



GRADUATE SCHOOL

University of Alaska Fairbanks

UAF THESIS 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

Fall 2018

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INVENTING THE SUIT, SAVING THE WORLD: ONE MAN'S STORY OF UNPARALLELED
GENIUS, INTERMINABLE COURAGE, AND GENERAL AWESOMENESS

By

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A Dissertation Submitted in Partial Fulfillment of the Requirements

for the Degree of

Doctor of Philosophy

in

Engineering

University of Alaska Fairbanks

December 2016

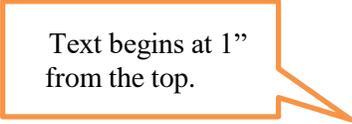
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your thesis, then you will
need this © line.

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If you wish to include honorifics
before the names, (e.g., Dr. Bruce
Banner) or their degree after their
name (e.g., Bruce Banner, Ph.D.),
you are free to do so but choose one
option and use it consistently.

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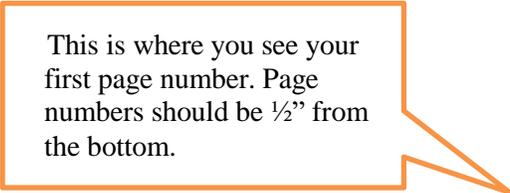
Text begins at 1”
from the top.

Abstract

This manual was created to help UAF graduate students properly format their thesis or dissertation for submission to the Graduate School. Outlined in the following pages are guidelines for both the monograph and manuscript formats and examples to help the reader understand what is needed to have a properly formatted paper. Students who use the Thesis Formatting Handbook, and informational sessions have fewer formatting errors on their first dissertation/thesis submission. Please contact the Graduate School for clarification of any information in this guide.

No citations are allowed 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. There is no limit to the length of the abstract, but we recommend that for ease of online discovery you limit the length of your abstract to no more than 350 words or two pages.



This is where you see your
first page number. Page
numbers should be ½” from
the bottom.

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Chapter 1 Guidelines for Preparation of Your Thesis or Dissertation

1.1 Determining Format Style

Your thesis must be formatted in either the monograph style according to the guidelines in Chapters 1 and 3, or in the manuscript style using the guidelines in Chapters 1 and 4. Discuss with your committee which thesis style is best for you. For matters not discussed in this Thesis Formatting Handbook, refer to the approved style manual of your field or journal (manuscript). In those situations where a specific style manual conflicts with UAF requirements described in Chapter 4 (monograph style) of this Thesis Formatting Handbook, UAF requirements take precedence, unless written approval for an exception is secured in advance from the Graduate School.

1.1.1 Monograph

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 references section. This style is used by those who wish or need to prepare their thesis as a piece of work unified by a single format and other characteristics. This includes stories, plays, poetry, etc., that are not published in the standard journal format of the technical disciplines. This format does not preclude chapters or sections having been submitted for publication or already published, but the choice is made here to reformat materials to meet the requirements of monograph format. If you are intending to insert papers into your thesis as a chapter or chapters that will be submitted for publication, have been submitted for publication, or have already been published, you will want to format your thesis in the manuscript style.

1.1.2 Manuscript

The manuscript style has individual chapters that are stand-alone documents. For example, articles that you¹ 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

¹ You must be the first author or sole author on all articles that are to be included in your thesis. If you are a second or contributing author on an article, then it can be included as an appendix to the thesis.

references). This style requires a General Introduction and a General Conclusion that ties the chapters together.

1.2 Authorship

A thesis prepared in partial fulfillment of graduate degree requirements must be a student's own work, with co-authorship of work appearing within the thesis identified in references within the thesis. The University recognizes that graduate research typically involves close working relationships with others, particularly the major advisor. In such instances, you must be the primary contributor and senior author for the writing of all materials included in the body of the thesis. A thesis based on the support of others must include appropriate acknowledgment of that support. A thesis written partly in collaboration with others must include a statement in the Introduction or Acknowledgments to the thesis clearly stating who contributed to the research and the writing and the nature and degree of such contributions. If others have contributed sufficiently to the research and writing so that they are or would be co-authors on any manuscripts submitted for publication, "we" must be used within the thesis. In such instances, "we" must be explicitly defined as in a footnote where first used or in the Acknowledgments.

