may be included as chapters, duplicated clearly on the 100% cotton or acid-free archival paper. Pages of those chapters should be numbered consecutively with the rest of the dissertation. The original journal page numbers should be deleted and the dissertation page numbers placed on the page in accordance with the traditional guidelines. Photographs or other materials which do not duplicate well from reprints must be included in their original form.

Regardless of whether they are retyped or copied directly from the journal print, the first page of published chapters should have an asterisk (\*) next to the title; the asterisk publication. When copies of papers already published are used as separate chapters, connecting texts are mandatory and supplementary explanatory material is almost always necessary.

### **DOCUMENTATION OF SOURCES**

If approved, each chapter may be followed by a separate bibliography (or list of references, or works cited, or literature cited). A single alphabetical listing at the end of the text is preferred.

**PERMISSION FOR USE OF PREVIOUSLY PUBLISHED MATERIAL**

If any of the material in the thesis or dissertation has been published, the student must obtain written permission from the publisher giving the student authorization to use the material in the manuscript. In the case of dissertations, the publisher should be advised that the manuscript is to be microfilmed and kept on file at University Microfilms International and that single copies of the dissertation will be sold on demand. Written copyright permissions should be available for inspection by the Dean of Graduate Studies Office at the time of submission of the final draft for approval.

**THE TEXT OF THE FOLLOWING TWO PARAGRAPHS SHALL  
BE CITED IN FULL IN THE "PREFACE" OF ANY  
THESIS OR DISSERTATION TO  
WHICH IT APPLIES**

This dissertation (or thesis) was produced in accordance with guidelines which permit the inclusion as part of the dissertation (or thesis) the text of an original paper or papers submitted for publication. The dissertation (or thesis) must still conform to all other requirements explained in the "Guide for the Preparation of Master's Theses and Doctoral Dissertations at The University of Texas at Dallas." It must include a comprehensive abstract, a full introduction and literature review and a final overall conclusion. Additional material (procedural and design data as well as descriptions of equipment) must be provided in sufficient detail to allow a clear and precise judgment to be made of the importance and originality of the research reported.

It is acceptable for this dissertation (or thesis) to include as chapters authentic copies of papers already published, provided these meet type size, margin and legibility requirements. In such cases, connecting texts which provide logical bridges between different manuscripts are mandatory. Where the student is not the sole author of a manuscript, the student is required to make an explicit statement in the introductory material to that manuscript describing the student's contribution to the work and acknowledging the contribution of the other author(s). The signatures of the Supervising Committee which precede all other material in the dissertation (or thesis) attest to the accuracy of this statement.

## MULTIPLE PAPERS/SINGLE PAPER WITHIN DISSERTATION/THESIS

If the dissertation is comprised of separate research projects within a final dissertation, each paper should appear as a separate chapter. If the thesis/dissertation is comprised of one project/paper the headings such as INTRODUCTION, MATERIALS AND DISCUSSION, and CONCLUSION should be treated as separate chapters. Also, because many papers will have already been published by the time final dissertations are submitted for binding, the candidate should be careful to refer to page 15 of this guide - PERMISSION FOR USE OF PREVIOUSLY PUBLISHED MATERIAL and use the sample for the Chapter title page. (See example pg. 24)

Chemistry doctoral candidates who want to include any practica in the doctoral dissertation should treat the past practica as an appendix.

The dissertation will be set up as follows:

1. Fly page
2. Signature page
3. \*Copyright
4. \*Dedication
5. Title Page
6. \*Preface
7. \*Acknowledgements (may be included here or with chapters)
8. Table of Contents
9. Text
10. \*Appendices
11. Bibliography
12. Vita

\*Not all papers will contain these items, but if they are included, they must be placed in this order.

Each chapter (paper) will usually contain the following elements:

1. TITLE PAGE - CHAPTER ---- - centered, 2" from top of page
2. LIST OF FIGURES
3. LIST OF TABLES
4. ACKNOWLEDGEMENTS (may be included with chapters or at beginning of entire paper)
5. I. INTRODUCTION (CENTERED) )
6. II. PREFACE
7. III. ABSTRACT ) centered - 2" from top of page
8. IV. INTRODUCTION All major title pages – page numbers centered ½ inch
9. V. MATERIALS AND METHODS ) from bottom
10. VI. RESULTS
11. VII. DISCUSSION )
12. REFERENCES (no Roman numeral) )

1. The figures/tables should appear within the text as close to the reference as possible.
2. If it is absolutely necessary not to include figures/tables within the text, they should be grouped in an appendix
3. Appendix immediately preceding the References.
4. When numbering the figure/table the number should coincide with the chapter in which the figure/table appears, e.g. Figure 1.1 for Chapter 1, Figure 2.1 for Chapter 2, etc.
5. When writing the overall abstract in the dissertation's preliminary pages there should be sub-headings referring to the specific chapter/paper being referenced.

