INSTRUCTIONS

For Preparation Of

MASTERS THESES
and
DOCTORAL DISSERTATIONS

SOUTHWESTERN GRADUATE SCHOOL OF BIOMEDICAL SCIENCES

THE UNIVERSITY OF TEXAS

SOUTHWESTERN MEDICAL CENTER AT DALLAS

Revised, Fall 2016

GENERAL GUIDELINES
FOR THE CONTENT AND ORGANIZATION OF Ph.D. DISSERTATION

The dissertation is to be a scholarly document. It must reflect the student's thoughts, words and deeds. Data presented are to be from experiments conducted by the student. The results of the dissertation research should represent an original contribution to knowledge in the field. The student is the sole author of the dissertation and thus must assume responsibility for its integrity.

More so than is the case for publication in scientific journals, the student has the opportunity to explore alternate interpretations in depth, to point out nuances or idiosyncrasies of methods and to discuss the meaning of "failed" experiments. The dissertation should be viewed as a very personal account of the development of a line of research. "We" is not the appropriate pronoun to use. The document should serve as a rich source of detailed information for those who will follow in further development of the project.

The organization of the dissertation will depend in large part on the specific circumstances. However, every student is expected to provide a <u>critical</u> review of the literature of the topic area, culminating in a statement of the hypothesis to be tested in the research to be presented.

The methods of investigation should be described in detail at an appropriate point within the document. Reference to descriptions of methods to the exclusion of a detailed presentation published in the dissertation should be avoided except for standard procedures used without modification. Data presented should be generated by the student. In instances when data from other sources are presented, e.g., data generated by a technician working under the direct supervision of the student, or the data of others presented for purposes of reference or comparison, such data should be clearly marked as to source.

Sometimes a copy of a published paper may be used as a chapter in the results section of the dissertation. In so doing, the general guidelines stated above must be adhered to. The paper must have been authored by the student alone, or the student and mentor; the experimental results must be exclusively those of the student.

A part of the dissertation should present a critical discussion of the overall significance of the work. Suggestions for future directions of research based on the dissertation research findings should be included.

In an ideal situation, students should take time away from active laboratory work to collect their thoughts, reexamine the literature and prepare the dissertation.

ARRANGEMENT

Each dissertation or thesis should normally be arranged as follows:

Title-Fly – for title and listing of committee members. **See sample, page 11.**
<u>Do</u> count this page in numbering.

Dedication

Title Page – **see sample, page 12.**

Copyright – **see sample, page 13.**

Abstract – **see sample, page 14.**

Table of Contents

Prior Publications

List of Figures / List of Tables / List of Appendices – each figure, table and appendix should be listed by title and page number.

List of Abbreviations

Text – should be divided into as many books, chapters or sections as necessary.

Appendices

Bibliography – in general, references should be listed according to the alphabetical order of the author's names, using a format like that used by a major journal in the field. The supervising professor should be consulted about special forms preferred.

GENERAL INSTRUCTIONS

What is your official name?

The candidate for the masters or doctoral degree must use the same name on all materials exactly as it appears on the official transcript of The University of Texas Southwestern Medical Center at Dallas.

If the candidate has recently had a name change, then this change will need to be updated in two systems on campus. (Unfortunately, neither system "talks" to each other, so the separate requests will need to be made.)

The first system is PeopleSoft, and changes will usually be handled through the Registrar's Office, a division of Student and Alumni Affairs. Changing names in this system ensures that the new name is accurately reflected on official documents.

The second system is Microsoft Outlook, and changes to this system are handled by the Services Access Management (SAM) group in Information Resources (IR). Changing the name in this system ensures that the display name and email alias are correctly applied in the UT Southwestern Electronic Thesis & Dissertation Submission System, which is also known as Vireo. To make this change, the candidate will need to submit a ticket to change the display name and email alias by either calling the IR Service Desk at 8-7600 or emailing SERVICEDESK. Note: There is usually a seven-day processing time for SAM requests.

Title of thesis/dissertation

Your thesis/dissertation can be a valuable reference and research source for scholars, providing it can be located easily. Retrieval is accomplished by matching key words selected by scholars and researchers to keywords in your title. These are English language words common to a given field of interest. It is, therefore, of utmost importance that the words you use in the title of your thesis/dissertation are meaningful and descriptive of its contents.

