

**GUIDE**  
**FOR PREPARING**  
**THESES AND DISSERTATIONS**



**The Graduate School**  
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**UNIVERSITY OF SOUTH ALABAMA**  
**(251) 460-6310**

**Updated: January 2009**

Dear Graduate Student:

I wish to congratulate you on initiating work on a thesis or dissertation for a graduate degree. This will be a significant undertaking but one which you will take pride and satisfaction in accomplishing. The conduct of your study and the process of writing a thesis or dissertation constitute the heart of the professional skills of a graduate education.

The contents of a thesis or dissertation are very important. You, your major professor, and your committee are responsible for the accuracy and the validity of the content of a thesis or dissertation. You and they are also responsible for the form, and we in the Graduate School wish to assist you. That is the purpose of these guidelines. Form is critical, because errors in writing and formatting distract the reader, and may suggest that this lack of attention to detail affected the results and conclusions of your study. There is a practical consideration also; the document is microfilmed and bound. Every page must meet the exact standards for proper microfilming and binding.

Dissertations and theses are published and distributed through ProQuest Information and Learning. They are also deposited in the University Library, catalogued, and made available to the public. Several professional societies include theses and dissertations in bibliographies, so wide dissemination is likely. You, your major professor, your committee, and the Graduate School must necessarily be concerned that your professional reputation appears in the best light and that the quality of your work enhances the image of the University.

English is an expressive and flexible language, but its richness creates pitfalls. Clarity in written communication is most certainly an important skill necessary in scholarly endeavors. I hope you will look upon the writing of your thesis or dissertation as an opportunity to perfect your use of this skill. It is, and will be, of great importance to you both personally and professionally.

As you prepare to present the results of your research, the Graduate School wishes you well. I encourage you in your intellectual enterprise and look forward to the day when I can recommend you to the President of the University of South Alabama for the degree toward which you are now working.

Sincerely,

A handwritten signature in black ink that reads "B. Keith Harrison". The signature is written in a cursive, flowing style.

B. Keith Harrison, Ph.D.  
Dean of the Graduate School

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## I. INTRODUCTION

The master's thesis and the doctoral dissertation represent major achievements in graduate study. The thesis/dissertation (hereafter referred to as document) is a learning experience for the student and contributes to the body of existing knowledge in a given field. Students completing the required research project or creative endeavor demonstrate a mastery of their fields that reflects the ability to function effectively and independently in the creative or problem solving process.

The quality of the document is a reflection of the standards of the Graduate School and the University. While creativity and individuality are encouraged, there is a need for the format to be internally consistent. The purpose of this manual is to provide guidelines for the development of the document. Graduate research projects will be guided by a thesis/dissertation committee, hereafter referred to as the "committee."

Although this manual covers a wide range of considerations, it is likely that there will be situations not covered. In matters not discussed in the manual, students should consult with the Committee Chair, especially when conflicts arise between this manual and the chosen style manual of the student's field of study. **Significant deviations from the guidelines of this manual must be approved in advance by the Office of the Graduate Dean.**

- A. **Description of Administrative Roles:** All of the individuals involved in the development/approval of a graduate project must be members of the graduate faculty. A Thesis/Dissertation Committee and Committee Chair must be appointed by the Graduate School before a student may proceed with development of a thesis/dissertation prospectus (GS Form #4).
1. **Chair of Thesis/Dissertation Committee:** The Thesis Committee Chair may be an associate graduate faculty member; the Dissertation Committee Chair must be a full member of the graduate faculty. The Committee Chair is responsible for the overall supervision of the project. The Chair makes the student aware of the rules and regulations concerning development of the project and final document. The Chair meets regularly with the student to monitor progress of the project and schedules committee meetings. The Chair is responsible for proofreading the prospectus and drafts of the thesis/dissertation for style, format and correctness and validity of the content.
  2. **Members of the Committee:** The members of the Committee determine the appropriateness and quality of the study. The minimum number of members for a thesis committee is three; the minimum number of members for a dissertation committee is four. There is no maximum number. At least one member of the committee must be outside the student's academic program. The majority of members must be Full or Associate Graduate Faculty (not administrative appointees) employed by USA. Committee members read the prospectus carefully and consider the adequacy of the study regarding topic selection, feasibility, study design, importance of the study, impact on the field and preparedness of the student. The committee members assist the chair in proofreading the

- prospectus and drafts of the thesis/dissertation for style, format and correctness and validity of the content
3. **Department Chair:** The Department Chair determines if the study as proposed in the prospectus is feasible in terms of utilization of facilities, resources, financial commitments, materials and equipment. The Department Chair also determines if the study is appropriate in terms of departmental policies and procedures. The signature of the Department Chair on the prospectus approval page verifies that the Department has all of the resources needed to complete the study. The signature of the Department Chair on the final thesis/dissertation verifies that the document is consistent in style, format and content with professional expectations of the department and discipline.
  4. **Director of Graduate Studies:** The Director of Graduate Studies or designated representative of the Dean of the College/School reviews documents to see that:
    - a. appropriate administrative procedures have been followed in the development, completion and approval of the prospectus, and the thesis/dissertation;
    - b. procedures and approval for protection of human/animal subjects are appropriate and were properly implemented; approval for studies involving humans and animals can be acquired from the Institutional Review Board in CSAB 138, phone 460-6308. ([www.southalabama.edu/com/research/humansubjects](http://www.southalabama.edu/com/research/humansubjects));
    - c. the study is acceptable in terms of College/School policies and procedures. The Director coordinates projects between departments within the College/School.
  5. **Dean of the Graduate School:** The Dean of the Graduate School determines if the final document is adequate in terms of University standards of scholarship, research, presentation, format and style.

## B. **Thesis/Dissertation Development and Approval Process**

1. **Development of the Prospectus:** The prospectus is a written document that:
  - a. presents the problem or topic to be treated in the project and final document,
  - b. reviews the existing body of knowledge to insure that the student is prepared to deal with the topic,
  - c. describes how the project will be completed, and
  - d. describes how the results will be presented.

