



Baylor University

The Graduate School
Dissertation and Thesis Guidelines

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Introduction

Our intent in these *Guidelines* is to provide 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. The Graduate School based the *Guidelines* 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 book publishers.

We desire 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/email ahead for an appointment (254-710-3582, dissertation_thesis@baylor.edu) if you need assistance.

The *Guidelines* are revised each year, so be sure you are working with the current version; the most recent edition is available at the [Graduate School website](#).

Dissertation/Thesis Format Options

The Graduate School allows two dissertation/thesis types. The decision about which option to use must be made by the student and dissertation or thesis advisor, not by the student alone.

THE STANDARD FORMAT

The Standard Format has been the most commonly used format for dissertations and theses for decades. The body of the dissertation resembles a book manuscript, including an introduction, literature review, and other chapters that conform to disciplinary conventions.

THE MANUSCRIPT FORMAT

The Manuscript Format allows for the body of the dissertation or thesis to include one or more articles that have been published or are pending publication in an academic journal. A general introduction (for all projects) and a conclusion (for projects with multiple manuscripts) are still required, and most dissertations will include a literature-review chapter and a reference section that covers the entire work. The introductory and concluding chapters should provide an overarching context for the project, including a short explanation of the overall research agenda as well as the importance and consequences of this research. Ideally, these sections will be intelligible to a lay reader.

- The style and format of the front matter and back matter must conform to the Graduate School Guidelines.
- Each manuscript constitutes a new chapter within the thesis/dissertation. The chapter heading should follow the standard format guidelines, including a level 1 heading with the manuscript title as the level 2 heading. After this, the student should follow the manuscript format for the remainder of the chapter.
- If the thesis/dissertation contains only one manuscript, the references and the conclusion may be contained within the contents of the manuscript chapter.
- The thesis or dissertation author must be the lead contributor to the work submitted, normally represented by the sole author or first author on all manuscripts. In cases of multiple authorship, the contribution of each author (not just the dissertation writer) must be explained in the Introduction or separate attribution page.
- For previously published work, the student must provide the University with a letter of copyright release from the journal or publisher. This is submitted as a separate file to Beardocs.
- Margins and page numbers must follow the standard format.
- Figures and tables should be numbered consecutively by chapter and figure/table number (eg. 1.1, 1.2; 2.1, 2.2). This will likely deviate from the format of the manuscript but aids in the flow of the dissertation/thesis.
- The Graduate School reserves the right to require minor changes to the manuscript format to aid in the flow of the dissertation/thesis.
- For manuscript format, the student should provide a full citation of the article beneath the level 2 chapter heading. The citation should be centered, 12 point font, and single-spaced.
- If the chapter contains contributing authors, the student should create “Attributions” one of two ways: the student can either create a separate page in the Front Matter for “Attributions”

where they will list each author along with a detailed sentence explaining their contribution; or, a student can add attributions by mentioning each author and their contributions in the overview portion of Chapter One.

Style and Formatting

All graduate programs at Baylor University have selected a nationally recognized style manual for their dissertations and theses. In case of conflict, the Graduate School specifications below *always* supersede your program's chosen manual of style. *For a departmental list of approved style manuals, see Appendix D.*

TYPEFACE AND SIZE

Typeface

- A serif font is required (e.g. Times New Roman).

Size

- 12-point size is required for the body of the dissertation/thesis.
- 10-point is acceptable for footnotes, tables, figures, etc.

MARGINS

Consistent margins and page numbers must be maintained throughout the entire work. All typing (except for pagination) and all parts of tables, figures, and appendices must fit within the specified margins.

Top and Bottom Margins

- 1"

Left and Right Margins

- 1.25"

SPACING

All text must be *double-spaced* throughout *except* for the following, which are single-spaced with a double-space in between:

- footnotes or endnotes
- bibliography entries
- block quotations
- captions for tables and legends for

figures Additional Spacing Rules

Include:

- Remove all “widows” (a single line that ends a paragraph and is printed alone at the top of the next page) or “orphans” (the first line of a paragraph stranded at the bottom line of a page) from your dissertation or thesis by turning on “Orphan/Widow Control.”
- Do not add additional space between paragraphs of the same style
- Avoid breaking bibliography entries onto the following page.

