



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, FA 3.104, 972-883-2234. **Revised January 2016**

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. This 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.

The guide also includes all pertinent deadline dates for the current semester.

Detailed information concerning the procedures for completing a graduate degree at The University of Texas at Dallas is contained in the Policy Statement UTDPP1052, "Policy on Procedures for Completing a Graduate Degree." The entire text of the policy is contained in the final section of this guide.

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POLICY ON PROCEDURES FOR COMPLETING A GRADUATE DEGREE – UTDPP1052

The Word template is provided as an aid only.

This is a very basic template. If you attempt anything out of the ordinary you must really understand Word functions or the template will not provide you with a version of your dissertation that complies with the guide. You may have to convert your document to the Word.doc format in order to use the template successfully.

Click [here](#) for Solutions to Common Problems.

INSTRUCTIONS FOR GRADUATE STUDENTS APPLYING FOR GRADUATION
SPRING 2016

ALL DEGREE CANDIDATES

1. An online Application for Graduation and diploma order form must be completed by the applicant by **JANUARY 20, 2016**. If past the deadline, the student must go through his/her program office and will be responsible for a \$100 late fee.
2. It is the student's responsibility to check with his/her advisor to ensure that all requirements for graduation will be satisfied by the end of the semester. If after applying for graduation, the student realizes that he/she will not finish by the end of the semester, the student should notify the department or the Graduate Dean's Office at 972-883-2234.
3. The student must be registered for the **SPRING 2016** session to be eligible for graduation. For more information pertaining to graduation procedures, see Policy Statement UTDPP1052, "Policy on Procedures for Completing a Graduate Degree." The official version is on the web at <http://policy.utdallas.edu/utdpp1052>. The policy may also be found in each departmental 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 graduates 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. Prepare your document in accordance with these guidelines. **Questions about format should be directed to Amanda Aiuvalasit in the Graduate Dean's Office at amanda@utdallas.edu or 972-883-5346.**

FINAL ORAL EXAMINATION AND/OR APPROVAL BY COMMITTEE

- **Master's:** Scheduling of any final presentation is done through your program office.
- **Doctoral:** A Request for Final Oral Examination form and an additional copy of the request form, along with two hard copies and one soft copy of your dissertation must be filed with the Graduate Dean's Office by **12:00 p.m. (noon) on MARCH 23, 2016.**

Contact your program office to reserve a room for your examination. The last day to conduct a final oral examination is **APRIL 6, 2016.** The request form must be signed by every committee member and be accompanied by two hard copies of the dissertation (one copy bound in a 3-ring binder, one loose copy bound with a binder clip for format review), one CD with the PDF file of the dissertation, saved as "Last name, First name, Title of Dissertation".

An outside chairperson will be appointed by the Graduate Dean. Final Oral Exams may NOT start after 4pm. Following the examination, the outside chairperson will report to the Graduate Dean's 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 this guide, printed 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.
2. The final version of the document must be copied on acid-free archival paper. It is strongly suggested that you have the copies made at the Copy Center, which is located next to the bookstore. Both doctoral and master's candidates must furnish a CD with the dissertation/thesis in a PDF file (saved as "Last name, First name, Title of Dissertation/Thesis"). Call 972-883-2265 for more information. **The Copy Center is open 8:00 a.m. to 3:30 p.m., Monday through Friday.** The Copy Center accepts cash, check, or credit/debit (VISA, MASTERCARD, and DISCOVER). They DO NOT accept AMERICAN EXPRESS or comet card (unless the comet card is linked to a Wells Fargo account).

Final copies are due in the Graduate Dean's Office for final approval as follows. Please call 972-883-2234 to make an appointment for the final format check before these deadlines.

Doctoral Dissertations	APRIL 20, 2016, 12:00 p.m. (noon)
Master's Theses	APRIL 27, 2016, 12:00 p.m. (noon)

ALL CANDIDATES- After final format approval, the following documents are required:

DOCTORAL:

- **1 CD with dissertation in PDF form, saved as "Last name, First name, Title of Dissertation"**
- **3 hard copies made from PDF file; copies will be distributed by the Copy Center after binding as follows: 1 to supervising professor, 1 to department, 1 to library; the Copy Center will notify the student when personal copies are ready for pick-up**
- **UMI form- completed online at www.etsdadmin.com/utdallas.edu**
- **Survey of Earned Doctorates Certificate of Completion- completed and printed from <https://sed.norc.org/survey>**
- **TurnItIn form signed by supervising professor and student**
- **Additional copy of signed signature page**

