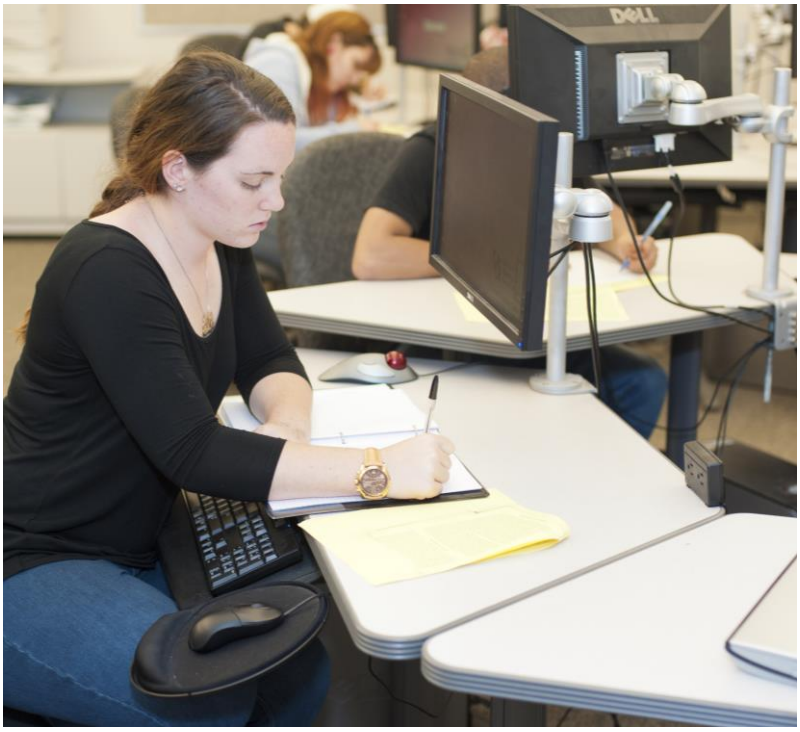
Dissertation and Thesis Guidelines

2015-2016

Office of the Graduate School
University of Arkansas at Little Rock
Ottenheimer Library – 5th Floor
2801 South University
Little Rock, AR 72204



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INTRODUCTION

All candidates for advanced degrees should confer with their advisors and members of their graduate advisory committees to learn about any special departmental requirements for preparing graduate degree documents. In general, theses and dissertations should display students' abilities to conduct scholarly investigation at an advanced level. Details of the project and the means for pursuit should be determined jointly by the student, faculty advisor, and graduate advisory committee.

FINAL PROJECTS

Students completing final projects other than theses and dissertations should check with their graduate coordinators for specific instructions and deadlines. The *UALR Dissertation and Thesis Guidelines* may be used for final projects, though formal approval from the graduate dean is not necessary. There are no institutional requirements for digital submission of final projects other than theses or dissertations, so submission deadlines to the Graduate School do not apply.

REQUIRED FORMS

After their committee has been formed, students should check with their department to ensure that they have submitted a completed **Appointment of Supervisory Committee form** to the Graduate School.

When projects are completed, students' advisors/graduate coordinators must submit a completed **Report of the Supervisory or Examining Committee form**. Students should check to make sure that this form has been filed with the Graduate School.

Additionally, students who are binding their theses or dissertations must include signed copies of the **approval page** in each bound book. A template for the approval page can be found on the Graduate School website. It is also identical to the third required page of the front matter, except that it includes lines for signatures; see example pages at the end of the guidelines. See the Optional Binding Procedures section for more information.

Please see Table 1 on the following page for the mandatory form and project submission schedule.

Table 1. Summary of Steps and Required Forms

What?	When?	Where?
1. Check that your program has submitted Appointment of Supervisory Committee form	At beginning of project	Graduate School
2. Apply for graduation	At beginning of graduating term. See http://ualr.edu/records/apply-to-graduate/	boss.ualr.edu
3. Schedule thesis/dissertation defense	Well in advance of Graduate School's submission deadline. Dates should be set early to allow for revisions required by committees.	With faculty advisor and committee
4. Submit one original copy of defended thesis/dissertation for review	Before deadline (Table 3).	Graduate School
5. Check that your program has submitted signed Supervisory or Examining Committee Report form	Form must be submitted by the same deadline as the thesis/dissertation.	Graduate School
6. Upload thesis/dissertation to ProQuest	After all requested revisions have been made.	ProQuest website
7. Optional: Pay expenses to ProQuest for copyright or embargo	At time of thesis/dissertation uploading	Online at ProQuest
Optional: Steps for Binding		
Pay all binding expenses	At time of delivery of final, unbound copies to the Graduate School. Bring receipt to Graduate School.	UALR Cashier's Office
Deliver correct number of unbound copies	After Graduate School format review has been completed.	Graduate School