PAGE NUMBERS

Pages Numbers

- *Do not number*: abstract, signature/title page, or copyright page.
- All pages except the abstract, signature page, and copyright page should be numbered.
- For Front Matter material, *number with lowercase Roman numerals*: table of contents, list of figures, list of tables, preface, acknowledgments, and dedication pages (in this order). Numbering begins on the table of contents, but all front pages are counted.
- *Number with Arabic numerals*: the first page of chapter one, and continue throughout the document, including reference pages.
- Page numbers should be the same font as the body of the document.

Placement of Page Numbers

- All pages are numbered at the bottom of the page, center justified, and within a one-inch footer.
- Page numbers are the *only* material on *any* page that goes outside of the margins specified above.

JUSTIFICATION AND HYPHENATION

Justification

- 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

- Hyphenation at the right margin is permitted as long as it does not lead to ambiguity or cause difficulty in reading.

FOOTNOTES AND ENDNOTES

Footnotes

- Use superscript numerals within the text at the point of reference.
- Number footnotes consecutively by chapter (i.e., begin each chapter with number one).
- Maintain the 1inch margin 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.
- Footnotes must begin on the page where referenced.
- Use paragraph indentation (0.5" indent) for footnote texts and the footnote number.
- Full footnote reference may be repeated or not at the beginning of each chapter, as preferred by the department.
- Each footnote is single-spaced, with a double space between footnotes.
- Footnotes may be typed in a 10- or 12-point font.

Endnotes

- Title the first endnotes page "Notes;" this title should be 1 inch from the top of the page, followed by a double space.
- Each endnote is single-spaced, with a double space between endnotes.
- Endnotes should follow your department's chosen manual of style, but typically are set with paragraph indention.

HEADINGS

Use the five levels of headings and subheadings listed below.

For an example of proper heading usage see Appendix C.

Five Headings Levels:

- Level 1 - designates chapter number, is centered and typed in all uppercase letters with the number spelled out
- Level 2 - indicates the title of the chapter, is centered with uppercase and lowercase lettering
- Level 3 - is centered and italicized with uppercase and lowercase lettering with triple space above

- Level 4 - is typed flush at the left margin, is italicized with uppercase and lowercase lettering with triple space above; text begins, following a double space below
- Level 5 - is indented at the beginning of the paragraph with triple space above, is italicized, using sentence-style capitalization, ending in a period (which also is italicized) and followed by 2 spaces, the text continues after the heading on the same line.

Further Instructions:

- When a heading exceeds a single line of text, the heading should be single-spaced, maintaining the specified spacing above and below it.
- If a student wishes to include an optional epigraph, or quote to begin the chapter, the epigraph should be placed under the level 2 heading with a double space above and below. Use blockquote indentation for the quote, and provide the citation or the author's name in the bottom right corner of the quote.

Components of the Dissertation or Thesis

Dissertations and theses consist of three sections: *front matter*, *body*, and *back matter*. The number of chapters and components included in each section will vary by the student according to the particulars of the project and the format used (Traditional or Manuscript). The overview below indicates the proper order of each of the components within each of the sections. Additional information for each component is detailed in the following sections.

OVERVIEW

Front Matter Components:

- Abstract*
- Unsigned Signature/Title Page*
- Copyright page*
- Table of Contents*
- List of Figures
- List of Schemes
- List of Tables
- List of Abbreviations
- Glossary
- Preface
- Acknowledgments
- Dedication
- Attributions
- Epigraph

Body Components:

Traditional Format

- Chapter One: Introduction
- Chapter Two: Literature Review
- Chapter Three: Methods
- Chapter Four: Results
- Chapter Five: Discussion

Manuscript Format

- Chapter One: Introduction*
- Chapter Two: Literature Review
- Chapter Three: Manuscript One (with the following sections as appropriate)
 - Title
 - Abstract
 - Introduction
 - Materials and Methods
 - Results
 - Discussion
 - References
- Chapter Four: Manuscript Two (if required, same as above)
- Chapter Five: Manuscript Three (if required, same as above)
- Chapter Six: Conclusion**

- **Back Matter Components:**
- Appendices (as needed)
- Bibliography/References*
- Index (optional)

* Required | ** Required for projects with multiple manuscripts

FRONT MATTER

Abstract (un-paginated)

- The abstract briefly summarizes the contents of the document.
- For dissertations, the abstract is limited to 350 words; for theses, the limit is 150 words. (Be advised that editors at UMI Dissertation Services, without consulting the author, will shorten abstracts that exceed these limits.)
- The abstract page is the only page that requires a 2.5 inch top margin.
- *For example, see Appendix A.*

Signature Page (un-paginated)

- A blank signature page can be obtained [here](#).
- Complete and insert an *unsigned* copy into the pdf document. If you have trouble inserted the unsigned copy into the dissertation, notify the Dissertation and Thesis Office for assistance.
- The signature page is unnumbered.
- Three copies are needed for defense; two submitted to Graduate School after defense.