MASTER'S:

- **1 CD with thesis in PDF form, saved as “Lastname, Firstname, Title of Thesis”**
- **3 hard copies made from PFD file; copies will be distributed by the Copy Center after binding as follows: 1 to supervising professor, 1 to department, 1 to library; the Copy Center will notify the student when personal copies are ready for pick-up**
- **UMI form- completed online at www.etsdadmin.com/utdallas.edu**
- **TurnItIn form signed by supervising professor and student**
- **Additional copy of signed signature page**

Once your dissertation/thesis has been printed on the acid-free archival paper, all candidates are required to bring those copies to the Graduate Dean's Office to check each page to ensure that there are no missing pages or other irregularities. Your last step is to take the approved copies back to the Copy Center to be bound and then return the signed approval form from the Copy Center to the Graduate Dean's Office.

REQUIRED FEES**DOCTORAL:**

1. Cost of paper + printing at the Copy Center- variable depending on length of dissertation; contact the Copy Center at 972-883-2265 for pricing information
2. \$45.00 – binding of three required copies (\$15 each); each additional binding for personal copies is also \$15
3. If there are extensive materials, such as maps, illustrations, etc., to be pocketed in the back of the hard copy, there may be an additional charge.

MASTER'S:

1. Cost of paper + printing at the Copy Center- variable depending on length of thesis; contact the Copy Center at 972-883-2265 for pricing information.
2. \$45.00 – binding of three required copies (\$15 each); each additional binding for personal copies is also \$15
3. If there are extensive materials, such as maps, illustrations, etc., to be pocketed in the back of the hard copy, there may be an additional charge.

PERSONAL COPIES:

So that you may secure the best possible fee for printing and binding, make sure you check prices with both the Copy Center and UMI.

NECESSARY STEPS TO GRADUATE

All students:

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 any necessary grade change forms have been received by the Records Office.
3. ___ Pay all necessary fees in the Records or Bursar's Office.
4. ___ Check with your program for any holds that may be on your student account.
5. ___ Fill out the Application for Graduation online by the deadline. If applicable, complete in absentia form (see your department).

Master's Candidates:

1. ___ When your supervising professor declares you ready to defend your thesis, contact the person responsible for graduate students within your program/department for the next steps.
2. ___ See the Graduate Reader in the Graduate Dean's Office for format approval and printing of your signature page on acid-free archival paper before your defense.
3. ___ When you pass your defense and your committee is satisfied with your thesis, submit your final thesis to the Graduate Dean's Office for final format review.
4. ___ When formatting has been approved and you have been given a signed approval form, take a CD with the PDF of your thesis (saved as "Last name, First name, Title of Thesis") to the Copy Center to have 3 hard copies (minimum) made.
5. ___ Bring your 3 hard copies, 3 required signed signature pages, and CD back to Graduate Dean's Office.
6. ___ After copies are checked by the Graduate Dean's Office, you will return them to the Copy Center for binding. **The Copy Center hours are 8:00 a.m. to 3:30 p.m., Monday through Friday.** The Copy Center will send one bound copy to your supervising professor, one to your department, and one to the library.
7. ___ Return the approval form, signed by a Copy Center representative, to the Graduate Dean's Office.
8. ___ **Last Step:** Submit your dissertation to UMI/ProQuest online at www.etsdadmin.com/utdallas.edu. (See instructions in this Guide for more information.)

Doctoral Candidates:

1. ___ When your supervising professor declares you ready to defend your dissertation, distribute dissertation copies to all committee members. Most departments require at least two weeks to review it.
2. ___ When all committee members agree that you are ready to defend, obtain a Request for Final Oral Examination form from your program/department office.

