

# Guidelines

## FOR PREPARING THE DISSERTATION AND THESIS



*“Rejoice in the Lord always, and again I will say, rejoice. . .  
the God of peace will be with you.”*

*Philippians 4:4 & 9b*

# PREFACE

**Spring 2012 Formatting Workshops TBA**  
**Watch for details @ [www.baylor.edu/graduate/edt](http://www.baylor.edu/graduate/edt)**

## RECENT REVISIONS:

**Copyright/Plagiarism:** Copyright/Plagiarism information has been added, pp. 9-10 and p. 12.

**UMI/Proquest:** There is *no charge* for submitting to UMI/Proquest. This step is *required* for doctoral students, and we encourage master's students to submit to UMI/Proquest. See pp. 19-20.

**Survey of Earned Doctorates:** FOR DOCTORAL STUDENTS ONLY. Refer to the *Guidelines*, Electronic Processing, p. 19. The survey site for ProQuest has been updated. This is a *required* part of the dissertation process.

You, your major professor, and the Graduate School will work together to produce your dissertation or thesis. Your objective is for the content and its presentation to meet the highest professional standards of your discipline, in the context of *Guidelines* developed by the Graduate School of Baylor University.

- You are responsible for the formatting of your dissertation or thesis as part of the requirements for graduation.
- **If you do not have the skills to complete this task, then it is your responsibility to find help.**
- Preliminary Review is required. Schedule at least 2 weeks before date of oral examination, preferably one month before.
- We provide training workshops for you, and Mrs. Harman will gladly assist with any questions you may have. *[Please note that when you see ITS lab times scheduled, the ITS staff is there to instruct and teach you how to accomplish the formatting tasks with which you are having trouble. They are not prepared to DO the tasks for you—that is your responsibility. This is a service they provide in addition to their regularly scheduled ITS duties. Please remember to express your appreciation to them.]*
- *However*, the Graduate School anticipates that you will have the document in almost-perfect formatting shape when first presented for review.
- In order to reduce the need to review your document multiple times, please be careful to check all sections before presenting the final product.
- Approved final copy due to Graduate School 10 days after the defense.
- The Graduate School *Guidelines* supersede the style manual chosen by the department.
- Do **not** refer to previous dissertations or theses for formatting.



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## GUIDELINES FOR PREPARING DISSERTATIONS AND THESES

The Graduate School, Baylor University, Waco, Texas

Most graduate programs at Baylor University require graduate students to conduct a project that represents independent research or some other form of advanced scholarship. The products of such scholarship are dissertations (for doctoral programs) and theses (for master's programs). These documents are archived digitally in various collections on campus and are made available internationally via ProQuest Dissertation Services. The quality of these works reflects the standards of Baylor University, the Graduate School, your department or institute, and the professors who work with you on this project. Most importantly, the quality of your dissertation or thesis directly reflects *your* professionalism.

The responsibility for the content of your dissertation/thesis rests solely with you and your advisory committee. Also, with guidance from your advisory committee, you are responsible for presenting the document in proper writing style and format. The Graduate School defines in this document the style and format that applies to all dissertations and theses across the University. The purpose of this set of *Guidelines* is to assist you in doing the job effectively and efficiently. The *Guidelines* are revised each semester, so be sure you are working with the current version; the most recent edition is available on [the Baylor Graduate School webpage devoted to dissertations and theses](#). If you are unable to download a copy, you may obtain one from the Graduate School at the beginning of each semester.

Our intent in these *Guidelines* is to provide for a certain level of uniformity of style across the University, while allowing a reasonable degree of flexibility to accommodate the discipline-specific needs of each academic field. These *Guidelines* are based on the view that dissertations and theses are in themselves final products. Hence, some of the specifications for dissertations and theses do differ from those that traditionally pertain to manuscripts submitted to journals or to book publishers.

These *Guidelines* list manuals of style as selected by each department, prescribe the format for the preliminary pages, specify margins and spacing, indicate acceptable ways for handling figures and tables, give formatting directions for the reference pages, and address the process of approval and electronic submission of dissertations and theses. Our desire is to assist you in producing the best possible product, one that you and all others concerned will be proud of far into the future. We are happy to help with questions throughout the process of completing the dissertation or thesis. Please stop by our office or call ahead for an appointment (254-710-3582) if you need assistance. If you live outside the Waco area, you may reach us at 800-BAYLOR U (800-229-5678); option #2 on the menu.

## Style and Format

### *Manuals of Style*

Following each of the style guides below is a list of the departments, programs, and institutes that have officially adopted that particular title as the authority for the style to be followed in all dissertations and theses in that program. All dissertations and theses within a department (or specific division of a department as noted below) follow the same style guide. Where there is conflict, Graduate School specifications supersede departmental or division style. Where neither departmental nor Graduate School specifications resolve a question, the format specified in Turabian's *A Manual for Writers of Term Papers, Theses, and Dissertations* applies. Be consistent in use of the adopted style throughout the document.

