PREFACE

The College of Graduate Health Sciences (CGHS) at The University of Tennessee Health Science Center initiated a revision of its thesis and dissertation manual in 1991 under the guidance of the Policy Subcommittee of the Graduate Studies Council. At the same time, the Tennessee Conference of Graduate Schools (TCGS) began to adapt the University of Tennessee Knoxville’s Guide to the Preparation of Theses and Dissertations (prepared by Ann L. Lacava) for use by members of the TCGS.

The CGHS Guidelines for Authors of Theses and Dissertations, prepared for the Graduate Studies Council by Dr. Barbara J. Kuyper, was approved by the Council in February 1992 and was used by May 1992 graduates, who provided many helpful suggestions. Faculty, likewise, provided useful comments.

With the availability of the TCGS Guide in August 1992 and the need for an updated version of the CGHS Guidelines that incorporated the suggestions of students and faculty, CGHS adapted both guides for its use, making the resulting document more specifically applicable to theses/dissertations at UT Health Science Center.

In 1997, the Guide was revised by Dr. David L. Armbruster, Associate Dean for Academic Affairs, to bring consistency to terminology and style, to update references, and to document current procedures within CGHS. Minor revisions were made to the Guide in 1998 and again in 2000. A substantive revision was made in 2006 by Shirley A. Hancock, ET/D Review Manager, and Dr. Armbruster to reorganize, update, and add information on electronic theses/dissertations (ET/Ds) and other current procedures.

In summer 2007 a major reorganization and substantive changes focused the Guide solely on electronic creation and delivery of ET/Ds, based in part on input from the cross-functional ET/D Taskforce (with student, faculty, technical, formal review, and library representatives) to accommodate the new requirement by CGHS that all T/Ds be electronic by May 2008. Shirley Hancock and Dr. Armbruster incorporated minor updates in July 2008. Shirley Hancock and Larry Tague incorporated significant updates in 2009, 2010, 2011, and 2012 with maturing of the ET/D program, policy changes, and e-collaboration site enhancements.

Although the Guide is printed for the ET/D Workshop held in January and August, it is also available online, with links from the Table of Contents (TOC), List of Tables (LOT), and List of Figures (LOF). The Guide (PDF) is available under Guides and Forms at the ET/D web page http://www.uthsc.edu/grad/TandD/index.php?page=TandD, as is an Appendix to the Guide, which contains contact information for support as well as examples and checklists. A video of this workshop and a PDF of the PowerPoint slides are also available there. Links to these documents are also available in Blackboard on the ET/D 2012 site.
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CHAPTER 1. INTRODUCTION

Theses (for master’s degrees) and dissertations (for doctoral degrees) must adhere to content guidelines established by the student’s faculty advisor and committee and format guidelines established by the College of Graduate Health Sciences and the University of Tennessee. By accepting an electronic thesis/dissertation (ET/D) and awarding the degree, the university and college place their academic reputation on the line. The content of your manuscript is carefully evaluated by experts in your field, and its adherence to format requirements ensures that the manuscript has an appropriate academic appearance.

The College of Graduate Health Sciences (CGHS) is committed to assisting graduate students to create readable, consistent, logically organized, easily accessible documents for publication on the web that are compliant with the college requirements for publishing ET/Ds. ET/D documents supplemental files, and index page metadata must be displayed in archival quality Portable Document Format (PDF/A-1b). Other media can be considered but must be approved by the Assistant Dean for Academic Affairs. Grant proposals and journal articles now are typically submitted in electronic form, and we want students to be able to compete in that environment. We also want to provide users with better access to research generated at the UT Health Science Center.

Experienced staff and faculty members, who are responsible for the review and approval of the final copy of the ET/D, are available to assist in all stages of preparation. The goal of CGHS, as well as your faculty committee, is to ensure that the manuscript reflects credibly on you, your committee, the program, and the college.

All students are required to deposit their thesis or dissertation with ProQuest/UMI, a national center for the secure storage and dissemination of academic publications. Multiple copies of theses and dissertations in both microfilm and digital (PDF) format are stored in multiple locations. These formats meet the National Library of Congress preservation specifications.

Purpose of the Guide

This Guide is designed to be a basic source of information for electronic thesis/dissertation preparation. It establishes the technical parameters—such as page formatting/layout, table/figure naming and placement, sequence of pages within the manuscript, and hyperlink requirements—within which you must work to produce your document electronically. The most current ET/D guide in PDF format is available under Guides and Forms on the CGHS web page (under Theses and Dissertations menu) at the ET/D web page http://www.uthsc.edu/grad/TandD/index.php?page=TandD, as is an Appendix, which contains contact information for support as well as examples and checklists. Even though you receive a paper copy of the Guide when you attend the ET/D Workshop, it is essential that you always consult the most recent version of these documents when you begin to write your ET/D.
Although the *Guide* provides many styling specifics for ET/Ds, it is not a full-scale style manual. We recommend that you consult leading professional publications for formatting and style conventions not covered. Journals and style manuals in your field can assist in establishing consistent subheading format, bibliographic form, use of numbers or authors’ names for reference citations in the text, and other conventions that are discipline-oriented. Understanding the various elements of a manuscript and general publication formatting requirements in academic publishing is likewise an aid. But regulations established by this *Guide* always take precedence.

The *Guide* also describes how you and your committee can take advantage of an ET/D Collaboration site in Blackboard if established for your specific college. It allows you to develop the ET/D in an environment that provides 24/7 availability, discussions, calendar management to facilitate meetings, and easy access to draft reviews by your committee Formal format reviews by CGHS are always managed on the Theses and Dissertations YYYY (year) Blackboard site. A new site is generated for each year.

**Training Available**

Workshops to help you develop your ET/D are held shortly after the beginning of each semester for students planning to graduate the following May or December; check Announcements on the CGHS web page at [http://www.uthsc.edu/grad](http://www.uthsc.edu/grad) for specific information. Attendance at a workshop prior to starting the CGHS format review is required; nonattendance must be justified in writing and approved by the Assistant Dean for Academic Affairs, Larry Tague. Faculty advisors and other graduate students are welcome to attend these workshops. However, those students who have been accepted for candidacy are specifically encouraged to attend.

The *Guide to the Preparation of Electronic Theses and Dissertations* is distributed at the workshop, along with copies of the Powerpoint slides, an *Appendix to the Guide* that provides examples for many of the guidelines, and a copy of the ET/D template for PC. These documents are also on the ET/D web page at [http://www.uthsc.edu/grad/TandD/index.php?page=TandD](http://www.uthsc.edu/grad/TandD/index.php?page=TandD) under Guides and Forms. Links to these documents are likewise available in Blackboard at the ET/D 2012

A video of the current ET/D Workshop is available on the ET/D web page. An online offering of the workshop is being developed for distance education students and campus resident students (with the Dean’s permission) who cannot attend a face-to-face workshop. It will incorporate a form of the *Guide* compatible with the online venue, along with examples and exercises. Successful completion of this workshop will be documented online and will fulfill the workshop attendance requirement.

Additionally, a Word Workshop for ET/Ds is offered shortly after each ET/D Formatting Workshop. It focuses on using Word specifically for writing ET/Ds and discusses use of an ET/D template that we’ve created with the assistance of Tricia Page.
See Announcements on the CGHS web page at http://www.uthsc.edu/grad for details and signup.

**Getting Started: Working Smart**

*NOTICE:* Consider carefully what operating system to use when developing your ET/D, because you should *never* switch between platforms (e.g., between PC and Mac). Doing so will cause serious problems even if you’re only going to do the PDF/A-1b conversion.

It is never good to move your ET/D working file between computers or versions of Microsoft Word unless absolutely necessary. In addition, we strongly recommend that you *not* take a friend’s formatted Word file for your document; too many “saves” can make Word go crazy. Instead, use the Word template for ET/Ds available under Guides and Forms at the ET/D web page: http://www.uthsc.edu/grad/TandD/index.php?page=TandD. That format will give your document styling very much like this Guide, which itself reflects the recommendations in it. Instructions for using the ET/D template are imbedded in it.

**File Management**

Care with naming your file versions can mean the difference between smooth development of your ET/D and possibly inserting changes into the wrong file or submitting the wrong file for a format review. Since you may save several different versions of your file in a day, you may also wish to add the time when you save it: e.g., ETD to Chapter 3 012812 8pm.

**Use of Style Manuals**

In addition to the comments on scientific writing style in Chapter 6, style manuals such as *Scientific Style and Format: The CSE Manual for Authors, Editors, and Publishers; Publication Manual of the American Psychological Association;* and *The Chicago Manual of Style* are resources for basic style and grammar. Previously accepted ET/Ds may also serve as a rough guide to style, but examples taken from them may be incorrect, given changes in the *Guide*. The existence of a particular style or usage in a previously accepted ET/D does not establish a precedent for its continuation today. This *Guide*, however, does serve as a sample of the rules laid out herein regarding, for example, margins, pagination, division and subdivision titles, and use and labeling of figures. The *Appendix to the Guide* available at the CGHS “Theses and Dissertations” web page (http://www.uthsc.edu/grad/TandD/index.php?page=TandD under Guides and Forms) offers many illustrations.
Integrity

Because conferral of a graduate degree implies personal integrity and knowledge of scholarly methods, you should be particularly cautious in two areas:

(1) Proper acknowledgment of others’ work.
(2) Use of copyrighted material.

The Merriam-Webster Dictionary (http://www.merriam-webster.com/; accessed 7-18-11) defines plagiarize as “to steal and pass off (the ideas or words of another) as one’s own: use (another’s production) without crediting the source.” Any material taken from another source must be documented, and in no case should you present another person’s work as your own. Exercise special caution to avoid questions of plagiarism if you are involved in collaborative research. If in doubt, check with your research advisor and CGHS. Plagiarism will be investigated when suspected and prosecuted if established.

Sequencing of Pages

Fig. 1-1 shows the sequence and page numbering scheme of the various thesis/dissertation parts. A description of each of these parts is given in chapters 2-4. Samples of all key page formats and divisions are found in the Appendix to the Guide handed out in the workshop and available on the web.
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<tr>
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<th>Page Assignment</th>
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</thead>
<tbody>
<tr>
<td>Title page</td>
<td>Small Roman numeral i assigned, not typed</td>
</tr>
<tr>
<td>Copyright page (we strongly recommend adding)</td>
<td></td>
</tr>
<tr>
<td>Dedication page*</td>
<td></td>
</tr>
<tr>
<td>Acknowledgments</td>
<td></td>
</tr>
<tr>
<td>Abstract</td>
<td>Small Roman numerals typed, starting with ii</td>
</tr>
<tr>
<td>Preface*</td>
<td></td>
</tr>
<tr>
<td>Table of Contents</td>
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<tr>
<td>List of Tables (if 5 or more)</td>
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<tr>
<td>List of Figures (if 5 or more)</td>
<td></td>
</tr>
<tr>
<td>List of Abbreviations*</td>
<td></td>
</tr>
<tr>
<td>Body of thesis/dissertation (divided into chapters)</td>
<td>Arabic numerals typed, starting with 1</td>
</tr>
<tr>
<td>List of References</td>
<td></td>
</tr>
<tr>
<td>Appendix.* Use separation sheet for each appendix title, if necessary.</td>
<td></td>
</tr>
<tr>
<td>Vita</td>
<td></td>
</tr>
</tbody>
</table>

Figure 1-1. Arrangement and page designation of thesis/dissertation parts.

*Optional parts; all others are required.
CHAPTER 2. SIGNATURE PAGE AND FRONT MATTER

The unsigned signature page, submitted as a separate file during formal reviews by CGHS, is in the end printed, signed by your entire committee, and submitted to CGHS. It is never a part of your electronic ET/D; though if you make printed copies after final approval of your ET/D, you may wish to include a signed copy as the first page. The front matter, which appears before Chapter 1 in your ET/D, serves as a guide to the contents and nature of your manuscript. See Fig. 1-1 regarding the order and page numbering of the front matter pages (and all other sections in the ET/D). The discussion of these sections, which follows, is in their order of presentation in the thesis/dissertation.

Signature Page

The signature page, as part of the formal format review by CGHS, when signed, confirms acceptance by your committee members acting for the program and by the dean of CGHS acting for the university. One signed sheet is required for ET/Ds and is submitted to the college upon completion of the ET/D review process. The signature page must be printed on acid-free paper.

Don’t print and get this sheet signed until official approval is indicated by a note on a review checklist indicating “Signature Sheet Approved. You may now have your committee sign this version.” If anything changes on this page after it is approved, it must be reapproved.

You must follow the spacing, wording, capitalization, and punctuation of the sample handed out in the workshop. It must be in the same base type face and size as the ET/D. Use the appropriate template available at the ET/D web page: http://www.uthsc.edu/grad/TandD/index.php?page=TandD under Guides and Forms.

First Paragraph

The student name used on the signature page (and title page) must be that under which you are registered at the university. Use initial caps for your ET/D title. Write out the name of your degree (with initial caps); don’t use an abbreviation.

The major and degree to be awarded must be exactly those to which you were admitted officially by CGHS. There is one instance when a major is not indicated. In place of the phrase "with a major in [major]," students in the Integrated Biomedical Sciences program should use the wording "with a concentration in [track name]." See http://www.uthsc.edu/grad/Programs/index.php?page=Programs for a current listing of degrees and majors. Please check this site to ensure accurate wording of your major or, if applicable, click the Integrated Biomedical Sciences (IBS) program to view its track concentrations. Note that some students entered under the Integrated Program in
Biomedical Sciences (IPBS) vs. the IBS program. You and your advisor are responsible for correctly identifying your major/concentration for use on the signature page.

**Signature Lines**

Align all signature lines on the left margin and make them of equal length (and long enough to accommodate the longest signature). The number of signature lines must equal the number of committee members (typically two lines for theses and four lines for dissertations). Type your advisor’s and each member’s name and degree on the next single-spaced line beneath their signature line. Listing the names alphabetically is recommended, as it is nonpreferential. Do not put a name for the dean, CGHS.

