UAF THESIS/DISSERTATION FORMATTING AND SUBMISSION HANDBOOK

For UAF graduate students preparing a Master’s thesis or a Ph.D. dissertation

Reviewed and revised by the UAF Graduate School

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revised 2/14/18

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Contact information, applicable laws, and complaint procedures are included on UA's statement of nondiscrimination available at www.alaska.edu/nondiscrimination.
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I. Introduction

Congratulations on reaching the final stage of your graduate program! Your thesis or dissertation is the culmination of your graduate work and deserves a professional presentation.

A **thesis** is required in some Master’s degree programs, as indicated under specific degree program requirements. A **dissertation** is required of every candidate for the Ph.D. degree.

We understand that you are stressed and under an enormous amount of pressure to finish your degree. This guide is meant to alleviate some of that by providing information on expected timelines, mandatory formatting, and submission procedures.

Although there are a few specific requirements in this guide, you are expected to present your work in the best form for your discipline and your intended audience, following the guidance of your committee. The use of language, grammar, and punctuation must be professional, and reflect positively on you, your advisor, and the university. Your thesis is viewed as a finished product that represents one indicator of your overall ability. It must be correct in spelling and punctuation, neat in form, and consistent in all matters.

“Consistent in all matters” includes (but is not limited to):

- Use of the same font throughout your text
- Use of consistent fonts, styles, and capitalization on headings and subheadings throughout
- Use of consistent formats for text references and reference lists, throughout (for the monograph format) or within chapters (for the manuscript format)

II. Thesis/Dissertation Timelines.

All too often students may fail to realize that they do not have their entire last semester to write their thesis/dissertation. It is extremely critical to understand that although the Graduate School has set deadlines that are towards the end of any given semester to submit your thesis/dissertation, you must also find out the deadline that the dean of your college or school has, which is usually 2-4 weeks before the Grad School’s deadline. However, before you can submit your thesis/dissertation to your dean, your department chair must review it and you must make those revisions; and the same for your committee.

Here is a suggested timeline:

<table>
<thead>
<tr>
<th>Graduating semester</th>
<th>Submit to committee to read before defense</th>
<th>Submit to Department Chair</th>
<th>Submit to School or College Dean</th>
<th>Submit to Graduate School*</th>
</tr>
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<tbody>
<tr>
<td>Spring</td>
<td>~Feb. 15</td>
<td>~March 1</td>
<td>~March 15</td>
<td>April 7</td>
</tr>
<tr>
<td>Fall</td>
<td>~Oct. 15</td>
<td>~Nov. 1</td>
<td>~Nov. 15</td>
<td>Nov. 28</td>
</tr>
<tr>
<td>Summer</td>
<td>~June 15</td>
<td>~July 1</td>
<td>~July 15</td>
<td>August 1</td>
</tr>
</tbody>
</table>

*If this date falls on a weekend, then it is due the following Monday.
It is your responsibility to follow up with the graduate coordinator or the departmental admin in your department or college/school to find out what the deadlines are for your department chair and college/school dean.

III. Determining Your Thesis/Dissertation Type

There are a few thesis/dissertation types allowed at UAF that you can choose from:

A. The monograph style has chapters that address specific areas of your research (e.g., Literature Review, Methods and Materials, Results, etc.) and has one abstract, one introduction, one conclusion, and one reference section.

B. The manuscript style has individual chapters that are stand-alone documents. For example, articles that you\(^1\) have written, submitted, or prepared for submission for journals are included in their entirety as a single chapter (i.e., each chapter has its own abstract, introduction, conclusions, and references).

C. The single-chapter manuscript style, while rare, is also an option for those who wish to include in their thesis a solitary article that they have prepared for submission to a journal. However, because this is a thesis, not simply a reproduction of your journal article, you are required to include additional information before and after the article. Some options are a Statement by the Author (see page 4 of this guide for a description), a General Introduction that includes the reason for doing the research and/or a literature review, and a General Conclusion that addresses implications and future directions for the research in greater detail.


Citation style dictates the information necessary for punctuation, formatting, and how the references are ordered.