**EXAMPLE, SIGNATURE PAGE**

(Title begins 2 inches from top of page)

TITLE OF THESIS OR DISSERTATION\*

(in capital letters, double spaced)

(2 LINE SPACES)

by

(2 LINE SPACES)

Name

APPROVED BY SUPERVISORY COMMITTEE:

(4 lines)

---

Austin J. Cunningham, Chair (typewritten name)

---

John J. Wiorkowski

---

Raymond P. Lutz

---

Juan González

Note: The top line is for the Supervising Professor's signature. There should be as many lines as there are members on the Committee, and underneath each line, the typewritten name of the committee member should appear. All signatures must be original and in either blue or black ink, preferably all the same color. Duplicated signatures are not acceptable.

\* If the thesis or dissertation has a main title and a subtitle, put the main title on a single line, followed by a colon, and organize the subtitle in inverted pyramid form below the main title. If the main title is too long to fit on a single line, also organize the main title in inverted pyramid form.<sup>1</sup>

---

<sup>1</sup> Turabian, Kate L., *A Manual for Writers of Research Papers, Theses, and Dissertations* (Chicago: University of Chicago Press, 2007), pp. 378 and 386.

**EXAMPLE, COPYRIGHT PAGE**

(centered both horizontally and vertically)

Copyright 2009

John Henry Jones, Jr.

All Rights Reserved

**EXAMPLE, TITLE PAGE**

(Title begins 2 inches from top of page)

TITLE OF THESIS OR DISSERTATION\*

(in capital letters double spaced)

(double space)

(double space)

by

(double space)

(double space)

STUDENT'S FULL OFFICIAL NAME, PREVIOUS DEGREES

(Given name first)

(6 lines)

THESIS OR DISSERTATION

(double space)

Presented to the Faculty of

(double space)

The University of Texas at Dallas

(double space)

in Partial Fulfillment

(double space)

of the Requirements

(double space)

for the Degree of

(3 lines)

NAME OF DEGREE

(4 lines)

THE UNIVERSITY OF TEXAS AT DALLAS

(double space)

Month and Year Degree Awarded

**The degree sought must be worded in the form given in the Graduate Catalog, e.g., “MASTER OF ARTS IN THE HUMANITIES”; “DOCTOR OF PHILOSOPHY IN BIOLOGY.” The date is to be that of the month and year the degree is awarded; i.e., “May, 2009”**

\*If the thesis or dissertation has a main title and a subtitle, put the main title on a single line, followed by a colon, and organize the subtitle in inverted pyramid form below the main title. If the main title is too long to fit on a single line, also organize the main title in inverted pyramid form.<sup>1</sup>

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<sup>1</sup> Turabian, Kate L., *A Manual for Writers of Research Papers, Theses, and Dissertations* (Chicago: University of Chicago Press, 2007), pp. 378 and 386.

**EXAMPLE, ABSTRACT PAGE**

(Title begins 2 inches from top of page)

THE POLAROGRAPHIC REDUCTION OF NITROBENZENE AND  
(double space)  
BENZOPHENONE IN ALCOHOL SOLUTIONS\*\*\*\*

(double space)

Publication No. \_\_\_\_\_ \*

(double space)

Pierce Wayne Bolmer, Ph.D.\*\*

The University of Texas at Dallas, 2009\*\*\*

(four single lines)

Supervising Professor: Thomas DeVries

(four single lines)

The polarographic reduction of nitrobenzene and benzophenone was carried out in neutral, unbuffered solutions of...

**The Abstract should be in a continuous resume, not disconnected notes or an outline; do not indent paragraphs in this section, and should not exceed 350 words for dissertations/150 words for theses.**

**\* Leave blank. This is for microfilming purposes for dissertations and theses.**

**\*\* At every point use your full official name.**

**\*\*\*Insert the year of graduation.**

\*\*\*\* If the thesis or dissertation has a main title and a subtitle, put the main title on a single line, followed by a colon, and organize the subtitle in inverted pyramid form below the main title. If the main title is too long to fit on a single line, also organize the main title in inverted pyramid form.<sup>1</sup>

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<sup>1</sup> Turabian, Kate L., *A Manual for Writers of Research Papers, Theses, and Dissertations* (Chicago: University of Chicago Press, 2007), pp. 378 and 386.