In the title of scientific and engineering theses/dissertations word substitutes for formulas, symbols, superscripts or subscripts, Greek letters, etc. should be used. For example, **"Fission-Fragment Synthesis of $K_3MN(CN)_6$"** is written **"Fission-Fragment Synthesis of Potassium Manganicyanide."**

Organization of the text

The student's supervising professor should be consulted throughout the process of organizing research findings and drafting the thesis or dissertation, and his/her advice adhered to in such matters. Various overall organization plans are appropriate. All dissertations and theses should have a general introduction/literature review and a general discussion/conclusion as separate chapters.

Where a document contains several separate studies, each project may be presented as a separate chapter, each with its own specialized introduction, methods, results and discussion. Where a document contains several stages in the analysis of a single project, there may be a single chapter for all methods and then each section of the study can be presented as a single chapter devoted to the presentation and explanation of the experimental design, results and specific discussion of those findings.

Margins and spacing

Margins should be 1 inch and be maintained through the body of work. Double-spacing is standard but 1½ inch spacing may be used. Each paragraph should be indented eight to ten spaces. Prose quotations over four lines should be in block quote and single-spaced, indented on the left side only. Quotation marks are not to be used if the quotation is single-spaced, except for quotations within the block quote.

Numbering of pages

No page number should appear on the title-fly (signature page), copyright page, dedication page, or title page, although all should be included in the counting. Be sure to count every sheet that is part of the dissertation or thesis, even if it has only one word on it. Beginning with the abstract, all pages should be numbered according to the following method: preliminary pages (abstract and table of contents) may be numbered in lower-case Roman numerals (e.g. the preface would start on page v. if both copyright and dedication are used). The counting starts over beginning with the first page of Chapter I, and Arabic numerals should be used, i.e., the first page of Chapter I is page 1.

Page numbers must be placed one inch from the top and right edges of the sheet, except on the first pages of (a) the preface, (b) the table of contents, (c) each new chapter or major section of the text, (d) appendices and (e) the bibliography. On these pages, the numbers are to be centered one inch from the bottom of the page. All Roman numerals should be centered at the bottom of the page. Legend or title pages that face illustrations or figures, if numbered, should have their page numbers one inch from the top and left edge of the sheet. Only the front of each page should be numbered.

Dissertation abstracts

The abstract should be a succinct account of the dissertation, indicating its significance as a piece of research. It should be a continuous résumé, not disconnected notes or an outline, and should not exceed 350 words in length.

Most abstracts contain:

1) Statement of the Problem
2) Procedure or Methods
3) Results
4) Conclusions

The candidate must make certain that the abstract title is the same as the title on the finished dissertation. Mathematical formulas and words in foreign languages should be set down clearly and accurately so that they may be printed without error; otherwise the abstract may be withheld temporarily from publication until the author can be queried. Abstracts must follow the format shown on page 13. Please note that abbreviations are not permitted in the text of the abstract.

Tables and illustrations

Tables, maps, graphs and illustrations are to come within the limits of the page margins already mentioned. Figures and tables may be collected at the end of a chapter or interspersed with the text. A figure or table may be on a text page or within the text if the figure and its legend take up less than half of the page. Legends should be singled-spaced. The legend should be positioned directly under the figure; if its size does not allow for this then the following page should be used.

Footnote citations, references and bibliography

Any standardized form for footnote citations or references and bibliography is acceptable if approved by the supervising professor and followed consistently. Footnote citations or references should be sufficiently exact to enable the reader to find the source with ease. The bibliography should indicate materials actually used (and the edition, if that used is not the first). By this means, accuracy of quotation and citation may be readily verified. Numerous manuals of style are available, such as Turabian's A Manual for Writers of Term Papers, Theses and Dissertations, Bolker's The Page You Made: Writing Your Dissertation in Fifteen Minutes a Day and Goodman's The Chicago Manual of Style.

Besides this necessary advice and the use of standard writing manuals, the student may find help by considering the practice of one of the major learned journals in the field or the form of a recent authoritative book on a related subject. Having decided upon the method of research presentation and mechanics of form, the student should remember that accuracy and consistency are the all-important matters.

Appendices

Sometimes a thesis/dissertation contains collections of data that support the study but are not necessary to be part of the main presentation (e.g., extensive sets of micrographs, original computer

programs, collected crystallography or spectroscopy data, etc.). Such information may be included in the thesis/dissertation as appendices.