There are several different ways of citing resources from your research. The citation style depends on the academic discipline involved. For example:

- APA (American Psychological Association) is generally used in the social and behavioral sciences
- MLA (Modern Language Association) style is generally used in the humanities
- Chicago/Turabian style is generally used by Business, History, and the Fine Arts
- IEEE style is generally used by Engineering, Computer Science, and Information Technology
- CSE style is often used in the sciences
- AMS (American Mathematical Society) is generally used in Mathematics

It is your responsibility to find out from your advisor which style they want you to use. However, below are some guidelines that may not be covered in a style guide that we look for:

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\(^1\) You must be the first author or sole author on all articles that are to be included in your thesis/dissertation. If you are a second or contributing author on an article, then it can be included as an appendix to the thesis/dissertation.
A. **Fonts**
Use any simple, non-script font between 10-12 pt. size. Use the same font throughout your thesis/dissertation.

B. **Headings**
Different levels of heading should each have a distinct and consistent appearance and is divided into as many chapters and sections as are necessary for clarity. Ideally, the reader should know at a glance what level a given heading is based on its appearance.

C. **Margins**
- Thesis/dissertations that are archived and retrieved electronically in PDF format do not need to abide by specific margins.
- If you are ordering bound copies of your thesis/dissertation from ProQuest ETD when you submit it for archiving, you will want to use margins appropriate for binding.
- The thesis/dissertation should be formatted for US Letter size paper (8.5”x11”).
- Watch for widowed or orphaned lines at the top and bottom of pages.

D. **Spacing**
- Consistently either 1.5 or 2
- Figure/table captions, footnotes, etc. may be single-spaced
- References can be single-spaced within the reference, but consistently spaced as the rest of the thesis between references

E. **Page Numbers**
- Preliminary page numbers should start on the Abstract with “i.”
- Lower-case Roman numerals are used to number preliminary pages. (from the Abstract until the start of the Introduction or Chapter 1).
- Arabic numerals are then used beginning with the first page of the text, the Introduction or Chapter 1.
- Page numbers must be centered at the bottom of each page, ½” from the bottom. This includes pages with a landscape format (e.g., figures and tables). Page numbers remain in the bottom center position and retain the original orientation even though a page might be in landscape format.

F. **Footnotes/Endnotes**
There is no specified format for footnotes or endnotes. Please see your style guide for the formatting of footnotes or endnotes.

**Order of the Sections:**

A. **Title page** (required)
   - See the sample on page 7.

B. **Abstract** (Required)
   - Only with rare exceptions, with permission, and footnoted, can citations be in the abstract.
• Avoid using abbreviations or acronyms in the abstract. If you must use abbreviations or acronyms they must be commonly known e.g., USA, DNA.
• Typically, a good abstract will be no more than one page.
• Your abstract should contain the following:
  o What topic and/or problem was addressed
  o Why that is important
  o What you did
  o Most important results and their implications
• Remember, the abstract is the most read part of any thesis/dissertation.

C. Table of Contents (required)
• All chapters or major sections of the thesis/dissertation that appear after the Title Page should be included (usually the Abstract page “i”).
• You may decide how many levels of sub-headings you wish to include in the Table of Contents. Be consistent – if you include some headings of a given level, you should include all of them. Different levels of heading are normally distinguished in the Table of Contents by indenting.
• Each heading included in the Table of Contents should match the heading in the body of the thesis/dissertation and should have its page number reported.
• Use leader dots between each heading and right align the page number.

D. Lists of Figures, Tables, and Appendices (if needed)
• If your thesis/dissertation includes figures, include a List of Figures following your Table of Contents to identify the figures and report the pages where they appear.
• Similarly, use a List of Tables and a List of Appendices if your thesis/dissertation includes them.
• For monograph style, figures and tables must be embedded in the text.
• The title of figures, tables, and appendices must be exactly what is in the respective List of Figures, Tables, and Appendices.
• You may number your figures and/or tables using any method that will make sense to your readers.

E. Statement by Author (sometimes called Preface) (optional)
This is used to explain personal details about the nature of the research undertaken, how it relates to your background and experiences, and information about the intended audience.

F. Acknowledgements page (optional)
This is the place in your document where you may either thank all of the important people in your life who helped you achieve your current success, or other persons you deem as important to your work.

G. Dedication page (optional)
This is used to acknowledge those who have supported you during your graduate studies. This is not typically the place to recognize those who assisted you in your academic research, which is done on the Acknowledgements page.
The Dedication Page may come after the Abstract or the List of Appendices or after the Preface/Acknowledgments.