Signatures of your research advisor and committee members should be original, if possible (black or blue ink), for the one official copy submitted to CGGS; if you cannot obtain an original signature, a digital signature identical in all details to the typed name will be accepted. It should be placed on or just above the typed signature line. No lines can be blank (i.e., unsigned). We recommend that you get signatures for at least one of your personal copies as well. The dean signs the approval sheets after you have submitted copies to CGHS and will be glad to sign several.

**Title Page**

This page is assigned Roman numeral “i,” although the number does not appear on the page. The wording and format must be exactly as shown in the Electronic Thesis/Dissertation Workshop handouts, which illustrate three distinct title pages: Master of Dental Science degree, degree in the joint Biomedical Engineering and Imaging program with The University of Memphis, and master’s/Ph.D. degrees in all other programs of the College of Graduate Health Sciences. Templates are on the ET/D web page: [http://www.uthsc.edu/grad/TandD/index.php?page=TandD](http://www.uthsc.edu/grad/TandD/index.php?page=TandD) under Guides and Forms. Center the type vertically and horizontally on the page, leaving space between the blocks of information as shown in the templates. Use the same font size and type on this page as you have chosen for the body.

The full title of the ET/D must exactly match the title on the approval sheet. Use all caps or initial caps bold. In all caps, ALL LETTERS ARE CAPITALIZED. In initial caps, All Main Words in the Subheading Are Capitalized (including all verbs); all prepositions (e.g., *versus*) are lowercased. Your name must appear as you are registered at the university, and the date used is the month (either May or December) and year of graduation (e.g., December 2012), with no comma after the month.
Copyright Page

This page must be included whether or not the manuscript is being formally copyrighted either through UMI/ProQuest or with the U.S. Government Copyright Form TX. Forms can be obtained in the CGHS office. A sample Letter of Permission to Use Previously Copyrighted Material is in the Appendix on the web.

Wording and Placement of Copyright Notice

Center the copyright statement vertically and horizontally on the page, and use one of the following wordings. It is not necessary to designate USA. You may add periods after each line or not; just apply the style consistently. The most typical wording is

Copyright © 2012 by John Q. Student.
All rights reserved.

Use one of the following sample copyright notices, as appropriate, if, in addition to your own copyright, you have a copyright release to use material you previously published:

Chapter 3 © 2011 by American Institute of Biological Sciences.
All other material © 2012 by John Q. Student.
All rights reserved.

or

Portions of Chapter 3 © 2011 by American Institute of Biological Sciences.
All other material © 2012 by John Q. Student.
All rights reserved.

Integrity in Use of Copyrighted Material

Copyright ownership is defined by federal copyright law. The copyright law currently in effect was established in the Copyright Act of 1976 and became effective on January 1, 1978; congressional, regulatory, and judicial actions regarding copyright law are ongoing (Johnston 1982). Because copyright ownership is a legal issue, all authors should be aware of the laws applicable to their unpublished and published works. For further information, consult the Library of Congress web site at http://www.copyright.gov. The Health Sciences Library also has copyright information available at http://library.uthsc.edu/reference/copyright.
Copyright Protection for Authors

The author of an original work obtains a United States copyright on it by setting it down in tangible form (in this case, on an electronic page). Consequently, you own the copyright on your manuscript unless you transfer ownership to a publisher. As a student, however, you are subject to The University of Tennessee policy on copyrights: “A student must, as a condition of a degree award, grant royalty-free permission to the University to reproduce and publicly distribute, on a non-commercial basis, copies of the thesis or dissertation” (The University of Tennessee Board of Trustees 1984). When a work is published with permission of the copyright owner, it must have a copyright notice. Because distribution to the public constitutes publication, you may should protect your dissertation or thesis from unauthorized distribution with a copyright notice (as described earlier in this section).

Copyright Registration

Copyright registration is not a prerequisite for copyright protection, but registration may prevent the loss of some rights. If you want to copyright your ET/D, check the Copyright Office web site (http://www.copyright.gov/). After reading the general information, go to Circular 66 (http://www.copyright.gov/circs/circ66.pdf) under Registration Procedures. Current fees are listed at http://www.copyright.gov/docs/fees.html. Fill out Application Form TX (http://www.copyright.gov/forms/formtxi.pdf), following all instructions, unless you want ProQuest to file a copyright application for you (see Chapter 7). ProQuest’s fee is much higher than if you submit your own application, but it saves you time and hassle.

⚠️ NOTICE: If your document is undergoing patent review, send nothing to the Copyright Office until the patent review process is complete and your work has been released; otherwise, you may lose all patent rights.

Copyright on Your Previously Published Material

If you have already published articles on research that will be included in your ET/D, you need to be aware that there may be a change in copyright status of the material. Upon acceptance for publication, you probably transferred copyright ownership to the publisher. Review the copyright transfer agreement that you signed well in advance of the deadline for filing your ET/D.

Journal publishers typically allow authors the use of their own materials, but you must request permission in writing from the publisher to include the article in your ET/D to avoid copyright infringement. You should also notify the publisher of the university’s right to reproduce and distribute your work. An example of a permission request letter can be found in The Chicago Manual of Style (2003), or, if you prefer, create your own request for copyright release. If the publisher’s notes to authors indicate that you don’t
need to obtain a written copyright release, be sure to make a copy of that statement and keep it permanently in a safe place.

If your article still has not been published at the point when your ET/D will receive final CGHS approval, your citation information should simply indicate “In Press” at the end.

**Copyright Status for Articles under Consideration**

You also need to be aware of the copyright status of articles while they are being considered for publication. Some journals require the author to transfer copyright upon submission, with the transfer becoming effective only in the event of acceptance for publication, while others wait until notification of acceptance. In either case, you retain copyright until the article is accepted for publication.

**Permission to Use Other Copyrighted Material**

In addition to your previously published material, you may want to use a published table, illustration, test instrument, or other material from copyrighted publications. Before doing so, review the doctrine of fair use of a copyrighted work (*The Chicago Manual of Style* 2003). Additional information about copyright and fair use is available on the UT Health Sciences Library web site at http://library.uthsc.edu/reference/copyright.

If the amount of material exceeds the guidelines of fair use, you must obtain written permission to use it from the copyright owner (usually the publisher) or face possible legal liability. You must also obtain written permission if you have adapted any figures/tables or have copied/adapted any material from an online source. As a matter of courtesy, you may want to ask the author for permission as well, particularly with an illustration or photograph. If you do use published graphic material, the source must be cited and the permission acknowledged as a footnote to the table or figure. Retain all original permission letters in a permanent file.

**Dedication Page**

If you wish to dedicate the manuscript, the dedication statement is included at this point. If it is a short phrase, you may wish to center it (together with its title) vertically and horizontally on the page. Otherwise, place the title on the top line of type and style the sentence as you do others in the body.
Acknowledgments Page

This page has two purposes:

(1) To thank those who have helped in the process of obtaining the graduate degree.
(2) To acknowledge grants and special funding.

If desired, you may also acknowledge permission to use copyrighted material (e.g., an article).

Abstract

Each ET/D submitted to CGHS must have an abstract. Although you and your faculty committee determine the content, the following information is appropriate:

(1) A short statement concerning the area of investigation and hypothesis.
(2) A brief discussion of methods and procedures.
(3) A condensed summary of the findings.
(4) Conclusions reached in the study.

In general, the abstract should be no longer than one page; it should never be longer than two pages. References are not appropriate for an abstract, which often stands alone. If you cannot avoid a reference, you must include the complete citation information (not just the author and year) as it is presented in the List of References. Unusual acronyms that might not be familiar to the reader should be defined at first use in the abstract, with the acronym placed in parentheses immediately afterward (as they are in the body). Discussion of your research objectives, methods, findings should be in past tense since your research has been completed; you are reporting on it in your ET/D.

**NOTICE:** If your document is undergoing patent review, do not include anything in the abstract that exposes potentially patentable information, because your abstract is not embargoed and will be fully viewable on the UTHSC web site in a page with other metadata for your document called the index page.

Preface

If desired, include a personal statement about the ET/D project in the preface. The tone of the preface must be academic and appropriate to a scholarly work.

Table of Contents

The Table of Contents (TOC) may vary in style and amount of information included. Chapter titles, List of References, appendixes, if any, and Vita must be included. No preliminary pages with Roman numerals are included in the Table of
Contents. Table of Contents entries start with page 1. Page numbers given for appendixes should be those assigned to the separation sheet preceding each of those items, if it is needed.

Although it is not necessary to include all levels of headings/subheadings, inclusion must be consistent. At a minimum, include 1st- and 2nd-level headings. Since subheadings help readers access the information, you may wish to include more. If a particular level is included at any point, all headings at that level must be included. Also, each level must have at least two divisions, because there must be two parts for anything that is divided.

If a numbering scheme is used, in the TOC align the first letter of the title two spaces to the right of the number with the most digits at each level. Align each succeeding level at the tab for the title of the preceding level: for example:

1.1 The 1st-level heads start here if the subdivisions go only to 1.9.
1.1.1 The 2nd-level head starts here if the subdivisions go only to 1.1.9. Align titles that continue past one line at the title tab, as illustrated here.

The ET/D template is not set up for a numbered style, so you will need to modify the style of heads in the body and also in the Table of Contents. Leave extra space after section numbers that will accommodate the number with the most digits plus 2 or more spaces before the descriptive title begins, as in the example just given.

Special Note on Styling Items in the TOC

Although the wording, capitalization, and punctuation of titles in the TOC must exactly match the body, styling for bold, lightface, and italic can be different since the TOC is considered an independent section. You may have italic, for example, in the body but not in the TOC. Styling at each level should be consistent, however, and bold is only appropriate for chapter titles and 1st-level heads. See the Guide and Appendix for samples.

Other Formatting Notes and Recommendations

- Use tabs to align all titles that are not on the left margin.
- Do not let a title intrude past the point at which the leader dots end.
- There must be a minimum of two leader dots at the end of each entry.
- Leader dots can’t be on a line by themselves. At least one word must also be on that line.
- Wording, capitalization, and punctuation of all division and subdivision headings must match their appearance in the text—the possible exception being that the titles List of References and Vita must match the styling used for chapter titles in the TOC for internal consistency in that section (i.e., in the actual back matter
they may be all caps, but if chapter titles in the TOC are initial caps, they, too,
will be initial caps).
- The page number of headings must match the text pages.
- Align page numbers on a decimal tab or right-hand tab at the right margin.
- To aid readability of the TOC, single-space division/subdivision titles within
  chapters, but leave an extra single-space before each chapter title (and after if
  desired).
- Do not leave a new chapter title hanging at the bottom of a page in the TOC; if
  the title can’t be followed by two lines of type, move it to the top of the next page.
- We strongly recommend that you create hyperlinks for all titles if you are not
  working on a Macintosh computer (there are issues with Macs). If you add
  hyperlinks, they must also appear in the LOT and LOF.

Review sample TOC pages in the Appendix for sample layout variations, noting
especially the spacing before chapter titles, and consistency of styling and indentation at
each level of chapter subdivision. The TOC in this Guide is also a good example of the
principles described here.

List of Tables and List of Figures

If there are five or more tables or figures, a List of Tables (LOT) and List of
Figures (LOF) must be included. There must be separate lists for tables and figures, each
starting at the top of a new page; the LOT always precedes the LOF.

Special Note on Capitalizing Items in the LOT/LOF

Capitalization of items in the LOT/LOF mirror the titles in the body; use initial
caps (when all main words are capped) or sentence caps (when only the first word and all
proper nouns are capped), Ensure that you use whichever style you choose consistently
throughout both lists. For ease of creation, we strongly recommend using sentence caps.

Other Formatting Notes and Recommendations

- Every title in the LOT and LOF must be unique.
- Use a tab to align all titles, including additional lines of long titles, at a point that
  accommodates the table/figure number with the most digits plus allows a white
gap of 2-3 spaces (see Fig. 2-1).
- Do not let a title intrude past the point at which the leader dots end.
- There must be a minimum of two leader dots at the end of each entry.
- Leader dots can’t be on a line by themselves. At least one word must also be on
  that line.
- The title includes all information up to the first terminal punctuation. Additional
  explanatory information (e.g., figure legend) is not included in the LOT or LOF.
Figure 1.9  Note the alignment of the figure titles and placement of the page number .................................................................22

Figure 1.10  Use a tab to start all figure titles after the figure number. Position it, as here, at a point after the table/figure number with the most digits .................................................................................55

Figure 2-1.  Example of tab alignment for the descriptive figure titles, title length per line, and page number placement.

- All table and figure titles must be worded, capitalized, and punctuated exactly as they appear in text with the table or figure.
- Align page numbers on a decimal tab or a right-hand tab at the right margin after the end of the title.
- Page numbers for tables and figures listed must match the text.
- Any tables or figures appearing in an appendix must be listed in the LOT/LOF—unless all the information in the appendix is the same kind of data (whether tables or figures), in which case each one should not be listed in the LOT/LOF.
- We strongly recommend that you create hyperlinks for all titles if you are not working on a Macintosh computer (there are issues with Macs). If you add hyperlinks, they must appear in the TOC, but they are optional for the LOT and LOF.

### List of Abbreviations

The title of this material should reflect its content and may be included to define specialized symbols or terms. It is a necessary aid for the reader if you have many acronyms/abbreviations.

**Formatting notes and recommendations:**

- List abbreviations alphabetically in a column starting at the left; provide definitions in a column at the right. You may wish to set this up as a table to take advantage of the alphabetizing function. If you do this, we recommend placing the columns relatively close together to aid readability as the reader moves across the line. If you don’t use the table function, you may wish to add leader dots between the columns.
- Include items beginning with a Greek letter at the beginning of the list.
- Include items with numbers in numerical order at the end of the list.
- Use capitalization consistently.
- To aid readability in long lists or lists with abbreviations or definitions that involve more than one line, you may leave one space blank between entries.
General Information on Style in Front Matter

Consistency is the watchword for achieving an attractive and usable ET/D. The guidelines that follow will help you achieve a consistent style in the front matter.

Base Type Font

The base type font and size chosen for chapter titles and text in the body should be used for headings and text in the front matter, (and also the Roman page numbers). We recommend 12-point Times or New Times Roman. For other acceptable fonts, see Chapter 5.