3. ___ Set a date, time, and place for your oral exam through your program/department office. Check with your program office or the Graduate Dean's Office for the deadline date for the semester in which you plan to graduate. Have all committee members sign the Request for Final Oral Examination form.
4. ___ Bring completed Request for Final Oral Examination form and one additional copy of the request form to the Graduate Dean's Office, along with two hard copies of your dissertation (one copy bound in a 3-ring binder, one loose copy bound with a binder clip for format review), and one CD with the PDF file of your dissertation (saved as "Last name, First name, Title of Dissertation"). **A MINIMUM OF TWO WEEKS BEFORE THE SCHEDULED FINAL ORAL EXAM DATE.** The Graduate Dean's Office will secure an outside chairperson. Notice of your defense will be emailed to all faculty and posted outside the Graduate Dean's Office.
5. ___ Take a hard copy bound in a 3-ring binder to your program/department office for display there. Check with your department about their specific requirements.
6. ___ See the Graduate Reader in the Graduate Dean's Office for format approval and printing of your signature page on acid-free archival paper a couple of days before your defense.
7. ___ Take at least three approved signature pages (printed on acid-free archival paper) to your defense so that your committee members may sign them there. This will save you time later.
8. ___ After your defense and all changes required by your committee and the formatting review have been incorporated, take the final version of your dissertation to the Graduate Dean's Office for a final format check. This copy MUST be printed from the PDF with the Page Scaling option set to "NONE."
9. ___ Once approved to print by the Graduate Dean's Office and once you have been given a signed approval form, have the required number of copies of your dissertation made.
10. ___ Complete the Survey of Earned Doctorates through the [Survey of Earned Doctorates](#) link on the Graduate Dean's Office website. After you have completed the survey online, print the Certificate of Completion to bring to the Graduate Dean's Office.
11. ___ Return to the Graduate Dean's Office with your dissertation copies, signed signature pages, and required forms (TurnItIn and Survey of Earned Doctorates). Check with your program/department office or the Graduate Dean's Office's website for the deadline that final copies of your dissertation and forms are due.
12. ___ After copies are checked by the Graduate Dean's Office, you will return them to the Copy Center for binding. **The Copy Center hours are 8:00 a.m. to 3:30 p.m., Monday through Friday.** The Copy Center will send one bound copy to your supervising professor, one to your department, and one to the library.
13. ___ Return the approval form, signed by a Copy Center representative, to the Graduate Dean's Office.
14. ___ **Last Step:** Submit your dissertation to UMI/ProQuest online at www.etsdadmin.com/utdallas.edu. (See instructions in this Guide for more information.)

Master's Candidates- Abstract maximum = 150 words

Doctoral Candidates- Abstract maximum = 350 words

INSTRUCTIONS FOR SUBMITTING DISSERTATION/THESIS TO UMI/PROQUEST

A final and approved version of each student's dissertation/thesis will be submitted by the student to UMI/ProQuest after taking copies to the Copy Center for binding. The submission of the final version will occur simultaneously with your submission of the UMI/ProQuest publication agreement and is required for all graduate students.

Steps to submit a publication agreement and dissertation/thesis to UMI/ProQuest:

1. Go to www.etsadmin.com/utdallas.edu and create an account with UMI by clicking on the "Submit my dissertation/thesis" link and following the instructions to create an account for a new user.
2. Confirm your new account by following the instructions you will receive in a confirmation email sent to you by UMI.
3. Follow the instructions given by UMI on the submission website and complete each step according to their specifications.
4. **During the submission process, you can request that ProQuest/UMI file for U.S. Copyright Registration on your behalf for a fee of \$55. This is an optional service.**

Important information about submitting your publication agreement and dissertation/thesis online to UMI/ProQuest:

- If you have any questions about the UMI site and/or the online agreement and submission process, you may ask the Graduate Reader. If she is not able to help you, please contact UMI Technical Assistance at 1-877-408-5027 or use UMI's online technical support form.
- If you have questions about payment or ordering copies, contact UMI at 1-800-521-0600 x77020 for information.
- **You must embed the fonts in your PDF before you upload and submit your dissertation/thesis to UMI.** There are instructions within the UMI submission site on how to embed your fonts. Follow these instructions for successful submission.
- Submitting the publication agreement and dissertation/thesis electronically through UMI/ProQuest is free for **Traditional Publishing**. UTD requires only traditional publishing. However, you may choose the Open Access Publishing option for a \$95 fee if you so choose.
- Ordering personal hard copies of your dissertation through UMI is not required by UTD. However, you may choose to do so if you wish. As an alternative, you may also order personal hard copies through the UTD Copy Center. The Copy Center charges \$15 to bind a hard copy. UMI charges \$56 per hard cover bound copy.
- **If you need your dissertation/thesis held from publication for a length of time after graduation, you have two options:**

1. **Embargo placed by UMI**: This option allows **UMI to delay release of the dissertation/thesis** for a period of time. When submitting to UMI, you will choose one of the restricted release options. **The physical copies will be sent out for binding.** When the copies come back from binding, **the Copy Center will deliver the official bound copies and will contact you to pick up any personal copies.**
2. **Complete publication delay of 1 year**: The **physical copies** as well as **publication by UMI** will be held for 1 year. You will submit to UMI as usual, but our office will **not electronically release your dissertation/thesis for publication** to UMI for 1 year. **You will have the physical copies printed and pay for the binding. You will then return all physical copies and approval form back to this office where they will be placed in a locked cabinet.** *If you choose this option, your supervising professor must send an email to the Associate Graduate Dean requesting that publication be delayed for 1 year and giving the reason why it should be delayed.*