American Institute of Physics Publication Board. *AIP Style Manual*. 4th ed. New York: American Institute of Physics, 1990.  
Adopted by: Physics

American Society of Mechanical Engineers (ASME) Style Guide. [Available online](#).  
Adopted by: Mechanical Engineering

American Statistical Association. *American Statistical Association Style Guide*. [Available online](#).  
Adopted by: Statistics

*The Chicago Manual of Style*. 15th ed. Chicago: University of Chicago Press. 2003. [Available online](#).  
Adopted by: Communication Studies – Rhetorical Track w/Medhurst; Computer Science

Council of Science Editors Style Manual Committee. *Scientific Style and Format: The CSE Manual for Authors, Editors, and Publishers*. 7th ed. Reston (VA): The Council; 2006.  
Adopted by: Biology; Biomedical Studies - Biological Science Track

Coghill, Anne M. and Lorrin R. Garson, eds. *The ACS Style Guide: Effective Communication of Scientific Information*. 3<sup>rd</sup> ed., Washington, D.C.: American Chemical Society, 2006.  
Adopted by: Biomedical Studies - Chemistry Track; Chemistry

Gibaldi, Joseph. *MLA Handbook for Writers of Research Papers*. 7th ed. New York: Modern Language Association of America. 2009.  
Adopted by: American Studies - Literary Track; English; Modern Foreign Language – Spanish; Theater Arts

Hansen, Wallace R., ed. *Suggestions to Authors of the Reports of the United States Geological Survey*. 7th ed. Washington, D.C.: U.S. Government Printing Office, 1991.  
Adopted by: Geology

Institute of Electrical and Electronics Engineers, Inc. (IEEE). *Author Digital Toolbox*. [Available online](#).  
Adopted by: Electrical Engineering

*Publication Manual of the American Psychological Association*. 6th ed. Washington, D.C.: American Psychological Association, 2010.  
Adopted by: Communication Sciences and Disorders; Communication Studies; Curriculum and Instruction; Educational Administration, Educational Psychology; Journalism, School of Music - Music Education; Nursing; HHPR; Psychology and Neuroscience; Sociology

*The SBL Handbook of Style*. 1st ed. Peabody, MA: Hendrickson Publishers, 1999, 2004.  
Adopted by: Religion-Biblical Studies (Old Testament and New Testament)

Turabian, Kate L. *A Manual for Writers of Term Papers, Theses, and Dissertations: Chicago Style for Students and Researchers*. 7th ed. Chicago and London: University of Chicago Press, 2007.  
Adopted by: Baylor University Graduate School; American Studies - Historical Track; Church-State Studies; Environmental Science; Hankamer School of Business; History; Mathematics; Museum Studies; School of Music - Music History, Church Music, Music Theory, Composition; Philosophy; Political Science; Religion-Theological Studies and Historical Studies.

### *Typeface and Size*

Do not use ornamental typefaces. A serif font is required within the body of the document and preferred throughout, although some exceptions can be made in other areas, with approval of the Graduate School. Generally, use 12-point size throughout the document, although 10-point type may be used for notes to tables/figures and in footnotes and endnotes. Type that is 14-point or larger is not acceptable in text or tables. Within maps and other figures, a range of type sizes is acceptable, so long as reduction to page size does not render lettering and numbering illegible. Italicize rather than underscore. Bolding generally is not used anywhere in the document.

### *Margins*

All typing (except for pagination) and all parts of tables, figures, and appendices must fit within the specified margins: 1.5 inches on the left (binding edge); 1.0 inches at top (unless otherwise specified), bottom, and right edges.

### *Spacing*

Double-space the text throughout *except* for the following: Captions for tables and legends for figures are single-spaced. Block quotations are single-spaced. In the bibliography, single-space within entries, but double-space between entries. Likewise, footnotes or endnotes are single-spaced within and double-spaced between. Do not allow typed pages to have “widows” (a single line that ends a paragraph and is printed alone at the top of the next page) and “orphans” (the first line of a paragraph stranded at the bottom line of a page). Avoid breaking bibliography entries onto a following page. Use two spaces between sentences.

### *Placement of Page Numbers*

Pages that precede chapter one are referred to as **preliminary pages**. Some preliminary pages do not bear page numbers (e.g., abstract, signature/title, copyright page), whereas the paginated preliminary pages (e.g., table of contents, list of figures, list of tables, preface, acknowledgments, dedication) carry lowercase Roman numerals centered at the bottom of the page.

Beginning with the **first page of chapter one**, pagination (in Arabic numerals, beginning with page 1) is continuous throughout the document, including the reference pages.

Page numbers are the *only* typing on *any* page that goes outside of the margins specified above. All pages are numbered at the bottom of the page. Page numbers are to be centered between the left and right margins with the *top* of the numeral placed 0.75 inches from the bottom edge of the paper. (*Note: In order for page number*

*measurement to be accurate, the header and footer margin settings will be less than 0.75 inches. Often 0.60 or 0.65 inches is a workable setting.)*

### *Justification and Hyphenation*

Align text at the left margin (except for paragraph indentations). The right margin may be either uneven (ragged) or right-justified; select the form of justification that is appropriate for your discipline and apply that style in all sections of your document. Hyphenation at the right margin is permitted as long as it does not lead to ambiguity or cause difficulty in reading.

### *Footnotes*

If your department requires footnotes, or if you otherwise elect to use footnotes as allowed by your style guide, there are several rules which must be followed. It is wise to learn how to format footnotes before attempting to use them in your chapters, so as to avoid troublesome formatting problems in the final typing of the document.