Front Matter Titles

Titles of front matter sections should be styled the same. Place them, centered and boldfaced, on the top line of type (except for the Dedication page title, if you center it vertically). Use the same font size as the body type. There are two methods for capitalizing front matter titles:

1. All caps—Example: ALL LETTERS ARE CAPITALIZED
2. Initial caps—Example: All Main Words in the Heading Are Capitalized, Including All Verbs But Not Prepositions (e.g., Table of Contents).

Whichever method you choose, you must use that same method with back matter titles; it is aesthetically pleasing if you also use the same style with chapter titles. Leave two single-spaces after the front matter titles (and back matter and chapter titles) for consistency.

Line Spacing

Use single line spacing in the TOC, LOT, LOF, and List of Abbreviations (LOA), though double-space between main sections of the TOC, e.g., between chapter titles and between entries in the LOT/LOF. You may wish to leave a blank space between entries in the LOA for readability. In addition, you must single-space the Title page, as is done in the template on the web. All other text in the front matter must be single-spaced (like this Guide), with double spacing between paragraphs.

Hyperlinks

At this time, because there are issues with hyperlink conversion with Macintosh, we do not require hyperlinks in the TOC, LOT, and LOF, but we strongly recommend adding them if you are able, as they are a significant aid to the reader. Hyperlinks can be
added automatically when you auto-generate the TOC, LOT/ LOF, or you can add them in Adobe Distiller when you create the PDF/A. If you add them using Adobe Distiller, we recommend that you only add them at the very end of the review process to keep from redoing them at each conversion.

All links (or references) to files, images, tables, and other parts of the document must be relative rather than absolute. Always reference the object by name rather than location. When you upload the document to the server, absolute links that reference items on your own computer will not work.
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CHAPTER 3. THE BODY

Organization of Text

Chapter Titles

The manuscript must be divided into a logical scheme that is followed consistently throughout the work. Chapters are the most common major division. Chapter titles are primary divisions of the entire manuscript and are not part of the subdivision scheme. The Introduction is usually the first numbered chapter.

Formatting notes and recommendations:

- Each chapter must be numbered consecutively and begin on a new page (on the top line of type), with the text following on the same page.
- Use either Arabic (preferable) or Roman numerals to designate chapters.
- Use either all caps or initial caps boldface for chapter titles and single spacing.
- Put either a period or colon after the chapter number.
- Leave two single-spaces after the chapter number/title before beginning text or a 1st-level head.

Headings

Any logical system of subdivision within chapters is permissible, but the scheme must be consistent throughout the manuscript. Any subdivision must have at least two parts, since you cannot divide anything into fewer than two parts.

Formatting notes and recommendations:

- The typographical appearance of headings must vary for each level of subdivision even if a numbering system is used to indicate level. The styling thus allows headings at each subdivision level to look unique
- If you start numbering subdivisions, all must be numbered.
- 1st-level heads should be all caps or initial caps. For readability, do not use all caps if any of the 1st-level heads are long.
- 2nd-level heads can be all caps, initial caps, or sentence caps. Use all caps only if your 1st-level heads are also all caps and no 2nd-level heads are long.
- Headings within a chapter do not begin on a new page unless the preceding page is filled.
- Unless there is enough room for the complete heading and at least two lines of text at the bottom of a page, begin a new subdivision on the next page.
- 1st- and 2nd-level headings are always preceded by two single-spaces to indicate to the reader a major shift in subject. In this chapter “Organization of Text” is a 1st-level head; “Chapter Titles” is a 2nd-level head.

- Subdivisions below the first two may have either one or two single-spaces above them, applied consistently. You may wish to leave two single-spaces above all heads because that is easy to remember.

- If the heading of one subdivision is immediately followed by the heading of the next subdivision, leave space according to the policy you have adopted elsewhere for space preceding that next level of subheading.

- Leave one single-space after all free-standing heads (i.e., those that do not run into text).

- Use no punctuation at the end of a free-standing head unless it is a question.

**Special Note on Styling Chapter Titles and Headings**

As mentioned in the preceding section, 1st- and 2nd-level headings should be all caps or initial caps (with all caps being used at the level before initial caps). In all caps, ALL LETTERS ARE CAPITALIZED; in initial caps, All Main Words in the Heading Are Capitalized (including verbs but not prepositions or articles); in sentence caps, only the first word and proper nouns are capped. Since all caps draw the eye more strongly than the other forms of capping, they are usually used only for the chapter titles and perhaps 1st-head levels. Use bold for higher levels of titles, then use lightface, and finally use italic type if necessary. We strongly recommend that you use the samples in the Appendix and the Guide itself when choosing the style for your titles and chapter headings.

**Special Note on Heading Consistency**

Chapter headings and subheadings are particularly important to the reader’s understanding of a document. They play a critical role as an aid or detraction from the usability of the work. Ensure that the following items (some required, some optional) are handled consistently: indentation, alignment, centering, font size, bold and italic, underlining, capitalization, periods, colons, dashes, and spacing above and below subheadings.

**References within Text**

The purpose of references is to guide the reader to the corresponding entry in the List of References, where complete information is available. Notes documenting the text consist of information in parentheses, or square brackets, within the text or superscript numbers.
Personal interviews or correspondence are not references, because readers cannot access the original information. In these cases, a parenthetical statement in the text (e.g., personal communication, including name and date) is sufficient.

**Methods of Referencing**

We recommend that you use one of these two common methods of referencing sources within the text:

1. Use author’s name and year of publication, as in (Smith 2005). When using this style, the LOR should be in alphabetical order.
2. Assign numbers to the bibliographical entries in the order of appearance in the text and insert the corresponding number for the authors as they are cited in the text.

Most journals use text citation by number to a numbered list of references, a citation style that saves space and thus money; however, ET/Ds have much more extensive reference lists, and citation by number can easily lead to citation errors unless you’re using software such as End-Note. Determine the form, style, and contents of reference notes by what is generally accepted in your field, using a standard professional journal or style manual. Be sure to double check that all sources referenced in the text, or in table or figure notes, are indeed in your List of References. Conversely, all sources listed in the LOR must be cited within the body. Failure to check the completeness of your references in the body and in the LOR may cause delays in the format review process if at that point we request that you cross check all in-text references against the entries in the LOR (and vice versa).

**Formatting Notes and Recommendations**

- Reference notes collected at the end of each chapter (end notes) are not acceptable.
- When using author’s name and date of publication, decide whether to organize references to more than one work within the same parenthesis alphabetically by author or chronologically by date. If organized alphabetically, order the citations as they appear in the LOR (including citations that would otherwise shorten to et al.) If organized by date and you encounter two dates the same, revert to alphabetical order for those two entries—and vice versa; if you organize alphabetically and have two authors being referenced together who have the same name, revert to chronological order for them.
- When presenting in-text references in parentheses, sentence punctuation goes after the end parenthesis.
- When using superscript numbers for references, if several are called out at a time, do not space between the numbers. End punctuation for such a sentence comes immediately before the superscript number—with no space between the last word.
and the superscript number and no spaces between a series of superscript numbers.
• Direct quotations must include specific page number(s) in the citation (e.g., Kramer 2003, p. 111).

**Inclusion of Previously Published Chapters**

A thesis or dissertation may include chapters/parts in the form of articles published or about to be published in professional journals. Some guidelines apply, however. The individual papers must be integrated into a unified presentation with the rest of your ET/D, although each paper may be listed as an individual chapter within the ET/D. The theoretical implications of the findings presented in individual articles are usually summed and discussed in the final discussion chapter of the ET/D. Appendixes may be added to present information not included in the chapters.

**Permission**

For chapters previously published, you must obtain and acknowledge permission from the copyright holder (usually the publisher) to reproduce or modify the material by including a footnote to the chapter title. Also indicate permission to use on the copyright page (see chapters 2 and 3 for details); permission may be mentioned on the acknowledgments page as a courtesy.

An increasing number of publishers automatically grant copyright permission to authors. If you have this situation, just print the instructions to authors (or whatever document indicates that you are granted permission) and keep it with your permanent records to prove you had permission to reprint/adapt if the question ever arises. If you only reformat the article to fit the style of your ET/D, use the term **reprinted**. If you add or change any of the information, use the term **adapted**.

Acknowledge, in a footnote to the chapter title, permission from the copyright holder, to reproduce or modify the material. Use an asterisk at the end of the chapter title to signal the footnote. If you are using several previously published articles, you may wish to number them consecutively in the ET/D. The footnote—placed at the bottom of the page after a corresponding asterisk or number—should provide the complete literature citation, including coauthors. The space between the title and footnote should be filled with chapter text.

If the copyright owner does not stipulate wording of the permission acknowledgment, use a statement such as **Reprinted with permission or Adapted with permission** and the full reference information. Use the term **reprinted** if you only reformat the article to fit the style of your ET/D. Use the term **adapted** if you add or change any of the information. Style the reference information exactly as you style the citation in the List of References. If the article has not been published by the time your ET/D is ready to be approved by CGHS, list it as “In Press” at the end of your citation.
Formatting

A uniform style of headings, reference citations, and bibliographical format—in compliance with this Guide—must be adopted for included articles, even though individual papers may have been prepared for different journals. Any List of References must be assimilated into the ET/D’s List of References so there is only one.

Supplemental data files usually are put into an appendix in your ET/D, though if those are unusually long or are multimedia files, they should be referenced in the ET/D but uploaded as separate files; see Chapter 4 for details regarding multimedia requirements.

Tables/figures in a chapter previously published do not need to have that source restated, as the acknowledgment of permission on the first page of the chapter is sufficient. Also, if you add your own unpublished data, no citation is required; that is part of the adaptation. If you use unpublished or published data or a table/figure from another source, you must indicate the source in an appropriate way. Personal interviews or unpublished correspondence are not referenced to the LOR, because readers cannot access the original information. In these cases, a parenthetical statement in the text (e.g., personal communication, including name and date) is sufficient.

Tables and Figures

A table consists of numbers, words, or both with headings. It presents information that is separated into at least two columns. Tabular information allows the author to convey precise information to readers in a structured format. One column of information is a list, not a table. Any diagram, drawing, graph, chart, map, photograph, or material that does not fit into the restricted format for a table is a figure.

Figures generally show relationships or illustrate information rather than present precise data. It is not necessary to designate as figures small diagrams (e.g., schemes in pharmaceutical sciences) within the text or to designate as formal tables compilations that are no more than a few lines long. Hence, they would have no formal number.

General Information

Titles. Because tables and figures are separate entities, they must be numbered independently, with the number preceding the title of the table or figure.

Formatting notes and recommendations:

• Each title must be different from all other table/figure titles.
• Styling of the titles (e.g., use of capitalization, bold) must be consistent for all tables and figures.

• Left justify table/figure titles. However, if tables/figures are centered *horizontally*, the title may also be centered over/under the table/figure (with titles that extend longer than a full line of type being left-justified).

• We recommend using a period to clearly designate the end of a table/figure title and also notes. The title extends only to the period.

**Numbering.** All tables and figures must be referred to by number, not by expressions such as “the following table/figure.” Following are the two most common numbering schemes for tables and figures.

(1) Number consecutively throughout the manuscript, including the appendix.
(2) Number consecutively within chapters, with a prefix reflecting the chapter designation and a letter prefix of A for one appendix or A, B, etc., for more than one (e.g., 3-1, 3-2 . . . , A-1, B-1).

Formatting notes and recommendations:

• If you have many figures or tables, we strongly recommend that you number them independently by chapter and appendix—e.g., 1-1, A-1. Then, if you add or delete a table/figure, you need to renumber only those tables/figures in that chapter.
• Use Arabic or Roman numerals to correspond to the chapter designation. We strongly discourage use of Roman numerals as being difficult for many readers to follow.
• Only when tables/figures are numbered consecutively throughout the document and do not carry the chapter designation can chapter numbers be Roman and table/figure numbers be Arabic.
• The style of numbering must be consistent throughout the document.

**Placement within body.** In degree of importance, tables and figures are secondary to text. Therefore, the text dictates where the tables or figures are placed. The following two types of placement are possible for a table or figure. Tables/figures must always appear immediately after their first callout—either on the same page or on the next page, as follows:

(1) *If taller than 4 inches* (including title/notes/legend), a table/figure goes on a separate page immediately following the callout. Shorter tables/figures may also be placed on a separate, nontext page, especially if several are cited on the same page.
(2) *If short* (no more than 4 inches, including title/notes/legend), a table/figure may be incorporated into a text page, using the following guidelines:

• *Initial callout in top half of page:* Place short table/figure at the bottom of the page. A table/figure so placed may not continue to the next page.
• **Initial callout in bottom half of page:** Place short table/figure at the top line of type on the succeeding text page. Leave 2 single spaces before continuing the text.

**NOTE:** Tables/figures may never have text both above and below them.

Formatting notes and recommendations:

• Figures/tables incorporated into text must be set off from the text by consistent extra space (e.g., two single-spaces) before or after each occurrence, as appropriate, depending on whether they are at the top or bottom of a page. Technically, this is extra space that looks visually consistent. When cutting figures/tables to insert, cut as close to the graphic as possible so there’s minimal extra white space.

• There must always be a balance of no less than 50% text and no more than 50% table or figure on a text page.

• All text pages must be filled unless they are the end of a chapter, and in no case should a page be left short because of the mention of a table or figure.

• When more than one table or figure is called out on a page, each follows in the order mentioned.

• Tables and figures may be placed on pages together, provided there is consistent extra space (e.g., four single-spaces) between each. Doing so is preferable if they are not vertically tall. If you start putting 2-3 short figures/tables per page, when appropriate, do that throughout the document were possible.

• We recommend that all tables and figures, except those quite short vertically, appear on pages separate from the text to avoid problems in shifting during revisions.

• Place tables/figures that are on a nontext page consistently—centering them horizontally on the page. Place them at the top or center of the page vertically. Place all tables/figures consistently.

• All tables/figures must remain within the standard page margins.