**EXAMPLE, TABLE OF CONTENTS**

(Title begins 2 inches from top of page)

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## TABLE OF CONTENTS

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**EXAMPLE, MULTIPLE PAPERS WITHIN DISSERTATION/THESIS  
CHAPTER TITLE PAGE**

(Title begins 2 inches from top of page)

CHAPTER 1 or CHAPTER ONE

**(CHAPTER ONE, TWO, etc. should be 2 inches from the top of the page. Leave one line space between CHAPTER--- and the chapter title.)**

INHIBITION OF SECRETION BY 1,3-CYCLOHEZANE BIS (METHYLAMINE), A  
BASIC COMPOUND THAT INTERFERES WITH COATOMER FUNCTION\*

6 line spaces

Authors - e.g. Sung J. Kim, James Mitchell, Hao Wu, and Ernest Hannig  
(2 line spaces)

The Molecular and Cell Biology Department, FO31  
(2 line spaces)

The University of Texas at Dallas  
(2 line spaces)

800 West Campbell Rd.  
(2 line spaces)

Richardson, Texas 75080-3021

(Wording below is optional)

Running title: Inhibition of secretion

Key words: COPI, coatomer, membrane traffic; endoplasmic reticulum, GOLGI, secretion

Corresponding author:

E-mail:

\* If the thesis or dissertation has a main title and a subtitle, put the main title on a single line, followed by a colon, and organize the subtitle in inverted pyramid form below the main title. If the main title is too long to fit on a single line, also organize the main title in inverted pyramid form.<sup>1</sup>

---

<sup>1</sup> Turabian, Kate L., *A Manual for Writers of Research Papers, Theses, and Dissertations* (Chicago: University of Chicago Press, 2007), pp. 378 and 386.

**EXAMPLE, PERMISSION TO INCLUDE PREVIOUSLY PUBLISHED MATERIAL**

**FOR DISSERTATIONS USE THE FOLLOWING:**

Dear Madam, Sir:

I request permission to use a paper published in the \_\_\_\_\_ as a chapter of my dissertation for the Ph.D. degree in \_\_\_\_\_ from the University of Texas at Dallas. I am advised by the University to inform you that the dissertation is to be microfilmed and kept on file at University Microfilms International and that single copies of the dissertation will be sold on demand.

For your convenience, I include a draft of the permission/release that you can sign and FAX to me; a response to this email will be acceptable.

A prompt response would be greatly appreciated, since the deadline for acquiring permission is \_\_\_\_\_, 20\_\_.

Thank you in advance.

Sincerely,

(Student)

Telephone: \_\_\_\_\_

FAX: \_\_\_\_\_

Email: \_\_\_\_\_

Permission Granted:

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**FOR MASTER'S THESIS USE THE FOLLOWING:**

Dear Madam, Sir:

I request permission to use a paper titled \_\_\_\_\_, published in the \_\_\_\_\_ as a chapter of my thesis for the M.S. degree in Electrical Engineering from The University of Texas at Dallas. I am advised by the University to inform you that the thesis is to be microfilmed and kept on file at University Microfilms International and that single copies of the thesis will be sold on demand.

For your convenience, I include a draft of the permission/release that you can sign and FAX to me; a response to this email will be acceptable.

A prompt response would be greatly appreciated since the deadline for acquiring permission is \_\_\_\_\_, 20\_\_\_\_.

Thank you in advance.

Sincerely,

Student

Telephone \_\_\_\_\_

FAX: \_\_\_\_\_

Email \_\_\_\_\_

Permission Granted:

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**\*ENGINEERING STUDENTS PLEASE NOTE:**

If your paper is published with IEEE, please email the permission letter to:

[w.hagen@ieee.org](mailto:w.hagen@ieee.org)

**Please be sure to do this at least two weeks before you bring your thesis/dissertation to the Graduate Dean's office.**

<b>EXAMPLE, VITA</b>
----------------------

(Title begins 2 inches from top of page)

VITA

Elizabeth Marie Smith Black was born in Houston, Texas, on April 23<sup>rd</sup>, the daughter of Marie Williams Smith and John Allen Smith. After completing her work at the Lamar High School, Houston, Texas, in 1970, she entered Southwest Texas State University at San Marcos, Texas. During the summers of 1972 and 1973 she attended the University of Colorado. She received the degree of Bachelor of Science with a major in zoology from Southwest Texas State University in May 1974. During the following two years she was employed as biology teacher in S.F. Austin High School, Austin, Texas. In June 1976, she entered the Graduate School of The University of Texas at Dallas. In 1978, she married Jon Roberts Black of Georgetown. Twin sons, Jon Roberts, Jr., and Allen Smith were born in 1980.