The prospectus is presented in written form to the Committee. An oral defense of the project may be required. The research prospects signature page must be signed by all parties before the project is initiated. The prospectus signature page is shown in Appendix III, page 29. It requires the signatures of the Chair of the Committee, the members of the Committee, the Departmental Chair and the College/School Director of Graduate Studies.

Research involving human subjects requires the review and approval of the Institutional Review board (IRB). Information can be obtained from the Office of Research Compliance and Assurance

<http://www.southalabama.edu/researchcompliance/studentresearch.html>

Prior to data collection, IRB and prospectus approval must be obtained.

2. **Development of the Thesis/Dissertation:** Any subsequent deviations in the conduct of the study from those presented in the approved prospectus must be approved by the Committee and the IRB as appropriate. After the study has been completed, the prospectus is used to form the basis for the final document. The final document is a written manuscript which (not necessarily in the order presented):
  - a. presents the problem or topic to be treated,
  - b. reviews the existing body of knowledge available on the problem or topic,
  - c. describes how the study was completed, including specific description of subjects, procedures, equipment, materials, and other information pertinent to the study,

In the case of **creative theses**, not all of the above elements apply. The creative thesis, being a work of art versus the investigation of a “problem,” consists of the creative manuscript, whether a collection of poetry, short fiction, a novel, or an exhibition or performance, etc. Guidelines for preliminary pages, including an abstract (III.A.10) and reference material (III.C.1) remain the same, where applicable. Formatting for the text (spacing, margins, page numbering, etc.) should be adhered to, but the “subject” of the text is the creative manuscript. The office of the Graduate School is aware of the individual nature of creative theses and students are encouraged to contact the Graduate School if more specified guidance is required.

- d. describes the results obtained,
  - e. presents a thorough analysis of the results, and
  - f. discusses the implication of the study and the impact of the study on the existing body of knowledge.

In the cases of projects which result in the development of non-traditional material, i.e., films, video tapes, computer software, and other three-dimensional material, the student will state in the written document the location of the material. Students will be required to place non-traditional material in locations where it can be viewed/borrowed with a minimum of difficulty by interested persons.

3. **Graduate School Review and Approval**

- a. **First Submission check prior to final approval is mandatory.** The Graduate School will furnish a first submission check of the final draft (one copy only) of a thesis or dissertation provided the following four conditions are met.
  - i. The thesis/dissertation must have been successfully

- defended, as indicated by submission of the signed Thesis/Dissertation Submission Form (GSForm #7)
- ii. The thesis/dissertation must have been reviewed by the thesis/dissertation committee and accepted as “final,” as indicated by signatures on page 2 of GS Form #7.
  - iii. An originality review (turnitin.com or similar review) of the document indicates that it is free of plagiarism and sources are properly cited and referenced as indicated by the T/D chair and student’s signature under section II of the GS Form #7.
  - iv. The thesis/dissertation must be delivered to the Graduate School by the deadline published in the *Bulletin*. ([www.southalabama.edu/bulletin/calendar.htm](http://www.southalabama.edu/bulletin/calendar.htm)) **No thesis/dissertation will be accepted for review after this date.**

The student should not make final copies of the document for submission to the Graduate School until given permission by the Graduate School office.

- b. Contents Required: All finished documents must have the applicable preliminaries, text, and reference materials in order to be accepted by the Graduate School. Detailed discussion of formatting follows in Section II of this manual and sequencing of contents in Section III. As for applicability, consult first your committee Chair and then the Graduate School office, if necessary.
- c. This first submission review encompasses margins, pagination, format, and organization for conformance to standards as set forth in this manual. If misspelled words or grammatical errors are noticed, these will also be pointed out, but this service should in no way be perceived as proofreading or editing of the document. A checklist of the most common style and format errors and problems seen in thesis/dissertation drafts is contained in Appendix VII, p. 33. This checklist is provided to assist students and their advisors, and if followed, should result in a more accurate final draft. This will reduce the effort required of the student in the correction process and the amount of detailed comment that the Graduate School staff now has to make. In addition, the final draft document will be read and reviewed for thoroughness and quality of scholarship and presentation (Items 2a-2f above). A flowchart is also included to show general stages of the final approval process (3.C, p 9).
- d. A “good faith” effort to make all corrections and to address any comments or questions of the Graduate School must be clearly evident in any subsequent submissions of the document to the Graduate School. If this is not apparent (in the early pages many errors remain), the document will be returned to the student without complete review and until such “good faith” efforts are evident. This will obviously delay final approval and may affect

- the actual graduation date.
- e. Thesis/Dissertation Credit: The student must be enrolled in at least one credit hour of thesis/dissertation during the semester in which the student completes his/her graduate degree.

**C. FLOW CHART FOR THESIS/DISSERTATION APPROVAL**

*(Thesis/Dissertation Prospectus will have been approved within the Department and College/School)*

**Draft to Committee**

**9**

**Defense Completed**

Must be completed and approved using the Thesis/Dissertation Submission Form (GS Form #7) before the manuscript's first submission deadline (see *Bulletin* for specific dates each term)

**9**

**Originality and Citation Review**

(turnitin.com or similar)

Signature required by the thesis/dissertation chair and student on GS Form #7

**9**

**First Submission Deadline**

A Thesis/Dissertation Submission Approval Form (GS Form #7) must accompany the manuscript's first submission.

**9**

**Graduate School Corrections Check**

The Graduate Dean's office must approve corrections before the final copies are made.

**9**

**Deadline for Final Submission of Manuscripts**

(as published in the *Bulletin*)

Paperwork for microfilming and receipt from the Bursar for binding must be submitted at this time.

**9**

**Deadline for thesis/dissertation grades in Registrars Office**

(as published in the *Bulletin*)

## II. DISTRIBUTION, FORMAT AND STYLE

The purpose of this section is to acquaint students with the guidelines for thesis and dissertation format established by the Graduate School of the University of South Alabama. The requirements described in this manual must be met as a minimum in order to receive the approval of the Office of the Graduate Dean.

Individual departments of the University may have various additional requirements. Individual departments may also specify in greater detail those requirements contained in this manual. Students should first learn from their own graduate committee what, if any, special departmental requirements apply, and then, taking these into consideration, prepare the document in accordance with the instructions of this manual and other appropriate style manuals.