- Use superscript numerals within the text at the point of reference. Footnotes are numbered consecutively by chapter (i.e., each chapter begins with number one).
- Footnotes must at least begin on the page where referenced.
- Footnotes are separated from the text by a short rule, or separator line. When a footnote is continued to the next page, a full length line may be used.
- The one-inch margin is maintained at the bottom of each page except on the last page of the chapter. When the text of the last page does not fill the entire page, the footnotes for that page follow directly under the text.
- The footnote number and first line of each footnote is indented the same as the paragraph indentation in the text. Within the footnote, the numeral may be typed superscript before the text, as formatted in the automatic Word footnote program, or on the line followed by a period (with a space following the period, before the text).
- Full footnote reference may be repeated or not at the beginning of each chapter, as preferred by the department. It is desirable to repeat the full reference if the dissertation or thesis is lengthy, thereby providing better accessibility to the reader.
- Each footnote is single-spaced, with a double space between footnotes.
- Footnotes may be typed in 10- or 12-point font.

### *Headings*

Five levels of headings and subheadings are generally available. (If additional subheadings are needed, please consult with Mrs. Harman in the office of the Associate Dean for Graduate Studies and Research.) The *first level*, used to designate chapter number, is centered and typed in all uppercase letters with the number spelled out. The *second level*, which indicates the title of the chapter, is centered with uppercase and lowercase lettering (i.e., headline style: see Turabian, 22.3.1, p. 314). There will be only one level one heading and one level two heading per chapter. The *third level* is centered and italicized with uppercase and lowercase lettering. The *fourth level* is typed flush at



the left margin and italicized with uppercase and lowercase lettering; text begins, following a double space below. The *fifth level* is indented at the beginning of the paragraph, all italics, using sentence-style capitalization, ending in a period (which also is italicized) and followed by 2 spaces; text continues after the heading on the same line. These heading levels are illustrated in the following example:

CHAPTER TWO [level 1]  
 ¶  
 Methods and Materials [level 2]  
 ¶  
 ¶  
*Analysis of Data* [level 3]  
 ¶  
 ¶  
*Univariate Statistics* [level 4]  
 ¶  
 ¶  
*Analyses of variance.* [level 5: text continues on this line]

To enhance separation of sections of text, leave a triple-space **above** headings of levels 3, 4, and 5, as shown above. When a heading exceeds a single line of text, the heading should be single spaced, maintaining the specified spacing above and below it. (See “Body of Document—Chapters” for further explanation of spacing of heading levels.)

## Components of the Dissertation or Thesis

The document consists of four sets of pages: unpaginated preliminary pages, paginated preliminary pages, body, and reference pages. This section of the *Guidelines* indicates the sequence of these pages and specifications pertaining to these pages. Following is a quick reference of the order of pages. Explanations are included under each paragraph heading.

Abstract  
 Unsigned Signature/Title Page  
 Copyright page  
 Table of Contents  
 List of Figures  
 List of Schemes  
 List of Tables  
 List of Abbreviations  
 Glossary (if used)  
 Preface  
 Acknowledgments  
 Dedication  
 Epigraph  
 Chapters, in sequence  
 Endnotes (if used)  
 Appendices  
 Bibliography  
 Index (optional)

## *Unpaginated Preliminary Pages*

### *Abstract*

The abstract briefly summarizes the contents of the document. For dissertations, the abstract is limited to 350 words; for theses, 150 words. Be advised that editors at UMI Dissertation Services, without consulting the author, will shorten abstracts that exceed these limits.

*Appendix A* depicts the format for the abstract. The word “ABSTRACT” is a first-level heading and is capitalized, centered, and positioned 2.5 inches below the top of the page. After a double-space, type (centered) the full title of the dissertation or thesis in uppercase and lowercase lettering (i.e., headline style-Turabian, 22.3.1). Titles of two or more lines are single-spaced. **Be sure the title that appears on the Abstract is the same as on the Signature/Title page.** After another double-space, type (centered) the full name of the graduate student in uppercase and lowercase lettering exactly as written on the signature/title page. After another double-space, type (centered) “Mentor:” followed by the full name of the faculty mentor and his/her degree in uppercase and lowercase lettering. [Some programs may prefer a designation other than “Mentor”; alternatives include “Committee Chairperson”, “Thesis Chairperson”, or other suitable label. The practice followed should be consistent within a program; consult the Graduate Program Director in your department for the appropriate designation.] The body of the abstract then begins after a triple-space with the first line indented. Text of the Abstract is double spaced. As for all other pages in the document, the margins are 1.5 inches on the left and 1.0 inches at top (for pages other than the first one), right, and bottom. The Abstract page is an uncounted, unpaginated page.

### *Signature Page*

After printing and before obtaining these signatures, check with the Mrs. Harman in the Graduate School to verify that the format of the signature page is correct. Three signature pages, each bearing original signatures, are required. We recommend that these pages be printed and ready for committee members’ signatures upon approval of the dissertation or thesis at the time of the oral defense.

***To avoid placing signature images on the internet, an unsigned signature page is inserted in the final document for electronic submission.***

Complete and print three of these pages for signing at the defense. Keep an unsigned one to insert in the electronic document. It is preferable to use the **Word** formatted page from our website, found at [Forms Needed for the ETD, Signature Page](#).

The signature page is an uncounted, unpaginated page.