**THE UNIVERSITY OF TEXAS AT DALLAS**  
**NUMBERED POLICY MEMORANDA**

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POLICY MEMORANDUM 87-III.25-48

Issued: March 26, 1987  
Revised: May 15, 1990  
Revised: March 1, 1992  
Revised: November 1, 1992  
Revised: June 24, 1997  
Editorial Amendments: February 2, 1998  
Editorial Amendments: September 1, 2000  
Revised: December 15, 2000  
Revised: December 13, 2006  
Revised: December 2, 2008

**POLICY ON PROCEDURES FOR COMPLETING A GRADUATE DEGREE**

**I. PROGRAM OF STUDIES**

Each student admitted to a Graduate Program will have a specific program of studies agreed upon in consultation with and approved by the appropriate committee or administrator for that degree program.

A completed Program of Studies form will be filed in and approved by the Office of the Dean of Graduate Studies prior to the student's registration for his or her

1. 19th semester credit hour to be counted toward a master's degree, or
2. 50th semester credit hour taken beyond the bachelor's degree to be counted toward a doctoral degree.

The form will be completed and revised, if necessary, under the guidance of the student's graduate advisor.

**A. Exception: Common Master's Program**

In those Graduate Programs where a common program of studies is prescribed for all Master's students, differing only in elective courses comprising less than one-third of the total required degree semester credit hours, the Graduate Program can file a model "Program of Studies" with the Office of the Dean of Graduate Studies. Any student wishing to deviate from that approved model Program of Studies must file an Individual Program of Studies developed and approved by the appropriate committee

or administrator for that program prior to the student's registration for his or her 19th degree semester hour taken at U. T. Dallas.

B. Exception: Common Doctoral Core

In those Graduate Programs where a common doctoral core is prescribed for all students, differing only by the area of specialization chosen, the Graduate Program can file a model "Program of Studies" with the Office of the Dean of Graduate Studies. Any student wishing to deviate from that approved model Program of Studies must file an Individual Program of Studies developed and approved by the appropriate committee or administrator for that program prior to the student's registration for his or her 50th degree semester hour taken at U. T. Dallas.

C. Additional Master's Degrees

Students wishing to earn additional Master's degrees at U. T. Dallas must develop an approved Program of Studies through the Program offering that degree prior to enrolling in additional courses. The program can allow up to 15 semester credit hours earned in a previous degree program toward the additional degree. Additional credits may be accepted from the previous degree upon the approval of the Dean of Graduate Studies. In no case will credits counted for a previous degree be allowed to exceed one-half the total hours required for the additional master's degree program.

D. Graduation Under a Particular Catalog

Provided the requisite courses continue to be offered, the student is bound by the course work requirements of the catalog in force at the time of admission, within a six-year limit for the completion of the master's degree and ten years for the doctoral degree. With the approval of the Dean of Graduate Studies the student may elect to be bound by the catalog in force at the time the student applies for graduation. This regulation applies to specific course work and the number of semester credit hours for the academic degrees set forth in the catalog. All other requirements will change or be continued with the issuance of new graduate catalogs.

II. TRANSFER CREDIT

To qualify for transfer credit, the grade earned in the course must be a B or better and the course must not be a correspondence, extension or pass/fail course. Courses delivered in a distance learning format will be considered on a case-by-case basis. Petitions for transfer of credit must be prepared by the Graduate Program and submitted for approval by the Dean of Graduate Studies. Petitions may be approved at the time of the student's first enrollment; however, no actual acceptance of transfer credit will occur until after the student has completed 9 semester credit hours of courses at U. T. Dallas with a grade point

average of at least 3.0. Petitions for transferring courses taken before enrolling as a graduate student at U. T. Dallas must be submitted prior to filing the Program of Studies. Petitions for transfer credit must be accompanied by a copy of the student's transcript showing the course(s) in question.

A. Master's Degree

Less than 50% of the total semester credit hours of graduate courses taken elsewhere may be transferred to the program to which the student is applying.

B. Doctoral Degree

A master's degree or its equivalent may be transferred from another university for up to 36 semester hours of credit towards a doctoral degree.

C. Non-Degree Students

No more than 15 semester credit hours taken as a Non-Degree Student may be subsequently transferred to a degree program at U. T. Dallas. No petition is necessary for any of this coursework to be included in a student's Program of Studies.

D. Exceptions

Exceptions to these transfer policies may be granted only on petition to the Dean of Graduate Studies. Such a petition could be for the program of an individual student or for the model Program of Studies (See "Exceptions" on page 1 of this policy).

### III. DEGREE REQUIREMENTS

The student will complete the course work degree requirements when he or she completes the previously filed program of studies with acceptable grades.

A. Required Semester Credit Hours

The minimum required semester credit hours in a Program of Studies required for the degree will be those shown in the catalog applicable to the student at the time of his or her admission or readmission to the program. In no case will a student be allowed to graduate with less than 30 approved graduate semester credit hours (including approval of transfer credit hours) for the master's degree.

B. Required Grade Point Average

The minimum acceptable university grade point average for graduation is 3.0 for all graduate courses taken in that degree program at U. T. Dallas; however, individual programs may have more stringent grade point requirements in selected courses, which must be satisfied for graduation.

