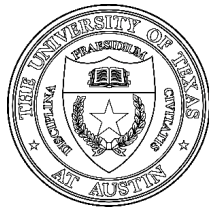


**FORMAT GUIDELINES FOR DOCTORAL
DISSERTATIONS AND DISSERTATION
ABSTRACTS**



**The University of Texas at Austin
Graduate School**

March 2008

**Formatting questions not addressed in these guidelines should be directed to
the Graduate School Doctoral Degree Evaluator at 512-232-3630 or at
doctapp@uts.cc.utexas.edu.**

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I. ARRANGEMENT OF THE DISSERTATION

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

1. **Copyright Legend** (Sample A). *Include this page in the pretext page count, but do not place a page number on it.*
2. **Committee Certification of Approved Version** (Sample B). Include this page in the pretext page count, but do not place a page number on it.
3. **Title Page** (Sample C). Include this page in the pretext page count, but do not place a page number on it.
4. **Dedication and/or Epigraph**. *Include this page in the pretext page count, but do not place a page number on it.*
5. **Acknowledgements and/or Preface**. *Begin placing pretext lowercase Roman numerals at the bottom of this page, counting all preceding pretext material.*
6. **Abstract** (Sample D). Continue pretext page numbering with lowercase Roman numerals.
7. **Table of Contents**. Continue pretext numbering with lowercase Roman numerals on this page.
8. **List of Tables, List of Figures, List of Illustrations/Maps/Slides, List of Supplemental Files** such as multimedia files. *Continue pretext numbering with lowercase Roman numerals.*
9. **Text of the Dissertation**. All pages from the first page of text through the Vita are numbered consecutively in Arabic numerals, beginning with Arabic numeral "1" on the first page of the dissertation text.
10. **All tables, figures, or illustrations** that are to be grouped in one place in the dissertation. *Continue text numbering with Arabic numerals.*
11. **Appendix or Appendices**. *Continue text numbering with Arabic numerals.*
12. **Glossary**. *May instead be placed after the Table of Contents in the area with List of Tables, List of Figures, etc. Continue text numbering with Arabic numerals.*
13. **Bibliography**. Other possible titles are "References" or "Works Cited." Consult your supervisor about which standard style to use. Continue text numbering with Arabic numerals.
14. **Vita** (Sample E). This brief biographical sketch of the author is always the last page of the dissertation and the last page listed on the Table of Contents. Continue text numbering with Arabic numerals.

II. YOUR OFFICIAL NAME AT THE UNIVERSITY OF TEXAS

Doctoral candidates must represent their full name as it is officially recorded at The University of Texas at Austin (first name, middle name, last name). This official name must be used in dissertations and all other required graduation forms.

Prior to the end of the semester, the Registrar's Office will mail you a letter verifying the information that will appear on your diploma, including your name as it is currently recorded on your academic record. If your name appears to be incorrect in *any* way, please report the problem to the Records Section of the Registrar's Office. Students are encouraged to initiate formal name changes with Registrar's Office as early as possible.

III. METHODS OF PRODUCTION

a. Word Processing

Your final dissertation must be correct in spelling and punctuation and presented in a consistent, structured format. A single, legible font must be used throughout the dissertation, the only exceptions being in tables, figures, graphs, appendices, and supplemental files. The font size should be sufficient for the average person to read the document on a computer monitor without difficulty (12-pt is recommended.) Accuracy and consistency in presentation and form make the dissertation a usable research tool for other readers.

b. Margins

The dissertation, in electronic and printed format, must have minimum text margins of 1.25 inches. These margins must be consistent throughout the dissertation, including pages in the appendix. **All page numbers must be placed at least one inch from the bottom center of the page.**

The default margin settings in the Information Technology Services (ITS) and LaTeX templates for dissertations are greater than the minimum required margin. While wider margins are acceptable, students may choose to reset the margins of both of these templates to the minimum margin required, 1.25 inches.

Headers are rarely used in dissertations. If you are considering using them, check with the degree evaluator to be sure that they will be accepted.

c. Spacing and Page Arrangement

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

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

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

d. Numbering of Pages

All pretext and text page numbers in the dissertation must be centered under the text in the same location on each page and located at least one inch from the bottom of the page.