**Table/figure placement in appendix.** When the text calls out tables and figures in an appendix, clearly indicate their location (e.g., Table A-1). In all other ways, tables and figures in the appendix are numbered and titled consistently with those in the body and are listed, as appropriate, in the LOT or LOF—unless all the information in the appendix is the same kind of data (whether tables or figures), in which case each one does not need to be listed in the LOT/LOF.

**Large Tables and Figures**

Large tables or figures must sometimes be placed horizontally on the page (landscape orientation) in order to fit within the page margins. The standard margins must remain, and all information in tables/figures must be within those margins. Placement of the page number must be .05 inch from the edge of the page (Word’s
default setting); Word automatically puts it in the same position as on other pages. When viewed electronically, the graphics of PDF ET/Ds appear upright like regular text pages.

To insert a “landscape” page in Word, choose Insert – Break – Section – Next Page. With the cursor in the new section, in Page Setup choose Landscape orientation. To end landscape orientation, insert another section break and change the orientation back to Portrait.

If you want printed copies of your ET/D, you may wish to adjust the page number placement on landscape pages so it is the same as on portrait pages. For making a paper copy of your ET/D, a table/figure and its caption are placed so that they can be read when the manuscript is turned 90º clockwise. Save a separate file designed for printing paper copies if you have landscape tables/figures and wish to change the page number orientation.

Requirements for Tables

**Placement of title.** The title describing the contents appears over a table; leave one single-space before the table opening line.

**Font.** Because tables are typed rather than photographed or copied from artwork, the same base font used for the manuscript must be used for them. The font size of the table title and any footnotes must be the same as is used for text. However, the font size used for columnar heads and data (table body) may be reduced, if necessary, to fit the information inside the page margins—but only if all other alternatives have been tried (such as landscape orientation and tightening space between columns). Because of the font requirements for tables, it is rarely possible to use a table from another source “as is.”

**Components.** Because tables consist of tabular material or columns, the use of horizontal lines helps readers distinguish the various parts of the table. One of the characteristics that identifies tabular material as a table is the presence of the following three horizontal lines, which are required:

1. The *table opening line*, which appears after the table title and before the columnar headings.
2. The *columnar heading closing line*, which closes off the headings from the main body of the table.
3. The *table closing line*, signaling that the data are complete. Anything appearing below the closing line is footnote material.

Tables must have at least two columns. All columns must have headings at the top—brief indications of the material below them. The headings appearing between the table opening line and the column heading closing line must apply to the entire column down to the table closing line. This is especially important in tables that continue onto additional pages. It is never appropriate to change columnar headings on continued
pages. One method of avoiding a problem is to use spanner heads—headings that appear above the column heads or perhaps below the column heading closing line, span two or more columns, and apply to all the tabular matter lying below them (The Chicago Manual of Style 2003).

Even if you have subdivisions of the data within the body of the table it is not appropriate to use horizontal lines to separate them. Use other stylistic indicators such as extra space above the divisional titles and/or boldface type.

**Continued tables.** Tables may be continued on as many pages as necessary, provided the columnar headings within the columnar block remain the same and are repeated on each page. The table title is not repeated, but continuation pages are indicated with the designation “Table X (continued)” left justified at the top line of type. Fill each page as much as possible before starting the next continued page. For continued tables, the table closing line appears only on the final page at the very end of the table. No text should appear on pages with tables that include more than one page.

**Table notes.** Notes to tables consist of four different categories: (1) general notes, (2) notes to specific parts of the table indicated by superscripts, (3) notes on level of probability, and (4) source notes. There is no formal order for presenting several different types of notes after a table, but their order of appearance and styling must be consistent across all tables. Typically source notes appear last.

**General notes.** General notes are introduced by the term Note(s) and may include remarks that refer to the table as a whole.

**Notes for specific parts.** Notes referencing specific parts of the table use superscripts (letters for tables consisting of numbers, numerals for tables consisting of words), or symbols (if letters or numbers might be mistaken for exponents) that are attached to the part of the table to which they apply. The order of notes in a table is left to right, top to bottom. The notes must include explanations of symbols and abbreviations.

**Notes on levels of probability.** Use asterisks, by convention, if a table contains values for which levels of probability or significance are given. A single asterisk indicates the lowest level of probability, two for the next higher, etc.

**Source notes.** If information in a table is taken from a source, the word Source(s): is used, followed by the full reference citation(s). If an entire table is reprinted from a source, you must receive written permission from the copyright holder (the publisher or author) to reprint it. It is also appropriate to get permission from the author as a courtesy if the publisher holds the copyright. Use the phrase Reprinted with permission [optional to add from and the copyright holder’s name]. Use this phrase even if the publisher indicates that no special permission is needed for reprints, since such a statement is tacit permission. Immediately add the full reference citation as listed in the List of References. Sometimes the publisher will provide you with the permission statement it wishes to be used. If you adapt the table, use the phrase Modified with permission [optional to add...
from and the copyright holder's name]. Follow this with the full reference citation exactly as it is listed and styled in the List of References.

Page number(s) to the source must be provided in the reference citation. If the source is a book, provide the page number for the table in the original text, or if it is an article, provide the inclusive page numbers of the original article. This ensures, if a table is copied from your document in the future by an interested reader, that all bibliographic information is contained within the page. If you number references, add the appropriate number after the full reference information.

Ensure that you permanently retain all permission emails/letters in a safe place.

**Formatting notes and recommendations for tables.**

- We strongly recommend that you use the table function in Word or Excel to create your tables rather than using tabs.
- Eliminate vertical lines and lines around every cell in the entire table.
- For readability, you may add a blank space after major headings within the data for complex tables. Grey shading may also be used to aid readability in complex tables.
- Include only the three essential horizontal lines.
- If using spanner heads, ensure that the underline beneath each spanner head covers all appropriate columns and is centered over them.
- If there are several spanner heads, the underlines for each should have a small open gap space between them, created by inserting a narrow invisible column.
- Position column heads consistently in regard to the data: either left justified over the data or centered.
- Use a decimal tab to align numerical data.
- Turn a table to landscape orientation only if the data will not fit horizontally within the margins.
- Since tables are typed, use the base font and size for the table body as that chosen for the text, unless a smaller size is required for the table to fit within the page margins. Do not use a smaller font size if there is extra space between columns.
- Ensure that spacing over and under column heads is consistent in relation to the lines over and under them—along with spacing before the table closing line.
- Space between columns should be consistent unless there’s a reason for additional space—e.g., visually separating two halves of a table that each have several columns.
- Single-space table titles, notes, and the data in tables, though you may leave a horizontal space between items if needed for clarity.
- Use consistent styling of capitalization and indentations within all tables.
- Table number style must match that of chapter numbers if table number is preceded by chapter designation (e.g., 1-2).
- Even if you choose to bold the table number and title, use regular (not bold) type for notes.
- Leave one single-space after the table title and before the table opening line.
- Ensure that the following items (some required, some optional) are handled consistently in formatting the table number, title, and notes: indentation/alignment, spacing between title and table, font type and size, bold, underlining, capitalization, periods, colons, and dashes.
- Place notes after the table closing line, consistently leaving one single-space (or no space) before beginning the notes.

**Requirements for Figures**

**Special titling issues.** Figures containing parts must be given one general title, after which the figure may be broken down into parts (e.g., A, B, C). Callouts can refer to parts (e.g., Fig. 2-1A); leave no space before the part designator.

**Placement of title.** The title appears below a figure, with at least two single-spaces before it. More space can be left, but it must be consistent for all figures, except if a legend page is needed (see Fig. 3-1).

**Font.** Because figures are considered illustrations, regardless of the nature of their content, any print that is part of the figure can be in any font (usually a sans serif font such as Arial or Helvetica), provided it is legible. The figure title, legend, notes, and page number must be in the same base font and size as the rest of the text, because this material is considered to be part of the typed body of the manuscript (see Chapter 5).

**Required labelling.** Panels should be labeled with letters (e.g., A) that are consistently placed and styled (e.g., with or without bold). Direct the reader’s attention to particular panels in the notes by referencing the letters, using consistent styling. X and Y axes must be labeled because the reader needs to understand the units of measure.

**Legends.** Legends define figure parts, symbols, abbreviations, and may include notes. This explanatory material may be placed either below or continued after the period following the figure title. It may also be started on a new line following an extra line space after the title. Ensure that all symbols, abbreviations, and terms in all figures and in the text agree and are formatted the same. All symbols (unless standard) in each table should be defined in a legend regardless whether they’re defined in the text.

**Figure notes.** Notes are placed below a figure title (leave one single-space) but are not separated by a dividing line and can include general notes and source notes. All sources referenced must be included in the List of References. There is no formal order for presenting several different types of notes after a figure, but their order of appearance must be consistent across all figures. Typically source notes appear last.

**General notes.** These notes are introduced as Note(s): and may include remarks that refer to the figure as a whole.

**Source notes.** If information in a figure is taken from a source, the word Source(s): is used, followed by the full reference citation(s). If an entire figure is
For TOC, go to p. v. 30

reprinted from a source, you must receive written permission from the copyright holder (the publisher or author) to reprint it. It is also appropriate to get permission from the author as a courtesy if the publisher holds the copyright. Use the phrase *Reprinted with permission* [optional to add from and the copyright holder’s name]. Use this phrase even if the publisher indicates that no special permission is needed for reprints, since such a statement is tacit permission. Immediately add the full reference citation as listed in the List of References. Sometimes the publisher will provide you with the permission statement it wishes to be used. If you adapt the figure, use the phrase *Modified with permission* [optional to add from and the copyright holder’s name]. Follow this with the full reference citation as listed in the List of References.

Page number(s) for the source must be provided in the reference citation. If the source is a book, provide the page number for the figure in the original text, or if it is an article, provide the inclusive page numbers of the original article. This ensures that if a figure is copied from your document in the future by an interested reader, all bibliographic information is contained within the page. If you number references, add the appropriate number after the full reference information. All such source references must be included in the List of References.

Ensure that you permanently retain all permission emails/letters in a safe place.

**Legend pages.** If a figure has a title and long notes/legend that must be placed on a separate sheet because of the figure size, this legend page must be placed immediately before the figure. The information must begin on the top line of type. The page number assigned to the legend page is considered the first page of the figure and hence is the page listed in the List of Figures. The figure title does not reappear on the next page with the figure. Also, the first page with the actual figure is not considered a “continued” page; continued pages begin only with the second and succeeding pages of the actual figure. Legend pages are used only when the legend and figure cannot fit together on a single page.

**Continued figures.** A figure containing several related parts too large to be included on one page may be continued on succeeding pages. The first page (i.e., the legend page) contains the figure number, title, and notes. If a legend page is used, the first page containing the actual figure has no title on it and is not considered a continued page. However, if additional pages are needed for the figure after that first page showing the figure, add the wording *Figure X (continued)* below the figure on each additional page; leave two single-spaces before it.

**Formatting notes and recommendations for figures.**

- Ensure that the following items (some required, some optional) are handled consistently for figure numbers, titles, legends, and notes: indentation/alignment, spacing between figure and title, font type and size, bold, underlining, capitalization, periods, colons, and dashes.
- Leave two spaces (or consistent extra space) after the figure before starting the title. This space should look the same for all figures.
• You may wish to begin notes/legends on a new line.
• Even if you choose to bold the figure number and title, use regular (not bold) type and left-justified text for notes and legends.
• Turn a figure only if it will not fit horizontally within the margins.
• Style the definitions of all figure parts, symbols, and abbreviations consistently throughout the document to the extent possible (e.g., terminology used in a figure from another source might be slightly different from your own).
• All figure contents must be legible; however, save line art as jpegs before inserting them to save file space. You may wish to consider using vector graphics for line art. If you need high resolution in order to display graphics adequately, save them as TIFs.
• Delete any wording over a figure that is redundant with the title.
• **Important!** When using figures generated with programs that use layers, e.g., Adobe Photoshop, Illustrator, etc., it is essential that you flatten these images before inserting them into your Word document. Failure to flatten the images will cause the PDF/A-1b conversion to fail.

### Requirements for Supplementary Information

Sometimes you may have oversized data files or videos that should be made available outside your ET/D. Submit data files in PDF/A-1b format, and use the standards defined by UMI/ProQuest for video. See Chapter 7 for details about UMI/ProQuest.

Call out supplemental files in the body of your ET/D using the same titling conventions that you use for titles/figures, naming them *Supplementary Information 4-1*, for example, and immediately giving a short descriptive title. The discussion in the body should summarize what is presented in a clear, succinct fashion.

### Requirements for Equations

#### Numbering Equations

Equations can be numbered consecutively throughout the text (and appendix, if appropriate) using the format in the following example if they are referred to in the text:

\[ R_1 \cos \theta_1 + R_2 \cos \theta_2 + R_3 \cos \theta_3 + R_4 \cos \theta_4 = 0 \quad \text{(Eq. 3-1)} \]

Number equations by chapter (e.g., 3-2), if tables and figures are numbered by chapter. Number equations only if referred to in the text; each equation in a series of equations does not need to be numbered.

### Format Notes and Recommendations
• Each equation is preceded and followed by one single-space.
• Center equations.
• Align equation numbers consistently on the right margin (or near the right margin) with a decimal or right-hand tab.
CHAPTER 4. BACK MATTER

Additional formal sections—namely the List of References (LOR), Vita, and also one or more appendixes, if appropriate—follow the main chapters, or body, of a thesis or dissertation. See Fig. 1-1 for the correct order of these sections.

List of References

An ET/D must include a list of publications (including web sites and other media) for all sources referenced in the manuscript. The purpose of the List of References is twofold:

(1) To serve as an acknowledgment of sources.
(2) To give readers sufficient information to locate the original information.

Personal interviews, correspondence, and nonpublished manuscripts are not references, because readers cannot access the original information. In these cases, a parenthetical statement in the text (e.g., personal communication, including name and date) is sufficient. Other than these instances, all other sources in the LOR must be referenced in the text, and all sources cited in the text must appear in the LOR—e.g., sources of figures.

Order of Entries

Choose one of the following standard methods for ordering entries in the LOR:

(1) Number references in the order of appearance in the text and then arrange the LOR in the same numerical order.
(2) Arrange entries alphabetically and use no numbering system in the text. For references having the same or about the same authors, order them alphabetically by the first unique instance of information in the citation, or use your field’s style guide recommendation.