COMMON DISSERTATION/THESIS FORMATTING ERRORS

1. Make absolutely sure that all text is the same font size throughout thesis/dissertation, including chapter headings. Try also to keep figures/tables the same font size as the text.
2. Paper size must always be set to 8.5” x 11” (not A4 or any other paper size).
3. If you need specific formatting questions answered, you must go to the *Manual for Writers of Research Papers, Theses, and Dissertations* by **Kate Turabian**.
4. Do not bold text within the *preliminary pages*, including headings on title pages.
5. Be certain that chapter headings are centered, bold, in all caps, and 2” from the top of the page. For example:

(line 1) CHAPTER X
(line 2- leave one single line space)
(line 3) CHAPTER TITLE
(line 4- leave one single line space)
(line 5- leave one single line space)
(line 6) Begin text on this line, against the left margin.

6. Be sure to follow the samples in the back of this guide for all preliminary and other important pages.
7. The signature block should be in the lower right-hand corner of the signature page.
8. **Do not copy the format of a former student’s dissertation/thesis without following the “Guide for the Preparation of Master’s Theses and Doctoral Dissertations.”** If you have a former student’s dissertation/thesis and there is a discrepancy between it and this guide, this guide will take precedence.
9. Please make sure the thesis or dissertation is printed on one type of paper. Mismatched or discolored paper will not be accepted.
10. Theses/dissertations that do not show the watermark on the acid-free archival paper used for final copies will not be accepted. The watermark must be turned right side up on each page.
11. When printing from the PDF, turn the page scaling option off. From the PDF file, choose File → Print → Page scaling: None. Then print.

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 Microfilm International (UMI) 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. 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 provided for inspection by the Graduate Dean’s Office at the time of submission of the final draft for approval.

Software owned by a company or corporation is protected under US 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, FA 3.104.

Engineering students: If your paper is published with IEEE, you may request permission to use what has been published in your thesis/dissertation through the Copyright Clearance Center at www.copyright.com.

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 (AD 3.210) 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 (AD 3.210) 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 Associate Graduate Dean is available in FA 3.104 or at 972-883-2234 (fax 972-883-4308) for advice on the standards and requirements. **Students must bring the final draft to the Graduate Dean's Office, 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 in the order listed:

1. Fly page
2. Signature page
3. *Copyright
4. *Dedication
5. Title page
6. Acknowledgments
7. Preface (if necessary)
8. Abstract
9. Table of Contents
10. *List of Tables and List of Figures, if any
11. Text- The text should be divided into as many chapters and/or sections as are necessary.
12. *Appendices
13. Bibliography (or References)
14. Vita

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

PAPER

Quality bond paper of 25% cotton content, acid-free archival paper must be used in all official copies of the thesis/dissertation for the Graduate Dean's Office. The standard sheet size is 8.5" x 11". This paper is available in the UTD Copy Center in the bookstore building. We strongly suggest using the UTD Copy Center as their prices are competitive and the staff is familiar with the UTD thesis/dissertation printing guidelines. If you choose to purchase the paper and print the thesis/dissertation on your own printer, you must make sure that the watermark on each page faces the proper direction.

STYLE

The thesis/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 and typeface (with the exception of tables and figures produced by different technology or by a graphic artist).

Conventional type styles are accepted, using 10 or 12 characters per inch (CPI), that is, **12 or 14 font sizes in MS Word. The font size must be one size, used consistently throughout the thesis/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 single-and-a-half spaced throughout, with the exception of block quotations, footnotes, and bibliography. The bibliography should be single spaced *within* each entry while maintaining a double space *between* each entry. This also holds true for Table of Contents entries, List of Tables/Figures entries, and table/figure captions that are more than one line in length.

“**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) will not be accepted.

MARGINS

Thesis/dissertation margins must be set and measure to the following specifications. 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 Associate Graduate Dean.