### A. Number of Copies and Distribution of the Document

1. Four copies are required by the Graduate School. All copies should be brought to the Graduate School Office. Additional copies may be required by the department or may be produced at the student's option for personal use. Of the four copies required by the Graduate School
  - a. Two copies are deposited with the Library.
  - b. One copy is deposited with the Graduate Dean's Office to be forwarded for microfilming. When this copy is returned to the Graduate Dean's Office, it will be returned to the department in which the study was completed.
  - c. One copy is given to the candidate's major professor and becomes the property of the professor.
2. One additional copy of the title page and one additional copy of the abstract are required for submission to ProQuest Information and Learning.

### B. Fees

A binding fee and microfilming fee must be paid to the Bursar's Office before submitting the final manuscripts to the Graduate Office. Current fees (2009) are: Binding - \$10 each, Microfilming: Dissertation - \$70, Thesis - \$60, Copyright (if desired) - \$65.

### C. Paper, Ink and Duplication

Before final word processing is started, the student should obtain from University Publication Services, or from commercial companies, information as to the special papers, or inks required for the particular reproduction process chosen. University Publication Services can help the student select the best method for the particular requirements of the document, including techniques of reproducing the graphic materials used in illustrating the document.

1. **Paper.** The paper for the four deposit copies required by the Graduate School must conform to the following requirements:
  - a. Color: white (NO off white)
  - b. Size: 8 ½ by 11 inches (except for "oversize" pages).

- c. Rag content: One copy of the document must be on 20# -24# “100% white rag content” . Other copies may be on any good quality Xerographic paper.
2. **Text, Tables and Figures Must be Presented in Black Ink Only.** Use line types, symbols, shading and patterns to distinguish between data. If color is essential to the content, all copies must contain original color presentations printed in highest quality, permanent ink, or presented as photographic prints.
3. **Duplication Processes and Materials.** The original printed copy is not required for deposit.
  - a. Computer printouts of deposit copies are acceptable providing they meet all the requirements stated in 1 and 2 above. In addition, all computer typing must be of letter quality. The letters must appear fully formed and the type style must be legible and unambiguous. Questions about what is acceptable or not should be addressed to the Graduate School
  - b. Photocopying may be done on any good quality photocopy machine using paper meeting the requirements of the Graduate School.

#### D. Preparation of Manuscript

1. **Text**
  - a. Original signatures on the approval page must be in **black ink**. The Thesis/Dissertation Signature Page sample is found in Appendix IV, page 30. The document must be signed by the Chair of the Committee, the members of the Committee, the Chair of the Department, the Director of Graduate Studies, and the Dean of the Graduate School.
  - b. Printing must be done on ink jet or laser printers. (see comments on color in C.2. above.)
  - c. The general text shall be of a consistent font using a standard Roman or serif type font type. Acceptable serif type font styles may include Times New Roman, Courier New, and Century Schoolbook. Script type styles or other artistic styles of fonts are not acceptable, except that italics may be used when appropriate. For figures and tables, sans-serif type fonts such as Arial and Helvetica are strongly encouraged.
  - d. The general text shall be in a font size of 12 point. All symbols shall be from an acceptable font. No free-hand drawn symbols will be allowed. Text in figures and in tables must be readable, and the font size shall be no smaller than 9 point.
  - e. Symbols or special characters not found should be drawn with a mechanical device with black India ink.
  - f. Corrections:
    - 1) Strikeovers, interlineations or crossing-out of letters or words are unacceptable.
    - 2) No erasures.

- 3) The use of liquid paper and of transparent tape for patching is not acceptable in any form.
- 4) Errata sheets are not acceptable.
- g. Material must be printed on one side of the paper only.
- h. Only word processing is acceptable for the preparation of the original document. The following requirements must be met:
  - 1) The final document must meet all of the criteria established in this manual.
  - 2) Only left justification is accepted. Full justification is not acceptable.

2. **Spacing**

The general text of the manuscript shall be double spaced. Single-space long tables, long quotations, footnotes, notes, multi-line captions and bibliographic entries. **Paragraph indentions shall be 5 spaces.**

3. **Margins**

- a. Top edge: 1 inch (Except for major headings - see d. below)  
Right side: 1 inch  
Left side: 1.5 inches  
Bottom edge: 1.25 inches
- b. Typing should not extend more than one single line below the bottom margin line and only then to complete a footnote or a last line of a chapter, subdivision, or figure caption.
- c. If the last line of a paragraph is the top line of a new page, it should be at least half of a full line in length. If it is shorter than half a line, follow the directions in b. above.
- d. The first page of every major division of the document must have a two inch margin at the top above the heading.
- e. All Tables and Figures, including their captions, must conform to margin requirements.

4. **Page Numbering**

- a. With the exception of preliminary pages, two options exist for placement of all other numbered page numbers. One option is to place the number ½ inch from the top edge of the page in the upper right-hand corner flush with the right margin. The second option is to center the page number in the bottom margin ½ inch from the bottom edge of the paper. Placement must be consistent.
- b. The Preliminary pages are numbered in consecutive lower case Roman numerals. These should be centered at the bottom, regardless of the option chosen above.
  - 1) The Signature Page is neither counted nor numbered.
  - 2) Copyright Page (if used) is neither counted nor numbered.
  - 3) The Title Page at the front of the document is considered to be page i, however, the number is not typed.
  - 4) Roman numeral ii appears on the first page to follow the Title Page.
- c. The Text and all Reference pages, including the Appendices, are numbered consecutively in Arabic numbers, beginning with 1 on

- the first page of the text.
- d. Every page on which any typing or drawing appears has a number, except
    - 1) The Title Page at the front of the document which is counted but not numbered;
    - 2) Cover sheets (examples: cover sheets preceding the REFERENCE LIST, the APPENDICES and the BIOGRAPHICAL SKETCH) are neither numbered nor counted.
  - e. Insertions numbered 10a, 10b, 10c, etc., are not acceptable.
  - f. If it is necessary to place the caption of a Figure on a page inserted to face the Figure, the facing page is numbered either in the center ½ inch from the bottom edge or in the left-hand corner, ½ inch from the top edge of the page flush with the left margin, its other side being blank and unnumbered. The page on which the Figure appears is numbered in sequence.
  - g. The position of the page number is not altered by horizontal or vertical placement of the Table or Figure

5. **Multi-Volume Documents**

- a. If the bulk of the document necessitates two or more binders, the separation into volumes should come at the ends of major divisions of the document.
- b. The Title Page is repeated in each volume and all are identical, except for the words “Volume I,” and “Volume II,” etc., just below the title.
- c. The Title Pages of Volumes II, III, etc., are neither counted nor numbered.
- d. All other Preliminaries are in Volume I.
- e. In numbering the Text and the pages of Reference Material, numbering is continuous from Volume I through to the end of the last volume.