1.3 Research Approval

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.

1.4 Margins

All margins should be 1" on all sides. You must conform to these margins throughout the thesis for text, figures, tables, and appendices. Margins may be made greater than the minimum but must be consistent throughout the thesis.

1.5 Page Numbering

While page numbers do not appear on the Title Page, the page number is included in the counting and in the Table of Contents. A blank page should be inserted after the Title Page (which will become the back of the title page). Lower-case Roman numerals are used to number preliminary pages from the Abstract (page iii) onward. Arabic numerals are then used beginning with the first page of the text usually the Introduction on page 1. **Page numbers must be centered, ½" from the bottom, with text ending at 1".**

This includes pages with a landscape format (e.g., figures and tables). Page numbers remain in these positions and retain the original orientation even though a page might be in landscape format. Blank pages are counted in the total.

1.6 Division of Text into Chapters or Major Sections

When dividing your thesis into chapters or major sections, each must start on a new right-hand (odd-numbered) page, to allow for double-sided printing. This includes preliminary sections (Title Page, Abstract, etc.). Sections and sub-sections (of any level) within chapters do not need to start on new pages. You may need to insert a blank page prior to the the start of a new major section or chapter to insure that the new section or chapter begins on the right side.

1.7 Spelling, Punctuation, and Neatness

The use of language, grammar, and punctuation must be professional. This is the final product of your degree and represents one indicator of your overall ability. Use correct spelling and punctuation, neat in form, and consistent in all matters.

- 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)

1.8 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. Written permission must be obtained for the inclusion of any copyrighted material within the thesis. For information on copyright law and permissions, see <http://fairuse.stanford.edu/>. 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.

1.9 Line Spacing, Font Size

The thesis must be one-and-one-half-spaced or double-spaced throughout. If one-and-one-half-spaced is selected, then double-spaced cannot be used anywhere except the title in the Title Page. Font type can be any simple, non-script font between 10-12pt. Only one font size and type may be used except where noted in this handbook (e.g., figures, tables, captions).

1.10 Preliminary Pages

Preliminary pages are all lower case Roman numerals pages of your thesis.

1.10.1 Signature Page

The Signature Page is **not required** by the UAF Graduate School. Check with your committee, department chair, and dean to determine if you are required to submit a Signature Page for your program.

1.10.2 Title Page

The Title Page is page "i" of the thesis, but a page number does not appear on that page. A sample title page in the required format is illustrated on page iii of this handbook. Avoid using acronyms or abbreviations in titles, unless they are commonly understood, e.g., USA, DNA. It is also acceptable to use an acronym or abbreviation if it is much more widely recognized than the written-out version, e.g., the MODIS sensor.

Please note that the date of the degree must be the month and year the degree will be awarded, August 2016. UAF degrees are awarded only in May, August, and December of each year, so one of these three will be the month listed on the thesis. Your degree is from the University of Alaska Fairbanks.

The Title Page now includes the names of your committee members, the department chair, the dean of your school or college, and the dean of the Graduate School.

1.10.3 Abstract

The abstract is the summary of your work and should contain the following:

- What topic and/or problem was addressed
- Why that is important
- What you did

- Most important results and their implications (what is the “take-home” message?)

1.10.4 Table of Contents

The title block “Table of Contents” must appear at the upper margin of the first page and be centered. The title block is not repeated on any subsequent pages. Dotted leaders should be used between headings and page numbers. The word “Page” should be typed above the listing of the page numbers on the first page of the Table of Contents.

The Table of Contents list all chapters and sections (at all levels) from the main body of the thesis. Distinct sections must have section headings. Specifically, the list must contain all chapter and section numbers (if used), their titles, and the page numbers on which they begin. Each title in the Table of Contents must match the title in the text EXACTLY. The Table of Contents must be spaced in the same manner as the text.

If there is only one Appendix, list it in the table of contents without its title. If there are multiple Appendices, list only “Appendices” and their initial page number here. Individual Appendices and titles are given in the “List of Appendices.”