C. Research Involving Animal or Human Subjects

1. Research Involving the Use of Animals (Policy Memorandum 79-I.2-30)

Any student who intends to conduct research, (whether funded or not funded) which would involve animals must obtain permission from the Institutional Animal Care and Use Committee (IACUC). Permission to use an animal in research must be obtained prior to ordering, bringing to campus or housing on campus an animal. The required form to request approval may be obtained from the Office of Research Compliance.

2. Research Involving Human Subjects (Policy Memorandum 79-I.2-31)

Any student who intends to conduct research, on or off campus, in partial or complete fulfillment of a course requirement, thesis or dissertation, which would involve human beings as subjects must obtain permission, prior to undertaking the research, from the University's Institutional Review Board for the Protection of Human Subjects (IRB). Any research activity, including but not limited to surveys, questionnaires, interviews, standardized and non-standardized tests, and/or simple research experiments, which include the participation of human beings, regardless of age of participant, must have approval from the IRB. The required forms to request approval may be obtained from the Office of Research Compliance.

D. Admission to Doctoral Candidacy

The research potential and ability of each doctoral student to both understand and integrate previous coursework will be evaluated before a student can be admitted formally to doctoral candidacy. The format of this evaluation, hereafter referred to as a qualifying examination, varies amongst the degree programs, and can be obtained from the student's Graduate Program Office. A student failing the Qualifying Examination is terminated as a doctoral student in that program unless a two-thirds majority of the examining committee vote that a second examination be permitted. All committee members should have all the evidence of the student's academic record and Qualifying Examination performance prior to this vote. The second examination typically would be taken no sooner than six months after the first examination, and no later than one year. Students failing the second examination will not be allowed to

pursue a doctoral degree in that program. **Under no circumstances will a third examination be allowed.**

The student will have advanced to candidacy when the student has

1. passed the qualifying examination,
2. been assigned an approved Supervising Committee, and
3. satisfied any other Program or School candidacy requirements.

Candidacy must be achieved before a student is eligible to enroll in dissertation courses.

#### IV. THESIS AND DISSERTATION REQUIREMENT

##### A. Dissertation Proposal: Content

The Dissertation Proposal should be prepared by the student in consultation with the student's Supervising Committee. The proposal should include:

1. A tentative title of the dissertation describing the topic as accurately and briefly as possible.
2. The background of the research, the hypotheses to be tested or concepts to be explored, and the methodology to be employed. It should also address the relationship of the proposed work to existing work in the field, at U. T. Dallas or elsewhere, its intended outcome, and its contribution to the field.
3. A schedule of the remaining research activities, including major completion milestones.
4. A set of up to five "key words" to assist in establishing the Data Base on Theses and Dissertations.

##### B. Dissertation Proposal: Approval

After its approval at the Department, Program, School, or Interdisciplinary Degree Committee level, the proposal will then be forwarded to the Dean of Graduate Studies, together with the Department's or Program's nominations for Supervising Professor and members of the Supervising Committee and the anticipated time of completion. The proposal should be prepared by the student in consultation with the student's Supervising Professor, who will approve the document before its submission to the appropriate committee or administrator for that Department or Program.

C. Supervising Committee: General

The recommended Supervising Committee for the student is submitted by the appropriate committee or administrator for that Department or Program to the Dean of Graduate Studies for approval. Subsequent changes in membership must also be subject to approval by the appropriate committee or administrator for that Department or Program, and in, turn the Dean of Graduate Studies. Individuals qualified for service on the Supervising Committee will be voting members of the General Faculty (as defined by The University of Texas at Dallas Handbook of Operating Procedures), Adjunct Faculty, Clinical Faculty, Distinguished Scholars in Residence, Emeritus Faculty, Research Professors, Research Scientists, Senior Lecturers, or Visiting Faculty who hold the highest earned degree in the field or fields concerned or exhibit an equivalent record of accomplishment. In addition to the master's and doctoral degree membership composition as defined in sections D and E below, additional members outside the General Faculty may serve with the special approval of the Dean of Graduate Studies. Members of the Supervising Committee will also be members of the Examining Committee. (\*In the case of Adjunct Faculty, a General Faculty member will be appointed to co-chair the Supervising Committee).