## Copyright Page

*About copyrights.* Dissertation and thesis students are entitled by law to claim copyright privileges, whether the copyright is registered or not. Therefore, all dissertations and theses will contain a copyright page with the information as listed below. You should discuss whether or not to register your copyright with your mentor and department; copyright information booklets are available for your use in the office of the Associate Dean for Graduate Studies and Research in the Graduate School. ProQuest has posted [a short, accessible copyright information booklet](#). A more extensive guide, entitled, “[Copyright Law & Graduate Research](#)” by Law Professor Kenneth D. Crews, may also be found on ProQuest’s website. The [U.S. Copyright Office](#) provides extensive information as well.

For dissertation students, copyright registration is optional; however, **traditional publishing through ProQuest is required for doctoral students**. Complete the ProQuest form [available online](#). There is no charge for submitting your dissertation or thesis to them.

*Formatting.* The typing on the copyright page consists of two centered lines typed near the bottom margin (*Appendix D*). The first line begins at **approximately** 9.5 inches below the top of the page; it includes the year of graduation and the name of the student as it appears elsewhere in the document (Turabian, A.2.1, p. 386). The second line follows after a double-space and reads “All rights reserved”, leaving a bottom margin of approximately one inch. The copyright page is counted as page “ii” but the page number is **not** typed onto this page.

## *Using Copyrighted Material and Avoiding Plagiarism in Dissertations and Theses*

Serious problems, both legal and scholarly, can result from plagiarism and copyright violations. Most material found in another source (third party content) is protected by copyright. Therefore, if this content is used in a dissertation or thesis (or any other research document)—whether paraphrased or directly quoted—there are two choices:

1. If a case for an exception to the copyright law ([Fair Use](#)) can be made, the third party content *must be appropriately cited*. This includes third party content that was created by the same person who is writing the dissertation or thesis, and it includes third party content that was created by the student’s advisor or mentor. In a situation where the student’s doctoral dissertation is based on that student’s master’s thesis, this fact should be acknowledged and the master’s thesis must be cited in the dissertation.
2. If no exception to copyright law can be applied, the creator of the dissertation or thesis must contact the copyright holder *to ask for and obtain permission* to use the content in the dissertation or thesis. This content still must be cited appropriately.

In many of Baylor's graduate programs, publication of dissertation research has become a requirement for earning the degree. Since you will need to include this published research in your dissertation, you need to be certain that the publisher of your journal article will allow you to do so. This is handled during the publication process as you negotiate the copyright assignment agreement with the journal publisher. For more information on this vital topic, consult the [Avoiding Copyright and Plagiarism Issues](#) document.

For each chapter of your dissertation or thesis that represents a published paper, you will need to provide the full literature citation for that published article. This is done on the first page of the chapter, following the chapter title. Double-space after the chapter title, then type "This chapter published as:" and then insert the full citation, using the format specified by your style guide. This citation statement will be centered. Following this statement, you will continue with spacing as specified under "Chapters" on p. 12.

Note also that you will submit a form, "[Copyright and Availability Form](#)," that certifies that you have obtained written permissions for use of copyrighted materials. We in the Graduate School office are here to assist you and your professor as you navigate these important matters. You may direct questions to [copyright@baylor.edu](mailto:copyright@baylor.edu)

### *Paginated Preliminary Pages*

#### *Table of Contents*

This section is required for all dissertations and theses. The title of this section is typed as a first-level heading, centered and all uppercase, approximately 1.5 inches from the top of the page, followed by a triple space. Include in the Table of Contents all sections that follow the Table of Contents (i.e., list of figures, list of tables, preface, acknowledgments, dedication, epigraph, the various chapters of the text, and the various references pages, such as appendices, glossary, list of abbreviations, bibliography, etc.). *The first page of the Table of Contents is the first page where numbering is shown.* It is usually page iii, but may be page iv if the Abstract is two pages. Lowercase Roman numeral pagination is used, centered and placed 0.75 inches from the bottom of the page. Pagination is continuous through the front matter from the first page of the Table of Contents.

Many styles are acceptable for the Table of Contents: Turabian (Figures A.3 & A.4, pp. 380-381) offers suitable examples. Whatever the style adopted, the following must be incorporated: Include at least the first three levels of headings; right-justify the page numbers (but not the entire line) for each included heading; on the lines bearing page numbers, the space between the last word of the heading and the page number may be left blank or may be occupied by ellipsis points (meaning, ellipses are optional, or may be used as the automatic table of contents feature places them), however follow the same style in the table of contents, the list of figures and the list of tables; double-space between headings, but single-space and indent any continuation lines of the same heading; and, text should not extend into the page number column.

### *List of Figures and List of Tables*

One or both of these pages are required if any figures (illustrations) or tables are included in the document. The titles of these sections are typed as first-level headings, centered and all uppercase, approximately 1.5 inches from the top of the page, followed by a triple space. These lists are paginated with lowercase Roman numerals centered, and placed 0.75 inches from the bottom of the page.

If the legend of a figure or caption to a table is brief, then include the entire legend or caption in the list; if the legend or caption is long, then an abbreviated legend or caption is acceptable. Right-justify the page numbers for each figure and table. On the lines bearing page numbers, the space between the last word of the legend or caption and the page number may be left blank or may be occupied by ellipsis points (*see Table of Contents section*), however follow the same style in the table of contents, the list of figures and the list of tables. Double-space between headings, but single-space and indent any continuation lines of the same heading. Text should not extend into the numbering column.