Citation Style

For the reference section of your ET/D, follow a standard literature citation style in your field. Alternatively, use the citation style in the “Uniform Requirements for Manuscripts Submitted to Biomedical Journals” (International Committee of Medical Journal Editors (most recent edition at http://www.icmje.org), which is the style of the U.S. National Library of Medicine. References listed in the Guide follow this citation style. Double check to ensure that you cite in text all references in your List of References and that complete information for each entry is provided in the LOR.
Format Notes and Recommendations:

- Place the title (List of References) centered on the top line of type of the initial page of the section (like a chapter title).
- The title is styled like other front and back matter titles and is followed by two single-spaces.
- Format for the citations should be that used in your field of study.
- If you alphabetize, check alphabetization carefully.
- Treat a web site like any other reference. If it has an author/organization and/or title, include those; most reputable sites have one or both. Then add the complete URL. Finally, add “accessed” and provide the complete date (e.g., accessed March 30, 2005). According to The Chicago Manual of Style, when you must artificially break a URL at the end of a line (to fill the line), the break should be made after a single or double slash (/ or //); “before a tilde (~), a period, comma, hyphen, underline, question mark, number sign, or percent symbol; or before or after an equals sign or an ampersand” (2003, p. 645). Note that if you are using author-year text citations, use the author or organization name and the year (if one is noted) or the year you accessed the site. For additional information on web references, see examples from the National Library of Medicine at http://www.nlm.nih.gov/bsd/uniform_requirements.html
- For abbreviations of journal titles, consistently use the system appropriate for your field (e.g., Journals Indexed for MEDLINE, Chemical Abstracts, BIOSYS). If you abbreviate any journal titles, you must abbreviate them all, where appropriate.
- Ensure that capitalization, punctuation, spacing, and placement of similar elements are consistent.
- Single-spacing may be used in the List of References, although you should use a hanging indent or double-space between entries to distinguish separate references.
- Use a consistent format for page ranges: full pages (301-309) or abbreviated pages (301-9).
- Do not allow an entry to straddle two pages; if it is ≤ four lines long; move it to the next page.

Even if you use End-Note or other citation software, please be aware that it may not format elements consistently. Review each LOR entry carefully, correcting discrepancies and ensuring that the citation information is complete—e.g., that all books have a publisher and place of publication.

Appendixes

Sometimes you may wish to include extra information/data that would be distracting or inappropriate in the body of your ET/D. An appendix provides relatively brief supplementary material to the ET/D. For example, computer programs, Institutional Review Board permissions, survey instruments, or tables and figures providing detailed data summarized in a chapter may be placed in an appendix to avoid interrupting the text. An appendix may also be used to archive experimental results not included in the body of
the ET/D, such as control experiments demonstrating the validity and limitations of a particular technique or experiments performed on a project unrelated to the ET/D project. If there is only one appendix, it is called simply “Appendix” and a descriptive title follows that, as you have for chapters. Use of capitalization, bold, etc. should be the same as for chapter titles.

**Numbering Multiple Appendixes**

Multiple appendixes are designated by capital letters (e.g., Appendix A), and each must be given a descriptive title. Subsets of an appendix are designated by Arabic numerals (e.g., Appendix A-1) if your chapters have Arabic numbers. Use Roman numerals for appendixes only if that style matches your chapter numbers. Appendixes are presented in the order in which they are mentioned in the body of the work (in alpha order), and all appendixes must be called out in the order in which they are presented in the back matter. In the text, refer to appendixes by their labels, as you do tables and figures.

**Titling and Headings**

An appendix title appears centered on the top line of type, styled like other titles in the front and back matter, with two single-spaces after it. Start each appendix on a new page. If the title will not fit on the page with the data/figure, provide a lead-in page with the title centered horizontally on the top line of the page or otherwise centered vertically and horizontally on the page.

An appendix may include heads and subheads just like the main body text. In this case, style them as you do heads/subheads in the body.

**Tables and Figures in an Appendix**

Except for computerized printout, if the original data and supplementary materials presented in an appendix include tables and figures, they must be styled using the same conventions used in other tables/figures and must be listed in the LOT/LOF—unless all the information in the appendix is the same kind of data (whether tables or figures), in which case each one should not be listed in the LOT/LOF.

If an appendix is composed of a single table, the centered appendix label and title serve in lieu of a table number and title. If multiple tables/figures are grouped into an appendix, then give each one a number and title.
Vita

The vita is the last part of the manuscript and is usually only one page. It is written in narrative form and contains appropriate personal, academic, and professional information about you. Because the manuscript is available to the public, private information should not be included, although the vita should indicate your year of birth for library cataloging purposes, and you may wish at the end of it to mention the degree you will receive following approval of your ET/D and the date of graduation.

General Information on Style in Back Matter

Titles of back matter sections should be styled the same as those in the front matter. Place them on the top line of type of the initial page of the section, centered (like front titles); use capitalization and bold in the same way, and leave two single-spaces after each title. The base type font style chosen for chapter/section titles in the body should be used in the back matter. Text, with the exception of figures or documents from other sources reduced to fit within the page margins, is to use the basic body font and size chosen. Fill data/information pages in the back matter just as in the body, unless they end a section.
CHAPTER 5. FORMATTING

ET/D Template

We strongly recommend that you use the ET/D Template available under Guides and Forms at the ET/D web page http://www.uthsc.edu/grad/TandD/index.php?page=TandD. Even if you use it, however, you should understand the formatting guidelines discussed in the following sections. Instructions for its use are contained within the template itself.

Type Font and Base Style

Type face affects the physical appearance of a manuscript more than any other single element. Your ET/D must use one of the following fonts, which are illustrated in the names:

- **Serif**: Times New Roman, Times, Garamond, Palatino
- **Sans serif**: Arial, Lucinda Sans, Helvetica

We recommend Times or Times New Roman font set at 12 points with single-spacing as the standard for optimal online readability. If you use a sans serif font, set it at 10 or 11 points.

The type face selected for text is the base style, or starting point, for all type selected and establishes the framework for the entire manuscript. All of the following items must be in the base font style and size:

- Front matter pages, including approval sheet.
- All front and back matter titles as well as chapter titles.
- Text (i.e., the main body of the ET/D)
- Tables—even those from other sources—and table titles and notes.
- Figure titles/notes/legends. The labeling of figure parts may be in a different font.
- Page numbers, including front matter page numbers.
- Back matter pages, except labeling of figure parts or documents copied into an appendix.

**Bold** and **italics** can be effective when used consistently for emphasis, headings, or as a convention for specific kinds of text, such as quotations. We recommend a minimalist approach to using these alternatives, however. Used extensively, they detract from readability. Modern styling does not use the underline for emphasis as in yesteryears when bold and italic weren’t available on the typewriter.
Margin Settings

The following ET/D margins cannot be violated:

- Left and right margins must be 1.25 inches on all pages.
- Top and bottom margins must be 1 inch on all pages.
- Page numbers in the bottom margin must be .50 inch above the bottom of the page (the default in Word), centered or right justified. The same space requirement (in reverse) applies if the page number is at the top of the page. We recommend bottom-margin placement of page numbers in the middle of the page.

The margins define the white space to be maintained on all sides throughout the manuscript, including all front and back matter pages, as well as all figure and table pages. A standard margin watermark that can be applied to your Word file or PDF file to check for margin discrepancies is available under Guides and Forms at the ET/D web page http://cghs.uthsc.edu/TandD/TPWatermarkO.pdf along with instructions for applying it to the file.

Standard Margin Watermark

To ensure that all text, tables, and figures are within the margins of your ET/D, we strongly recommend that you apply to your Word file the standard margin watermark we’ve developed. It’s available under Templates on the ET/D web page at http://www.uthsc.edu/grad/TandD/index.php?page=TandDGuidesForms. Instructions for using the watermark are immediately after the watermark link.

Justification

A line of type, regardless of the words in it, that is exactly the same length as all other lines, is called justified. Either justified or ragged-right margins are acceptable, but we strongly recommend the use of ragged-right (i.e., left-justified text) for ease of reading and to avoid problems with exaggerated letter and word spacing.

Line Spacing for Text and Tables

The general text must be single-spaced throughout the ET/D, making it easier to read on the web. Single-spacing should also be used for footnotes and table data in addition to table/figure titles, notes, and legends. To aid readability, an extra space may be left between complex table sections. Set line space for the document at 1.0 (single) with no extra space before or after paragraphs. Press ENTER to insert a needed blank space between paragraphs or to add extra blank lines wherever needed (as before heads).

Single-spacing should be used in the TOC, LOT, and LOF, (in the front matter) and within entries in the LOR (back matter)—with an extra single-space added between
entries. To aid readability, you should leave an extra single-space between entries in the List of Abbreviations as well. Leader dots aid readability. Single-spacing may be used for presentation of data in appendix material.

Unless there is a head hanging at the bottom of a page without two lines of text below it, **do not manipulate the space requirements on text pages artificially to start a new page at the top line of type.** To do so would create problems if there are later changes to text preceding that page. This means that a text page, if preceded by another text page, may fall 1-2 lines below the top line of type.

**Widow/Orphan Control**

Widow/orphan control in Word (under Format-Paragraph-Line and Page Breaks) automatically keeps a single line in a paragraph from being stranded by itself at the bottom or top of a page. We recommend but do not require that you use this option. Just be sure that your choice is applied consistently throughout the document.

**Pagination**

**Fig. 1-1** shows the sequencing and pagination of the various parts of a ET/D. Small Roman numerals are used to number front matter pages. Although the preliminary paging begins with the title page, no number appears on that page. Therefore, the following page (usually the Copyright page) is page ii. Beginning with the first page of the first chapter, all pages must be numbered consecutively with Arabic numerals throughout the manuscript, including the List of References, Appendix, and Vita.

Formatting notes and recommendations:

- Position the number at the bottom of the page, either centered between the margins or in the right-hand corner, consistently throughout the document. Space between the bottom of the page number and margin must be at least .5 inch.
- If separation sheets for appendixes are necessary, they also must contain page numbers, and these are the pages referenced in the Table of Contents.
- Page numbers (both Arabic and Roman) must appear in the same position on all pages and in the same type font and size as the text. The page number on a landscape page should be placed at the bottom of the page when viewed for reading.

**Filling Text Pages**

All text pages (and front/back matter pages) must be filled with text, unless they are the last page of a chapter/section. An exception is a page that is ‘short’ due to the rule that unless there is enough room for a complete heading and at least two lines of text at the bottom of a page, the head moves to the next page. Check carefully for pages
immediately before a table/figure page—especially if the text continues after the table/figure, as these must be manually adjusted to fill the page.

**Indented Material**

**Paragraph Indentations**

Paragraph indentations should be uniform throughout the ET/D. Leave only one single space between paragraphs (even if you don’t indent them). We strongly recommend indenting paragraphs, because indenting clearly signals whether a sentence that begins on a new page (after the preceding page text ends at the right margin) is a new paragraph or not.

**Indentation of Numbered and Bulleted Lists**

Use consistent indentations and punctuation for numbered and bulleted lists. See the lists in the *Guide* for examples. Ensure that lists cannot be confused with heads used at division/subdivision levels. Short lists may be written in narrative fashion in text using a consistent numbering/lettering style—e.g., i), ii); a), b).

Use phrases or sentences consistently within lists, as this grammatical technique aids readability and understanding. Handle similar list material with the same formatting approach.

**Indentation of Long Quotations**

*The Chicago Manual of Style* suggests that quotations of at least eight lines be formatted as a block quotation (2003, p. 447). Indent them from the left margin at the paragraph tab. If the reference information is not provided in the introduction to the quotation, give it at the end in parens, along with the page number(s); place the sentence ending punctuation after the end parenthesis.

**Formatting Previously Published Articles**

If you incorporate a previously published article, in addition to footnoting the chapter title where you insert it and providing the full bibliographic information in a permission to reprint/modify statement (see Chapter 3), you must change the styling of the in-text references and heads, as well as other styling details, to match the style of your ET/D. Citations that might have been at the end of the article must be married into your ET/D List of References.
Nonbreaking Hyphens and Spaces

If you have hyphenated scientific terms or table/figure numbers (e.g., M6P-HPMA), use non-breaking hyphens for them if they come at the end of a line so they will not split between lines. Remove the regular hyphen and replace with a non-breaking hyphen as follows: Press CTRL + SHIFT + dash to achieve a non-breaking hyphen in Word (on PC). Use COMMAND + SHIFT + dash on Mac.

For places where you want no break at a space (as in scientific formulas/equations), on PC press CTRL + SHIFT + space bar. Use COMMAND + SHIFT + space bar on Mac.

Look for instances throughout the ET/D where these non-breaking hyphens and non-breaking spaces may be needed.

Other Special Formatting Notes and Recommendations

Although you will be using your field’s approved style guide for numerous small stylistic questions, review your document carefully for consistent handling of the following types of issues:

- Consistently leave a space or no space before and after these types of symbols: =, ±, <, >. Apply the same styling to all of these symbols.
- Always leave a space between the number and the abbreviated unit of measure (e.g., 90 mm Hg).
- Although the standard for scientific publishing is to use italics for genera, species, varieties, and letters used as statistical symbols or algebraic variables, we strongly suggest that you use regular type for other foreign terms such as e.g., i.e., et al., in vivo, in vitro, and a priori. If you begin italicizing these terms, however, you need to do so throughout your document, including the LOR.

Being consistent in applying these styling details can translate psychologically into a reader’s enhanced feeling of confidence in the integrity and care you’ve taken in not only your writing but also your research. Since these issues are editorial in nature, however, the format review will not note inconsistencies.