STYLE GUIDES

In addition to following the *UALR Dissertation and Thesis Guidelines*, theses or dissertations must be prepared in accordance with a nationally recognized standard for style and citation, which differ widely amongst programs. Most programs at UALR will recommend a style manual for their discipline. As a courtesy to outside members of your

committee, you should indicate in a note which style manual you used.

Candidates are free to use the style manual suitable to their disciplines, as long as it complies with the format and content guidelines given in this publication. Only the most recent editions of style manuals should be used, and the style must be consistent throughout. If your style manual conflicts with the *UALR Dissertation and Thesis Guidelines*, the requirements of the *Guidelines* should be followed.

If you need assistance citing references or choosing the right style manual for your field, visit ualr.libguides.com. On that site, you will find online style manuals as well as RefWorks, a program that will help you cite your references.

USING JOURNAL ARTICLES AS CHAPTERS OR SECTIONS

Occasionally, theses/dissertations may include articles that have been or will be submitted to journals for publication. **The student must be the first author of each article submitted.** Individual articles serving as chapters might not all have the same internal structure. It is acceptable for each chapter to be presented in the style appropriate to the journal.

If any of your chapters are also journal articles, you must include a preface before the body of the thesis/dissertation stating to which journals the chapters have been submitted for publication. A preface before each chapter is not necessary. See Table 2 for the proper placement.

The standard requirements for margins, figures, tables, and the other elements covered in this guide apply to theses/dissertations that include journal articles. Reference sections should follow the style of the journal to which you submitted the article. Continuous pagination is required throughout the body of the manuscript.

FORMATTING

NOTE: bound copies of theses and dissertations are no longer required by the Graduate School. However, your program may still require bound copies; you should check with them to be sure. If you choose to bind copies, your margins need to be 1.5 inches on the left and 1 inch on the top, right, and bottom; these margins are acceptable for your ProQuest submission as well. You may also leave signature lines in your front matter for your ProQuest submission.

Margins

If you are not binding, left, right, top, and bottom margins must be 1 inch in **all** sections of the thesis/dissertation, including front matter and references.

Paragraphs, Justification, and Text Arrangement

- Paragraph formatting should be consistent throughout the document.
- New paragraphs should be indented.
- Except where the guidelines specify otherwise, all text must be **left justified**.
- A new paragraph beginning at the bottom of a page must have at least two **full** lines of text before a page break occurs. If two full lines will not fit at the bottom of the page, the entire paragraph should be moved to the following page.

- A paragraph ending at the top of a page must have at least two full lines of text. The preceding page may be shorter to allow for this adjustment.

Line Spacing

- Double space all material, including the table of contents, the body of the thesis/dissertation, and the reference/bibliography section, except the sections listed below.
- Single space the title page, the copyright page, the approval page, the fair use page, and the title section (title, name, and graduation date) of the abstract page. Examples of these pages are given at the end of this document.
- If included, footnotes and endnotes may be single spaced.
- Do **not** hyphenate words at the end of a line.

Font Styles and Sizes

You may choose one font for headings and subheadings and a different font for body text. However, the fonts you choose must be used consistently throughout the manuscript. You must select an embedded TrueType font that will upload easily to ProQuest (*see "Submission to ProQuest"*). Script fonts may not be used.

Examples of TrueType fonts include:

- Arial (*example of a sans serif font*)
- Times New Roman (*example of a serif font*)
- Century
- Courier New
- Garamond
- Georgia
- Microsoft Sans Serif
- Tahoma
- Trebuchet MS
- Verdana

Serif fonts have small decorative lines ("serifs") added to the basic form of characters, while sans serif fonts do not. You may choose to use either or both font types—one for headings, one for body text—in your thesis/dissertation. Generally, sans serif fonts are more easily read in electronic forms and serif fonts in printed materials. In order to ensure that your document can be microfilmed clearly, choose a font with no more than 10 or 12 characters per inch.

