UAF THESIS FORMAT HANDBOOK

For UAF graduate students preparing a

Master’s thesis or a Ph.D. dissertation

Reviewed and revised by the UAF Graduate School

Spring 2016

UAF Graduate School
202 Eielson Building

907-474-7464

uaf-grad-school@alaska.edu
WANTED:

The Perfectly Formatted Thesis/Dissertation

As Determined by the Graduate School

- No References Errors
- No Formatting Errors
- No Signature Page Errors
- No Spelling/Grammar Errors

REWARD:

UAF Diploma Frame
THERE ARE NO PHYSICAL PAGE NUMBERS ON THE SIGNATURE PAGE

OR THE TITLE PAGE

By

Wil Wheaton

RECOMMENDED:

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Dr. Rajesh Koothrappali

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Mr. Howard Walowitz

__________________________________________
Dr. Barry Kripke
Advisory Committee Chair

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Dr. Leslie Winkle
Chair, Department of Chemistry

APPROVED:

__________________________________________
Dr. Amy Farrah Fowler
Dean, College of Natural Science and Mathematics

__________________________________________
Dr. Sheldon Cooper
Dean of the Graduate School

__________________________________________
Date

We HIGHLY recommend that you have the Graduate School review your signature page BEFORE your Committee/Department/Chair/Dean signs it

There is no page number on this page BUT it should be listed in your table of contents as page i

Have only as many lines as you have committee members. Do not have empty lines. The Outside Examiner does not sign. Do not have someone sign for a committee member (e.g. Joan Smith for Roger Doe)

Make sure that names are spelled correctly and that degrees are correct. If anyone has a Master's instead of a PhD, then the degree should come AFTER their name (e.g. Megan Blanchard, M.B.A.; Sheldon Cooper, Ph.D.) Also ensure that titles are correct. Check with your department if necessary

Don't use a font size larger than the rest of the other text on the signature page. All text should be the same size throughout the text and do not use any bold

The original Signature Page does not need to be on thesis paper, as in the past. All signatures must be original. Only the Dean of the Graduate School writes the date

Do not use abbreviations or acronyms in the title unless they are commonly understood, e.g., USA, DNA, GPS
Write title in capital letters. Double spaced if more than one line. Use the same font size consistently throughout the page—do not use larger font for the title. Do not use boldface.

Note that the words 'of' and 'in' are NOT capitalized in "of the University of Alaska Fairbanks..." and " in Partial Fulfillment..."

Here is where you will type your full name (as will appear on your diploma) and your prior degrees. Use degree initials (B.A., B.S., etc.) for your prior degrees.

The date here can only be August, December, or May your date of graduation. No comma is used between the month and year.

Write out the name of degree in capital letters written out fully, e.g., MASTER OF ARTS, MASTER OF SCIENCE, DOCTOR OF PHILOSOPHY.

This will always be Fairbanks even if you are taking classes in Juneau, Anchorage or elsewhere.

USE THE SAME MARGINS AS THESIS TEXT (1” ALL AROUND)
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. We have found that students who use the Thesis Formatting Handbook, and attend the accompanying informational sessions provided by the Graduate School, are better prepared and have fewer formatting errors than students who do not. If there are any questions regarding the information provided by this book, please contact the Graduate School directly for clarification.

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.

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. Typically, a good abstract will be no more than one page.
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Chapter 1 Guidelines for Preparation of Your Thesis or Dissertation

1.1 Who Writes a Thesis or Dissertation

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.

The words dissertation and thesis are referred to hereafter as “thesis.” The adjectives Ph.D. and Master’s (i.e., MS/MA/MFA) are used as needed.

1.2 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. You are cautioned to adhere strictly to the instructions given here for preparation of your thesis, including such matters as type style, font size, line spacing, page arrangement, minimum margins, pagination, neatness, and spelling. For matters not discussed in this Thesis Format 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 Format Handbook, UAF requirements take precedence, unless written approval for an exception is secured in advance from the Graduate School.

1.2.1 Monograph

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

1.2.2 Manuscript

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

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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. 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.

You are advised to use the most current UAF Thesis Format Handbook as your primary guide in establishing the format of your thesis. **You are strongly urged NOT to use prior theses as your definitive guides** because formatting requirements have changed and because not all older theses followed the required format.

1.3 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.

1.4 Page Numbering

No page numbers appear on the Signature Page or the Title Page, although both pages are included in the counting and in the Table of Contents. A blank page should be inserted after the signature page (which will become the back of the signature page) and 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 v) onward. Arabic numerals are then used beginning with the first page of the text (page 1). Pages must be numbered consecutively throughout the thesis. Page numbers must be centered at the bottom of each page, ½” from the bottom, with text beginning 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 in the body of the thesis should have “This page intentionally left blank” and a page number. Blank pages are counted in the total (except for a facing-page caption; see section 3.6 or 4.6).