D. Supervising Committee: Master's Degree with Thesis

Appointment of a Master's thesis Supervising Committee consisting of at least three members is a function of the degree program expected to confer the student's degree. Additional members may be appointed. All appointments must be approved by the Dean of Graduate Studies. The appropriate committee or administrator of the program in consultation with the student, will nominate:

1. the Chair, who serves as the supervisor of the research, will ordinarily be a voting member of the General Faculty holding the rank of Professor, Associate Professor, or Assistant Professor. Adjunct Faculty, Clinical Faculty, Distinguished Scholars in Residence, Emeritus Faculty, Research Professors, Research Scientists, Senior Lecturers, or Visiting Faculty who hold the highest earned degree or exhibit an equivalent record of accomplishment in the field or fields of the research or aesthetics may be appointed as Chair if he/she receives a 2/3 majority recommendation of the Professors of the degree program and approval of the Academic Dean of the School offering the degree.
2. not less than two voting members of the General Faculty from the graduate degree program expected to confer the student's degree; and
3. if necessary, a third representative appointed by the appropriate committee or administrator for that program.

Any school varying from the above procedures in constituting Supervising Committees must have had prior approval from the Dean of Graduate Studies.

E. Supervising Committee: Doctoral Degree

Appointment of a Doctoral dissertation Supervising Committee consisting of at least four members is a function of the degree program expected to confer the student's degree. Additional members may be appointed. All appointments must be approved by the Dean of Graduate Studies. The appropriate committee or administrator of the program, in consultation with the student, will nominate:

1. the Chair, who serves as the supervisor of the research, will ordinarily be a voting member of the General Faculty holding the rank of Professor, Associate Professor, or Assistant Professor. Adjunct Faculty, Clinical Faculty, Distinguished Scholars in Residence, Emeritus Faculty, Research Professors, Research Scientists, Senior Lecturers, or Visiting Faculty who hold the highest earned degree or exhibit an equivalent record of accomplishment in the field or fields of the research or aesthetics may be appointed as Chair if he/she receives a 2/3 majority recommendation of the Professors of the degree program and approval of the Academic Dean of the School offering the degree.
2. not less than three voting members of the General Faculty, from the graduate degree program expected to confer the student's degree; and
3. if necessary, a fourth representative appointed by the appropriate committee or administrator for that program.

Schools varying from the above procedures in constituting Supervising Committees must have had prior approval from the Dean of Graduate Studies.

V. SUPERVISION

The Supervising Committee will meet with the candidate soon after the Dean of Graduate Studies has approved membership of the Committee. The intention of this initial meeting should be to discuss potential problem areas in the proposal and to establish a procedure that the Committee wishes to adopt to follow the research to a successful conclusion, e.g., the frequency and format of contact between candidate and Committee.

The Supervising Committee must meet at least once annually, assess the student's progress, and send a report on that progress to the appropriate committee or administrator for that program and to the Dean of Graduate Studies. This report should describe any problems which have the potential to delay the research beyond its anticipated completion date. A copy of this report must also be sent to the student.

The student can request a meeting of the Supervising Committee through a written request to the appropriate committee or administrator for that program. The appropriate committee or administrator for that program will be responsible for convening such a meeting, generally within two weeks of the student's request, unless this timing is impossible owing to the absence of the Supervising Professor. No more than one student-initiated meeting can be called within an academic year.

Provision for coverage of leaves of absence of either students or committee members will have been discussed at the initial meeting of the Supervising Committee. Any arrangements for surrogate supervision or changes in the student's plans will be communicated to the appropriate committee or administrator for that program, in writing, with a copy to the Dean of Graduate Studies. Because of the relationship between the student and the Supervising Committee, committee members on leave of absence or who have left their positions with the university may be given permission to remain on the committee by the Dean of Graduate Studies. However, they must agree to be active participants in supervisory activities and to be present for the final examination. If this is not possible, the committee member must be replaced and a new member of the General Faculty must be submitted for approval.

A. Manuscript Preparation

Style and format requirements have been established for theses and dissertations prepared at U. T. Dallas. Prior to submitting manuscripts, candidates should consult the Guide for the Preparation of Master's Theses and Doctoral Dissertations which can be obtained from [www.utdallas.edu/dept/graddean/dgIndex.htm](http://www.utdallas.edu/dept/graddean/dgIndex.htm).

B. Committee Approval of the Manuscript

Approval of the thesis or dissertation to go forward for examination can only be given after the members have considered the entire manuscript. Members of the committee who do NOT agree that the manuscript is examinable, whether in the majority or not, should inform the Department Head or program administrator immediately, and in writing, so that such objections may be discussed with the Supervising Professor and the candidate.

C. Independent Research Competence

The dissertation must demonstrate an independent research competence on the part of the candidate that substantially adds to knowledge in the candidate's field with respect either to its intellectual substance or professional practice. The dissertation should be of such standard as to warrant publication in peer reviewed journals or scholarly books or monographs or equivalent.