- Top margin of title pages- 2”
- Top margin of non-title pages- 1.25”
- All left margins- 1.25”
- All right margins- .75”
- All bottom margins- 1.25”

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/printed on page
3. Copyright (if any)- counted, number *not* typed/printed on page
4. Dedication (if any)- counted, number *not* typed/printed on page
5. Title page- counted, number *not* typed/printed on page
6. Preface or Acknowledgments- counted, number typed
(*This is the first page on which a number will appear.*)
7. Abstract- counted, number typed
8. Table of Contents- counted, number typed
9. Lists of Tables, List of Figures- counted, number typed

Lowercase Roman numerals, centered at the bottom of the page, should be used to number preliminary pages, beginning with the preface and/or acknowledgments. Example: If a dissertation contains a copyright page and a one-page dedication is used, the acknowledgments

page should be numbered “v.” *If neither a copyright nor dedication is used*, the beginning of the acknowledgements should be “iii” and arranged according to the order listed above.

TEXT AND REMAINING ELEMENTS:

10. Text
11. Appendices (if any)
12. Bibliography/References/Works Cited
13. Vita- not counted, no number typed/printed on page

The first page of the text is always 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, appendices, and bibliography or references, the page number is centered .75” from the bottom of the page.**
- **On all other pages, the numbers appear in the top right corners, .75” from the top of the page and .75” from the right side 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.

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. It is not included in your PDF file and will be furnished by the Copy Center upon printing.

Signature Page

This page contains the approval signatures of the student’s supervising committee members. Each of the required copies of the thesis/dissertation must include a signature page with original signatures. The committee members’ names must be in alphabetical order unless there is a reason to do otherwise.

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,

meaning that it is available for unrestricted use because it is unprotected by copyright. For further information about copyright protection, write to:

Information and Publications Section LM-455
Copyright Office
Library of Congress
Washington, DC 20559

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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 original 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.

Acknowledgments

At the end of the acknowledgments page, come down two single line spaces below the last line of text and add the "Month Year" in which you first gave your thesis/dissertation to your committee for review.

Preface (if necessary)

If you use previously published material in your dissertation, you must include a preface section. See p. 22 for additional information.

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 or an outline. Doctoral dissertations should not exceed 350 words and master's theses should not exceed 150 words.

Abstract: Dissertation/Thesis

Special care must be taken in the preparation of the dissertation/thesis abstracts since they will be published in the “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 make certain that the name appearing on the abstract is the same as that on the signature, copyright, and title pages. 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. Abstracts must adhere to the style standards used for the dissertation and set forth in this guide.

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 (if any), List of Figures (if any), chapter titles of the text (and any sections/subsections you choose to include), Appendices (if any), Bibliography/References, and Vita (the Vita is listed in the Table of Contents but is not assigned a page number). There is no required format for the Table of Contents, other than page margin specifications.

Appendices

Materials which are peripheral but relevant to the main text of the thesis/dissertation should be placed in appendices. In a chemistry dissertation, 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 (or References)

The bibliography or list of references should indicate materials actually used (and the edition, if that used is not the first); by this means, the accuracy of quotation and citation may be readily verified. The preferred format for references is they should be listed according to the alphabetical order of the authors’ last names. Primary sources (books, manuscripts, periodicals, etc., which are the factual basis of the investigation) should be listed separately from secondary sources. Or, references may be listed in the order they appear in the text, and the number for each entry is in brackets, not parentheses.

The first line of each bibliographic entry will be flush against the left margin. Each subsequent line of the entry will be indented under the first line. Single space the lines *within* each entry; maintain a double space (or single-and-a-half space, depending on the spacing of the rest of your document) *between* each entry.

Vita

At the end of each thesis/dissertation, there should be a brief biographical sketch of the author, including schools and colleges attended, degrees awarded, publications, and any teaching, business, industry, or military experience the author may have. The Vita should be double-spaced (or space-and-a-half) like the rest of the document and written in third person. This page is NOT numbered.

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 poststats 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 a page number. Students using microscopic slides to illustrate their manuscripts should be aware that such slides are difficult to reproduce legibly. Therefore, high quality prints of the slides should be provided.

FIGURE AND TABLE CAPTIONS

Figures and tables should bear their identifying numbers of the pages upon which they appear. A figure’s caption should be placed *below* the figure. A table’s caption should be placed *above* the table. **When numbering a table/figure, the number should coincide with the chapter in which the table/figure appears.** For example, the first figure in Chapter 1 would be labeled Figure 1.1; likewise, the second figure in Chapter 2 would be labeled Figure 2.2, etc.