1.10.5 List of Figures

The title block "List of Figures" must appear at the upper margin of the page and be centered. The title block is not repeated on any subsequent pages. Dotted leader lines should be used between headings and page numbers. The word "Page" should be typed above the listing of page numbers on the first page of the List of Figures.

The List of Figures must be on a new, separate page or pages following the Table of Contents and must include all figure numbers, caption or titles, and their page numbers in order of appearance in the thesis.

There are three ways to list the caption of a figure in the List of Figures. Choose one style and remain consistent with it.

1. The first is to use a caption title (what you would call a summary title). This option provides a short, comprehensive title. The objective is that this short title uses only one

line in the List of Figures, so a length of 8-10 words is recommended. Caption titles in the text and in the List of Figures must match EXACTLY.

2. The second option is to use the first few words or first sentence of the caption. For this option partial captions from the text must match EXACTLY what is listed in the List of Figures.
3. The third option is to list the entire caption. This option is common for those students that use the insert caption function in MS Word which will generate a List of Figures.

The List of Figures must be spaced in the same manner as the text. A single title, however, is single-spaced if a second line is required. The first page number for the List of Figures must be listed in the Table of Contents.

1.10.6 List of Tables

The List of Tables follows the List of Figures and uses the same format. If room permits, the List of Tables may be included on the last page of the List of Figures, but cannot then extend to a second page. Other comments relevant to the List of Figures and its captions or titles apply also to the List of Tables.

1.10.7 List of Appendices

The List of Appendices must include all titles and page numbers in order of appearance in the thesis. The same general guidelines described for figures and tables apply to this list. If there is only one appendix, this list is not used and the single entry "Appendix," without title, is the last entry in the Table of Contents. The word "Page" should be typed above the listing of page numbers on the first page of the List of Appendices. Dotted leaders should be used between headings and page numbers on each page of the List of Appendices.

1.10.8 Preface or Acknowledgments

This is not a required part of the thesis, although it is traditionally included. This section may be omitted at the discretion of the student and graduate advisory committee. The preface should include such matters as reasons for undertaking the study, its scope and purpose, and acknowledgments (professional, personal, and funding). When only acknowledgments are included, the heading "Acknowledgments"

should be used instead of "Preface." Those persons who are acknowledged should be referred to in a consistent manner (names and affiliations are preferred).

Chapter 2 Thesis Submission Instructions

2.1 Approval Process

Once the thesis has been successfully defended and the post-defense copy prepared, you must circulate the thesis for approval signature from all appropriate levels. All members of the graduate advisory committee sign first. It must then be approved and signed by the department chair and the dean of your school/college before it is submitted to the Graduate School. Your thesis will not be reviewed by the Graduate School until your completed Thesis/Dissertation Approval Form is on file.

2.1.1 Thesis/Dissertation Approval Form

The Thesis/Dissertation Approval form takes the place of the Signature Page. Signature for the Thesis/Dissertation Approval form may be digitally sign or physically signed. All signatures on the form must be by the committee members, department chair, and deans. One person cannot sign for another person i.e., John Smith cannot sign (physically or digitally) for Felix Pedro.

2.2 Graduate School Thesis Submission Deadlines

Fall Graduation	November 28
Spring Graduation	April 7
Summer Graduation	August 1

If the deadline falls on a Saturday or Sunday, then the deadline becomes the next Monday. For example, if the deadline is November 28 and that falls on a Saturday, then the actual deadline will be Monday, November 30. **Please note that departments and deans have their own deadline for thesis review, several weeks to a month prior to the Graduate School's deadline.**

2.3 Request for an Extension to Thesis Deadline

Your advisory committee chair may submit the Request for Extension Form (<https://www.uaf.edu/gradsch/forms/>) to request an extension on your behalf and outlining the circumstances behind the necessity of the request. Please note that requests received directly from the student will not be accepted. Your Department Chair and Dean must sign the memo showing that they have acknowledged this request for an extension and that they will be available to review your thesis/dissertation in a timely manner so you can meet the extension deadline.