Required font sizes:

- Use 12-point fonts for regular text.
- Headings may be 14- or 16-point.
- Embedded tables, figures, captions, etc. may be smaller than 12-point but must be at least 10-point.

Symbols and Greek letters may be used in equations, formulae, and other non-text presentations. Italics may be used for special emphasis, foreign words, and the citation of titles of books, magazines/journals, or newspapers.

Illustrative Material

Charts, graphs, tables, and other illustrative material may be in color ink, but make sure your colors will be distinct in greyscale. **All illustrative material must stay in the regular, required page margins.**

If you use figures, illustrations, tables, symbols, abbreviations, and/or nomenclature, you must include a corresponding list of each after your table of contents. The list of figures or illustrations and the list of tables must include the page numbers for each figure, illustration, and table. The following lists should be separate, starting on their own page and named and ordered as they appear below.

- List of Figures or Illustrations
- List of Tables
- List of Symbols
- List of Abbreviations
- List of Nomenclature

Arrangement and Numbering of Pages

See Table 2 for a comprehensive breakdown of page numbering requirements.

- Certain front matter pages do not require numbering, as noted in Table 2. Also see the example pages at the end of this document for reference.
- All pages from the first page of the table of contents to the page immediately before the introduction must have lowercase Roman numerals (v, vi, vii, etc.).
    - Roman numerals should be centered 1 inch from the bottom of the page.
    - The pages before the table of contents are counted but not numbered. As a result, your first roman numeral will never be "i".
- Arabic numerals (1, 2, 3, etc.) must be used in the main body text, and in all subsequent sections of the document.
    - Arabic numeral page numbers should be placed 1 inch from the right edge in the top corner and .5 inches from the top of the page.
    - The page numbering for the main body text starts over at 1.
    - Arabic numerals should be consecutive through the appendices.
- Insert a section break after front matter to change your numbering styles.
- The contents of all lists, including the table of contents, list of figures, and list of tables, should be **aligned flush with the one inch right-hand margin**. You may use dot leaders or lines between the titles of document parts and their corresponding page numbers. See this document's table of contents for an example.
- Numbers on landscape pages should be placed in the right-hand corner and oriented the same as page numbers on portrait pages. Note: The top of landscape pages should face the left side of the page.

Example of page numbering for landscape pages

Table 2. Arrangement and Numbering of Pages

Order	Requirements	Page Number Placement	Listed in Table of Contents
Front Matter	**Required/Optional**	**Lower-Case Roman Numerals**	**Yes/No**
Title Page	Required	Count but do not number	No
Copyright Page	Required	Count but do not number	No
Approval Page	Required	Count but do not number	No
Fair Use and Duplication Page	Required	Count but do not number	No
Abstract	Required	Count but do not number	No
Dedication	Optional	Count but do not number	No
Acknowledgments	Optional	Count but do not number	No
Protocol/IRB Approval Statement	Required if needed	Count but do not number	No
Table of Contents	Required	Bottom center	No
List of Figures or Illustrations	Required if used in text	Bottom center	Yes
List of Tables	Required if used in text	Bottom center	Yes
List of Symbols, Abbreviations, Nomenclature	Required if used and not explained in text	Bottom center	Yes
Preface	Optional	Bottom center	Yes
Body Text	**Required/Optional**	**Arabic Numerals, Starting over at 1**	**Yes/No**
Introduction	Optional	Upper right corner	Yes
Body of Text	Required	Upper right corner	Yes. List all Headings.
End Matter	**Required/Optional**	**Arabic Numerals (continue sequential numbering)**	**Yes/No**
Endnotes	Optional. If used, format according to discipline's style manual.	Upper right corner	Yes
References	Required if used in text. Format according to discipline's style manual.	Upper right corner	Yes
Appendices	Optional	Upper right corner	Yes. List each Appendix.

GRADUATION APPLICATIONS

In addition to meeting the deadlines listed in Table 3, all students must apply for graduation via their BOSS accounts (boss.ualr.edu). Applications should be submitted by the deadline for the semester in which a student expects to graduate. Applications submitted after the deadline will not be accepted. For specific graduation application deadlines, check http://ualr.edu/records/.