D. Submission of the Final Draft of the Thesis or Dissertation

Once the candidate has, in the judgment of the Supervising Professor, prepared an examinable thesis/dissertation manuscript, it should be distributed to the other members of the Supervising Committee, allowing them a minimum of two weeks to review the document. After reading the document, a majority of the Supervising Committee members must agree that the document is ready to be defended before a request for a Final Oral Examination may be submitted and an examination date scheduled. Committee members should ensure that the manuscript is complete, has been rigorously proofread (preferably by a professional proofreader), and meets scholarship standards for theses or dissertations. The Supervising Professor then submits a copy of the dissertation and the Request for Final Oral Examination form, signed with no more than one dissenting vote by the Supervising Committee members to the Office of the Dean of Graduate Studies, which shall approve the scheduling of the Final Oral Examination.

Members of the committee who do NOT agree that the manuscript is examinable should inform the appropriate committee or administrator for that program immediately, and in writing, so that such objections may be discussed with the Supervising Professor and the candidate. The Final Oral Examination cannot be scheduled until a resolution has been reached with, at most, one dissenting vote.

E. Required Copies

1. Thesis Copies

Three official hard copies of thesis are required. After final approved copies have been bound, one hard copy shall be available to the public in the university library; one copy will be sent to the supervising professor and one copy will be sent to the department/program office. One disk with the thesis in a PDF file is required. This electronic copy will be sent to UMI who will make it available in hard copy and on the web.

2. Dissertation Copies

Three final approved copies are to be bound; one hard copy shall be available to the public in the university library; one copy will be sent to the supervising professor and one copy will be sent to the department/program. One disk with the dissertation in a PDF file is required. This electronic copy will be sent to UMI who will make it available in hard copy and on the web.

## VI. FINAL ORAL EXAMINATION

## A. Examining Committee

Upon the submission of the dissertation to the office of the Dean of Graduate Studies, the Dean will appoint the Examining Committee. The membership of the Examining Committee will include all members of the Supervisory Committee plus a non-voting representative appointed by the Dean of Graduate Studies. The representative serves as the Chair of the Examining Committee. An examiner external to the University may also be appointed by the Dean of Graduate Studies on the recommendation of a member of the Supervising Committee or the candidate.

## B. Conducting the Examination

Formal arrangements, such as time and place for the Final Oral Examination, are made by the appropriate committee or administrator for that program, in consultation with the candidate and the Examining Committee, and with the approval of the Dean of Graduate Studies. All members of the Examining Committee must be present for the examination to be valid, unless a prior written exemption has been granted by the Dean of Graduate Studies. If a member of the Examining Committee is absent without the approval of the Dean, then the Chair of the Examining Committee shall not hold the defense. The defense shall be rescheduled by the Dean of Graduate Studies. In any case, only one member may be absent without requiring a substitute.

The examination will be conducted by the Chair in a manner appropriate to the material presented, and in accordance with current University regulations. The discussion will primarily focus on the candidate's research, although aspects of the general field in which it was conducted may also be covered.

1. The final oral examination shall be conducted in three phases.
  - a. Phase I. The candidate will make a formal public presentation of the research. That presentation is open to the public, and members of the audience may ask questions. The Supervising Professor will chair this phase and supervise the questioning.
  - b. Phase II. Following the public presentation, the candidate will be examined by the members of the Examining Committee. This part of the examination is not open to the public. Depending upon the school's policy, other members of the faculty may also attend that part of the examination. This portion of the examination will be chaired by the representative of the Dean of Graduate Studies.
  - c. Phase III. After the completion of the oral examination, the Examining

Committee will vote on the results of the Final Oral Examination. The committee will reach agreement on one of the five possible outcomes listed below with no more than one dissenting vote. If the committee cannot reach agreement on one of the options, then the candidate will have failed the oral examination and the manuscript will not be accepted.

- (1) Passed the oral examination and manuscript accepted,
- (2) Passed the oral examination and manuscript accepted pending specified revisions,
- (3) Second oral examination required, but manuscript accepted or accepted with specified revisions,
- (4) Major revisions of the manuscript and a second final oral examination required,
- (5) Oral examination failed, manuscript not accepted and the committee recommends dismissal from the program.

Following the vote of the Examining Committee, the Dean's representative shall complete the Examination Report, to be forwarded to the Dean of Graduate Studies.

2. Procedures concerning Acceptance, Specified and Major revisions, and Failure are as follows:
  - a. Accepted - The committee agrees that the dissertation is acceptable either without any revisions, or with minor revisions such as corrections of typographical errors or changes of a minor editorial nature. It is the Supervising Professor's responsibility to ensure that such corrections are made. The final corrected and approved copies of the dissertation must be submitted to the Office of the Dean of Graduate Studies within the same semester. If the final approved copy is not submitted within the semester, the results of the examination will be changed to Accepted Pending Specified Revisions and will be dealt with as specified under that result.
  - b. Accepted Pending Specified Revisions - The Committee agrees that the dissertation is acceptable pending changes, which may include insertions or deletions. Such changes would be of the kind which do not radically modify the development/argument of the dissertation but which go beyond minor revisions. The practical criterion will be that the committee is able to specify such changes with precision. It is the responsibility of the Supervising committee to certify that all such changes have been made. If the final approved copy is not submitted by the end of the semester following the examination, the results of the examination will be changed to Referred Pending Major Revisions and will be dealt with as specified under that result.