Pretext: Beginning with the first page of the preface or acknowledgements, pages preceding the text of the dissertation must be numbered in lower-case Roman numerals (e.g., v, vi, vii) centered at least one inch from the bottom of the page. Pretext page numbers are not printed on the copyright page, certification page, title page, or dedication page, although all of these pages are included in the page counting.

Text: The first page of the dissertation text is always page-numbered with Arabic numeral "1." All subsequent pages through the Vita are numbered with consecutive Arabic numerals.

(See Section I, Arrangement of the Dissertation, for a page-by-page description of this page-numbering system.)

e. Tables and Illustrations

Pages carrying illustrative material must be given page numbers appropriate to their place in the document. Illustrative material may not be inserted after the document has been numbered and given numbers such as "10a."

All tables, figures, illustrations, and other types of examples included and referenced in the text of the dissertation should be numbered for identification. There should be no duplication of these numbers; i.e., no two tables should be assigned the same number. Figures may be numbered in one of two ways: consecutively throughout the document (Table 1, Table 2, Table 3, etc.), or double-numbered so that illustrations' numbers reflect their locations in the document (Figure 9.3 is the third figure in Chapter 9, or Figure A2 is the second figure in Appendix A.)

Captions and legends must be placed on the same page with the figure, graph, table or illustration they describe. In order to fit both figure and caption on the same page, captions may be single-spaced, margins may be decreased to one inch, and figures may be reduced in size to fit. If the figures are reduced from their original size, then the page number must be added after the reduction so as not to alter its size. If there is no other way to manage the amount of material to be shown, the caption and figures should be side-by-side in continuous view. This method should only be used in the rare instance where all of the pertinent

material will not fit on the same page. Figures, captions, and page numbers must be easily readable when the electronic document is viewed at 100 percent.

f. Oversize Pages or Plates

Plates, graphs, or charts which are oversized (more than 11x14 inches) require special insertion in to the electronic document and must be labeled with an indication that they require a plotter to print them. For instructions on how to handle these pages, contact the doctoral degree evaluator.

g. Copies Required

Doctoral students at The University of Texas at Austin must upload a single pdf file of their dissertation to the publishing submission site. The electronic pdf file serves as the University's archival copy of the dissertation. As an extra measure of security, students are strongly encouraged to keep a copy of their approved dissertation and to provide an additional copy to their dissertation supervisor or department/program library, if applicable. By keeping an electronic backup on hand, students can easily provide scholars with a copy of the dissertation during the time between submission and publication, if necessary. A paper copy of the dissertation is not required by the Graduate School, though one may be required by the student's graduate department or program.

IV. CONTENTS

a. Table of Contents

While there are a variety of acceptable ways to format the Table of Contents for a dissertation, the Table of Contents must conform to the margin requirements of the dissertation (See Section IIIb). The Table of Contents is placed in the dissertation immediately before any pretext lists of tables, figures, illustrations, etc. These pretext lists, if present, will be the first item noted on the Table of Contents.

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

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

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

Chapter One: Title.....	1
Chapter Two: Title.....	23
Subheading Title.....	24
Subheading Title Extending Over One Or More Lines, at the Author’s Discretion.....	38

b. Footnote Citations, References, and Bibliography

Each dissertation must include a reference, or bibliography, section, even when chapter end notes or chapter references have been used. This section may be called "Bibliography," "References," or "Works (or Sources) Cited." The bibliography immediately precedes the Vita at the end of a dissertation. The bibliography must indicate materials actually used, including the edition number when later than the first, so that the accuracy of quotations and citations may be readily verified. Footnote citations and references should be sufficiently exact to enable the reader to find the source with ease.

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

c. Committee Certification of Approved Version

The original signatures of all dissertation committee members are required on the Committee Certification of Approved Version (the signature page), regardless of whether or not the members attend the final defense. All committee members must sign in black or blue ink, and the dissertation supervisor must sign on the top line. Committee members' names must be typed under the signature lines on this page. While educational or professional titles (Ph.D. or Dr.) are not included on the signature lines for committee members, the titles indicating committee supervisory status ("Supervisor" or "Co-supervisor") do follow the names of committee members who have been officially designated in these roles.