No extensions will be granted beyond: April 21st for Spring, August 7th for Summer as this does not leave enough time for the Graduate School staff to review your thesis/dissertation, time for you to make any necessary corrections, and clear you to graduate by the deadline imposed by the Registrar's Office. **No extensions are granted during the Fall semester.**

Not all extension requests are approved as the Graduate School can only accommodate a small amount of requests each semester. If an extension is granted and you do not make the deadline, you must register (and pay) for one to three graduate credits the semester you do submit your thesis/dissertation to the Graduate School and you will need to reapply for graduation.

2.4 Submitting the Thesis to the Graduate School

Once your thesis has been approved by your committee, department/program chair, and the dean of your school/college the next step is to complete the Electronic Thesis or Dissertation (ETD) Submittal Process via the ProQuest ETD Administrator website. ProQuest is a third-party company that provides UAF a free service that allows for the electronic uploading, review, and publishing of a thesis/dissertation to the ProQuest Thesis/Dissertation Database. This database is subscribed to by many universities and research institutes.

- Go to <http://www.etdadmin.com/UAF>
 - Create an account
 - Create a new submission
 - Navigate through the checklist on the left
 - Submit your thesis/dissertation as a .pdf

2.4.1 Payment of Thesis Binding

Personal or departmental copies can be ordered from ProQuest at this time, or you can send them to another business for printing/binding. Reprinting due to formatting errors are not the responsibility of the Graduate School. **A copy for the Rasmuson Library (archive copy) is not required.**

2.4.2 Copyrighting Thesis

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 notice (using your name and current year) must appear as the last line of the title page of the thesis:

© 2016 Anthony E. Stark

2.4.3 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 and printing the embargo request that is part of the UAF Publishing Agreement. This form is found as one of the steps for the ETD submission. You will be given the option of a complete embargo, or have access restricted to those within the UAF community only. Note that this might delay the printing and binding of copies you may have requested from ProQuest.

2.5 Delivery of Required Items to the Graduate School (all students)

The Graduate School MUST receive the following items at the SAME time and by the posted deadline:

- Digital copy of your post-defense thesis submitted to ProQuest
 - Please note what style manual you used for your references in the “Notes to Administrator” field
- Any additional thesis materials that are to be submitted as Supplemental Files
- The Thesis/Dissertation Approval form with all signatures except the Graduate School Dean’s
- OPTIONAL: Embargo/Delayed Access Request Form
(http://www.uaf.edu/files/gradsch/Student_Forms/Revised-publishing-agreement-and-thesisdissertation-form-June-10.pdf)

2.6 Additional Items Required from Ph.D. Candidates

Ph.D. candidates must also submit the following items:

- A 50-word version of your abstract for the commencement program. Email is preferred.
 - Email your abstract to uaf-grad-school@alaska.edu and include the following information:

- your name
 - degree and program (i.e., Jane Doe, Ph.D. Marine Biology)
 - advisor's full name
 - your thesis title
- Survey of Earned Doctorates (SED) (<https://sed-ncses.org/>)
 - A high-resolution photo of yourself submitted for promotional use (optional)

2.7 Graduate School Review of Thesis

After you are notified of the corrections required by the Graduate School via ProQuest ETD, you will need to submit (via ETD) the final, corrected version of your thesis/dissertation (.pdf). Once submitted, we review it to ensure the requested corrections have been made and will insert a digital copy of your signature page before approving it for publication. At the time of publication, the Graduate School will notify UAF Graduation Services that your thesis has been approved (aka thesis final clearance).

Submitting your final thesis or dissertation results in its publication; once you submit it, it is no longer an educational record and the University may choose to share it with others or publish it.

2.8 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 thesis final clearance from the Graduate School. Thesis final clearance can only be sent after a student's thesis has been approved by the Graduate School and all paperwork has been received.

Chapter 3 Thesis Preparation Guidelines in Brief

3.1 General

- Read the Thesis Formatting Handbook and contact the Graduate School if you have questions.
- Give yourself plenty of time for corrections, even when you think you are finished with the thesis.
- Verify that everything is spelled correctly; make use of a software spell-checker.
- Margins must be 1" all the way around.
- Preliminary pages must be numbered using lower case Roman numerals (iii, v, etc.). The Title Page does not have a page number physically on the page but is counted in the numbering.
- The thesis should be formatted for US Letter size paper (8.5"x11"). A4 size is not acceptable.