Copyright Page (un-paginated)

- *For an example of a copyright page see Appendix B.*

Table of Contents (Lowercase Roman numeral pagination begins)

- This is the first page where pagination appears, although previous pages are counted.
- Right-justify the page numbers at the right margin (but not the entire line) for each included heading.
- Include at least the first three levels of headings.
- Double-space between headings, but single-space and indent any continuation lines of the same heading.
- *See this document's Table of Contents for an example.*
 - Turabian, 9th Ed. (pp. 390-397, A2.1.7, Figures A.3 & A.4) also offers suitable examples.

Lists of Figures, Schemes, and Tables

- These pages are required if any figures (illustrations), schemes, or tables are included in the document.
- The titles of these sections are typed as first-level headings, centered and all uppercase,
 - 1.5 inches from the top of the page, followed by a triple space.
- If the legend of a figure or scheme or the 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.

- Follow the same formatting as the Table of Contents
- These lists are numbered using lowercase Roman numerals centered, continuing on from the Table of Contents.

List of Abbreviations

- This page is optional (Turabian, A.2.1.1, p. 399).
- The title of this section is typed as a first-level heading, centered and all uppercase, 1.5 inches from the top of the page, followed by a triple space.
- It is paginated with lowercase Roman numerals.
- 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.2.1.9, p. 393).
- The title is typed as a first-level heading, centered and all uppercase, 1.5 inches from the top of the page, followed by a triple space.
- This page is paginated with lowercase Roman numerals.

Attributions

- This page is optional, and only applies to students using the Manuscript format.
- This section should mention the specific contributions of multiple authors of the publication.
- The title is typed as a Level 1 heading, centered and all uppercase, 1.5 inches from the top of the page, followed by a triple space.
- Attributions are paginated with lowercase Roman numerals.

Acknowledgments

- This page is optional.
- Traditionally, all dissertations and thesis include an acknowledgments section. It is the place for the author to professionally acknowledge the various sources of direction, advisement, assistance, funding, etc. that facilitated the project.
- The title is typed as a Level 1 heading, centered and all uppercase, 1.5 inches from the top of the page, followed by a triple space.
- Acknowledgments are paginated with lowercase Roman numerals.
- Write the body of this section in prose paragraph format. (double spaced, 12-point font, indent all paragraphs)

Dedication

- This page is optional.
- If this page is included, students may choose whether or not to include the title “Dedication.” If the title is to be present, it is typed as a Level 1 heading, centered and all uppercase, 1.5 inches from the top of the page.
- The text of this page is typically brief and is more personal in nature than the Acknowledgments.
- The text should begin approximately at 3 inches below the top of the page.

- Generally, there is *no ending punctuation*.
- The dedication page is paginated with lowercase Roman numerals.

BODY

Chapters (Arabic numeral page numbers begin.)

- The number of chapters and their titles may vary according to topic and discipline.
- Consult with your mentor or program director to determine the chapter designations (if any) that have been adopted by your program.
- “Introduction” and “Conclusion” are *always* labeled as chapters.
- *For a sample Chapter Title Page see Appendix C.*

Chapters That Have Been Previously Published

- 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.
- *For more information on using previously published chapters, see Appendix E.*

Block Quotations

- Block quote should be indented ½” inch, unless otherwise specified by your department style guide.
- Always single-spaced with double-space above and below.

Epigraphs

- Epigraphs are quotations that are used at the beginning of a dissertation/thesis, chapter, or section to allude to a central idea or theme.
- Treat epigraphs as a block quotation.
- Do not justify the text of the quotation; instead leave a ragged right edge.
- On the line below the quotations, give the author and the title, flush right and preceded by an em dash (a formal citation is unnecessary).

Tables and Captions

Numbering Tables and Pagination

- All tables are referenced by number within the text.
- Tables are numbered sequentially by chapter and order of appearance. (Table 1.1, Table 1.2, etc).
- Pages with tables are paginated in sequence with text pages.
- Tables and their captions should be embedded within the text if the table and caption occupy less than approximately three-quarters of a page.
- Tables within an appendix are numbered with the letter of the appendix plus the number (i.e., A.1, B.1, etc.).