Copyright

Copyright may be arranged if the student so desires. It is not required, and an additional fee is assessed. For those who wish to have their theses/dissertations copyrighted, please refer to Lloyd J. Jassin and Steve C. Schecter's The Copyright Permission and Libel Handbook: A Step-by-Step Guide for Writers, Editors and Publishers, Jessica Litman's Digital Copyright: Protecting Intellectual Property on the Internet or Edward Samuel's The Illustrated Story of Copyright.

Because the work will be accessible through the Internet, writers of theses/dissertations will be held fully responsible for their use of any copyrighted materials in their manuscripts. Accordingly, all candidates for degrees are hereby cautioned that they must obtain written permission for the use of any copyrighted materials in their theses/dissertations.

If you copyright, a separate copyright page must be included in each copy of the thesis/dissertation, giving complete legal name and year of graduation. Those interested in copyrighting their ETD can download the necessary information at http://copyright.gov/forms/formtx.pdf. The student should submit the form directly to the Library of Congress.

PREPARATION OF THE ETD

Both South and North Campus Libraries have computers available for students to use in preparing their ETDs, and these computers include the following software applications: Microsoft Office, EndNote, MATLAB, SAS, SPSS, GraphPad Prism, Abobe Creative Suite, and Acrobact Reader. (Note: Some software may be installed only on specific workstations; consult the South Campus Library and North Campus Library floorplans for specific software locations.)

The Library has designated staff to assist with preparing and converting ETDs; please contact Jon Crossno either by phone at 8-2562 or by email at jon.crossno@utsouthwestern.edu . (Please note: Library staff will not complete the conversion process for the student.) The process to convert files to the Adobe Postscript Document Format (PDF) format is a valuable tool required by graduate students in all research aspects of science and is therefore an essential, learned skill.

Style and Format

Students should choose a commonly used typescript, or font, such as Times or Helvetica, and should not use a font that is proprietary for a specific program. They should use Symbol font for Greek letters or other specialized characters, if possible. Use the preference setting within Acrobat to embed the

fonts. If the student has some concerns about specific characters or formatting issues, he/she should test the PDF document on different computers to be sure the characters are read properly.

Color is encouraged in figures since it often helps readability and understanding. Common formats for illustrations (e.g., CGM, GIF, JPG, PDF or TIF) should be used. Students should keep in mind the possibility of a reader printing the document in black and white; in this case, the information provided in color may be lost. Therefore, students are encouraged to verify the retention of information by printing important color figures in black and white.

Multimedia

Multimedia content – sound, movies, etc. – should be submitted as separate files. The multimedia files must be in formats that can be read by common applications that are readily available across platforms without charge (e.g., video: MPG, QT, MOV; audio: AIF, MIDI and SND). The Library consultants will provide relevant updates to this information. Links to these files from the main PDF document can be made, assuming they are in the same subdirectory, or folder.

The First Step

For the greatest ease in producing an ETD, it is suggested that students obtain the Microsoft Word master document, or style template, from the Library consultants and install it on their computer. This template is also available on the Library's Electronic Theses and Dissertations Portal (http://library.utsouthwestern.edu/portals/etd.cfm) and has been developed to streamline the conversion of the Word document to PDF. Please note there are three templates on the Library's ETD site; be sure to use the Graduate School template and NOT the ones posted for use by medical or health professions students.

The template is formatted according to the guidelines of these instructions. If a working document has already been prepared to conform to the graduate school's formatting guidelines, then it might be necessary to clear any existing formatting that might conflict with the template's formatting. This can be done by copying the text from the original document and then placing the cursor in the destination document and right-clicking the mouse button. Select either "Merge Formatting" or "Keep Text Only" under "Paste Options". Alternately, the text may be copied into an ASCII text editor before pasting it into the destination document; PC users may use Notepad, and Macintosh users should use TextEdit or SimpleText.

Conversion to PDF

Once the document has been placed into the template, it is now ready to be converted into PDF. Automatic conversion of documents is possible on a PC directly within Microsoft Word (version 2010 or above) by clicking on the File tab, selecting "Export" from the menu on the left, and then clicking on the "Create PDF/XPS" button.

To automatically generate a list of navigational bookmarks from the template, click on the "Options…" button in the "Save As" dialog window. Then, select the checkbox next to "Create bookmarks using" and make sure that "Headings" is selected. (Note: If the checkbox is grayed out and can't be selected, that means that the Word document does not have any active chapter headings.)