6. **Subdivisions**

- a. There are no specific Graduate School requirements as to the internal organization of the document text, for example, into chapters and sections. The requirements are only that the student use some standard scheme of organization and that one system be used consistently throughout the document. The wording and format of the subdivisions in the text should be identical to the Table of Contents listing. An example of the listed Table of Contents is on page 25, Sample A. Divisions and subdivisions should be introduced by brief descriptive headings which, by variations of format, indicate the relative importance of the text divisions. That same relative importance should be reflected in the Table of Contents listing.
- b. For a document divided into Parts, some special instructions follow.
  - 1) If several chapters are grouped to form Parts or Sections, their headings (such as PART ONE, PART TWO, PART

THREE, etc.) and their titles are capitalized and centered on cover sheets which are uncounted and unnumbered.

- 2) Each cover sheet immediately precedes the first chapter of those forming the Part or Section.
- 3) Chapter numbering may be either consecutive throughout the entire document or begin a new series (I, II, III, etc.) within each Part or Section.

#### **7. Notes and References**

There is a wide diversity of content and location of notes in the publications of the sciences, the humanities, and the social sciences. The Graduate School has no overall requirements beyond consistency and standard forms. The Committee Chair will direct the student in the current practice of their field of study.

#### **E. Table and Figures**

Exceptions to the following guidelines are allowed if the format used is consistent with the format of professional journals of the student's field. Dot matrix figures or tables from computer printouts are not acceptable.

##### **1. Definitions**

- a. "Table" is generally used to designate tabulated numerical data or text in the body of the document and in the Appendices.
- b. "Figure" is generally used to designate other non-verbal material (such as graphs or illustrations) included in the body of the document and in the Appendices.

##### **2. Preparation of Tables and Figures**

- a. Tables and Figures should be prepared in a manner that would be acceptable for publication in professional journals appropriate for the subject. If there is no established format in the professional journals, the following guidelines should be used.
- b. Regardless of the process used to duplicate the document, all Tables and Figures, except photographs (see g.), used in the text must be on paper meeting the requirements stated on page 10.
- c. The whole Table or Figure, including the caption, must be placed on the page within the prescribed margins, unless the caption is too long, in which case, see "Captions of Tables and Figures," section 4, p15.
- d. The bottom of a Table or Figure usually faces the lower edge of the page on which it appears; however, if because of its size and format it requires horizontal placement, the bottom of the Table or Figure faces the outer edge of the page. For directions about the placement of numbers and captions and about page numbering, see section 4, p 15.
- e. Tables and Figures of a half-page or less in length may appear on the same page with the text, separated from the text above and below by triple spacing; if larger than half-page, they are better placed on separate sheets.
- f. Two or more small Tables or Figures may be grouped together on

- a single page.
- g. Photographs smaller than page size should be firmly mounted on the same paper used in the copies of the document in which they are to appear. If preferred, photographs may be printed (photographically) on page-size photographic paper
- h. Photographs should be prepared in a manner that would be acceptable for publication in professional journals appropriate for the subject.
- i. For the preparation of all unusual material, obtain the advice of the Graduate Office regarding its presentation and consult with chosen duplicating service to determine whether the duplication of such material is possible and practical. This is especially important with material involving the use of color. Although color is becoming more commonplace, remember that in copies and on microfilm all colors will appear as shades of gray, at best, and that some colors may disappear. Cross hatching may be necessary to symbolize color distinctions.

**3. Numbering of Tables and Figures**

- a. Tables and Figures are numbered in separate series. Each Table and Figure, including any in the Appendices, must have a unique number in its own series. The numbers in each series must appear in consecutive order in the document.

Tables and Figures in the Appendices may use numbering such as A1, A2, A3, etc., for each series.

NOTE: Special systems of numbering may be required or strongly advised by some departments; these are acceptable if used consistently throughout the document for both Tables and Figures.

- b. Table number and caption: the word “Table” (with “T” capitalized), its number and its caption are placed above the Table so that one blank line is left between the bottom of the caption and the top line of the Table. If a table is continued on the following or subsequent pages, the top line of the page reads (for example): “Table 16, cont.” The caption is not repeated. Leave one blank line before continuing the body of the table.
- c. Figure number and caption: the word “Figure”, (with “F” capitalized), its number and its caption are placed below the figure. Leave one blank line between the bottom edge of the Figure and the word “Figure,” its number and its caption. If any Figure continues to the following or subsequent pages, leave one blank line below the end of the figure and type (for example) “Figure 16, cont.” The caption is not repeated.

**4. Captions of Tables and Figures**

- a. Captions or titles of Tables and Figures should be as short as possible. The identical wording from the first sentence used above each Table and below each Figure must be repeated in the List of

#### Tables and List of Figures.

- b. Every Table must bear a number and a caption. These may be either centered or may start at the left margin but must be treated consistently throughout the document. Two ways of centering are:
  - 1) The word “Table,” its number and its caption may be centered on one or more lines above the Table.
  - 2) The word “Table” and its number may be centered on one line and the caption centered on the following line or lines.
- c. Every figure must include a number and a caption. These may be placed two spaces below the bottom edge of the Figure or on the facing page.