H. References/Works Cited/Bibliography (required)
- The final section of the thesis/dissertation should be a comprehensive list of the works you have cited or used.
- Make sure reference entries are not split between two pages.
- As noted above, the Graduate School does not specify a citation style to use. See a style manual in your discipline for guidelines.
- The use of a references/citation management program is strongly recommended. Here are a few popular ones:
  - EndNote - free for UAF Grad Students: www.alaska.edu/oit/
  - zotero - www.zotero.org/
  - Mendeley - www.mendeley.com/

I. Appendix
You may include material in appendices as appropriate. Typically, each appendix has a letter designation and a title (e.g., “APPENDIX A”).

J. Research Approvals
If your research requires IACUC, IRB, IBC, etc. approval then you must include proof of the approval in your thesis/dissertation, usually as a copy of the approval letter attached as an appendix.

V. Other Considerations

A. Respecting Copyright
You, as the author, and any co-authors of included papers are fully responsible for the use of copyrighted materials in the thesis/dissertation. Written permission must be obtained for the inclusion of any copyrighted material within the thesis/dissertation. For information on copyright law and permissions, see https://www.alaska.edu/alaska/about-ua/copyright/. Note that copyright applies to nearly all published materials and to most information, illustrations, and photos available through the Internet, whether or not there is an explicit statement of copyright. The only common exception is that material on some U.S. government agency websites are not copyrighted. However, the source of such non-copyrighted materials must be acknowledged in the manner used for other references.

B. Research approvals
IRB/IACUC/Biosafety, etc. Approvals must be included in the thesis. We recommend that you mention the approval number in the acknowledgements section, within the methods section, or include a copy of the approval letter as an appendix.

C. Filing for Copyright
You may apply formally for copyright registration directly to the U.S. Copyright Office, http://www.copyright.gov (fee required) or you can authorize ProQuest to apply for a copyright
registration on your behalf (fee required). Before applying for a copyright, please be sure that there are no restrictions imposed by funding sources.

If copyright registration is intended, the following line (using your name and current year) must appear as the last line of the title page of the thesis/dissertation but above the APPROVED section: (see sample on page 7)

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D. Delayed Publication (Embargo)
At your request and on the recommendation of the advisory committee, the Dean of the Graduate School may agree to delay publication of your work for up to two (2) years to protect intellectual or other rights. A request for such a delay must be done by completing the embargo request that is part of the UAF Publishing Agreement. This form is found as one of the steps for submission on the ProQuest web site. Note that this might delay the printing and binding of copies you may have requested from ProQuest.

VI. Submission of the Thesis/Dissertation

A. Delivery of Required Items to the Graduate School (all students)
The Graduate School MUST receive the following items by the posted deadline:
• Digital copy of your post-defense thesis/dissertation submitted to ProQuest. Please note what style manual you used for your references in the “Notes to Administrator” field.
• If you are ordering bound copies from ProQuest, it is recommended that you have all chapters begin on an odd-numbered page. You may need to insert a blank page prior to the start of a new major section or chapter to insure that the new section or chapter begins on the right-hand side.
• Any additional thesis/dissertation materials that are to be submitted as Supplemental Files
• The Thesis/Dissertation Approval form with all signatures except the Graduate School Dean’s signature.

B. Additional Items Required from Ph.D. Candidates
• A 50-word version of your abstract for the commencement program. Go to https://form.jotform.com/72206020100128
• Survey of Earned Doctorates (SED) https://sed-ncses.org/ (optional)

D. Thesis Grades
The grades given for all thesis (699) credits during your graduate program are deferred (DF). All thesis (699) credits grades (DF) will be changed to pass (P) after Graduation Services receives a notification from the Graduate School that your thesis/dissertation has been approved.

E. Once your thesis/dissertation and all associated forms have been received and approved by the Graduate School, we send notification to the Graduation Services that you have cleared that portion of your graduate degree requirements. We usually have this done before the last day of the semester.

Graduation Services will then review all other requirements for your graduation before “awarding” your diploma to you, which happens a few weeks later; usually June for Spring graduates, January for Fall graduates, and September for Summer graduates.
INVENTING THE SUIT, SAVING THE WORLD: ONE MAN’S STORY OF UNPARALLELED GENIUS, INTERMINABLE COURAGE, AND GENERAL AWESOMENESS

By
Anthony E. Stark, B.S.

A Dissertation Submitted in Partial Fulfillment of the Requirements
for the Degree of
Doctor of Philosophy
in
Engineering: Mechanical
University of Alaska Fairbanks
May 2018

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APPROVED:

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