To convert a document from Word on a Macintosh (OS X), select "Save As" from the File menu and select "PDF" as the file type. Please note that this only converts the file to a basic PDF file; adjustments of image resolution and assignment of navigational bookmarks will require the full version of Adobe Acrobat.

The Library's consultants are available to assist with any step in this process.

Submission of the ETD

A PDF file of your thesis/dissertation will be submitted online through UT Southwestern Electronic Thesis & Dissertation Submission System (Vireo), which is available at https://utswmed-etd.tdl.org/. You will log in with your UTSW ID. During the submission process, there will be an opportunity to include your abstract, which may be cut and pasted from your original word document.

During the process, you will be asked to indicate an "embargo" preference for your thesis/dissertation. The embargo determines when submissions are published to – and become publicly available in – the UT Southwestern Electronic Theses and Dissertations Collection, which is part of the UT Southwestern Institutional Repository and is available at https://repositories.tdl.org/utswmed-ir/handle/2152.5/203. Available embargo options include:

- "Two Year Embargo" means that the thesis/dissertation will be delayed for publication by two years from degree conferral; this is the **default** preference for **all** submissions.
  - *An optional one-year extension of the two-year embargo may also be available, but this request must be submitted in writing to the Graduate School **before** the two-year embargo expires.*
- "None" means that the thesis/dissertation will be published after degree conferral.
- "Permanent Embargo" means that the thesis/dissertation will never become publicly available.

As mentioned above, the two-year embargo is preferred by the Graduate School; however, if any other option is chosen, your mentor must be in agreement. Please refer to the **Student Help Guide** for instructions on the on-line submission process.

Once you have submitted your document, an administrator in the Dean's Office will check it for possible formatting issues and will notify you whether any changes are required. She will let you know when your document is approved.

Additional requirements

1.) Report of Final Oral Exam, signed by your Committee Members and the Chair of your graduate program. (Signed document may be scanned and emailed to _____)

2.) Survey of Earned Doctorates – must be completed on-line.
https:\\sed.norc.org\survey

3.) Payment of $120 Diploma Fee – to be paid on-line via PeopleSoft Student Self-Service or by check at Office of Student Accounting, B Bldg., Ground Floor

Citing your ETD

An ETD is not publicly available until the embargo expires. At that time, the ETD is published in the UT Southwestern Electronic Theses and Dissertations Collection, and a citable URI is assigned. Contact the Graduate Office at 214-633-1319 if no citable URI is available, or if you no longer have a Southwestern ID.

TITLE OF DISSERTATION
(13 spaces down from top, in capital letters, double spaced, and inverted
pyramid form, if more than one line long)

APPROVED BY SUPERVISORY COMMITTEE
(14 spaces down)

NOTE: The top line is for the Supervising Professor's signature. There should be as many lines as there are members of the committee. All signatures must be original and in ink. Adjust "Approved by Supervisory Committee" line upward if the committee list is very large.

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TITLE OF DISSERTATION
(8 spaces down, in capital letters, double spaced, and inverted
pyramid form if more than one line long)

(5 spaces)
by

(3 spaces)
STUDENT'S FULL OFFICIAL NAME

(8 spaces)
DISSERTATION /THESIS

Presented to the Faculty of the Graduate School of Biomedical Sciences

The University of Texas Southwestern Medical Center at Dallas

In Partial Fulfillment of the Requirements

For the Degree of

(4 spaces)
DOCTOR OF PHILOSOPHY / MASTER OF SCIENCE / MASTER OF ARTS

The University of Texas Southwestern Medical Center at Dallas

Dallas, Texas

June, 2002
(Degree conferral month & year)

[12]

TITLE OF ABSTRACT
(13 spaces down, in capital letters, double spaced, and inverted
pyramid form if more than one line long)

(6 spaces down)
STUDENT'S FULL OFFICIAL NAME, Ph.D./M.S./M.A.

The University of Texas Southwestern Medical Center at Dallas, Year of Degree Conferral

(3 spaces down)
MENTOR'S FULL OFFICIAL NAME, M.D./Ph.D., etc.

(3 spaces down)
The text of the abstract begins at this point; the abstract should be a continuous résumé, not
disconnected notes or an outline, and should <u>not</u> exceed 350 words in length.