### *List of Abbreviations*

This page is optional (Turabian, A.2.2, p. 389-390). The title of this section is typed as a first-level heading, centered and all uppercase, approximately 1.5 inches from the top of the page, followed by a triple space. It is paginated with lowercase Roman numerals centered, and placed 0.75 inches from the bottom of the page. The entries are single-spaced where the text is more than one line, with a double space between entries.

### *Preface*

This page is optional (Turabian, A.2.1, p. 389). If this page is included, the title is typed as a first-level heading, centered and all uppercase, approximately 1.5 inches from the top of the page, followed by a triple space. This page is paginated with lowercase Roman numerals centered and placed 0.75 inches from the bottom of the page.

### *Acknowledgments* (This is the preferred spelling.)

An acknowledgments section traditionally is included in all dissertations and theses. The title is typed as a first-level heading, centered and all uppercase, approximately 1.5 inches from the top of the page, followed by a triple space. This section is paginated with Roman numerals centered and placed 0.75 inches from the bottom of the page. This is the place for the author to acknowledge professionally the various sources of direction, assistance, funding, etc. that facilitated the project. See Turabian (A.2.1, p. 389) for further clarification of remarks that are appropriate for inclusion. **Use complete sentences throughout the acknowledgments and double space this section.**

## *Dedication*

This page is optional (Turabian, A.2.1, p. 386). If this page is included, it may or may not bear the title “Dedication.” If the title is to be present, it is typed as a first-level heading, centered and all uppercase, approximately 1.5 inches from the top of the page. The text of this page is brief and is also centered. Typing of the text begins at approximately 3 inches below the top of the page. Generally, there is *no ending punctuation*. Numbering this page is optional, even though it is counted in pagination. If the page number is typed, it bears a lowercase Roman numeral centered and is placed 0.75 inches from the bottom of the page. The dedication is included in the table of contents.

## *Body of Document*

### *Chapters*

The body of the document consists of several sections called chapters. The number of chapters and their titles will vary by discipline or topic of the dissertation or thesis. Consult with your mentor or program director to determine the chapter designations (if any) that have been adopted by your program. For most dissertations and theses, CHAPTER ONE will be entitled “Introduction”. For scientific or experimental theses, the following sequence is often appropriate: CHAPTER TWO, “Materials and Methods”, CHAPTER THREE, “Results”, CHAPTER FOUR, “Discussion and Conclusions”. (Introductions and Conclusions are always labeled as chapters.)

The chapter designation, such as CHAPTER ONE, is a level one heading; it is centered, in all uppercase letters, and is placed at approximately 1.5 inches from the top of the page. Based on single spacing ([see note p. 13](#)), after a double-space, type the chapter title as a second level heading (centered, in uppercase and lowercase letters. After a triple-space, indent and begin typing the text. For instance:

CHAPTER NUMBER  
¶  
¶Chapter Title  
¶  
¶  
¶Text begins at this level.

If, however, this chapter has been published previously, then use the following arrangement:

CHAPTER NUMBER  
¶  
¶Chapter Title  
¶  
This chapter published as: citation statement as described on p. 10.  
¶  
¶  
¶Text begins at this level.

There will only be one level one heading and one level two heading in any chapter. If a level three heading is required immediately after the chapter title, leave a triple-space above it, but a double-space following. **Thus, the heading that immediately precedes text is followed by a double-space.** For instance,

Chapter Number  
¶  
¶Chapter Title  
¶  
¶  
¶Level Three Heading  
¶  
¶Text begins at this level.

*Note: An explanation of the meaning of double and triple spacing: For easy observation, when typing, have the paragraph symbol (¶) turned on. It is found in the Paragraph menu→Show-Hide→ paragraph symbol (¶) on Word 2007. Based on single spacing, for a double space, return once, leaving a blank line with one paragraph symbol, typing on the second return. For a triple space, again based on single spacing, leave two blank paragraph symbols between lines of text, typing on the third return.*

The page number for the first page of each chapter (and all other pages) is located at the bottom of the page, centered between the left and right margins and placed 0.75 inches from the bottom edge of the paper.

*Epigraphs.* An epigraph alludes to a central idea or theme in your thesis or dissertation. Per Turabian, 7<sup>th</sup> ed., p. 352, “Treat an epigraph at the beginning of a chapter or section as a block quotation,” indenting the entire epigraph at the same indent as you do for your block quotations. Do not justify the text of the quotation; instead leave a ragged right edge. “On the line below [the quotation], give the author and the title, flush right and preceded by an em dash.” A formal citation is not necessary.

## *Tables and Captions*

Numerous acceptable styles are available for production of tables and their captions (Turabian, Chapter. 8, p. 82 gives general specifications, and Chapter 26, p. 359 offers formatting help). Select one style from the style guide adopted by your department or institute, and follow that style consistently throughout your dissertation or thesis; Turabian (26.2, pp. 362-368) presents examples of several styles. Also, adhere to the *Guidelines* below.

All tables are referenced by number within the text, and ideally each table should come as close as possible after the first reference to it. Tables and their captions should be embedded within the text if the table and caption occupies less than approximately three-quarters of a page. The intent is to avoid blank space and, thereby, to produce a more finished product. The caption is single-spaced and is centered. Leave a triple-space between the preceding text and the caption, a double-space between the caption and the body of the table, and a triple-space below the table before resuming text. If the table and caption is greater than about three-quarters of a page, then allocate an entire page to that table; in such cases, center the table so that equal amounts of blank space occur above and below the table.