If students do not satisfy their requirements by the original graduation date, **they must reapply** for graduation. **Graduation applications do not roll over**. For example, if a student applies for spring graduation by the spring application deadline but is not able to complete graduation requirements until the summer, the student must apply for summer graduation by the summer application deadline date. Graduate program coordinators must also complete all appropriate sections for **each** graduation application.

	FORMAT REVIEW	SIGNED REPORT FORM	PROQUEST SUBMISSION
WHAT	One unbound, successfully defended copy due to Graduate School. Digital or hard copy accepted.	Signed Supervisory or Examining Committee Report form due to the Graduate School, submitted by dept.	One copy in PDF form, with all requested corrections made, due to ProQuest site.
WHEN	Fall graduation: December 1 at 5:00 p.m.		As soon as possible after corrections have been made.
	Spring Graduation: May 1 at 5:00 p.m.		
	Summer Graduation: August 1 at 5:00 p.m.		

Table 3. Deadlines for Theses and Dissertations

OTHER POLICY MATTERS

Protocols for Research Involving Human or Animal Subjects or Biohazardous Material

Candidates using surveys, experiments, etc. involving human subjects or animals should contact the Office of Research and Sponsored Programs (ORSP) **before they begin their research**. Research involving human or animal subjects must be reviewed by the Institutional Review Board (IRB) or Institutional Animal Care and Use Committee (IACUC), even to document that IRB approval is not needed for the research design. (*See ualr.edu/irb/ for IRB information.*)

Likewise, research involving recombinant DNA, radioisotopes, or other hazardous materials must receive prior approval from the Environmental Health and Safety Committee (EHSC) or Radiation Safety Committee (RSC). Students should contact their advisor early for the appropriate action if their research involves biohazardous materials.

If a student's project has been approved by the IRB, IACUC, EHSC, or RSC, an official **Protocol Approval Statement** must be included in the thesis or dissertation (*see appropriate order in Table 2*), listing the name of the project, committee name, approval date, and protocol number.

Plagiarism

Claiming the exact words, paraphrases, ideas, arguments, or thoughts of another as your own is plagiarism, and UALR Policies require disciplinary action (possibly including dismissal) and/or grade adjustments for this offense. Quotation marks should be used to indicate the exact words of another. **Each time** you paraphrase the words of another (such as in summarizing passages, rearranging sentence order, or changing words), or reference someone else's ideas, you must credit the source in your writing. Most style manuals define plagiarism and cite examples, telling you how to avoid it. For more information about plagiarism, you can visit ualr.edu/writingcenter/index.php/plagiarism or ualr.edu/copyright.

Intellectual Property

If your project involves an invention or idea that could be patented, your faculty advisor must submit a UA Invention Disclosure Form to the UALR Patent and Copyright Committee. If you believe your ideas may be patentable, speak to your project advisor immediately about privacy issues. The circulation of your thesis or dissertation as well as your project defense can be affected pending the Committee's examination. For more information, visit ualr.edu/techlaunch/home/for-inventors/disclosing-your-invention/.

THESIS AND DISSERTATION SUBMISSION

To satisfy the Graduate School's thesis and dissertation requirements, students must submit a final, defended copy of their project by the appropriate deadline (*see Table 3*) to the Graduate School for review and, after making any requested changes, submit an **electronic copy in PDF** form to ProQuest (See "Submission to ProQuest" below). The thesis or dissertation must then be accepted in ProQuest. Graduate degrees will not be posted to transcripts nor diplomas distributed until final copies of theses and dissertations are approved by the Graduate School and a PDF version of the project is uploaded to and accepted on ProQuest.

Format Review Submission

Students must submit **one** original, successfully defended copy of their theses/dissertations to the Graduate School by the deadline given in Table 3. This review copy can be submitted as either a digital or hard copy. Digital submissions should be emailed as Word documents to gradtdreview@ualr.edu. Hard copies can be brought to the Graduate Admissions window from 8:00 a.m. to 5:00 p.m., Monday through Friday.

The Graduate School will conduct a format review and contact the student when it is complete. After you have been contacted, you may pick up your copy with revisions marked at the Graduate Admissions window during the above hours. If you submitted a digital copy, your revisions will be sent to you digitally.

If the Graduate School asks for revisions, students do not need to resubmit another

copy for review before uploading their thesis or dissertation to ProQuest.