Table Captions and Placement

- The caption is single-spaced and center-aligned.
- 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.
- The typeface and font size used within a table should match the typeface used in the caption and the text. If necessary the font size may be decreased to 10 point, but not smaller.
- If the table and caption are 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.

Table Formatting

- Students should use only three lightweight, horizontal lines to format tables: one line above and one line below the column headings, and an ending line at the very bottom of the table. Generally, vertical lines are not used.
- Spanner lines are an exception to the three horizontal line rule.
- Every column should have a heading.
- Tables may be displayed either landscape or portrait.
- All tables must fit within the 1.25" left and right margins, and the 1" top to bottom margins
- Consult your departmental style guide and the Graduate School for further instruction in creating tables.
 - Turabian, 9th ed., also gives general specifications and offers formatting help for Tables and Figures (cf. Chapter 8, p. 86 and Chapter 26, p. 370).

Numbering Figures and Pagination

- All figures are referenced by number within the text.
- Figures are numbered sequentially by chapter and order of appearance (Figure 1.1, etc.)
- Pages with figures are paginated in sequence with text pages.
- Figures and their legends should be embedded within the text if they occupy less than approximately three-quarters of a page.
- Figures within an appendix are numbered with the letter of the appendix plus the number (i.e., A.1, B.1, etc.).

Legends and Placement

- There should only be one figure legend per figure
- The figure legend is placed below the figure.
- The text of the figure legend is always single-spaced.
- If a figure legend is one line, the legend is centered.
- For figures over one line, the legend should be left justified.
- 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.

Figure Formatting

- Ideally, the typeface used within a figure should match the typeface used in the text.
- Be consistent in the use of the same typeface for all figures.
- Font size should not be smaller than 10 point.
- Generally, borders are not used around figures.
- Figures may be displayed portrait or landscape.
- 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.
- Consult your departmental style guide and the Graduate School for further instruction in creating figures.
- - Turabian, 9th ed., also gives general specifications and offers formatting help for Tables and Figures (cf. Chapter 8, p. 86 and Chapter 26, p. 370).

BACK MATTER

Appendices

Appendices contain material that is too massive or is otherwise inappropriate to be incorporated within the body of the text.

- 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.

Reference Pages

- The *only* required reference component is the bibliography (others are included as appropriate).
- Order reference pages as follows:
 - endnotes, (if and if not done by chapter)
 - appendices
 - additional reference material (e.g., glossary)
 - References, Bibliography, and/or Works Cited
 - index
- The title of this section varies by discipline and varies based on department or institution specifications.
- The titles of reference page sections are level 1 headings; they are centered, typed in all uppercase letters, and (except for appendices) placed at 1.5 inches from the top of the page with a triple space below.
- The text of each entry should be single-spaced.
- For entries over one line, use a 0.5-inch hanging indent.
- Double-space between each entry, and do not split entries across pages.
- Each page of the REFERENCES following the level 1 heading should begin at the 1” top margin.
- For web links, URLs, and DOIs, do not underline the hyperlink. Make sure they are in black font. If they exceed the margins, break the entry after a backslash or logical marker.
- Pagination is continuous with the rest of the document with page numbers placed at the bottom of the page, centered.
- 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 determined by your department or program’s chosen style guide.

- Inclusive pagination should be used within the citation.
- Use italics for titles, rather than underlining.

Processing of the Document

The processing of dissertations and theses begins with the preliminary review and ends with electronic submission. Be sure to read the *Guidelines*, apply the instructions, and complete the necessary forms.

Additionally, (1) you must be registered for *at least one hour of graduate-level coursework during the semester of graduation* and (2) you must file for graduation by completing the [Intent to Graduate Form](#) found on the Baylor website.

PRELIMINARY REVIEW

The student should schedule a preliminary review at least two weeks before the defense. Reviews are conducted by [Mrs. Sandra Harman](#), the Dissertation and Thesis Coordinator, or her Graduate Assistant, in the office of the Assistant Dean for Graduate Studies. 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. Reviews are conducted either in person or via Zoom (online).

The dissertation or thesis does not need to be complete by the time of the preliminary review, however, it must contain enough content for our offices to offer direction related to formatting. We have created a Baylor specific template found on our website, and highly advise the use of the Dissertation and Thesis Word Model for all students.