Figure and table titles/captions should be written in this manner: “**Figure 2.1. Figure caption.**” If a table requires more than one page, the second page should be labeled, in italic letters, “*Table 2.1 continued*” at the top of the second page. If the caption for a figure will not fit on the same page as the figure itself, put it on the nearest preceding text page, with placement identification in italics before the figure number and caption: “*Next page: Figure 2.1. Figure caption.*” Pages containing illustrative materials should always bear a page number as well. **Figure and table captions are not to be placed in bold text.**

HORIZONTAL (LANDSCAPE) FIGURES AND TABLES

Horizontal figures and tables must be positioned correctly within the dissertation. 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.

DOCUMENTATION OF SOURCES

Sources of direct quotations and authorities for statements of fact or opinion must be cited clearly and concisely. Reference of those sources is usually made by means of footnotes placed at the bottom of the page of text (and a BIBLIOGRAPHY appears at the end of the paper) or parenthetical citations placed in the text (and a list of REFERENCES appears at the end of the paper). Footnotes 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 TurnItIn program to check for any plagiarism.**

NON-PRINT THESES/DISSERTATIONS

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

STYLE MANUAL

In addition to adhering to the requirements explained in this guide, each student **must** consult the current edition of *A Manual for Writers of Research Papers, Theses, and Dissertations* by **Kate Turabian** concerning questions of format. Studying the practice of one of the major academic journals or texts in your 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/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 pages. **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.

SUBMISSION OF REQUIRED COPIES

Three unbound copies of the thesis/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 Graduate Dean's Office.

After the final approval of the manuscript by the Graduate Dean's Office, the student must take the approved copies to the Copy Center for binding and pay the appropriate fees. This must be done prior to date specified in the Academic Calendar for each semester. At the student's option, personal copies of the thesis/dissertation or copies for professors other than the chair may be submitted to the Copy Center at that time. These copies must also 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; another hard copy will be sent to the student's supervising professor and another 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 FOR DOCTORAL AND MASTER'S CANDIDATES

1. 3 unbound, hard copies of the dissertation
2. 1 CD containing the entire dissertation in PDF format, saved as "Lastname, Firstname, Title of Thesis/Dissertation"
3. Each of the following:
 - a. One copy of signed signature page
 - b. UMI/ProQuest agreement completion and submission status will be checked by the Graduate Reader
 - c. Completed Survey of Earned Doctorates form (Doctoral candidates only)
 - d. TurnItIn form signed by supervising professor and student
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Each student will submit his/her dissertations/thesis online to UMI/ProQuest at the time he/she completes the UMI/ProQuest agreement. 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 microfilm. 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." Additionally, your dissertation/thesis must be submitted to the Graduate Dean's Office on a CD in Adobe Acrobat PDF format (saved as "Last name, First name, Title of Dissertation/Thesis").

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 this 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 interest 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 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, 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 UMI and that single copies of the dissertation will be sold on demand. Written copyright permissions should be available for inspection by the Graduate Dean's Office at the time of submission of the final draft for approval.

PREFACE TEXT FOR PREVIOUSLY PUBLISHED MATERIAL

THE TEXT OF THE FOLLOWING TWO PARAGRAPHS SHALL BE CITED IN FULL (DOUBLE SPACED) 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.

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[Letterhead stationery or return address]

[Date]

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If these arrangements meet with your approval, please sign this letter where indicated below and return it to me in the enclosed return envelope. Thank you very much.

Sincerely,
[Your name and signature]

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Date: _____

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

Instructions for permission letters:

1. Be sure to include your return address, telephone and fax numbers, and date at the top of the letter.
2. Spare no effort in confirming the exact name and address of the addressee. Call the person to confirm the copyright ownership.
3. State clearly the name of your university and your dissertation's title.
4. Describe precisely the proposed use of the copyrighted material. If necessary or appropriate, attach a copy of the quotations, diagrams, pictures, and other materials. If the proposed use is extensive, such as the general use of an archival or manuscript collection, describe it in broad and sweeping terms. Your objectives are to eliminate any ambiguities and to ensure that the permission encompasses the full scope of your needs.
5. The sample signature form at the end of the sample letter is appropriate when an individual grants the permission. When a company, such as a publishing house, is granting permission, use the following signature format:

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[Type name of company]

By: _____

Title: _____

Date: _____

**EXAMPLE LETTER FOR PERMISSION TO INCLUDE PREVIOUSLY PUBLISHED
MATERIAL IN A MASTER'S THESIS**

Dear Madam/Sir:

I request permission to use a paper titled _____, published in the _____ as a chapter of my thesis for _____ degree in _____ 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 also be accepted.

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

Thank you in advance.