If the number and caption appear on the same page as the figure, they may be either centered or may start at the left margin. Consistent treatment is required throughout the document. Two ways of centering are:

  - 1) The word “Figure,” its number and its caption may be centered one line below the Figure.
  - 2) Leaving one blank line below the bottom edge of the Figure, center the word “Figure” and its number on the first line and center the caption on the following line or lines.
- d. If the number and caption are placed on a facing page, the caption is centered slightly above the middle of the page.

The number of the Table or Figure must appear both with the caption and with the Table or Figure.
- e. Horizontal or vertical position of Captions and Numbers of Tables and Figures is always the same as the positioning of the Tables or Figures themselves.

#### F. **Oversize Pages**

Sheets up to 11 x 22 ½ inches are acceptable without special permission if the folded edge is at least 1 ½ inches from the left edge to permit unfolding, and so that the right edge lines up evenly with the standard 8 ½ x 11 inch sheets. The page number appears in the upper right-hand corner or in the middle of the sheet as usual. The use of any sheets larger than 11 x 22 ½ inches requires consultation with the Graduate Office.

#### G. **Binding**

- 1. The two copies for the library and the copy for the Committee Chair must be bound. One of the library copies must be on white 100% rag content paper.
- 2. Any additional copies may be bound as the student pleases.
- 3. Binding fees are set by the Graduate School and paid to the Student Accounting Office. The copy for microfilming is NOT bound. A receipt of paid fees is to accompany final copies of the document when they are deposited with the Graduate School for final approval.

## H. **Microfilming**

1. Students will deposit an unbound copy of the document with the Graduate Dean's Office to be forwarded for microfilming. One additional copy of the title page and one additional copy of the abstract are required for submission to ProQuest Information and Learning.
2. Student must pay the fee for microfilming to the Bursar's Office, bring the receipt with copies and complete the microfilm form in the Graduate Dean's Office at the time the document is deposited.

## III. **ARRANGEMENT OF CONTENTS**

All theses and dissertations are composed of three parts: the Preliminaries, the Text, and the Reference Material. Each part has several sections which must be arranged in the following order.

### A. **The Preliminaries**

1. **Signature Page**  
The Thesis/Dissertation Signature Page sample (Appendix IV, p. 30) should be used as a model. The date should be that of the last month of the semester in which the student completes their graduate degree (the semester ends when grades are due in the records office).
2. **Copyright Page** (if applicable)  
The student is advised, if quoting extensively from copyrighted material, to obtain permission from the author or publisher, whichever holds the copyright. Such permission is usually granted on condition that attribution is included in the text. If payment is required, this is the student's exclusive responsibility. The student should be very sure that all copyright permissions are obtained before submitting the document for approval.
3. **Title Page**  
The Title Page sample (Appendix V, p. 31) should be used as a model. The date should be that of the last month of the semester in which the student completes their graduate degree (the semester ends when grades are due in the records office).
4. **Dedication**
  - a. Optional.
  - b. If used, make it brief. Centered in the middle of the page. No heading is necessary.
  - c. If used, number the dedication page ii.
5. **Preface or Acknowledgments**
  - a. These pages are also optional, but most documents do include a brief statement of thanks for, or recognition of, any special assistance.
  - b. The heading ACKNOWLEDGMENTS, in capital letters, is centered without punctuation 2 inches from the top of the page; the text begins on the 4<sup>th</sup> line below the heading.

- c. The first page of the Acknowledgments is numbered in lower case Roman numerals beginning with iii unless no dedication page is used. Subsequent pages are numbered consecutively using lower case Roman numerals.
  - d. For material appropriate to a Preface consult a manual or reference appropriate to the student's field of study.
  - e. The heading PREFACE, in capital letters, is centered without punctuation 2 inches from the top of the page; the text begins on the 4<sup>th</sup> line below the heading.
  - f. These pages are numbered in lower case Roman numerals.
6. **Table of Contents** (See Sample A., p. 25)
- a. The heading TABLE OF CONTENTS, in capital letters, is centered without punctuation 2 inches from the top of the page; the listing begins at the left margin on the 4<sup>th</sup> line below the heading.
  - b. All material following the Table of Contents is listed in it. No preceding material is listed.
  - c. The titles of parts, sections, or chapters, and their principal subdivisions should be listed in the Table of Contents and must be worded **exactly** as they appear in the body of the document.
  - d. The Table of Contents pages are numbered in lower case Roman numerals.
  - e. When Tables and/or Figures are placed in a single collection at the end of the work, the inclusive headings for both Tables and Figures should be included as an item in the Table of Contents, e.g.

Appendix I: Tables 1-12 .....	110
Appendix II: Figures 1-10.....	122

Any Tables and/or Figures dispersed throughout the text should have a separate listing as described in sections 7 and 8.

- 7. **List of Tables** (See Sample B, p.26)
  - a. The heading LIST OF TABLES, in capital letters, is centered without punctuation 2 inches from the top of the page; the listing begins at the left margin on the 4<sup>th</sup> line below the heading.
  - b. The List of Tables uses exactly the same numbers and captions (first sentence) that appear above the Tables in the text or in the Appendices.
  - c. The List of Tables pages are numbered in lower case Roman numerals.
  - d. This section is listed in the Table of Contents.
- 8. **List of Figures** (See Sample C, p.27)
  - a. The heading LIST OF FIGURES, in capital letters, is centered without punctuation 2 inches from the top of the page; the listing begins at the left margin on the 4<sup>th</sup> line below the heading.
  - b. The List of Figures uses exactly the same number and captions (first sentence) that appear below the Figures in the text and in the Appendices.
  - c. The List of Figures pages are numbered in lower case Roman

- numerals.
- d. This section is listed in the Table of Contents.
9. **List of Symbols, Abbreviations, and/or Nomenclature**
- a. If necessary to the presentation of the document, these lists appear after the Lists of Table and Figures in Preliminaries, following any form acceptable to the student's field of study.
- b. These pages are numbered in lower case Roman numerals.
- c. This section is listed in the Table of Contents.
10. **Abstract**
- a. The heading ABSTRACT, in capital letters, is centered without punctuation 2 inches from the top of the page; the first paragraph begins on the 4<sup>th</sup> line below the heading.
- b. The first paragraph is single-spaced. It must contain the candidate's name as it appears on the Title Page, but with the last name first; the abbreviation of the degree; the name of the institution granting the degree; the date (last month of the semester in which the student completes their graduate degree); title of the document (wording and punctuation to agree exactly with the Title page), name of the Chair of the Committee.