1.5 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 (Signature Page, 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.

1.6 Spelling, Punctuation, and Neatness

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)

1.7 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.

1.8 Line Spacing, Font Size

The thesis must be one-and-one-half-spaced or double-spaced consistently throughout. If one-and-one-half-spaced is selected, then double-spaced cannot be used anywhere except the title in the title and signature pages. Any simple, non-script font may be used, and this same typeface must be used throughout the thesis. The font size must be 10-12 consistently throughout. Any exceptions to the requirements of this section are discussed where appropriate.
1.9 Preliminary Pages

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

1.9.1 Signature Page

The Signature Page is lower case Roman numeral one (i) of the thesis, but a page number does not appear on that page. The title of the thesis and name of the student appear at the top of the page, as illustrated on page i of this handbook. An appropriate number of lines must be provided so that there is a signature line only for the exact number of signatures required for approval. Each line must have the individual’s name below it. The use of titles and/or middle initials is left to each student, but the use must be consistent, i.e. use them for everyone, or no one. Original signatures are required for the thesis paper copy of the signature page. The original Signature Page that you submit will have all signatures except that of the Dean of the Graduate School, which will be added after the page is submitted to the Graduate School.

1.9.2 Title Page

The Title Page is page iii 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 iv of this handbook. Note that the "Name of Degree" is not the particular area of emphasis, but the name of the general degree; i.e., Master of Science, Master of Arts, Doctor of Philosophy, etc. Also note that the date of the degree must be the month and year the degree will be awarded, with no comma between them; e.g., May 2014. 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.

Care must be taken in selecting a title that is concise and yet contains enough information to indicate the scope of the work. 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.

The location will always be Fairbanks, Alaska even if you have spent your entire academic career in Anchorage or Juneau or some other location. Your degree is from the University of Alaska Fairbanks.
1.9.3 Abstract

You are urged to take great care in the preparation of the abstract because this summary of your work may be the most read part of the thesis. The abstract should make the reader want to access the full document.

Your abstract 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?)

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.

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. Typically, a good abstract will be no more than one page.

An example of a good abstract:

Thesis title: THE COLOR OF COWS IN CENTRAL NEW YORK STATE

Measurement of the color distribution of cows may be influenced by the perspective from which they are viewed. For example, it is possible that a herd viewed from one side appears to be entirely black, whereas from the opposite side the herd would be entirely white. This is important because color relates to milk quality. Pink cows provide strawberry-flavored milk which is highly valued.

I (first person is generally but not always frowned upon, but it does avoid using passive voice; “we” is usually inaccurate for a dissertation; your choice) measured color distribution in 25 herds from vantage points at 30° increments radial to the center of the herd each. Images were recorded in RAW format using a high resolution digital camera and then processed using standard biological image analysis software. The data were checked to ensure that only cows were included in the data set.

I found that the perspectives from which herds are viewed do not show statistically significant color distributions. In particular, the hypothesis that cows may be all white on one side and all black on
the other and maintain an orientation where the color boundary is exactly perpendicular to the observer is false. This means that cow color distribution and hence milk quality can be rapidly assessed by acquiring an image of a herd from only one vantage point.

**An example of what not to write:**

This dissertation is about measuring the color distribution of cows. In chapter one, cows are defined, colors that normally occur described, and what color means in terms of milk quality. In chapter two the methodology for acquiring and analyzing images of herds of cows is described, including how cows can be distinguished from dogs in the images. In chapter three, the results of image analysis are discussed. In chapter four implications from the main conclusions are drawn, in particular that measuring the color of cows is easier than previously believed.

1.9.4 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 each 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.

To assist in organizing the thesis, you may wish to number the chapters as Chapter 1, Chapter 2, etc… or simply 1, 2, etc., and then number the first-order sections by 1.1, 1.2, etc., the second-order sections by 1.1.1, 1.1.2, etc., and so on for additionally lower levels. If this, or some other, scheme is adopted, figures, tables, and other materials must follow that same protocol (e.g., Table 1.1, 1.2, etc.). Whatever naming scheme you choose, it must be reflected in both the Table of Contents and the body of the thesis.

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.”
1.9.5 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, titles, and their page numbers in order of appearance in the thesis. Every figure must have a short, comprehensive title that is used on the figure page and in the List of Figures. Typically, this title is simply the first text in the legend (caption), in the same format as the full legend. 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. Titles in the text and in the List of Figures must match EXACTLY.

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.

1.9.6 List of Tables

The title block “List of Tables” must appear at the upper margin and be centered (or if on the last page of the List of Figures, one-and-one-half-spaced or double-spaced below its last entry, as used in the text). The title block is not repeated on any subsequent pages.