Tables are numbered sequentially throughout the text. Pages with tables are paginated in sequence with text pages. Pages with tables placed broadside (i.e., landscape; binding edge to top of table) bear page numbers oriented and positioned normally, not at the binding edge. Pages with tables placed broadside do not include text other than the caption to the table. Tables within an appendix are numbered with the letter of the appendix plus the number, sequentially beginning with number one in each appendix (i.e., A.1, B.1, etc.).

The typeface and font size used within a table should match the typeface used in the caption and in the text. If necessary to enable a table to fit onto one page rather than to continue onto a second page, then font size may be decreased to 10 point, but not smaller.

Borders which “box” individual elements in a table are not permitted. Typically, three horizontal lines are all that are allowed in formatting tables: one line above and one line below the column headings, and an ending line at the very bottom of the table. Generally, no vertical lines are used. Every column should have a heading. Consult your departmental style guide and the Graduate School for further instruction in creating tables.

**Please note that if tables are created in a program different to the one in which the entire document is formatted, any extra space, borders and extraneous information must be eliminated or condensed before moving the table into the text document, thereby reducing the need for extra, and sometimes difficult, formatting issues.**

## *Figures and Legends*



Numerous acceptable styles are available for production of figures and their legends (Turabian, Ch. 8, p. 82 gives general specifications, and Chapter 26, p.359 offers formatting help). Though there are provisions for properly handling oversized figures, figures and their legends should fit within the margins described elsewhere in these *Guidelines*. The advent of optical scanners and imagery software has made the process for inclusion of photographic prints and other such materials straightforward.

All figures are referenced by number within the text, and ideally each figure should come as close as possible after the first reference to it. Figures and their legends should be embedded within the text if the figure and legend occupy less than approximately three-quarters of a page. The intent is to avoid blank space and, thereby, to produce a more finished product. The legend is single-spaced and left-justified, except for short legends (one line or less) which may be centered. Leave a triple-space between the preceding text and the top of the figure, a double-space between the figure and the legend, and a triple-space below the legend before resuming text. If the figure and legend are greater than about three-quarters of a page, then allocate an entire page to that figure; in such cases, center the figure and legend so that equal amounts of blank space occur above and below the figure.

Figures are numbered sequentially throughout the text. Pages with figures are paginated in sequence with text pages. Pages with figures placed broadside (i.e., landscape; binding edge to top of figure) bear page numbers oriented normally, the same as set on a portrait page. Pages with figures placed broadside do not include text other than the legend to the figure. For figures too large to allow inclusion of the legend within the margins on the same page as the image, the legend is placed on the reverse of the preceding page; use of such facing-page legends enables the reader to view the figure and legend simultaneously. The front side of a page that carries a facing-page legend on the reverse bears only a page number; the page number is not typed on the reverse side of this page. Figures within an appendix are numbered with the letter of the appendix plus the number, sequentially beginning with number one in each appendix (i.e., A.1, B.1, etc.).

Black-and-white or color images are permissible. If the original of a figure is in color, then the figure should be reproduced in color. ProQuest/UMI Dissertation Services offers several recommendations regarding figures. Among them are that lines on graphs should be identified by labels or symbols rather than by colors. Also, use of different patterns (e.g., cross-hatching, stippling) offers more contrast than does use of different colors which photocopy as various shades of gray.

Ideally, the typeface used within a figure should match the typeface used in the text. Be consistent in use of the same typeface for all figures. Font size should not be smaller than 10 point. Generally, borders are not used around figures.

**Please note that if figures are created in a program different to the one in which the entire document is formatted, any extra space, borders and extraneous information ought to be eliminated or condensed before moving the figure into the text document, thereby reducing the need for extra, and sometimes difficult, formatting issues.**

## *Reference Pages*

The sequence of reference page sections is as follows: endnotes, if used (and if not done by chapter), appendices, additional reference material (e.g., glossary), bibliography, index. The only one of these that is *required* is a bibliography; others are included as appropriate. The titles of reference page sections are first level headings; they are centered, typed in all uppercase letters, and (except for appendices) placed at approximately 1.5 inches from the top of the page.

### *Appendices*

Appendices contain material that is too massive or is otherwise inappropriate to be incorporated within the body of the text. Turabian (A.2.3, p. 399) offers valuable guidance concerning appendices, however, the following paragraphs outline additional Graduate School specifications.

The section of the document containing appendices begins with a separator page that bears the word “APPENDIX” if only one is included, or “APPENDICES,” if more than one is included. This word is in uppercase lettering and is centered horizontally and vertically. The page number of this separator page is centered at the bottom of the page.

Appendices are designated with capital letters, beginning with A; if there is only one appendix, then do not assign it a letter. The first page of each appendix bears a first level heading, such as “APPENDIX C”, placed 1.5 inches from the top of the page, followed by a double-space, then a title (in the format of a level two heading).

Pagination is continuous with the rest of the document with page numbers placed at the bottom of the page, centered. If the material in an appendix is photocopied or scanned in from another source, then it, with its original pagination, must fit within the standard thesis margins. Be sure that reduction does not shrink printing so small that it is illegible. If photocopied material is included, it must be of high resolution. Be certain, too, that you have obtained permission from the copyright holder before including such material in your document. A copy of this permission letter should be included in the appendix.