Submission to ProQuest

After your review is complete and you have made all requested revisions, you must upload a PDF version of your dissertation or thesis to ProQuest, which can be accessed through the Graduate School website or at www.etdadmin.com/cgi-bin/school?siteId=64. ProQuest makes it possible for scholars throughout the world to consult your dissertation or thesis through University Microfilms International (UMI).Students should follow the directions on the ProQuest website for preparing their manuscripts for submission to ProQuest/UMI. The ProQuest site also has instructions for submitting supplementary CD or DVD material.

After you upload your thesis or dissertation, ProQuest will notify the Graduate School that it is ready for review and approval. The Graduate School reviews and approves all UALR ProQuest submissions before they are posted to UMI. **Theses/dissertations will not be accepted if they do not comply with the Graduate School's requirements.** If more revisions are requested, be sure to make all requested changes and resubmit to ProQuest in a timely manner.

Copyright Registration

ProQuest offers to register your dissertation/thesis copyright with the Library of Congress Copyright Office *(See Table 4 for price).* As you decide whether to register your copyright, be aware that any work of original authorship is protected by copyright, even without registration. However, you may not be able to collect damages from someone who infringes on your copyright unless you have registered it with the Library of Congress.

You may register your copyright yourself at any time within five years of the completion of your thesis/dissertation. If you choose to have ProQuest/UMI register the copyright for you when you upload your thesis/dissertation, please pay the appropriate fee on the ProQuest site. For more information on copyrights, visit ualr.edu/copyright/.

If you used journal articles in your thesis or dissertation that have been published or submitted for publication elsewhere, please note that ProQuest allows you to place an embargo or restriction on your publication so that it is not distributed on the UMI site.

Table 4. Expenses

Item	Required/Optional	Amount	Payment Method
Copyright expenses	Optional	$65	Payable on ProQuest site
Binding	Optional	$18 per copy	Payable at the UALR Cashier's Office (Student Services 120)

OPTIONAL BINDING PROCEDURES

As of spring 2014, the Graduate School no longer requires bound copies of theses/dissertations. Some programs may still require bound theses/dissertations; you should check with your program to verify requirements. You may also still order bound copies for personal use. If you or your program would like bound copies, you may order them through the Graduate School.

If you choose to bind, each copy submitted for binding must include a signed approval form (signature page) in place of the approval page. Additionally, each copy must include a signed fair use page. Please see ualr.edu/gradschool/home/thesis-and-dissertation-information for approval form templates.

The Graduate School recommends waiting to bind until after your dissertation/thesis has been accepted in ProQuest, but you may choose to bind any time after your successful defense.

Binding Steps

Print out the desired number of copies of your thesis/dissertation. Theses and dissertations must be single sided and printed in **all black ink** using a letter-quality or laser printer. We recommend using 24 lb bond, acid-free, white paper. Paper does **NOT** need to be 100% cotton. 24 lb bond, acid-free, white paper can be purchased in the UALR Bookstore and at local office supply stores.

Separate each copy with a piece of colored paper. Before delivering the copies to the Graduate School, pay the appropriate binding fees at the Cashier's office (*see Table 4 for price*). Deliver your copies to the Graduate Admissions window, along with a copy of your receipt for the Graduate School's records.

The Graduate School will send your copies to a bindery and email you when the bound copies are ready for you to pick up. If titles are too long to fit on the spine, they will be truncated using ellipses (see example below). The front cover of the book will include the full thesis/dissertation title.

Example of printing on book spine: Line 1— Name, Degree, Date. Line 2 —Title

Mary A. Smith, M.S. 2007
An Ethnographic Study of Indigenous. . .

EXAMPLE PAGES

Note: "Thesis" is used in the following examples, but if you are writing a dissertation, you should replace every usage of it with "dissertation."

The following are full-page examples of the title page, approval page (both advisor and co-advisor option), fair use and duplication page, and abstract page that must be included at the beginning of your thesis or dissertation.

The format of the version you create must have the exact same arrangement, wording, punctuation, capitalization, and spacing as the following examples, with your own information replacing the [bracketed] information. Your information should be in neither italics nor brackets unless otherwise explicitly stated, but it should be bolded if the example text is bolded. You should change the fonts to match the fonts you are using.

Title Page

On the title page, be sure your formal degree is listed correctly. For example, use "Doctor of Philosophy" and not PhD, or "Master of Arts" and not Master's degree. Check with your program coordinator if you are unsure of the formal title of your degree.