The List of Tables follows the List of Figures and must include all table numbers, titles, and page numbers in order of appearance in the thesis. 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. Dotted leaders should be used between headings and page numbers on each page of the List of Tables. The word “Page” should be typed above the listing of the page numbers. Other comments relevant to the List of Figures and its titles apply also to the List of Tables.

1.9.7 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.
1.9.8 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 at all appropriate levels. All members of the graduate advisory committee sign first. Your thesis then must be approved and signed by the department chair and the dean of your school/college before it is submitted to the Graduate School. We will not review your thesis until we have your signature page on file.

A committee member can be traveling during the critical days after the defense and through the submission date. In that instance, the committee member must indicate approval of the thesis and a timeline for signing the original signature page by submitting an email to the Graduate School by the submittal deadline. Although this will satisfy the submission deadline requirement, the Graduate School will not publish the thesis until all original signatures are affixed to the Signature Page.

When the thesis is in final form and has been approved, as described previously, the student must complete the Electronic Thesis or Dissertation (ETD) Submittal Process. Students must log into http://www.etdadmin.com/UAF and create an account before uploading their document. After a format review by the Graduate School, you may be asked to make corrections before final approval is granted. After corrections have been made a final copy will need to be submitted electronically through the same website. **You no longer need to order a copy for the Rasmuson Library (archive copy).** Any printed copies will be your choice and can be ordered from UMI/ProQuest at this time, or you can send them to another business for printing/binding.

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.

2.2 Thesis Grade

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 final clearance from the Graduate School. Final clearance can only be sent after a student’s thesis has been approved by the Graduate School and all paperwork has been received.
2.3 Graduate School Thesis Submission Deadlines

- Fall Graduation: December 3
- Spring Graduation: April 7
- Summer Graduation: August 1

If the deadline falls on a Saturday or Sunday, then the deadline becomes the previous Friday. For example, if the deadline is December 3 and it falls on a Saturday, then the actual deadline will be Friday, December 1. **Please note that departments and deans have their own deadline for thesis review.**

2.4 Request for an Extension to Thesis Deadline

Your major advisor must use the Request for Extension Form and send it to the Graduate School, through his or her Department Chair and Dean, requesting the extension on your behalf and outlining the circumstances behind the necessity of the request. Request for can be found at [www.uaf.edu/gradsch/forms-Extension.pdf](http://www.uaf.edu/gradsch/forms-Extension.pdf). Requests directly from students are not accepted. Extensions are made on a first come/first served basis and not all extensions will be approved.

Requests for extension must be made no later than:

- Spring: March 31
- Summer: July 24
- No extensions are granted during the Fall semester

Your Department Chair and Dean must sign the memo showing that they have acknowledged this request for an extension and they will be available to review your thesis/dissertation in a timely manner so that you can meet the extension deadline.

No extensions will be granted for any time after: 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.

If an extension is granted and you do not make the deadline, you will be required to register (and pay) for one to three graduate credits the semester you do submit your thesis/dissertation to the Graduate School.
2.5 Payment of Thesis Binding

Any personal or departmental copies can be ordered from UMI/ProQuest at this time (payment by credit card must be made before your thesis can be submitted), or you can send them to another business for printing/binding. Reprinting due to formatting errors are not the responsibility of the Graduate School.

2.6 Copyrighting Thesis

You retain the exclusive right to reproduce, display, adapt, publish, or perform all or any part of your work, provided you are not otherwise precluded from doing so by other contractual agreements.

The university has no overall policy to restrict publication. You should be aware, however, that individual programs or sponsoring organizations might have such a policy. Before applying for a copyright, however, you should ascertain any restrictions imposed by funding sources. Be aware that Title 17 of the Federal copyright law provides additional protection for written materials.

You may apply formally for copyright registration directly to the U.S. Copyright Office, [http://www.copyright.gov](http://www.copyright.gov), or you can authorize ProQuest to apply for a copyright registration on your behalf. This requires paying an additional fee during the ETD submission process. 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:

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2.7 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 UMI/ProQuest.
2.8 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 as a searchable PDF – NOT PDF/A)
- Any additional thesis materials that are to be submitted as Supplemental Files
- The signature page with all signatures except the Graduate School Dean’s
- A copy of the confirmation page of the Graduate School’s online exit survey
  http://www.uaf.edu/gradsch/current/ready-to-graduate/exit-survey/
- A signed paper copy of the UAF Publishing Agreement (printed from the ETD website) and embargo request if applicable

2.9 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)
  - A high-resolution photo of yourself submitted for promotional use (optional)
Chapter 3 Requirements for Thesis Monograph Format

3.1 Introduction

The monograph format is familiar as the traditional or monographic thesis style and 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, and you wish to maintain the format of the submitted manuscript, then you are to skip this chapter and move on to Chapter 4. There is significant duplication in Chapters 3 and 4, but this division of material allows you to focus only on the requirements of the format you have chosen.