### *Bibliography*

The title of this section varies by discipline, and may have been specified by your department or institute. Regardless of how this section is named, the title is a level one heading, centered, in all uppercase letters, and placed at approximately 1.5 inches from the top of the page. Entries start after a triple-space. Pagination is continuous with the rest of the document with page numbers placed at the bottom of the page, centered.

The specifications require single-spacing within entries and double-spacing between entries. Also required is the hanging-indentation style in which the first line of each entry

begins at the left margin and each subsequent line of the same entry is indented. Paragraph-style indentation is not acceptable in the bibliography.

The style used within a citation (e.g., sequencing of author, date, title, and other information; abbreviation or full spelling of periodical names; etc.) is generally at the discretion of the department or institute according to the style guide adopted by the department or institute. The one exception, however, is that inclusive pagination (not merely the number of the first page of an article) should be used. Also, use italics for titles, rather than underlining. Avoid breaking bibliography entries onto a following page. The same style should be used for all dissertations and theses within each department or institute.

### Processing of the Document

#### *Review of the Document*

We in the Graduate School are pleased to work with you throughout the process of producing your dissertation or thesis. Handling questions early in the process facilitates meeting the specifications and diminishes the problems and anxiety that often occur if questions are deferred until late in the process.

*Be sure you have filed for graduation by completing the Intent to Graduate form. The Intent to Graduate form is completed electronically and is found online at [the Current Student page](#). (Note that you will have to enter your Bear ID and password to access the online form.) For help, you may contact Mrs. Sherry Sims at [sherry\\_sims@baylor.edu](mailto:sherry_sims@baylor.edu). Also, you **must be registered for at least one hour of coursework during the semester of graduation**.*

Each semester, preliminary and final reviews are conducted on regular class days, beginning with the first day of classes through the Friday before commencement. We can best serve you through previously arranged appointments rather than drop-in visits.

For the preliminary technical review and the final review as discussed below, be sure the pages presented for review have been produced on the same computer using the same programs to be used for producing the final copy of the dissertation or thesis. This will avoid any distortion in the formatting of the document which sometimes happens when alternating between computer equipment.

#### *Preliminary Technical Review*

**The preliminary technical review is required during the semester of graduation. It must take place at least two weeks before the date of the oral examination, but may be scheduled as early in the semester as you are prepared, ideally a month or more in advance of your oral exam.**

Call or email ahead to schedule an appointment with the Assistant (Mrs. Sandra Harman, 254-710-3582; [Sandra\\_Harman@baylor.edu](mailto:Sandra_Harman@baylor.edu)) in the office of the Associate

Dean for Graduate Studies and Research in the Graduate School. Dissertation and thesis services are available from the first day of classes through the last day of classes during each semester, but must be scheduled to meet deadlines of the semester of graduation. Preference will be given to current semester graduates. If necessary, you may mail these pages, but faxed copies are not acceptable because of the loss of format and distortion that results from this form of transmission. The address for mailing is:

Mrs. Sandra Harman, Graduate School, Baylor University,  
One Bear Place #97264, Waco, TX 76798-7264

**Before you schedule a preliminary technical review, please be sure you have read the *Guidelines* carefully and have formatted every section of your document according to the specifications.** For this review, bring the following sample of pages on plain paper: abstract page, signature page (appropriately filled in but not yet signed), copyright page, table of contents, list of tables or figures (if applicable), acknowledgments, first page of chapter two, any inside page of chapter two, a page containing a table (if applicable), a page containing a figure (if applicable), a sample appendix page (if applicable), and the first and second pages of the bibliography. Bring a sample of any other pages where the style is different to the pages listed above.

**Doctoral students should turn in the completed [Doctoral Investment Form](#) at the time of the Preliminary Technical Review, as this information is used in the production of the commencement program.**

### *Final Review*

This review is required and occurs after successful defense of the dissertation or thesis. *Within 10 days of the defense, but prior to the semester deadline date*, submit the following to the Graduate School. (All of the following forms may be [found online](#).)

- the Preliminary Checklist (with steps initialed to indicate compliance),
- the “Approval of Final Dissertation/Thesis Copy” form signed by the mentor to indicate departmental approval (dissertation or thesis CANNOT be reviewed for final approval without the signed Final Approval form),
- two of the three signed signature pages. Two copies will be retained by the Graduate School and one copy is for the student. An *unsigned signature page* will be inserted into the document at the time of electronic submission.
- one of the two signed copies of the [Copyright and Availability](#) form, giving permission to post your document to the Electronic Libraries Beardocs site. One copy will be retained by the Graduate School and one copy will be retained by the student and to be used for electronic submission.

In addition to the paper forms, the dissertation or thesis is sent to Mrs. Harman via email attachment as a pdf-a file. In a separate file, the Copyright and Availability form is sent, having been scanned in and saved in pdf-a format. In a third file, the signed signature page is sent, having been scanned in and saved in pdf-a format. It will not have the Dean’s signature on it, as that will be added as part of the approval process. **Name your document attachments appropriately. For Ph.D. students, the dissertation**

name should be first name\_last name\_phd.pdf-a; for Ed.D. students, it should be named first name\_last name\_edd.pdf-a, and for all master's degree students, the thesis will be named first name\_last name\_masters.pdf-a. This file name should be retained throughout the submission process. The permission form is named in the same manner, i.e. first name\_last name\_permissions.pdf-a and the signature page \_signaturepage.pdf-a.