Sample:

Brown, John Henry, Ph.D., University of South Alabama, May 2004. Formation of Flagella in *Bacillus subtilis*.  
Chair of Committee: Dr. William Jones or William Jones, Ph.D.

- c. Follow this first paragraph with a double-spaced statement of the problem, a brief exposition of the research, and a condensed summary of the findings. Do not use diagrams, lengthy equations, or any kind of illustration, and do not use superscripts or subscripts.
- d. The maximum length of the Abstract should follow the current guidelines provided by ProQuest Information and Learning. As of fall 1993, abstract length should be limited to 150 words for thesis and 350 for dissertations.
- e. One extra copy of the Abstract must be submitted loose to the Graduate Office when the completed and approved document is deposited. The copy will accompany the microfilm agreement.
- f. The Abstract pages are numbered in lower case Roman numerals.
11. **Paper for Publication**
- A few departments specifically require a paper, based on the document, suitable for publication in a journal of the field. The Committee Chair will direct the student in the preparation of this paper. If the paper is bound with the deposit copy, it should be

inserted at the end of the Preliminaries, and its pages numbered in Roman numerals to continue the numbers of the pages preceding. It must also be listed in the Table of Contents.

## B. **The Text**

### 1. **Introduction**

- a. May precede the first chapter (or major division) of the document. In this case the heading INTRODUCTION, in capital letters, is centered without punctuation 2 inches from the top of the page; the text begins on the 4<sup>th</sup> line below the heading. Begin page numbering with Arabic numeral **1** on the first page of the text.
- b. Or it may be the first chapter of the document. In this case the word “INTRODUCTION” is the title of the first chapter (or major division) and its placement is consistent with that of other chapter titles.
- c. Or it may be the opening statement of the first chapter or of the document. In this case it requires no special treatment.

NOTE: If the document is divided into Parts and if the INTRODUCTION serves to introduce the entire document, it precedes the cover sheet for PART ONE.

If each part has its own introduction, then any one of the three ways described above for the whole document could be used for each Part.

### 2. **The Body of the Document**

This is the substance of the document, the detailed written statement of the student’s endeavor. The internal organization of this material into chapters, sections and subsections is up to the student and the Committee Chair, following the general recommendations of 6. a., p 13.

### 3. **Summary and Conclusions**

These are usually treated as the last major division of the text.

### 4. **Recommendations** (optional)

This section follows the Conclusion only if the subject matter permits and if the student wishes to include it.

### 5. **Notes** (optional)

If all the notes have been deferred to the end of the document, their placement here constitutes the last major division of the text.

## C. **The Reference Material**

### 1. **Reference List**

- a. Any document which makes use of other works, either in direct quotation or by reference, must contain a listing of these sources. If pertinent works have been consulted but not specifically cited in the text, they should be separately listed under the subheading General References.

- b. The section begins with a cover sheet bearing the heading REFERENCES, LITERATURE CITED, or other appropriate title used in the discipline, in capital letters, centered without punctuation. This page is neither counted nor numbered.
- c. The heading is repeated on the first page of the references, literature cited, or other appropriate title used in the discipline, 2 inches from the top, centered, and without punctuation. The list of references begins on the 4<sup>th</sup> line below the heading.
- d. Standards for the presentation of references and bibliographies will be prescribed by the Committee Chair.

**D. Appendices (optional)**

1. Some students will not need to include this division. It is usually added to contain supplementary illustrative material, original data, and quotations too long for inclusion in the text or not immediately essential to an understanding of the subject.
2. This section is separated from the preceding material by a cover sheet bearing the heading APPENDICES, in capital letters, (or, if there is only one, APPENDIX) centered without punctuation. This sheet is neither counted nor numbered.
3. The APPENDICES may be divided into Appendix A, Appendix B, etc., depending on the kinds and amounts of materials used. These divisions should be treated as first order subdivisions.
4. Each Appendix with its title, if it has one, should be listed separately in the Table of Contents as first order subdivision under the heading APPENDICES.
5. Tables and Figures in the Appendices must be numbered and captioned and also listed in the List of Tables and List of Figures in the Preliminaries.

**E. Biographical Sketch**

1. This section is separated from the preceding material by a cover sheet bearing the heading BIOGRAPHICAL SKETCH, in capital letters, centered without punctuation. This sheet is neither counted nor numbered.
2. The heading is repeated on the page containing the material with the words BIOGRAPHICAL SKETCH centered 2 inches from the top of the page; the text begins on the 4<sup>th</sup> line below the heading
3. The Biographical Sketch is a biography of the student written in the third person. Among its details should be the place and date of birth. Samples of a Biographical Sketch is included in Appendix VI, p.32.
4. The information should be limited to one double-space typed page and may be presented in essay or in outline form. Examples of

each are in Appendix VI, p. 32.

5. The Biographical Sketch is the final item in the document. The page is counted and numbered, and is listed in the Table of Contents.

#### IV. GENERAL INFORMATION

##### A. Microfilm Publication

Current fee structure and procedures for submitting copy to ProQuest Information and Learning may be obtained from the Office of the Graduate School.

1. The student may apply directly to ProQuest Information (www.umi.com) and Learning service to establish copyright if desired. Information may be obtained from the Graduate School Office.
2. The student may choose to select “common law” copyright by merely circling the letter c (©) under the author’s name on the title page. “Publication” of this kind does not preclude publication of dissertations as monographs or journal articles.

##### B. Nonstandard Material

It is recognized that some projects will result in the development of non-traditional material, i.e., films, video tapes, computer software, and other three dimensional material. In such cases the student will provide a complete description of the material and will state its location in the Thesis/Dissertation. Students are encouraged to place non-traditional material in locations where it can be viewed/borrowed with a minimum of difficulty by interested persons.