Sincerely,

(Student Name)

Telephone: _____

Fax: _____

Email: _____

Permission Granted:

Signature: _____ Date: _____

*Engineering students: If your paper was published by IEEE, please email your permission letter to w.hagen@ieee.org.

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

MULTIPLE PAPERS/SINGLE PAPER WITHIN A 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 22 of this guide (“Permission for the Use of Previously Published Material”) and use the sample for the chapter title page. Chemistry doctoral candidates who want to include any practica in the doctoral dissertation should treat the past practica as an appendix. The dissertation that includes multiple papers/single paper will be set up as follows:

1. Fly page
2. Signature page
3. *Copyright
4. *Dedication
5. Title page
6. *Acknowledgments (may be included here or with chapters)
7. *Preface
8. Abstract
9. Table of Contents
10. Text
11. *Appendices
12. Bibliography (or References)
13. 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
2. List of Tables (if any)
3. List of Figures (if any)
4. Acknowledgments (may be included with chapters or at the beginning of the entire paper)
5. *I. Introduction
6. *II. Preface
7. *III. Abstract
8. *IV. Introduction
9. *V. Materials and Methods
10. *VI. Results
11. *VII. Discussion
12. References

(* All major title pages, as listed above, should have the title centered, 2” from the top of the page, with the page numbers centered .75” from the bottom of the page.)

Also adhere to the following when using multiple papers/single paper within a dissertation/thesis:

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. An appendix immediately precedes the bibliography/references section.
4. When numbering a 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.

**THE FOLLOWING PAGES ARE SAMPLES OF THESIS/DISSERTATION
PRELIMINARY PAGES AND OTHER IMPORTANT PAGES**

Order of sample pages:

1. Signature Page
2. Copyright Page
3. Title Page
4. Acknowledgments
5. Abstract
6. Table of Contents
7. List of Figures
8. Chapter Title Page
9. Chapter Title Page for Multiple Papers Within a Thesis/Dissertation
10. Vita

(SAMPLE SIGNATURE PAGE)

THE SEMANTIC PRIMING EFFECT ACROSS THE LIFE-SPAN:
AN ERP STUDY EXAMINING PROCESSING NEGATIVITY

(2 single line spaces)

by

(2 single line spaces)

Jyuika Mehta

(10 single line spaces)*

APPROVED BY SUPERVISORY COMMITTEE:

(4 single line spaces)

Austin J. Cunningham, Chair

(4 single line spaces)

John J. Wiorowski

(4 single line spaces)

Raymond P. Lutz

(4 single line spaces)

Juan Gonzalez

*The number of line spaces between your name and "APPROVED BY" is based on a four-person committee. The number of line spaces may vary if you have more or fewer than four committee members.

(SAMPLE COPYRIGHT PAGE)

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Jyuika Mehta

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(SAMPLE TITLE PAGE)

THE SEMANTIC PRIMING EFFECT ACROSS THE LIFE-SPAN:
AN ERP STUDY EXAMINING PROCESSING NEGATIVITY

(2 double line spaces)

by

(2 double line spaces)

JYUIKA MEHTA, BS, MS

(5 single line spaces)

DISSERTATION (or THESIS)

Presented to the Faculty of

The University of Texas at Dallas

in Partial Fulfillment

of the Requirements

for the Degree of

(3 single line spaces)

DOCTOR OF PHILOSOPHY IN

COMPUTER SCIENCE

(4 single line spaces)

THE UNIVERSITY OF TEXAS AT DALLAS

December 2013

(SAMPLE ACKNOWLEDGMENTS PAGE)

ACKNOWLEDGMENTS

Start acknowledgments on this line. Note: Do not use paragraph indenting in this section. All paragraphs should start at the left hand margin. Follow the ACKNOWLEDGMENTS text with a date of the form: Month Year, as indicated below. The Month Year should be left justified and is the month you first gave your dissertation/thesis to your committee for review.

(2 single line spaces)

October 2013

(This is the first page within the thesis/dissertation on which a page number will appear, typed in lowercase Roman numerals, .75" from the bottom of the page.)

(SAMPLE ABSTRACT PAGE)

THE SEMANTIC PRIMING EFFECT ACROSS THE LIFE-SPAN:
AN ERP STUDY EXAMINING PROCESSING NEGATIVITY

Publication No. _____

Jyuika Mehta, PhD
The University of Texas at Dallas, 2012

(4 single line spaces)

Supervising Professor: Supervising Professor's Name

(4 single line spaces)

Begin abstract here. Note: do not use paragraph indenting in the abstract.