To schedule a review:

- 1) Send a request via email to dissertation_thesis@baylor.edu listing several possible times you are available. Reviews typically last thirty minutes to one hour.
- 2) By the morning of the review upload the following at <https://baylor-etd.tdl.org>
 - a pdf of your entire document as your primary document and a Word document as a supplementary document (LaTeX students should submit only a pdf document).
 - The Copyright and Availability form. The electronic system requires you to submit this form. If you have not completed the form, you can submit a blank Copyright and Availability form, but you will need to update this submission later with the completed form.
 - a completed, blank signature page (pdf) as a supplementary document. If a student has difficulty creating the signature page, the Dissertation and Thesis office will assist.
 - a completed copy of the [Preliminary Checklist](#)
 - Doctoral students should also turn in the completed [Doctoral Investment Form](#)

FINAL REVIEW

The final review is required and occurs after a successful defense of the dissertation or thesis. The final review is done electronically, and there is no need to schedule it. After a student has successfully defended, the Graduate School gives students 10 days to make any additional changes to their dissertation or thesis. *The final review takes place within 10 days of the defense but before the semester deadline date.* A student must submit their final completed and formatted dissertation or thesis at least ten days after their successful defense.

Submit the following paper copy forms to the Graduate School (all of the following forms may be [found online](#)):

- the Final 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 Approval of Final Copy form)
- two of the three signed signature pages
 - Two copies will be retained by the Graduate School; the third 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, permitting to post your document to the BU Thesis/Dissertation Submission System site.

Submit the following online at <https://baylor-etd.tdl.org>:

- your dissertation or thesis (saved as a **pdf/a** file)
 - the Copyright and Availability form (saved as a **pdf/a** file)
 - the signed signature page (saved as a **pdf/a** file)
- (Reference the following to understand how to convert to **pdf/a**:
<http://www.baylor.edu/content/services/document.php/114513.pdf>)

Naming your files:

- Ph.D. Students - first name _ last name _phd
- Ed.D. Students- first name _last name _edd
- Master's Students - first name _last name _masters
- Copyright and Availability Form - first name _last name _copyright and availability form
- Signed Signature Page – first name _last name _signaturepage

Final approval of the pdf/a copy of your dissertation or thesis from the Graduate School is necessary before you can reach the final steps for graduation.

ELECTRONIC SUBMISSION

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

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

If you are a doctoral student, follow these directions:

1. Proceed to the [UMI/Proquest website](#), and submit the dissertation along with any accompanying copyright permissions. It places your dissertation on the UMI Dissertation Services access server for worldwide cataloging. The system will notify the Graduate School that you have submitted your dissertation.
2. Optionally, you may also use the service of UMI/ProQuest to register your copyright with the U.S. Copyright Office. Follow their directions. The additional cost for this service is \$75. You will pay them directly with a credit card online, per the directions given, and you and the Graduate School will receive notice of submission to register copyright.
3. Later in the semester when notified, 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. The Graduate School will send the link to the Survey at the appropriate time.
4. 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.
5. Upon completion of all the above steps, you will receive notice that your file has been sent to the Graduate School Records Office for final clearance to graduate. This signifies completion and clearance from Mrs. Harman. Mrs. Sherry Sims in the Records Office notifies the department of any issues with a student's course audit, and the student will be notified through the department of any necessary changes. Mrs. Sims gives the final clearance to graduate.

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

1. Optional, but encouraged, for Master's students: Proceed to the [UMI/Proquest website](#) and submit the thesis along with any accompanying copyright permissions. It places your thesis on the UMI Dissertation Services access server for worldwide cataloging. The system will notify the Graduate School that you have submitted your thesis.
2. Optionally, you may also use the service of UMI/ProQuest to register your copyright with the U.S. Copyright Office. Follow their directions. The additional cost for this

service is \$75. You will pay them directly with a credit card online, per the directions given, and you and the Graduate School will receive notice of submission to register copyright.

3. 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.
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. This signifies completion and clearance from Mrs. Harman. Mrs. Sherry Sims in the Records Office notifies the department of any issues with a student's course audit, and the student will be notified through the department of any necessary details. Mrs. Sims gives final clearance to graduate.

Congratulations!

APPENDICES

ABSTRACT

The Relationship of Global Warming
to Intensity of Tropical Storms

Jonathan C. Student, M.S. [*enter 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.