##### C. Assistance in Preparation of Theses and Dissertations

###### 1. Composition

This guide assumes that the student has an adequate command of the English language and its construction, spelling, and usage. Assistance, if needed, should be found in standard dictionaries and handbooks of composition or in consultation with the University Writing Lab. It is the student’s responsibility to present to the committee chair a manuscript free from error. If a typist is employed, the student should not rely on that person for editing.

###### 2. Keyboarding

The student should become thoroughly familiar with the requirements of this manual. The student alone is responsible for the appearance, form, and content of the manuscript.

###### 3. Review and Revisions

- a. Ordinarily the document will be revised after the committee has read it and the student has presented the defense. While revision is expected, the student should submit his best writing efforts in the document provided to the committee for the defense. It should contain all elements, e.g., figures, appendices. The student should present the document to the Committee Chair at various stages of

completion for guidance.

Normally, the student will prepare an individual copy for each committee member. The student should check with the Committee Chair if there is a need to deviate from this.

- b. The student is responsible for proofreading the document prior to submitting the final copy to the Graduate School. The student is responsible for handing in errorless copies.
- c. Since all documents are microfilmed, all sections including appendices should be of quality and type size that can easily be reduced and reproduced.
- d. The student should hand carry copies of the document to each office from which a signature is required and is also responsible for carrying the final document to the Office of Graduate School, appropriately boxed, no clips.

D. **Recommended Style Manuals** – check with chair of your department

## Appendix I – Heading Samples

### **A MAJOR DIVISION HEADING** (centered and has 2” op margin)

*(3 line spaces – start text on fourth line)*

Each major division of the thesis should begin on a new page, with the heading 2 inches from the top, centered, capitalized, and without punctuation. Begin the text four spaces below the heading. When it becomes time to introduce the first order subdivision of your subject finish the last sentence of this paragraph as usual and drop three spaces.

*(3 line spaces between major text and 1<sup>st</sup> order subdivision)*

#### **First Order Subdivision** (centered and underlined)

A first order subdivision is centered and underlined. Double-space below the heading to start the text. Perhaps your subject lends itself to a great amount of subdividing and soon you need to introduce a second order. This is done by ending this sentence and dropping three spaces.

*(3 line spaces between 1<sup>st</sup> and 2<sup>nd</sup> order subdivisions)*

#### **Second Order Subdivision** (centered and not underlined)

Ordinary double-spacing follows this title which is centered but not underlined. Perhaps even more detailed presentation is necessary. To handle a third order subdivision, end this sentence and double space.

**Third Order Subdivision.** The title of the subdivision may be followed by a period as this illustrates. Or another way, shown below, is equally acceptable.

**Third order subdivision** may also be the opening words of the sentence.

**Fourth order subdivision** is indented and may be ended with a period or be the opening words of the sentence.

**Sample A**  
TABLE OF CONTENTS (*centered, all caps, 2" top margin*)  
(*3 single blank line spaces between heading and Page*)

	Page
LIST OF TABLES .....	iii
ABSTRACT .....	vi
CHAPTER I - INTRODUCTION .....	1
Statement of the Problem.....	1
Definitions.....	8
CHAPTER II - REVIEW OF THE LITERATURE .....	12
Theoretical Base.....	12
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CHAPTER III - METHODOLOGY .....	24
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Experimental Results .....	49
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CHAPTER V - SUMMARY, CONCLUSIONS, AND RECOMMENDATIONS .....	62
Summary .....	62
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REFERENCES .....	69
APPENDIX.....	71
BIOGRAPHICAL SKETCH .....	80

## Sample B

### LIST OF TABLES (centered, all caps, 2" top margin)

*(3 single blank line spaces between heading and words Table/Page)*

Table	Page
1. Weight gain comparison in children fed test diets.....	12
2. Basic receipt for noodles with variations.....	21
3. Relation between increased fish protein concentrated (FPC) or soy flour and increased protein content in noodles (four replications).....	24
4. Percentage of protein per 100 grams of sample on dry basis .....	26
5. Relation between increased fish protein concentrate and increase of protein content in biscuits .....	26
6. Mean taste panel scores for noodles containing varying percentages of fish protein concentrate and/or soy flour .....	28
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8. Nitrogen content of noodles with various amounts of FPC and soy flour by macro-Kjeldshi method.....	43
9. Moisture loss of noodles with FPC and soy flour during drying in the vacuum over for 15 hours.....	46
10. Mean taste panel scores for noodles with FPC and soy flour .....	49

Note: Appendix Tables may also be numbers A1, A2, A3, etc. (However your tables are numbered in your appendices)

## Sample C

### LIST OF FIGURES (centered, all caps, 2" top margin)

*(3 single blank line spaces between heading and words Figure/Page)*

Figure		Page
1.	The Fractionation of RNA in Sodium Acetate Solutions .....	16
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Note: Appendix Figures may also be numbers A1, A2, A3, etc. (However your figures are numbered in your appendices)

## Appendix II

### Instructions for Leaders used in Table of Contents, List of Tables and List of Figures in Microsoft Word

1. Type the subdivision heading on the Table of contents page
2. Click on Format, then Tabs
3. Type in tab stop position 6"
4. Leave default tab stops at 0.5"
5. Set alignment to right
6. Set leader to "2...."
7. Click on Set, then OK
8. Go back to the document and hit the Tab key
9. The leaders (dots) will automatically go to the right of the page
10. Place the page number at the end

**Appendix III**  
*Research Prospectus Signature Page Sample*

THE UNIVERSITY OF SOUTH ALABAMA

COLLEGE OF \_\_\_\_\_

TITLE OF PROJECT

By  
Student's Name

A DISSERTATION/THESIS PROPOSAL

Submitted to the Graduate Faculty  
of the University of South Alabama in  
partial fulfillment of the requirement  
for the Degree of \_\_\_\_\_

in

Name of Department

Date

Approved:

Date:

---

Chair of Dissertation/Thesis Committee: Type Name w/degree or Dr.

---

Member of Committee: type name w/degree or Dr.

---

Member of Committee: type name w/degree or Dr.

---

Member of Committee: type name w/degree or Dr.

---

Chair of Department: type name w/degree or Dr.

---

Director of Graduate Studies: type name w/degree or Dr.