(SAMPLE TABLE OF CONTENTS)

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VITA	

(SAMPLE LIST OF FIGURES)

LIST OF FIGURES

2.1 Figure caption is typed here5

2.2 When a caption runs over one line, single-space the lines **within** the entry, but double-space **between** entries (or single-and-a-half space between entries, depending on the spacing of the rest of your document).....7

(SAMPLE CHAPTER TITLE PAGE)

CHAPTER 1
(1 single line space)
INTRODUCTION

(2 single line spaces)

Begin the chapter's text two single line spaces below the title of the chapter. The chapter number line and the title of the chapter should be bold and in all uppercase letters, as shown above. The number on a chapter title page will be centered at the bottom, .75" from the bottom of the page.

*(SAMPLE CHAPTER TITLE PAGE FOR MULTIPLE PAPERS/SINGLE PAPER
WITHIN A THESIS/DISSERTATION)*

CHAPTER 3

THE SEMANTIC PRIMING EFFECT ACROSS THE LIFE-SPAN: AN ERP STUDY EXAMINING PROCESSING NEGATIVITY

(6 single line spaces)

Authors – Jyuika Mehta, Sung J. Kim, James Mitchell, Hao Wu, and Ernest Hanning

(2 single line spaces)

The Molecular and Cell Biology Department, FO 31

(2 single line spaces)

The University of Texas at Dallas

(2 single line spaces)

800 West Campbell Road

(2 single line spaces)

Richardson, Texas 75080-3021

(Wording below is optional)

Running title: Semantic Priming Effect

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

Corresponding author:

Email:

VITA

Elizabeth Marie Smith Black was born in Houston, Texas. After completing her schoolwork at Lamar High School in Houston in 1970, Elizabeth entered Southwest Texas State University in San Marcos, Texas. During the summers of 1972 and 1973, she attended the University of Colorado. She received a 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 a biology teacher at S.F. Austin High School in Austin, Texas. In June 1976, she entered the Graduate School of The University of Texas at Dallas.

Policy on Procedures for Completing a Graduate Degree - UTDPP1052

Policy Statement

- I. PROGRAM OF STUDIES: Each student admitted to a Graduate Program will have a specific program of studies, outlined in the current graduate catalog that is agreed to in consultation with the appropriate committee, graduate advisor or administrator for that degree program. Students enrolled in master's degree programs must have a completed "Program of Studies/Degree Plan" filed in and approved by the Office of the Dean of Graduate Studies prior to the student's registration for his or her 19th semester credit hour in the degree program. The form will be completed and revised, if necessary, each semester under the guidance of the student's graduate advisor. For each student enrolled in a doctoral degree program, the academic advisor in consultation with the student, will prepare and submit a completed and updated "Milestones Agreement Form" annually to the office of the Dean of Graduate Studies. The completed form will define academic milestones and timeline required to earn the doctoral degree and the progress being made by the student in meeting each requirement.
 - 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. No more than 25% of the total requirement of a master's degree may be transfer credits. Some degree programs have more restrictive transfer of credit requirements.
- 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 approved graduate transfer credit hours) for the master's degree.
- B. **Required Grade Point Average:** In order to qualify for graduation, students must maintain a 3.0 grade point average in their degree program's core courses. However, individual programs may have more stringent grade point requirements in selected courses, which must be satisfied for graduation. The minimum

acceptable University grade point average for graduation is 3.0 for all graduate courses taken in the student's degree program at U. T. Dallas.

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 three months after the first examination, and no later than one year after the first examination. 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 academic discipline 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 discipline.

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 academic discipline 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 discipline.

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 <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

- B. Procedures are outlined in the Graduate Catalog - 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: With the exception of in absentia registration, doctoral students must be enrolled in at least 1 credit hour in the semester in which they graduate. Enrollment for 1 semester credit hour in the final semester is only allowed once. However, the individual degree program may require more than 1 credit hour be taken during the graduation semester.
- 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. Students whose master's degrees are accepted for full credit toward a Ph.D. must complete all requirements for the doctoral degree within one eight-year period. Work exceeding these limits, whether done at this university or elsewhere, will not count towards the degree.
 - 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.

Policy History

- 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
- Revised: December 17, 2010
- Revised: September 13, 2013

Policy Links

- Permalink for this policy: <http://policy.utdallas.edu/utdpp1052>
- Link to PDF version: <http://policy.utdallas.edu/pdf/utdpp1052>
- Link to printable version: <http://policy.utdallas.edu/print/utdpp1052>