As part of the pdf-a document, the unsigned signature page follows the Abstract. The copyright page and the remaining pages of the document follow. Help and scanners are available through Electronic Libraries in the Moody Library computer lab (located on the garden level) or you may use a scanner of your own choosing if you are familiar with the use of such. There is also a scanner in Mrs. Harman's office that you are welcome to use.

In many cases, this final review reveals the need for changes to meet format specifications. These are minimized if you have followed the comments provided in the preliminary technical review and have worked closely with departmental and Graduate School *Guidelines*. Be sure to allow yourself time to make changes specified by your committee and the Graduate School. **Final approval of the pdf-a copy is necessary before you can proceed with the electronic submission and reach the final steps for graduation.** After reviewing your document, Mrs. Harman will contact you to review any changes necessary and give further okay to proceed.

### *Electronic Processing*

After Graduate School approval of the final pdf-a copy, instructions are given to advance to the successive steps of final submission.

Follow the steps in the [Submission Checklist](#) for successful steps leading to submission into Beardocs and the remaining steps to completion. Submission of your thesis/dissertation to Beardocs is required. Be sure to pay careful attention to naming your dissertation/thesis appropriately as stated above.

The dissertation or thesis is stored in Beardocs repository in the Baylor Electronic Libraries system on the Baylor server. The Graduate School will receive notification that the document has been uploaded. After a review, the Graduate School will either accept the document or reject and return it for additional changes. Email notice will be sent to the student, giving notice of acceptance or listing the necessary revisions.

After acceptance, the student advances to the next level toward completion.

**If you are a doctoral student, follow these directions:**

1. Proceed to [the Proquest/UMI website](#) for instructions for submission of your dissertation. It places your dissertation on the UMI Dissertation Services access server, hosted on ProQuest's website, for worldwide cataloging. The system will notify the Graduate School. Please be sure to **embed any special fonts in your Word document**, if necessary. **There is no charge for submitting your dissertation to UMI/ProQuest.**

2. You may also use the optional service of UMI/ProQuest to register your copyright with the US Copyright Office. Follow their directions. You and the Graduate School will receive notice of submission.
3. *Please note that there are no charges to be paid through the Graduate School. You are responsible for any bound copies desired and will pay the bindery directly. Options for binding are given below.*
4. At the time of acceptance of your electronic copy of the dissertation for final processing, access and complete the [Survey of Earned Doctorates](#). This is a **required** step in your completion of the dissertation submission process and the Graduate School will receive notice of completion.
5. Return all materials to the library, check out of your library carrel if necessary, and complete any lab and key clearances with your department. The Graduate School will receive notice that all these items are clear before your final clearance to graduate.
6. Upon completion of all the above steps, you will receive notice that your file has been sent to the records office in the Graduate School for final clearance to graduate. If there are issues with your course audit, you will be notified through your department of any necessary details.

**If you are a master's student, follow these directions:**

1. Traditional publishing and registration of copyright is optional. **If not electing traditional publishing and copyrighting option, proceed to step 2.** If elected, [follow the instructions for submission](#). The system will notify both you and the Graduate School that your thesis has been submitted. **There is no charge for submitting your thesis to UMI/ProQuest and you are encouraged to submit your thesis there for worldwide access.**
2. *Please note that there are no charges to be paid through the Graduate School. You are responsible for any bound copies desired and will pay the bindery directly.*
3. Return all materials to the library, check out of your library carrel if necessary, complete any lab and key clearance with your department. The Graduate School will receive notice that all these items are clear before you will receive final clearance to graduate.
4. Upon completion of all the above steps, you will receive notice that your file has been sent to the Records office in the Graduate School for final clearance to graduate. If there are issues with your course audit, you will be notified through your department of any necessary details.

*Binding Options*

**The Graduate School and Baylor Libraries no longer require bound copies of the dissertation or thesis.** You may make arrangements for binding however you wish. Baylor University and the Graduate School do not officially endorse any bindery.

*Congratulations!*



## APPENDICES

*(In the actual dissertation or thesis, this page is consecutively numbered  
at the bottom, centered and at the appropriate level.)*



## APPENDIX A—Sample Abstract Page

### ABSTRACT

The Relationship of Global Warming  
to Intensity of Tropical Storms

Jonathan C. Student, M.S. *[degree seeking]*

Mentor: James G. Professor, Ph.D.

Begin the body of the abstract after a triple-space below the mentor's name. The first line of the abstract is indented, paragraph style. Text is double-spaced. Limit the dissertation abstract to 350 words; the thesis abstract to 150 words.

*(In the actual dissertation or thesis, this page and the following two pages are not numbered.)*

APPENDIX B—Sample Signature Page, to be completed in PDF-A format, [found on the Graduate School website](#). Please use the appropriate Word form, then save as a pdf-a.

The Relationship of Global Warming  
to Intensity of Tropical Storms

by

Student Name, previous degree(s)

A [Dissertation/Thesis]  
Approved by the Department of Geology

---

Professor's Name, Degree, Chairperson

Submitted to the Graduate Faculty of  
Baylor University in Partial Fulfillment of the  
Requirements for the Degree  
of  
Degree Name Sought

Approved by the [Dissertation/Thesis] Committee

---

Professor's Name, Degree, Chairperson

---

Professor's Name, Degree

---

Professor's Name, Degree

---

Professor's Name, Degree

Accepted by the Graduate School  
Month of Graduation and Year

---

J. Larry Lyon, Ph.D., Dean

## APPENDIX C

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