APPENDIX A – Sample Abstract and Signature Page

Capitalization of Each Word in the Title

by

Jonathan C. Student, B.S.

A Dissertation

Approved by the Department of Formatting Studies

Thomas A. Professor, Ph.D., Chairperson

Submitted to the Graduate Faculty of
Baylor University in Partial Fulfillment of the
Requirements for the Degree
of
Doctor of Philosophy

Approved by the Dissertation Committee

James G. Professor, Ph.D., Chairperson

Enter Name, Degree

Enter Name, Degree

Enter Name, Degree

Accepted by the Graduate School
December 2020

J. Larry Lyon, Ph.D., Dean

APPENDIX B - Sample Copyright Page

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APPENDIX C – Sample Headings



CHAPTER TWO [level 1 at 1.5” top margin]



Methods and Materials [level 2]



Analysis of Data [level 3]



Univariate Statistics [level 4]



Analyses of variance. [level 5: text continues on this line]

APPENDIX D – Approved Manuals of Style by Department

APPROVED MANUALS OF STYLE

American College of Sports Medicine (ACSM). *Medicine & Science in Sports and Exercise*. [Available online](#).

- HHPR

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

- Physics

American Medical Association (AMA). [Available online](#).

- Public Health (choice of AMA or APA, depending on subject matter)

American Society for Nutrition. *American Journal of Clinical Nutrition*. [Available online](#).

- HHPR

American Physiological Society. *Journal of Applied Physiology*. [Available online](#).

- HHPR

***American Society of Mechanical Engineers (ASME) Style Guide*. [Available online](#).**

- Mechanical Engineering

American Statistical Association. *American Statistical Association Style Guide*. [Available online](#).

- Statistics

The Chicago Manual of Style. 17th ed. Chicago: University of Chicago Press. 2017. [Available online](#).

- Communication – Rhetorical Track w/Medhurst
- Computer Science
- Theatre Arts

Council of Science Editors Style Manual Committee. *Scientific Style and Format: The CSE Manual for Authors, Editors, and Publishers*. 8th ed. Reston (VA): The Council; 2006.

- Biology
- Biomedical Studies - Biological Science Track

APPENDIX D – Approved Manuals of Style by Department

Coghill, Anne M. and Lorrin R. Garson, eds. *The ACS Style Guide: Effective Communication of Scientific Information*. 3rd ed., Washington, D.C.: American Chemical Society, 2006.

- Biomedical Studies - Chemistry Track
- Chemistry
- Environmental Science – Chemistry Track

Gibaldi, Joseph. *MLA Handbook for Writers of Research Papers*. 8th ed. New York: Modern Language Association of America, 2009.

- English
- Modern Foreign Language – Spanish
- Communication – Film and Digital Media w/ Hansen

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.

- Geosciences

Institute of Electrical and Electronics Engineers, Inc. (IEEE). *Author Digital Toolbox*. Available online.

- Electrical Engineering

National Strength and Conditioning Association. *Journal of Strength & Conditioning Research*. Available online.

- HHPR

Publication Manual of the American Psychological Association. 7th ed. Washington, D.C.: American Psychological Association, 2019.

- American Studies
- Communication Sciences and Disorders
- Communication
- Curriculum and Instruction
- Educational Administration
- Educational Psychology
- Family and Consumer Sciences - Nutrition Sciences
- Journalism
- School of Music - Music Education
- Nursing
- HHPR
- Psychology and Neuroscience
- Public Health (choice of AMA or APA depending on subject matter)
- Sociology

APPENDIX D – Approved Manuals of Style by Department

***The SBL Handbook of Style*. 2nd ed. Atlanta, GA: SBL Press, 2014.**

- 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*. 9th ed. Chicago and London: University of Chicago Press, 2018.

- Baylor University Graduate School
- Entrepreneurship
- Environmental Science
- Hankamer School of Business
- History
- Mathematics
- Museum Studies
- School of Music - Musicology, Church Music, Music Theory, Composition
- Philosophy
- Political Science
- Religion-Theological Studies and Historical Studies

USING PREVIOUSLY PUBLISHED MATERIAL

In many of Baylor’s graduate programs, publication of dissertation research has become a requirement for earning the degree. If you intend 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, centered and following the chapter title. For example:

¶
¶
CHAPTER NUMBER

¶
¶Chapter Title

¶
This chapter published as: citation statement as described on p.11.