In addition, the Committee Certification page with the original committee signatures must be submitted to the Graduate School along with all of the other required paperwork listed in the Graduate School Checklist for Final Submission of the Dissertation or Treatise at <http://www.utexas.edu/ogs/pdn>. As an extra measure of security, students are encouraged to bring several copies of the Committee Certification page to their final oral defense. The Committee Certification page in the pdf file that is submitted for archiving and publication does not contain committee signatures.

d. Dissertation Abstracts

The abstract is a concise statement of the nature and content of the dissertation, indicating its significance as a piece of research. It should be continuous prose, not disconnected notes or an outline; and it should not exceed 350 words. Students should be aware that dissertation abstracts are published without editing or revision in Dissertation Abstracts International and other publications by the student's program or college. Copies of these publications are available in the library. The title on the abstract must match exactly the title of the finished dissertation. Foreign words must be set down clearly and accurately so that they may be printed without error; otherwise, the abstract may be withheld temporarily from publication until the student can be contacted for clarification.

e. DMA Treatises

The Title Page, Committee Certification of Approved Version, and the Abstracts of doctoral students in Musical Arts require several modifications to the formatting guidelines set forth in these guidelines. First, the Title Page of the dissertation must include the words "**Doctor of Musical Arts**," rather than "Doctor of Philosophy"; and the word "**Treatise**," rather than "Dissertation." Second, The Committee Certification of Approved Version page must include the phrase "**The Treatise Committee for**," rather than "The Dissertation Committee for." And, finally, the Abstracts of DMA Treatises must include the title "**D.M.A.**" after the author's name, rather than "Ph.D."

V. PUBLICATION AND COPYRIGHT INFORMATION

a. Publication of Doctoral Dissertations

The University of Texas at Austin requires that doctoral dissertations and treatises be published as a part of each doctoral student's graduation. Currently, electronic copies of dissertations are made globally available for research to scholars through BePress/UMI and the University of Texas Digital Libraries. Access to dissertations is unrestricted unless the Graduate Dean has approved a petition requesting restrictions. Primary publishing and archiving are done electronically. The submission site for publication is provided on the Graduate School web site at <http://www.utexas.edu/ogs/pdn>.

Delay of Publication: The Graduate Dean will consider petitions to delay publication for a period of one year. These petitions must be submitted to the Graduate School by the student's dissertation supervisor at least ten days prior to the student's anticipated graduation date.

b. Copyright Registration

Basic information regarding copyrights, copyright registration, and permission letters is available at www.utexas.edu/ogs/pdn. Students who wish to officially register their copyright may do so by obtaining and registering the necessary forms with the U.S. Copyright Office. The address is Library of Congress, Copyright Office, Washington, D.C., 20599. Students may also request that UMI act as their agent in registering their copyright by selecting this option at the time that the dissertation is uploaded. The fee for this service is \$65.00 (subject to change), which covers the cost of the copyright registration fee and the cost of two positive microfilm copies required to be deposited in the Library of Congress. Students are strongly encouraged to include a copyright legend in their dissertations even if they choose not to officially register their copyright (See Sample A.)

c. Using Materials Copyrighted by Others

Students must certify that any copyrighted material used in their dissertation, beyond brief excerpts, is being used with the written permission of the copyright owner and that the student will hold harmless UMI Dissertation Services and The University of Texas at Austin from any damages which may arise from copyright violations. Additional information about the copyright law, as well as the required Copyright Disclaimer form, is available at <http://www.utexas.edu/ogs/pdn>.

(Sample A: Copyright Legend)

Copyright
by
Michael Anthony Smith
2008

(No page number on the actual copyright page)

(Sample B: Committee Certification of Approved Version)

**The Dissertation (or Treatise) Committee for (Insert your Official UT Name)
certifies that this is the approved version of the following dissertation
(or treatise):**

**Title of Dissertation, Double-Spaced,
May be in ALL CAPITALS or
Upper and Lower Case**

Committee:

Supervisor's Name, Supervisor

Member's Name, or Co-Supervisor

Member's Name

Member's Name

Member's Name

_____ **Do Not Include the Information Below This Line on Your Signature Page** _____

This page in hard copy with all original signatures must be submitted with the dissertation to the Graduate School. This is required whether the document is in electronic format or on paper. In the electronic document, this page should be unsigned, but should list members' names under the blank lines. There should be as many solid lines as there are members of the committee, and the supervisor should sign on the top line.