Consistency

The element that contributes most to the readability, comprehensibility, and attractiveness of a manuscript is consistency. Consistency in formatting means that the writer establishes and adheres to a series of conventions regarding spacing, heading sequencing, and other aspects of appearance to guide readers through the manuscript visually, thus enabling them to concentrate on the content. Consistency in ET/D production is especially critical, because it determines in part the committee reaction to content and, ultimately, acceptance of the manuscript by CGHS.
The secret to consistent formatting is to establish styles or conventions and follow them throughout the manuscript. This document was designed to serve as a graphic illustration of the use of typefaces and formatting specifications from this chapter. Other sources of usable ideas are journals or textbooks in your discipline. We strongly recommend that you make choices in use of bold, capitalization, and spacing, for example, that are easy to remember and execute. It will eliminate a lot of frustration.

**Tips for Working Efficiently**

Developing a format sheet when you first begin typing or formatting your manuscript will help you achieve consistency. Using colored paper makes it easy to spot in your stack of papers. Use the format sheet to make notes on the following:

- Spacing after chapter (and front/back matter titles) and before/after all levels of heads for divisions/subdivisions.
- Special uses of italics, bold, and other styling issues.

Use Page Setup to define margins, headers and footers, vertical and horizontal alignment, and portrait or landscape orientation

Define the styles for chapter/section titles and all levels of heads for your Word document (under Format-Styles and Formatting) based on your notes when you begin. Then you simply apply the defined styles to each new chapter.

In addition, use the following functions in Word to make your document more consistent and easier to type as well. If you are not familiar with them, use the Help function or search on the Internet for information, as much is readily available.

- Insert the appropriate breaks (e.g., section break to change from Roman to Arabic page numbering between the front matter and body and page break to start a new chapter).
- Use tabs (regular tab for paragraph and other indentations; decimal/right-hand tab for aligning page numbers).
- Generate the Table of Contents and List of Tables/Figures automatically using Word’s Insert–Reference functions.
- Number or bullet lists automatically, ensuring that you use consistent rationale regarding when you use either styling.
- Print or view several pages on a sheet/screen to check for placement of tables and figures.
- Insert footnote references (using Endnote, for example).
- Place the page number correctly on a landscape page.
- Use the Find and Replace function to ensure that special wording/abbreviations, spacing, and capitalization, for example, are consistent throughout the document.
Since you will probably be writing the chapters at different times, using these tips can be a key time- and frustration-saver. We strongly recommend that you take the Graduate Word Workshop that UTHSC offers; it is tailored specifically to creation of ET/Ds. See the ET/D web page for details. Using the template will solve many of the issues described above.
CHAPTER 6. SCIENTIFIC WRITING STYLE

Your thesis or dissertation should conform to standard rules for writing and publishing in the sciences, as defined in a scientific style manual appropriate to your discipline (e.g., *American Medical Association Manual of Style; Scientific Style and Format: The CSE Manual for Authors, Editors, and Publishers; or Publication Manual of the American Psychological Association*). Some of the key characteristics (and problems) of scientific writing style are reviewed in this chapter as an aid in writing, revising, and editing your document. Keep in mind, however, that such a brief discussion cannot replace a style manual developed specifically for scientific authors, editors, and publishers. Since these issues are editorial in nature, the format review will not note inconsistencies or poor use of style in regard to them in the body of your ET/D.

Appropriate Verb Tense

Choice of verb tense in a scientific paper has a logical basis in the historical status of the research being reported. Accordingly, conventions have developed for the appropriate verb tense in different sections of a research paper (Style Manual Committee, Council of Biology Editors 1994; Huth 1987). See Fig. 6-1.

Here are some examples of appropriate verb tenses (italicized for emphasis) in various sections of a research paper (Swain et al. 1990):

- However, direct trials of supplementing the Western diet with various fibers *have yielded* conflicting results. [Literature review; present perfect; generalization.]
- We *compared* the effects of a high-fiber diet containing oat bran and low-fiber diet containing refined wheat. [Objective; past; author’s present work.]
- Nine subjects *received* the high-fiber supplement first and eleven the low-fiber supplement. [Methods; past; author’s present work.]

<table>
<thead>
<tr>
<th>Section</th>
<th>Verb Tense</th>
<th>Basis</th>
</tr>
</thead>
<tbody>
<tr>
<td>Literature review</td>
<td>Past</td>
<td>Completed observations</td>
</tr>
<tr>
<td></td>
<td>Present; Present perfect</td>
<td>Published knowledge; generalizations</td>
</tr>
<tr>
<td>Objectives</td>
<td>Past</td>
<td>Author’s present work</td>
</tr>
<tr>
<td>Methods</td>
<td>Past</td>
<td>Author’s present work</td>
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<tr>
<td>Results</td>
<td>Past</td>
<td>Author’s present work</td>
</tr>
<tr>
<td>Discussion</td>
<td>Past</td>
<td>Completed observations</td>
</tr>
<tr>
<td></td>
<td>Present; Present perfect</td>
<td>Published knowledge; generalizations</td>
</tr>
</tbody>
</table>

Figure 6-1. Conventions for choosing verb tense.
• Intake of the supplements, whether high or low in fiber, caused slight decreases in the subjects’ dietary intake of saturated fat and cholesterol and an increase in the intake of polyunsaturated fat. [Results; past; author’s present work.]

• Therefore, we conclude that oat bran has little inherent cholesterol-lowering action in persons with normal serum cholesterol levels. [Discussion; present; generalization.]

Appropriate Person and Voice

In keeping with the belief that scientists are bloodless stalkers of facts who view the world with objective and unbiased eyes, scientific writing used to be characterized by its use of the third person and passive voice: “The results cannot be interpreted.” Perhaps in recognition that scientists are human and therefore just as capable of error as the next person, scientific writing has acquired a more personal tone, characterized by a shift to active voice and use of first person: “We cannot interpret our results.” Review your manuscript for excessive use of the passive voice. Keep in mind, however, that passive voice is appropriate when you wish to emphasize a process or technique rather than the person who did it: “During a one-week base-line period, plasma lipid levels, body weight, and blood pressure were measured in each subject” (Swain et al. 1990). Although continual use of I or we may convey a highly egotistical image, an occasional I gives your reader a glimpse of the personality behind the work. Just be consistent, however, with using I or we.

Nomenclature

National and international scientific associations and committees establish and publish conventions of nomenclature for their disciplines. Consult your research advisor for a scientific style manual in your discipline with the definitive source of rules of nomenclature. It is very important that you conform to established standards for nomenclature of chemical compounds, diseases, genes, and organisms so that your work can be retrieved from the literature. As a general rule, use generic rather than proprietary names of drugs and other chemical compounds. If the compound must be identified by trade name, place the trade name in parentheses following the generic name, and spell it (and capitalize) exactly as in the trademark registration.

Abbreviations and Symbols

Publishers have specific rules for the use of scientific abbreviations (shortened forms of words or phrases) and symbols (signs for quantities, units, elements, operations, or relations) (Huth 1987). In scientific manuscripts, use only standard abbreviations (Hamilton and Guidos 1988) and define all abbreviations at first use. Do not use abbreviations in the ET/D title or chapter titles. Because many nonstandard abbreviations are hard to remember, keep the number of abbreviations to a minimum. For units of measure and their appropriate symbols, use le Systeme International d’Unités (SI), a
uniform, international system of reporting numerical values (Huth 1987). SI abbreviations should not be defined. For common statistical symbols and their definitions, consult a standard biostatistics text.

For efficient editing and proofreading, prepare a separate list of all abbreviations used in the manuscript, with the definition and page number of first use. As a rule of thumb, if a term is used fewer than five times, avoid using an abbreviation and spell out the term each time.

If the list of abbreviations (LOA) and their definitions is extensive, include it in the front matter of your dissertation; it should be the last page of the front matter/preliminaries (after the lists of tables and figures). Style items consistently, paying special attention to capitalization.

**Numbers**

When using numbers not associated with units of measure, write out the number if it is under 10: “Of the nine rats, four were female and five male.” Within a sentence containing numbers under 10 as well as 10 or above, use numerical forms for consistency: “Of 50 patients, only 8 completed the study.” In general, avoid beginning sentences with numbers; however, current scientific writing style approves using a numerical form at the beginning of a sentence if necessary; you can still write it out, however. With units of measure, always use the numerical form and the standard symbol for the unit: “Total dietary fiber increased from 18.4 g per day during the low-fiber period to 38.9 g per day during the high fiber, oat bran period” (Swain et al. 1990). A list of standard symbols for units of measure can be found in any of the scientific style manuals listed below.

**Recommended References**

**Scientific Writing**


Scientific Style Manuals


Manuals of Style and English Usage


Dictionaries


CHAPTER 7. FORMAL FORMAT REVIEW

After your ET/D has been reviewed by your research advisor and committee and is nearing their approval, you should carefully prepare the manuscript for formal format review by CGHS. In checking this final version, remember that you are responsible for the final appearance and accuracy of the manuscript, because it will be uploaded to the UTHSC ET/D web page and deposited with ProQuest/UMI as submitted after final approval. After final approval of your manuscript, index page, and ProQuest/UMI information, CGHS will upload your approved document to ProQuest/UMI; no changes can be made after that point.

Editing and Proofreading

Ideally, you have edited each draft of your manuscript and submitted a polished version to your faculty committee. Before submitting the full manuscript to CGHS, do a careful editorial check of your manuscript for format, required components, consistency of entries in the table of contents with the text itself (chapter titles, subheadings, and page numbers), consistency of entries in the list of tables/figures with their occurrence in the text, literature citation in the text, verification of references, and terminology. In addition to proofreading the manuscript yourself, ask a colleague to proofread it also.

It is impossible to check all aspects of a manuscript at one reading. If you are concentrating on reference citation style, you cannot verify references against sources at the same time, and you cannot check content while thinking about format. The Submission Checklist for Theses and Dissertations (available in the Workshop handout and on the web) will help you do the methodical checking necessary to ensure that your dissertation meets the requirements of CGHS. In addition to marking off the Checklist, it helps to check off items on the manuscript as you proof them; for example, check off each literature citation in the text as you check it against the reference list.

Before your ET/D is accepted for uploading for epublication, CGHS administration will review it to make sure that it meets all stylistic requirements specified in the Guide. Because many of these requirements are summarized in the Submission Checklist, you can avoid last-minute surprises by completing the checklist before submitting the ET/D for the format review.

Deadline Date

The official copy of your ET/D that is fully approved by CGHS (along with associated paperwork) must be submitted to the dean’s office by 12:00 noon on May 1 for May graduation or November 1 for December graduation. If the deadline falls on a Saturday or Sunday, then your fully approved ET/D is due by 12:00 noon the following Monday. Therefore, formal format reviews should be completed and your ET/D approved for finalization by the Dean’s office well in advance of these dates.
Formal Format Review by CGHS

You should not wait until after your defense to submit your ET/D to CGHS. If your committee requires changes after the defense, those can be incorporated for the next submission. We strongly recommend that you initially submit your ET/D for format review well before your defense.

Policy Change Regarding Format Reviews

All documents submitted for format review are managed under the following criteria:

1. All students may receive up to 12 hours of format review at no cost to the student.

2. With each review cycle, the hours for that review and the number of free hours remaining will be clearly posted at the top of the reviewer comments document. It is the student’s responsibility to keep track of these hours, and once less than four hours of free review remain, the student should begin communicating with the Review Manager to secure private editing/formatting.

3. If a student feels that private editorial and/or formatting assistance is needed, the cost per hour will be negotiated between the student and reviewer.

4. Once either the formatting or editorial review process has been initiated, all payments by the student are to be made directly to the individual performing the work. Your checklist for graduation includes a final payment to your reviewer. The Assistant Dean for Academic Affairs must receive confirmation of your paid-in-full status from your reviewer before you can be cleared for graduation.

5. Students will not be charged for the university’s time needed to manage the review process. Management will include spot-checks of the private reviewer’s formatting comments and corrections delivered to the student(s). The number and frequency of management spot-checks will be determined in accordance with guidelines established between the Assistant Dean and the Review Manager. This oversight is needed to guard against any formatting not clearly specified in the most recent Guide to the Preparation of Electronic Theses and Dissertations (ET/D Guide) and/or auxiliary information provided to the student during the associated ET/D and Word workshops.

6. It is the student’s responsibility to upload any checklist or correction sheets provided by private reviewers. These documents should be uploaded to your Blackboard Group account for documentation and potential review purposes.

7. Any questions a student may have concerning private review formatting should be directed to our Review Manager (Shirley Hancock). The Review Manager will check a specific review if a student questions changes requested by a reviewer.
that are not covered in the ET/D Guide. Other questions concerning the review process should be directed to the Assistant Dean for Academic Affairs.

(8) Once the private editor/formatter has determined that the student’s ET/D meets the formatting guidelines established in the current ET/D Guide, the document will then be delivered to the Review Manager for archival in Blackboard, and then the Assistant Dean will be notified for final approval.

**Preliminary/Partial Review**

While you are encouraged to submit portions of your ET/D for one preliminary review to help ensure that you are on track with format issues, the following are all required for the partial review submission:

- The Title page and other front matter sections for the body chapter(s) you are submitting (minimally the Table of Contents and List of Tables and/or List of Figures). The front matter sections need not be complete, but they should have enough content to indicate your basic format and be complete for the chapter(s) submitted.
- Page numbers must be applied.
- At least one chapter with text and tables and figures (if you will have both).
- An established UMI online profile/account (details below).
- PDF/A-1b-compliant thesis/dissertation file (details below).

This review counts toward the 12 hours in the no-charge period.

**Submission of Reviews**

When you are ready to submit your ET/D for CGHS format review, set up your UMI online profile and convert your signature page file and your ET/D document file to PDF/A-1b format (details below). In addition, contact Larry Tague (ltague@uthsc.edu) or Shirley Hancock, ET/D Review Manager (shirleyhancock@gmail.com) to set up an ET/D Group in the Electronic Theses/Dissertations 2012 area (to be found in your courses in Blackboard [http://courses.uthsc.edu]) where you will upload your files for review and will receive checklists of discrepancies for use in revising your document.

After completing these preliminaries, submit the file through Blackboard to

- your ET/D 2012 Group site (ET/D 2012 → Groups → your name (last name, first name initial) → File Exchange).