¶
¶

¶Text begins at this level.

- You will also need to submit a, “[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.

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.

APPENDIX E - Using Previously Published Material and Avoiding Plagiarism in Dissertations and Theses

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. The creator should request permission early in the writing process, as it often takes time for the permission to be granted. This content still must be cited appropriately. When you submit your thesis/dissertation and Copyright and Availability Form to BearDocs, also include a PDF of the relevant permission letter(s) (see p. 25).

APPENDIX G – Final Review Checklist

Preliminary Review Checklist for Dissertations and Theses

Name: _____ Telephone Number: _____

Style Manual Used: _____ Department: _____

Students should initial each line below to show compliance and bring to the preliminary review.

Graduate School Notes

<p>1. _ Is the <u>abstract page</u> correctly formatted and does it satisfy requirements for no more than 350 words for the dissertation or 150 words for the thesis? (See Appendix A of the <i>Guidelines</i>.)</p>	
<p>2. Does the <u>signature page</u> follow the required format, and have you inserted this unsigned page in your document? Have you indicated the correct degree you are receiving? Have you checked all previous degrees to be sure they are correct on the signature page? This page will be checked at this review.</p>	
<p>3. ____ Is the <u>copyright page</u> appropriately formatted? (See Appendix B of the <i>Guidelines</i>.)</p>	
<p>4. Are the <u>preliminary pages</u> appropriately sequenced? All previous pages are counted, including the signature page that will be inserted.</p>	
<p>5. _ Is <u>pagination</u> centered and formatted within the bottom one-inch margin of the page? Font should match text font. (See <i>Guidelines, Style and Formatting, Page Numbers</i>.)</p>	
<p>6. __ Are your <u>margins</u> set at 1.25” left and right, and 1” top and bottom? (<i>Maintain top 1” margin by removing any empty returns top of page.</i>)</p>	
<p>7. ____ Have you removed any <u>widows or orphans</u>, top and bottom of pages?</p>	
<p>8. _ Are <u>tables and/or figures</u> formatted and labeled according to the manual of style selected by student’s department? Table captions appear above the table entries; figure legends appear below the image.</p>	
<p>9. Have you checked <u>triple spacing</u> above and below figures and tables, and above all subheading levels 3, 4, and 5?</p>	
<p>10. ____ Are all <u>block quotes</u> single spaced, with correct indentation according to your departmental style guide?</p>	

APPENDIX G – Final Review Checklist

11. If you are using <u>footnotes or endnotes</u> , have you used paragraph-style indentation, and single spaced each note with a double space between?	
12. Do your <u>footnotes or endnotes</u> begin with #1 in each chapter?	
13. If any of your <u>research has been published</u> , have you acquired and cited the appropriate copyright permissions (See <i>Guidelines</i> , pp. 11 & 27)?	
14. Do the literature <u>citation entries</u> follow the specifications of the selected manual of style, and do the bibliography entries follow the hanging indentation style as specified in the <i>Guidelines</i> ?	

Important Reminders:

1. Be sure to [File for Graduation](#) for intended semester of completion and are registered for at least one credit hour for the intended semester of completion.
2. The department submits the [Announcement of Doctoral or Master’s Final Oral Examination](#) form at least ten class days prior to the scheduled oral examination. This form announces the date, time, and place of the oral exam and designates membership of the examining committee (subject to approval by the Graduate School).

All forms are found on the [Graduate School website](#).

FINAL REVIEW CHECKLIST

- Have you checked the final copy you are submitting AFTER converting to pdf-a?
---for instance, prevention of widows, orphans, and hanging headings at the bottom of the page.
- Have you followed the Guidelines from the Graduate School first, then your discipline style guide for formatting?
- Have you inserted an unsigned signature page in your document, following the abstract?
Is the title correctly capitalized?
- Have you used the 1.25 inch margin on both the left and right margins of your document?
- Have you checked all level one headings (where required) throughout for consistent placement at the 1.5" level?
- Have you checked triple spacing above all heading levels 3, 4, and 5 and above and below figures and tables?
- Do your footnotes begin with #1 for each chapter?

FORMS:

- Approval of Final Copy form, signed by thesis or dissertation director
- Two signed signature pages
- One signed Copyright and Availability Form
- The Preliminary Checklist, appropriately initialed
- Doctoral Students: Doctoral Investment Form

I verify that these issues have been addressed to the best of my ability.

Signature

Date