Approval Page

Include only one approval page, choosing the first option if you had one advisor or the second option if you had a co-advisor on your committee.

If you are having your thesis/dissertation bound, include lines for signatures above each name.

If your college requires the name of your college dean on the approval page, you should include a name block for the college dean **before** the graduate dean's name block. Please check with your advisor and graduate coordinator if you have questions about the required faculty approval in your college.

When creating a name block for your advisor (and co-advisor, if applicable), committee members, program coordinator, and the graduate dean on the approval page, do **not** include their titles—Dr., Mr., Ms., etc.—before their names and do **not** include their academic degree, such as Ph.D., M.S., MD, etc.. Use only first and last name on the first line and academic rank and department, such as Professor of History, Associate Professor of Mathematics, etc., on the second line. Additionally, verify with each faculty member that you have the correct academic rank and department for each BEFORE you submit your thesis/dissertation.

Fair Use Page

In the duplication section of the fair use page, include only the statement that you are agreeing to. If you are having your thesis/dissertation bound, add a line for your signature under the duplication section.

[COMPLETE THESIS TITLE ALL IN CAPS]

A Thesis Submitted
to the Graduate School
University of Arkansas at Little Rock

in partial fulfillment of requirements
for the degree of

[YOUR FULL DEGREE TITLE IN CAPS]

in [Program Title]

in the Department of [Department Name]
of the College of [College Name]

[Month and Year of Graduation]

[Your full name as it appears on University records]

[Previous degrees, awarding institutions, and conferral years]

© Copyright by
[Your full name as it appears in university records]
[The year of your degree]

[Approval page, advisor option]

This thesis, “[The Complete Title of Your Document],” by [your full name here as it appears on university records], is approved by:

Thesis Advisor:

[Full name of Thesis Advisor]
*(*For example, Bob Smith*)*
[Academic Rank and Department]
*(*For example, Professor of Chemistry*)*

Thesis Committee
[include as many name blocks as needed]:

[Full name of committee member]
[Academic Rank and Department]

[Full name of committee member]
[Academic Rank and Department]

[Full name of committee member]
[Academic Rank and Department]

Program Coordinator:

[Full name of program coordinator]
[Academic Rank and Department]

Graduate Dean:

[Full name of Graduate Dean]
[Academic Rank and Department]

[Approval page, co-advisor option]

This thesis, “[The Complete Title of Your Document],” by [your full name here as it appears on university records], is approved by:

Thesis Advisor:	[Full name of Thesis Advisor] *(*For example, Bob Smith*)* [Academic Rank and Department] *(*For example, Professor of Chemistry*)*
Thesis Co-Advisor:	[Full name of Thesis Co-Advisor] [Academic Rank and Department]
Thesis Committee [include as many name blocks as needed]:	[Full name of committee member] [Academic Rank and Department]
	[Full name of committee member] [Academic Rank and Department]
	[Full name of committee member] [Academic Rank and Department]
Program Coordinator:	[Full name of Program Coordinator] [Academic Rank and Department]
Graduate Dean:	[Full name of Graduate Dean] [Academic Rank and Department]

Fair Use

This thesis is protected by the Copyright Laws of the United States (Public Law 94-553, revised in 1976). Consistent with fair use as defined in the Copyright Laws, brief quotations from this material are allowed with proper acknowledgment. Use of this material for financial gain without the author's express written permission is not allowed.

Duplication [Include only one]

I authorize the Head of Interlibrary Loan or the Head of Archives at the Ottenheimer Library at the University of Arkansas at Little Rock to arrange for duplication of this thesis for educational or scholarly purposes when so requested by a library user. The duplication will be at the user's expense.

I refuse permission for this thesis to be duplicated in whole or in part.

NOTE: Title section should be left-aligned, single spaced, and bolded

[FULL TITLE OF YOUR THESIS OR DISSERTATION IN CAPS] by [Your name as it appears on University records], [graduation month and year]

ABSTRACT

[Type the body of your abstract here, double spaced throughout. Abstracts for dissertations cannot exceed 350 words, and in most cases, they should be no longer than one page. Abstracts for theses cannot exceed 150 words.

Use only text in an abstract—no tables, figures, pictures, formulae, etc. Do not justify right-hand margin. Like all the pages before it, count the abstract page but do not number it at the bottom.]