If you have been using a Blackboard e-collaboration site within your college during the development of your ET/D, submit your ET/D PDF/A-1b file for CGHS format review to

For a complete discussion of these options, the tools available with each site, and how to get set up with the one you choose, see Chapter 8. After uploading your PDF/A-1b, use the Blackboard Group Send Email function to notify Shirley Hancock, ET/D Review Manager, that you have a document ready for review; in the subject line give your last name, the upload date, and review number (e.g., Hancock 013011 rev1.

**Number/ Turn Time of Reviews**

Most ET/Ds require on average seven format reviews (each review taking 3-5 days) before the final approved ET/D is achieved. For scheduling purposes, if your notification email of readiness for review is received after 6:00 pm, the review is stamped with the next day’s date. In addition, if 5 uncorrected issues are identified after the first review, the review will be halted so that you can either upload the correct file or make all of the needed corrections. You are responsible for finding and correcting all instances of all discrepancy types identified in the checklists.

**Notification of Patent Pending Status/ Request for Embargo**

NOTICE: If your ET/D contains patent pending material, you must inform Larry Tague, Assistant Dean for Academic Affairs (ltague@uthsc.edu) and Shirley Hancock, ET/D Review Manager (shirleyhancock@gmail.com), when you first submit your ET/D for format review; copy your advisor after discussing this with them. Indicate the amount of embargo time needed. Failure to provide this information means that you may forfeit some or most of your rights to a patent if your ET/D is posted on the web site after it is approved. See Levels of Security later in this chapter for details.

**UMI Online Profile**

UMI/ProQuest offers a variety of services including online T/D abstracts as well as archival, bibliographical, and copy services. The University of Tennessee Health Science Center requires that a copy of your ET/D be submitted to UMI. For details about UMI/ProQuest services, visit http://www.proquest.com/products_pq/descriptions/pqdt.shtml. Royalties are payable to authors whose works are ordered and who maintain current mailing address information at ProQuest. Submission to UMI/ProQuest does not affect your ownership and distribution rights.

Before you submit your partial or full ET/D for CGHS format review, you must create a UMI online account, or profile. Some information for creating your profile is on the web at http://www.uthsc.edu/grad/TandD/index.php?page=TandD; screen shots and detailed notes are at https://sites.google.com/a/etd.uthsc.edu/etd-appendices/.
You must create the profile with all requested information. All of this information must exactly match all instances of it in your UT documents. As part of this process, you need to upload a PDF/A-1b of your ET/D and copy in your abstract—even if they aren’t completed. You may not simply say “Being developed” or other such wording. This is the only time you need to upload your ET/D; the Assistant Dean for Academic Affairs will upload your approved document at the end of the review process. All of this information in UMI can be changed easily during the review process (except your name and copyright option).

UMI/ProQuest will ask if you have appropriate copyright release letters when you submit your ET/D online. It will register your copyright for you upon request; currently, the fee is $55. You can register your copyright for yourself at considerably less cost (see Copyright Registration in Chapter 2). Currently, UMI does not charge UT graduate students for their basic archiving and microfilming service—only for special services.

Continue to the last of the information-gathering cues, and be sure to click Submit at the end to send your information and establish the account. You and the ET/D Administrators will receive an email confirmation when you successfully establish your account.

NOTE: Your first partial or full review cannot begin until your UMI account has been established with all the requested information.

PDF/A-1b Format and File Requirements

Submit One File

Submit your entire PDF document to CGHS in one file. Include the approval sheet as the first page for all reviews (until your document is finalized at the conclusion of the review process); you will be told when to remove it. Compress the graphics in especially large files.

PDF/A-1b Conversion

Your document must be converted to a PDF/A-1b (archival quality) file with the fonts embedded for submission. Adobe Acrobat Professional may be available in your lab for creation of the PDF/A-1b file using the Acrobat Distiller. It is also available on both Macs and PCs in the Health Sciences Library. To create archival quality PDFs using Distiller, you must have version 8.0 or higher. However, we strongly suggest that you use the current version (9.0) available on the Health Sciences Library computers. When creating a PDF/A-1b file, remember to use the same word processing program version on the same type computer. Otherwise, pagination, line breaks, page breaks, tabs, and special characters (e.g., Greek letters and other symbols), for example, may change. Check each page of the PDF carefully before each submission.
Detailed instructions and tips for converting your Word file to PDF/A-1b are at http://www.uthsc.edu/grad/TandD/index.php?page=TandD; additional information is at https://sites.google.com/a/etd.uthsc.edu/etd-appendices/. Remember to ensure that your file is PDF/A complaint by checking it with the Advanced – Preflight function in Acrobat Professional, as recommended in the instructions. If you receive an error message, click each red X for details regarding the discrepancies. You can also do an Adobe correction procedure in the Preflight option; under PDF/A compliance, choose Convert to PDF/A-1b (sRGB) – Edit (which converts the current document to PDF/A-1b with an sRGB output. This may fix the problem. If you have any difficulty, contact Larry Tague (ltague@uthsc.edu; 448-7152).

Conversion reminders when using Distiller for PDF/A-1b:

- The Word tab provides options for converting Word cross references, tables of contents, and lists of tables/figures in the PDF document.
- Use Convert Word Headings to Bookmarks if you wish to create bookmarks for paragraphs that use the Heading 1, Heading 2, etc. styles from Word’s default style sheet.
- Automatically embed all fonts.
- Images generated using image analysis or manipulation programs utilize layers, and these layers must be flattened in order to achieve a clean conversion to PDF/A-1b format. Also, it is best to save images as eps (encapsulated postscript) files and retain their original size before inserting them into your Word document. Word will manage the size during the insertion process.

NOTE: Your first partial or full review cannot begin until your file is verified to be PDF/A-1b compliant.

File Naming Protocol

The protocol for naming your PDF/A-1b file for CGHS format review is: your last name, review submission date (in mmddyy format), and the review number, separated by spaces. During CGHS review, the reviewer’s initials will be added as a suffix (e.g., Smith 013012 rev1sh).

Once you have revised the document by locating and correcting all instances of all discrepancy types called out in the checklist, update the name of your file (e.g., Smith 071511 rev2) before you upload it for another format review. Use the same file name information in the Subject line when you upload your file to Blackboard and when you send an email from your ET/D group or collaboration site, notifying the ET/D Manager that the latest revision is ready for review. This naming convention helps your review staff track each revision.
Signature Page Approval

Early in the review process, notify the ET/D Manager of your defense date so you can have the signature page approved prior to that date, since signing at the defense expedites getting signatures from your entire committee.

NOTE: Do not get your signature sheet signed until you are told to do so. Approval will be stated on your review checklist. After the signature page is approved, if you make any change to the page (e.g., change the title of your ET/D), it must be reapproved. Submit only the most current, approved sheet with original (or, if necessary, digital) signatures of your advisor and entire committee to the dean’s office at the end of the review process; only one copy is required.

If you wish to have additional copies of your signature page for personal use, you may submit them for the dean’s signature along with the required copy.

File Maintenance on Your Blackboard/E-Collaboration or ProQuest Site

All review PDFs, review checklists, and communications are to be maintained on your e-collaboration site throughout the format review process. In this way, we all have a history of the progress, the recommendations and changes made for reference. If you wish to keep a copy of these materials after finishing the process, you must archive them to a disk per site instructions since CGHS will delete them six months after your ET/D is approved.

HTML and Multimedia Requirements

If you wish to submit an HTML ET/D or one with multimedia components, contact the Assistant Dean for Academic Affairs (Larry Tague at ltague@uthsc.edu). Remember that there must be a callout in the body of the ET/D for each multimedia component, just as there is for each appendix.

Final Submission Requirements

Make final changes, check pagination, and convert your Word file to PDF/A-1b when you are told that you’re about ready to e-publish. Check the PDF/A file carefully just before submission, going page by page.
Index Page

At the end of the format review cycle—just before your ET/D is approved—you will submit an index (metadata) page that will be uploaded to the web at the same time as your ET/D PDF. Use the current index page template available at the ET/D web page http://www.uthsc.edu/grad/TandD/index.php?page=TandD under Guides and Forms.

Tips for completing the index page include the following:

- All information on this page must match the equivalent instances in your ET/D, signature page, and UMI metadata.
- Fill in your name at the top and other information in the cells at the right, overwriting the cues that are there.
- Ensure that your email address is a permanent address, not your UMI address, as that will become inactive one year after you leave the university.
- Write out the name of your degree.
- Fill in your major; a current list is on the CGHS web page at http://www.uthsc.edu/grad/Programs/index.php?page=Programs. If you are in the Integrated Program in Biomedical Sciences, leave Major blank or put NA.
- Provide the correct title of your program. The degree programs are listed on the CGHS web page at http://www.uthsc.edu/grad/Programs/index.php?page=Programs
- If you are in the Integrated Program in Biomedical Sciences, put IPBS in the Track field. If you aren’t in IPBS, put NA there or leave blank.
- Provide the correct title of your track, if you are in IPBS. A current list of the tracks is at http://www.uthsc.edu/grad/IbS/. If you came in under a track that is not listed, consult your advisor to ensure that you provide the correct title.
- List your advisor and committee members’ names exactly as you have them on your signature page and in UMI/ProQuest.
- Give your advisor’s UT email (or other professional email such as St. Jude, if applicable).
- The keywords here must exactly match those listed in UMI (including capitalization style) and should be in the same order.
- The only graduation dates are May or December and the 4-digit year (e.g., May 2012).
- For Availability, enter World Wide Web (immediately available), six months, one year embargo or two year delayed release, as appropriate. (See Levels of Security section following this section for details.) These periods of delayed release match the UMI/ProQuest options.
- Insert the final copy of your abstract at the bottom (special instructions follow this section).
- Do not delete any wording in the left column or at the bottom of the template.

NOTICE: If your document is undergoing patent review, do not include anything in the abstract that exposes potentially patentable information, because your abstract is not embargoed and will be fully viewable on the
UTHSC web site in the index page with other metadata for your document.

If you need a different security level than the default of public accessible (WWW), send a request with the rationale and length of time requested (1 year, typically, or 2 year maximum) to the Assistant Dean for Academic Affairs (Itague@uthsc.edu), and Shirley Hancock, ET/D Review Manager (shirleyh Hancock@gmail.com), copying your advisor. Description of the embargo is provided under Levels of Security later in this chapter.

Save your index page as a Word file, labelling it as follows: your last name mmmddyy Index (italic only for emphasis; include spaces between the three parts of the file name). Date is the day you upload the file. Also put this same information in the Name field when adding your file to your group and in the Subject field of the notification email you send via Send Email in your group.

Special Instructions for the Index Page Abstract

Follow these steps for inserting and styling your abstract:

(1) Copy in the abstract from your ET/D but not the title, which is already provided in the template, to ensure that wording, punctuation, and styling are exactly the same.
(2) Insert non-breaking hyphens and non-breaking spaces where necessary (see Chapter 5 for details), because the index page will be streamed to the web in such a way that the lines in the abstract will flow all the way across the page.

Additional Steps Involving Your UMI/ProQuest Account

In addition to submitting your approved ET/D and Index page to CGHS, you must complete the following steps:

(1) Check your UMI/ProQuest account to ensure that you have the latest information there and that it matches exactly the information in your title page, signature page, and top portion of your index page (above the abstract).
(2) Follow these steps to insert the final copy of your abstract into UMI/ProQuest correctly:
   • Copy your ET/D abstract from Word into notepad to strip out any underlying codes that could cause a problem when UMI/ProQuest streams this information to the web; this will also remove any special characters—e.g., bold, Greek letters, etc.
   • Insert back any special styling (bold, italic, superscript, etc) for your abstract in UMI so it will again look like your ET/D version.
   • A software issue at UMI/ProQuest prevents paragraph indenting, so leave paragraphs as blocks in the abstract (with no paragraph indent). Do leave a blank line space between paragraphs, however. We suggest, if you use Firefox
or other browser, that you check the abstract in Internet Explorer upon completion to ensure that all lines flow completely across the page.

When it is confirmed that your UMI account information, index page, and thesis/dissertation all correlate and receive tentative approval, the ET/D Review Manager uploads your ET/D to the Blackboard archive for the Assistant Dean’s final review. After approval of your documents, your final approved ET/D is uploaded to UMI and locked.

(2) Arrange for a closing meeting with Becky Brown, Assistant Dean for Administration. At that time, submit one signature page with original (or digital, if necessary) signatures of your advisor and all members of your committee, along with printed and completed copies of the following forms available at http://www.uthsc.edu/grad/TandD/index.php?page=TandD under Guides and Forms:

- Report of Final Examination
- Permanent Address Form
- Clearance Form
- Exit Interview Form
- Survey of Earned Doctorate (for Ph.D candidates only)
- Diploma Application

The ET/D must be approved and all paperwork submitted to the Dean’s office by 12:00 noon November 1 for December graduation or May 1 for May graduation. When you have submitted the index page information, PDF/A-1b of your document, and the signature page (with original or digital signatures), have completed the meeting with Ms. Brown, and everything has been approved, the Assistant Dean for Academic Affairs, will confirm that you have finished the process. Be sure to keep permanent copies of copyright permission letters in a safe place.

**Levels of Security**

We adhere to the same accessibility options as those provided by UMI/ProQuest:

(1) No embargo; your ET/D is accessible on the World Wide Web shortly after graduation.

(2) Embargo (delayed release) for up to two years, to allow for proprietary journal publication or for completion of the patent review process.

The default for viewing meta data (index page) and the ET/D is World-Wide Access. If you need to have embargo protection, you must email the Assistant Dean for Academic Affairs (ltague@uthsc.edu), and Shirley Hancock, ET/D Review Manager (shirleyhancock@gmail.com), copying your research advisor, with the justification and the embargo time being requested. Discuss this with your advisor before sending the email. If you need to extend the embargo security past the time approved when you
finish your ET/D, you must submit written justification to the assistant dean and also inform UMI/ProQuest of your need for an extended embargo.

Even if your ET/D is embargoed, your index page is available to the public via the UTHSC ET/D web page and the UMI/ProQuest web site immediately after final approval of your ET/D. When the UT Research Foundation notifies CGHS that the patent review has been completed and your work has been moved to patent pending status, your ET/D will become accessible on the World Wide Web. The embargo is considered a temporary security category.