**Appendix IV**  
*Thesis/Dissertation Signature Page Sample*

THE UNIVERSITY OF SOUTH ALABAMA  
COLLEGE OF \_\_\_\_\_

ANALYSIS OF FILLING PATTERN IN RESIN TRANSFER MOLDING

BY

John E. Doe

A Thesis

Submitted to the Graduate Faculty of the  
University of South Alabama  
in partial fulfillment of the  
requirements for the degree of

Master of Arts/Science

in

Department of \_\_\_\_\_

December 2008

Approved:

Date:

\_\_\_\_\_  
Chair of Thesis Committee: type name w/degree or Dr.

\_\_\_\_\_  
Committee Member: type name w/degree or Dr.

\_\_\_\_\_  
Committee Member: type name w/degree or Dr.

\_\_\_\_\_  
Chair of Department: type name w/degree or Dr.

\_\_\_\_\_  
Director of Graduate Studies: type name w/degree or Dr.

\_\_\_\_\_  
Dean of the Graduate School: type name w/degree or Dr.

**Appendix V**  
***Title Page Sample***

TITLE

A Thesis

Submitted to the Graduate Faculty of the  
University of South Alabama  
in partial fulfillment of the  
requirements for the degree of

Master of Arts/Science

in

Department of \_\_\_\_\_

by

Mary Ellen Jones

B.S., Atlantis University, 1990

December 2008 (If copyright does not appear, this date must be included.)

Copyright c 20\_\_Name

All rights reserved.

(Optional)

*(This page is assumed page i, however, this page is not numbered)*

## Appendix VI

### *Biographical Sketch Examples*

BIOGRAPHICAL SKETCH is a major heading and is centered 2" from the top of the page in all caps. The text starts on the 4<sup>th</sup> line below the heading. Only one page is allowed for the biographical sketch.

#### **ESSAY FORMAT:**

Jane Doe was born in Ocean Spring, Mississippi, on June 3, 1973. She graduated from Spring Hill College, Mobile, Alabama, *summa cum laude* with a B.S. in psychology in 1995. A graduate assistantship was awarded to Jane during her second year at the University of South Alabama, and she was also selected as the Outstanding Psychology Graduate Student of the 2002 class. Jane is married to John Doe of Sioux Falls, South Dakota.

#### **OUTLINE FORMAT:**

Name of Author: Jane Doe  
Place of Birth: Ocean Springs, Mississippi  
Date of Birth: June 3, 1973

#### Graduate and Undergraduate Schools Attended:

University of South Alabama, Mobile, Alabama  
Springhill College, Mobile Alabama

#### Degrees Awarded:

Master of Science in Psychology, 2002, Mobile, Alabama  
Bachelor of Science in Psychology, 1996, *summa cum laude*, Mobile, AL

#### Awards and Honors:

Graduate Assistant, 2001  
Outstanding Psychology Graduate Student, 2002

## Appendix VII

### Checklist for Thesis/Dissertation

1. Thesis/Dissertation Signature Page is the same format as in the Guide (p. 31).
2. The month on the approval page is the last month of the semester in which the student complete their graduate degree (p. 18).
3. The format and spacing of the Title Page is exactly as in the Guide (p. 32).
4. The date is correct on the title page (p. 18).
5. The word ABSTRACT is in capital letters, two inches from the top of the page (p. 20)
6. The first paragraph of the abstract begins on the 4<sup>th</sup> line below the heading (p. 20).
7. The abstract contains (p. 20):
  - a. the candidate's name, last name first;
  - b. the abbreviation of the degree;
  - c. the name of the institution granting the degree;
  - d. the date is the month the student complete his/her graduate degree: Month, year
  - e. the title of the document exactly as it appears on the title page;
  - f. the name of the Chair of the Committee.
8. The abstract length should be no more than 350 words for Dissertations and 150 words for Theses (p. 20).
9. **Margins are correct (p. 13).**
  - a. **right side is 1 inch;**
  - b. **left side is 1 ½ inch;**
  - c. **bottom edge is 1 1/4 inch;**
  - d. **major division heading has a 2" top margin;**
  - e. **all other - top edge is 1 inch.**
10. Page numbering conforms to type and format as described in Guide (p. 13): preliminary pages are numbered with Roman numerals, centered, ½ inch from bottom of page; text pages are numbered with Arabic numerals, either ½ inch from the top, flush with right hand margin, or centered, ½ inch from bottom of page.
11. All paragraph indentions are 5 spaces (p. 13).
12. No writing, white-out, or obvious typos are in the manuscript (p. 12).
13. Headings and subheadings are consistent with underlining, capitalization, bold-type, etc (Appendix I, p. 25).
14. Textual references appear in reference list with names, dates and page numbers exactly matching.

15. References are entitled either REFERENCES, LITERATURE CITED, or other appropriate title used in the discipline.
16. References should have a cover page neither counted nor numbered with REFERENCES, LITERATURE CITED, or other appropriate title used in the discipline centered in the middle of the page (p. 21).
17. Appendices have a cover page neither counted nor numbered with "APPENDICES" (or "APPENDIX" if only one) centered in the middle of the page (p. 22).
18. Appendices follow the correct format according to Manual (p. 22).
19. Biographical Sketch should have a cover page neither counted nor numbered with "BIOGRAPHICAL SKETCH" centered in the middle of the page (p. 22).
20. Biographical Sketch format follows the Guide (p. 33), and is limited to one page only.
21. Page numbers listed in the Table of Contents, List of Figures, and List of Tables correctly match the page numbers within the document.
22. Numbering and captions of tables and figures are identical in text as they appear in listing.
23. Figures and headings are positioned correctly (p. 15).
24. If the caption of a figure is too long to appear at the bottom of the margin, the caption is then centered on the page before the figure. The caption is also facing the figure (p. 17).
25. Figures and Tables are numbered in the order of citation within the text.
26. Words, letters and numbers are clear and legible on all table and figures.
27. Punctuation within quoted material is correct: commas and periods go inside quotation marks, colons and semi-colons go outside.
28. Numbers expressed correctly in text, i.e. as words or numerals.
29. No smudges, copy marks, paste-up lines or other imperfections on any page of any copy.

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