- c. Referred Pending Major Revisions - The Committee agrees that the dissertation requires substantive changes in order for the dissertation to be acceptable. Detailed reasons for this decision must be supplied by the Chair of the Examining committee to the Dean of Graduate Studies, the appropriate committee or administrator for that program, and the candidate concerned. These recommendations on required changes must be approved by all members of the Committee. The committee reconvenes within a period not to exceed twelve months to conduct a second Final Oral Examination. This second attempt on the Final Oral Examination will be the final attempt by the student. If the Final Oral Examination and the written manuscript are not *graded within the* Accepted category, the student is dismissed from the program.
- d. Failure - If the majority of the Examining Committee votes for failure of the oral and the non-acceptance of the manuscript, the student will be dismissed from the program. In no case will a third oral be given.

3. Registration During Manuscript Revision

Regardless of the revisions to be made, the student will be required to register for three credit hours and pay fees until the revisions are accepted by the Office of the Dean of Graduate Studies.

4. Impact of revisions upon time limit for degree completion

The ten-year time limit for completion of the degree is still in effect while these revisions are being completed.

5. Intellectual property right protection

In order to protect patent or other intellectual property rights, the Dean of Graduate Studies may, upon request, delay for a period of one year the binding, distribution, and/or publication in microfilm of the dissertation.

## VII. REGISTRATION REQUIREMENTS

### A. Examinations or Proposal Presentation

A student must be registered for at least three semester credit hours of graduate course work during the semester in which any major degree examination, such as the Qualifying Examination, Final Written Examination, or Final Oral Examination, is taken, or during the semester in which the proposal is submitted for approval. Procedures are outlined in the Graduate Catalog.

B. Continuous Enrollment for Thesis or Dissertation

Once a student has enrolled in thesis or dissertation unless a leave of absence has been granted, that student must maintain continuous enrollment (not necessarily for thesis or dissertation) of at least three semester hours during consecutive long semesters until the final approved copy of the manuscript has been deposited in the Office of the Dean of Graduate Studies. If the approved copy of the manuscript has been deposited in the Office of the Dean of Graduate Studies too late to permit graduation during that semester, but before the Census day of the Full-Term session (as defined in the academic calendar) of the subsequent semester, the student may register *in absentia* for his/her final semester of graduation.

C. Enrollment During the Semester of Graduation

A student must be enrolled for at least three semester credit hours of graduate course work during the semester of graduation. The only exception would be for the student qualifying for *in absentia* registration.

VIII. TIME LIMITS

All requirements for a graduate degree, including transfer of credit must be completed within the specified time period. Students exceeding the specified time limit will not be eligible for their degree and will be dismissed from that graduate program. An approved leave of absence will not alter the time limits placed on graduate degrees.

A. Master's Degree

All requirements for the Master's degree must be completed within one six-year period. Work over six years old, whether done at this University or elsewhere, will not count towards the Master's degree except through the petition process described in the "Time Limit: Exceptions" section.

B. Doctoral Degree

All requirements for the Doctoral degree must be completed within one ten-year period. Work over ten years old, whether done at this University or elsewhere, will not count towards the Doctoral degree except through the petition process described in the "Time Limit: Exceptions" section.

C. Exceptions — Course Work

The time limits affecting course work taken early in a graduate program can be waived only when a student can demonstrate to the appropriate committee or administrator for that program that:

1. the substantive material in the course is still relevant to the curriculum and,
2. the student still retains a substantial grasp of the material taught in the course.

In such case, the acceptability of the course work in the student's Program of Studies must be approved by the Dean of Graduate Studies upon the recommendation of the appropriate committee or administrator for that program.

D. Exceptions — Research

The time limits can be waived only for research extending beyond the prescribed limits and only in exceptional cases where the student, Supervising Professor, and the appropriate committee or administrator for that program can demonstrate that:

1. substantial progress has been made in the research effort and the student can successfully complete the thesis or dissertation within a two term extension, including the summer term, and
2. a schedule to complete the research has been developed including major milestones of accomplishments.

In such a case, the acceptability of the plan to finish the research must be approved by the Dean of Graduate Studies upon the recommendation of the appropriate committee or administrator for that program.

E. Procedures Prior to Graduation

An Application for Graduation must be filed during the semester of graduation on or before the date stipulated in the Academic Calendar.