Print Copy Desired?

Since the PDF of your ET/D is the official copy, CGHS does not require a printed copy of your paper. However, you may wish to consider whether you want personal copies printed and bound for yourself, your family, and your research advisor and committee members. UMI/ProQuest provides a service for printing and binding of your ET/D for additional charge. There are also local options for having your thesis or dissertation printed and bound.

Have Landscape Pages for Tables/Figures?

If you want to make printed copies of your ET/D and have landscape pages for any large tables/figures, you may wish to adjust the page number placement on those pages so it is the same as on portrait pages (i.e., so all page numbers appear in the same place after the copies are printed). For making a paper copy of your ET/D, a table/figure and its caption are placed so that they can be read when the manuscript is turned 90° clockwise. You should have a separate file designed for printing paper copies if you have landscape tables/figures and wish to change the page number orientation.

Recommended Paper

If you wish to have printed copies of your ET/D, we recommend using acid-free paper. Many kinds of copy paper are acid-free; check for this wording on the wrapper.

Use the same computer and printer each time you print your ET/D. Changing the computer/printer can change page breaks and ultimately the placement of subheadings, tables, and figures. Printing from a master PDF version of your electronic file (created using Adobe Acrobat Distiller) for use by a replication service will increase the quality of your final copies, because it freezes, so to speak, the type as it appears in your file. Check each copy carefully to ensure that all pages are included, no blank pages are included, and everything is in the correct order.
Binding

You have several options for binding paper copies, should you wish to do so, i.e., UMI/ProQuest, the UTHSC Print Shop, FedEx Office online e-printing, or other local printing services. Approximately 500 pages can be bound in one volume.

If you want the approval page with the dean’s signature to be bound with your copies, remember that you must take the extra approval pages to the CGHS office and request the dean’s signature; allow 1-2 days. Then insert the approval pages at the very front of each copy.

A list of binding options is available online at http://www.uthsc.edu/grad/TandD/index.php?page=TandD under Guides and Forms and also on the ET/D 2012 site.

Finality of the Official Copy

It is the responsibility of the research committee and student to ensure that the scientific and English language content of a thesis/dissertation is as accurate as possible; it is the responsibility of the student and College to ensure that the thesis/dissertation format is as accurate as possible. The final version of a thesis/dissertation submitted to and approved by the College is the official version and will not be changed in any way (including substantive and typographic changes).
CHAPTER 8. USING E-COLLABORATION TOOLS FOR ET/D REVIEWS

CGHS is currently using three e-collaboration tool suites for ET/D reviews: Customized sites with our campus Blackboard learning management system (used for many years), a suite of review management tools developed by UMI/ProQuest (testing started), and our ET/D Google Apps for Education site (for use when network problems exist or when Blackboard undergoing maintenance). The following will provide you with a description of each implementation.

**Using Blackboard**

CGHS has developed two user friendly and reliable file sharing and communications systems using Blackboard (Bb) utilities for both ET/D development and reviews. The development model has been adopted separately by both the Colleges of Dentistry and Nursing. A Bb Group is created for each student and the members of their graduate research committee. Bb Group File Exchange is used to share documents back and forth between the student and their committee while creating their ET/D. Each Bb Group also has email functions as well as a discussion board to help facilitate collaboration between students and their research committee. Occasionally a faculty committee member(s) or student may move permanently or temporarily to another geographical location. If this happens, these Bb utilities greatly enhance collaboration and file exchanges. For managing the formal format review process, CGHS uses the Bb site; Electronic Theses and Dissertations 2012 (ET/D2012) which replaces our previous Electronic Thesis and Dissertation Workshop (ETDW) site, which could not be recovered after the last Bb upgrade because of its size. Because of Bb site size limitations, a new site will be created for each successive year, and any pending reviews will always be transferred to the new year.

Upgrading Bb to version 9.1, which occurred during the winter break (2011) has added some useful enhancements relative to integrating new utilities and improving the user experience with older functions. However, the interface is somewhat different than the older version. If you have questions about using these functions within our reviewing environment, please contact Larry Tague (ltague@uthsc.edu; 901-448-7152). Also, if your college does not provide a separate Bb site for student/committee file exchange with integrated communications and you and your committee would like to use these utilities, contact Larry Tague.

**Utilizing UMI/ProQuest Document Review Utilities**

UMI/ProQuest constructed a set of utilities on their website for the file exchange of large PDF documents with review administrators. They also have a repository for supplemental files where formats other than PDF/A-1b files can be deposited and shared. These utilities can be used in a similar way to our Bb resources. We are in the process of testing these utilities and welcome the involvement of any students working on their
thesis or dissertation. We are hoping this resource might simplify file management for the format reviews. Students can also work privately with a reviewer if needed and use UNI/Proquest for file exchange.

**Using ET/D Google Apps for Education in the Review Process**

Using Google Apps for University of Tennessee Health Science Center and in particular Google Docs for ET/D creation and reviews at this stage, is experimental. The Assistant Dean for Academic Affairs (Larry Tague) has been in communication with the Google Docs team to help steer the functional development of this resource so that it can be used for the creation of theses and dissertations in the not too distant future. The advantage of using Google Docs is that 1) real-time collaboration is very functional, and 2) all work for the student, research committee, and reviewers will take place on one single document that remains stationary. However, until we are prepared to use this completed system, we are currently using the file exchange capability of this system to take over file exchange for the review process when our Bb resource is not working.

**Site Evaluation**

To better assess the functional aspects of these sites, an optionally anonymous survey will be provided.

**Removal of E-Collaboration Sites**

If you wish to keep materials from your Bb ET/D Group or other e-collaboration site, make appropriate backup copies. To maximize server space, six months after your graduation, your materials and Bb site or ET/D Google Apps account will be removed.
LIST OF REFERENCES


The University of Tennessee Board of Trustees. Statement of policy on patents, copyrights, and licensing. Knoxville: UP, October 19, 1984:3.
APPENDIX. ACRONYMS AND KEY TERMS USED DURING FORMAT REVIEWS

Only terms that might be unfamiliar to students are included. Please let us know if there are terms you believe we should add.

NOTE: The detailed Table of Contents in this Guide uses many of these key terms. Other specialized terms used in styling documents in Microsoft Word are defined in the software’s Help section; to access it, click the question mark at top right when you have a Word file open.

1st-level head
Top level division within a chapter; may or may not be numbered. If numbered would be 1.1, for example.

2nd-level head
Subdivision under a 1st-level head within a chapter; may or may not be numbered. If numbered would be 1.1.1, for example.

3rd-level head
Subdivision under a 2nd-level head within a chapter; may or may not be numbered. If numbered would be 1.1.1.1, for example. Additional subdivisions are treated the same. Properly organized, presentations should not have more than four subdivision levels.

align
To line up letters/words either at the left- or right-hand side of a page, or to line up letters/lines vertically, as multiple lines of these definitions are lined up on a tab and hanging indent.

all caps
A style of capitalization used for headings or titles in which letters are all capitalized: LIKE THIS.

Arabic numbers
One of the symbols 1, 2, 3, 4, 5, 6, 7, 8, 9, 0. The body of the ET/D begins with Arabic number 1, and these numbers continue in successive order to the last page.

back matter
Pages after the last chapter in the ET/D. Includes the List of References, Appendix/Appendices, and Vita.

base font
The type style chosen for the letters, numbers, and special characters in the body text of your ET/D—e.g., Times New Roman. The base font is the type style you have chosen for primary use everywhere in your document except in figures, which may use other font types. You must use one of the fonts discussed in Chapter 5 of the Guide.

body
All the chapters of an ET/D make up its body—i.e., the discussion of the topic being presented and research findings, conclusions, and recommendations.
bold  Bolding letters about doubles their weight from plain lightface so they appear much darker and easily viewable. Bolding emphasizes a chapter title or heading, for example.

callout  An in-text reference to a table or figure.

capitalization  Refers to styling letters as capitals—e.g., A—versus lowercase letters—e.g., a.

center tab  A tab set on the horizontal ruler in Word to center text between margins or table cells. For more details see “tab.”

citation  The citation information for an entry in the List of References is all the information needed to find that particular source.

continued table/figure  A table or figure that requires more than one page to be fully exhibited. All pages after the first page of the table/figure must carry the title plus the wording continued—e.g., “Table 4.1 (continued).”

decimal tab  A tab set on the horizontal ruler in Word to align numbers on their decimal point. For more details see “tab.”

embargo  Term used to withhold your ET/D from public view until you have published articles or received approval during a patent review. Your abstract will, however, be viewable on the UTHSC web site and also in UMI.

ET/D  electronic thesis/dissertation

fig or fig.  An appropriate abbreviation for figure in a callout—e.g., Fig. 1.1.

figure page  A page in your ET/D that only presents figures.

font size  Literally, the size of the type. This document is styled in Times New Roman font with 12 point size, which is the style the Guide recommends.

font  The style of type chosen for presenting letters, numbers and characters on a page. double space  To leave a space between paragraphs, you will double space—i.e., press ENTER to leave one line blank between paragraphs.

free-standing head  Any head/subhead that stands by itself on a line with no text following it.

front matter  Pages at the front of the manual having a Roman numeral or understood Roman numeral page number. Includes, minimally, the title page, copyright page, Acknowledgements, Abstract. Table of
Contents, List of Tables, and List of Figures (latter two if applicable).

**graphic page**  Another term for a page that only presents a figure or table—or a combination of one or more figures or tables.

**hanging indent**  A *hanging indent* is an indentation where the first line sticks out to the left and the rest of the paragraph is indented. These definitions are formatted using a hanging indent. After the title, on the first line, a tab was inserted for the start of the definition. Hanging indents are used in the LOT and LOF, for example.

**index page**  A page created at the end of the review process from a template on the ET/D web page that provides the metadata for your project. When people search the UTHSC website, this provides the information they’ll see in HTML.

**initial caps**  A style of capitalization used for headings or titles in which all main words are capitalized, but articles (a, an, the), conjunctions (e.g., and, but, or), and prepositions (e.g., after, in, of) are lowercased—like the following: General Information on Style in Front Matter. All main words include the remaining parts of speech: all verbs, nouns, adverbs, adjectives, etc.

**in-text callout**  The formal reference in text to a table, figure, or scheme.

**in-text reference**  A formal reference in the text to citation information for a source in the List of References.

**landscape orientation**  This means the page is wider than it is tall vs. portrait orientation in which the page is taller than it is wide. Use it for wide tables or figures.

**leader dots**  A series of dots that follows the end of a chapter/heading/title in the Table of Contents, List of Tables, List of Figures, etc. and guides the eye to the page number placed at the right-hand margin.

**left justified**  Text or a table/figure aligned at the left margin.

**left tab**  A tab set at one or more places on the horizontal ruler in Word to align text. For more details see “tab.”

**legend page**  Page that precedes a figure that cannot be exhibited together with its title and notes on one page. The table title and notes appear on the legend page, starting at top line of type.

**lightface**  Regular font—i.e., with no bold used.
links  Short for hyperlinks. Adding hyperlinks to titles in the Table of
Contents, List of Tables, and List of Figures helps the reader
navigate quickly within a document.

LOA  List of Abbreviations. Optional section at end of the front matter.

LOF  List of Figures. Part of the front matter.

LOF  List of Figures. Required only if you have five or more figures.

LOR  List of References. Part of the back matter located after the last
chapter in the body.

LOT  List of Tables. Part of the front matter.

LOT  List of Tables. Required only if you have five or more tables.

lowercase letters  Letters that are not capped.

lowercase  Noncapped letter—e.g., “a.”

non-breaking hyphen  A hyphen that will not break at the end of a line; used for scientific
terms. Remove the current hyphen if there is one. To insert a non-
breaking hyphen, hold down CTRL+SHIFT as you type the dash
(on PC). On Mac hold down COMMAND + SHIFT as you type
the dash.

non-breaking space  A space that will not break at the end of a line; used for scientific
terms, equations, and table/figure/scheme numbers that should not
be broken. To insert a non-breaking space, remove the current
space. To insert a non-breaking space, hold down CTRL +
SHIFT as you press the space bar (on PC). On Mac hold down
COMMAND + SHIFT as you type the dash.

paragraph indent  Typically a 5 space indentation of the letter in the first line of a
paragraph.

portrait orientation  This means the page is taller than it is wide  vs. landscape
orientation in which the page is wider than it is tall. Pages in this
document are in portrait orientation.

reference  In terms of your ET/D a reference is the formal mention in text of a
source used and cited in the List of References.

right  tab  A tab set at the right margin to align text or numbers. For more
details see “tab.”

right justified  Text or numbers aligned at the right margin with a decimal or
right-hand tab.
Roman numeral  Letter assigned to the front matter; small, not capital numerals are used—e.g., ii is used for the copyright page.

run-in head  Any head/subhead that is followed immediately on the same line by text.

sentence caps  A style of capitalization used for headings, titles, and sentences in which only the first letter in the first word of a phrase/head/sentence is capped, along with all proper nouns.

signature page  During the format review process, we refer to this page as the one you create that will be signed by your advisor and committee after they accept your ET/D—not to be confused with a page that is signed by your advisor and committee after you have successfully defended your thesis/dissertation. Do not get the ET/D signature page signed before being told in a review checklist that CGHS has approved it.

single spacing  Refers to the vertical spacing set for the presentation of lines in your document. These definitions are set in single spacing with an extra space left between entries.

tab  A pre-set indent on the ruler at a particular place in Word. Microsoft Office refers to these as tab stops and its online Help offers the following information: “On the left side of the horizontal ruler, click the Tab marker three times to change from **Left Tab** to **Center Tab** to **Right Tab** to **Decimal Tab**.”

table page  A page in your ET/D that only presents tables.

text page  A page in your ET/D that predominately presents text, meaning that over 50% of the page contains text; a table or figure that is less than 50% of the page may also be presented.

TOC  Table of Contents. Must contain at least all 1st- and 2nd-level heads; may contain all other heads. Starts with the body text at page 1.

top line of type  The topmost line on a page.

vita  As the last section of your ET/D this is a special summary page, not a standard vita or curriculum vitae.