3.2 Title Page and Abstract

- Title page format must be correct. See the sample in the Thesis Formatting Handbook.
- Abstract should describe briefly why the work was needed, what was done, what the results were, and your conclusions or recommendations.
- There is no word-count limit for the Abstract but we highly recommend you limit it to two pages or 350 words.
- Abstract must be on page iii of the thesis and it is the first page on which page numbers are visible.

3.3 Table of Contents, Tables, and Figures

- Page numbers and titles in the Table of Contents, and in the List of Tables and List of Figures **must match exactly** what is in the body of the thesis.
- Tables and figures must be clear and readable.
- Review the requirements of Chapter 1 and then either Chapter 3 or Chapter 4.
- Proofread carefully.

3.4 References/Literature Cited

- Each reference cited in the text must be listed under References, and vice versa. Have you spelled names the same way and used the same dates in both places?
- All references in References must be listed consistently. (See a style manual in your discipline or particular journals for guidelines as to format.)

3.5 Thesis Submittal

Provide the Graduate School with an approved copy (approved by committee, department head, and dean) via the ProQuest ETD submittal web site - <http://www.etsadmin.com/UAF> - for review by the deadline. If ordering printed copies from ProQuest, then you will need to pay as part of the submittal process.

All students writing a thesis or dissertation must also submit at the same time:

- Completed Thesis/Dissertation Approval form
- Proof you completed the Graduating Student Exit Survey (screenshot; png, jpg, pdf)
- Ph.D. students must:
 - submit a 50-word version of their abstract for the commencement program
 - complete the Survey of Earned Doctorates (SED).

After making final corrections requested by the Graduate School, the final, corrected copy of your work must be submitted to the Graduate School via the ETD website before you receive final clearance for graduation.

Appendix

You should consult with your graduate advisor regarding the specific style manual appropriate for your thesis; for some theses, specific technical journals may be preferable as style models. You should always use the latest edition of the appropriate style guide. Listed below are some preferred style manuals.

American Psychological Association, 2009, *Publication Manual of the American Psychological Association*, Sixth Edition, 272 pp.

Chicago Manual of Style, 2010, The University of Chicago Press, 16th Edition, 1026 pp.

Coghill, A.M., Garson, L.R., 2006, *The ACS Style Guide: Effective Communication of Scientific Information* (An American Chemical Society Publication), American Chemical Society, Third Edition, 448 pp.

Hurth, E.J., 1994, *Scientific Style and Format: The CBE Manual for Authors, Editors, and Publishers* (CBE Style Manual), Cambridge University Press, Sixth Edition, 841 pp.

Modern Language Association, 2009, *MLA Handbook For Writers of Research Papers*, The Modern Language Association of America, NY, Seventh Edition, 292 pp.

Common Errors

- References don't have corresponding in-text citations, and/or in-text citations don't have corresponding reference entries in the References/Literature Cited section.
 - The use of a references/citation management program is strongly recommended.
- In-text citations that have misspelled names or wrong year.
- Reference entries are split over two pages.
- Preliminary pages (e.g., Table of Contents, List of Figures, etc.) and/or chapters begin on even-numbered pages (they should all start on odd-numbered pages).
- There are widowed or orphaned lines at the top and bottom of pages.
- Landscaped tables or figures have the page number in the wrong location.
- More than one appendix but no List of Appendices.
- "Page" is not written above the page numbers in the Table of Contents, List of Figures, List of Tables and List of Appendices and/or page numbers are not right-aligned.
- Periods instead of leader dots are used in the Table of Contents, List of Figures, List of Tables, etc.
- Table of Contents is missing sections and/or subsections (or sub-subsections).
- Titles in the Table of Contents and captions for figures and tables in their corresponding lists don't match word-for-word and capitalization-for-capitalization.
- Locations are incorrectly identified (e.g., Figure 1.1 is on page 30 but the List of Figures says it's on page 31).

Page numbers are in a different font type and size than the rest of the thesis.