(No page number on the actual committee certification page)

(Sample C: Title Page)

**Title of Dissertation, Double-Spaced,
May be in ALL CAPITALS or
Upper and Lower Case**

by

Full Official Name, Previous Academic Degree(s) (B.A.; B.S.; M.A.; etc.)

Dissertation

Presented to the Faculty of the Graduate School of

The University of Texas at Austin

in Partial Fulfillment

of the Requirements

for the Degree of

Name of Degree

(The degree sought must be worded in the form given in *The Graduate Catalog*; e.g., **Doctor of Philosophy, Doctor of Musical Arts, Doctor of Education**, etc.)

The University of Texas at Austin

Month and Year Degree will be awarded (May, August, or December)

(No page number on the actual title page)

(Sample D: Abstract)

**Title of Dissertation, Double-Spaced,
May be in ALL CAPITALS or
Upper and Lower Case**

Your Full Official Name, Ph.D. (or degree sought)

The University of Texas at Austin, 2008

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

Indent and begin abstract here. The abstract should be a concise statement of the nature and content of the dissertation. It should be written as a continuous resume, not disconnected notes or an outline. The text must be either double-spaced or 1.5-spaced and should be consistent with the spacing used throughout the dissertation text. The abstract may not exceed 350 words.

(Sample E: Vita)

VITA

Elizabeth Marie Smith attended Lamar High School, Houston, Texas. In 1968 she entered Southwest Texas State University in San Marcos, Texas. During the summers of 1969 and 1970 she attended Sarah Lawrence College in Bronxville, New York. She received the degree of Bachelor of Science from Sarah Lawrence College in May, 1972. During the following years she was employed as a biology teacher at Austin High School. In September, 1983, she entered the Graduate School at The University of Texas at Austin.

Permanent Address: 1908 Oldham, Austin, Texas 78723

This manuscript was typed by the author.

or

This manuscript was typed by John L. Jones.

_____Do Not Include Information Below This Line on Your Vita_____

The Vita is a brief biographical sketch of the writer that provides information for future readers. Because the dissertation will be available electronically, be aware that certain personal information could be used to steal your identity. For this reason, you are advised not to include your date of birth, parents' names, or children's names. The name of the typist should always appear at the end of the page. **One copy of the Vita must accompany the Request for the Final Oral Examination.**

VII. FORMATTING CHECKLIST

1. Is every page of the dissertation numbered correctly, from the preliminary pages through the Vita?
2. Have you checked the .pdf file of the dissertation to be sure there are no blank pages, missing pages, duplicate page numbers, or odd page breaks? Have you re-checked it to make sure your dissertation looks exactly as you wanted it to look?
3. Is your full, official University of Texas name on the signature page, title page, abstract, Vita, and publishing agreement? Is your name identical on all forms?
4. Is your permanent address on the Vita?
5. Is the title on the Committee Certification of Approved Version, title page, and abstract identical? The dissertation title should be exactly the same everywhere it appears.
6. Do your margins conform to the requirements outlined on page 2?
7. Are all charts, graphs, and other illustrative materials in your dissertation perfectly legible, properly labeled, and contained within the required margins?
8. Do you and your supervisor each have a .pdf backup copy of your dissertation?
9. Do you have the following forms to submit to the Graduate School after uploading your dissertation to UMI? Forms marked with an “(*)” are available for download at <http://www.utexas.edu/ogs/pdn>.
 - ✓ Signed Committee Certification of Approved Version (with original signatures)
 - ✓ Copyright Disclaimer form (*)
 - ✓ Publication by UMI form (*)
 - ✓ One extra copy each of the Title Page, Abstract, and Vita
 - ✓ Survey of Earned Doctorates (*)
 - ✓ Intellectual Tutorial (Copyright) Certification (email confirmation of completion)
 - ✓ Dissertation Publishing Agreement with The University of Texas General Libraries (*)
 - ✓ Statement of Research with Human Participants form (*) and confirmation of studies involving human subjects which have been approved by the IRB. A summary of research studies approved by the IRB is available at <https://utdirect.utexas.edu/vr/list.WBX>.

The answer to all of these must be “yes” in order for your dissertation to be complete.