3.2 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 general Introduction or Acknowledgements 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 Acknowledgements.

3.3 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.
3.4 Arrangement of Pages

The monograph style thesis must have introduction and conclusion sections. These are titled Introduction and Conclusion(s), respectively, except where other titles are deemed appropriate, as for example in an MFA thesis comprising a novel. The numerous elements of thesis must be presented in the sequence listed below. Additional information about content and form for each of these elements is included on the following pages.

The sequence is:

*Preliminary Pages*
Signature Page
Title Page
Abstract (not required for MFA but may be used when deemed appropriate)
Dedication Page *
Table of Contents
List of Figures
List of Tables
List of Other Materials
List of Appendices
Preface or Acknowledgments

*Main body of the thesis (including Introduction, thesis text, Conclusions)*
Figures and/or Tables**
References, Literature Cited

Appendix or Appendices***

*The Dedication Page may come after the Abstract or the List of Appendices or after the Preface/Acknowledgments.

**Figures and tables must be embedded in the text.

***Placement of the references and appendices may be reversed.

3.5 Text

The text is divided into as many chapters and sections as are necessary for clarity. The heading format for all chapters and sections (at all levels) must be developed in a consistent manner throughout, following requirements and recommendations herein.
Acronyms and abbreviations must be defined at first use, unless they are defined in standard
dictionaries, or are internationally accepted abbreviations or symbols for units, physical constants,
mathematical operations or similar notation.

As stated elsewhere in this Thesis Format Handbook, the use of language, grammar, and
punctuation must be professional, and must reflect positively on you, your advisor, and the
university.

3.6 Figures

A figure, illustration, photograph, or other graphic that is bound within the body of the
thesis is defined here as a figure. There is no differentiation between color and black-and-white
figures. All figures must be of publishable quality, with care taken to insure reproducibility of all
details. To this end, the font size for text must equal or exceed 6 point after reproduction. Your
graduate advisory committee should review the content of figures to insure their appropriateness.
Outside the technical disciplines there may be appropriate exceptions to this broad definition of a
figure or even the appropriateness of a legend (caption) e.g., a political cartoon within a satirical novel.

Figures and their legends (captions) must remain within the limits of the page margins
prescribed previously. Font size, typeface, and graph size for figures must be consistent throughout
the thesis. The legend (caption) is to be placed at the bottom of the figure and labeled consistently;
i.e., all centered or all not centered; all labeled "Figure" or "Fig." Figures are numbered
consecutively throughout the thesis (e.g., Fig. 1, Fig. 2, etc.) or sequentially only within each
chapter (e.g., Figure 4.1, Figure 4.2, etc., in Chapter 4). Spacing for figure legends (captions) may
be single-spaced (preferred), one-and-one-half-spaced, or double-spaced, as long as they are consistent
throughout and do not exceed the spacing for the text. The same spacing separates a figure from its
caption. The full caption for the figure follows directly after the shorter title, and may begin on a new
line.

A figure must be inserted in the text immediately following its first identification, either
when embedded within the text or on a separate following page. Both methods may be used in the
thesis, but consistency of format must be maintained. For example, use only embedded figures of
less than some selected dimension, with all others on a following page. When placing a figure on a
following page, place the figure vertically on the page (portrait format) if possible. When a figure must
be sideways on the page (landscape format), the top of the figure should always be on the reader's left side of the page. There is no requirement that the figure be placed at the top margin, but placement must be consistent throughout the thesis; the figure and its legend (caption) should be centered on the page for best appearance. Larger figures that will not fit in a standard page, even in landscape orientation, should be submitted as supplemental files and referred to accordingly within the text.

A facing-page legend (caption) is used only when the clarity or legibility of a particular figure or illustration would be jeopardized by having to place the legend on the same page. When a facing-page legend is used, it is placed on a separate sheet of paper and it is not to be numbered or counted in the numbering of pages; it is considered an extension of the page it faces. An additional blank page, therefore, may need to be inserted to keep continuity of page numbering. The caption is to be centered on the page, near the lower margin. The exact number of lines from the lower margin is not specified, but must be consistent throughout the thesis and should not exceed the prescribed margins.

More than one figure can be embedded into a single page. Embedded figures must be placed vertically on the page (portrait format). When a figure is embedded within a text page, the minimum spacing before and after the figure and its legend (caption) from the text must be twice the one-and-one-half-spaced or double-spaced format used in the text. Spacing between text and the figure on either side must be the same dimension as in the vertical direction. An embedded figure and its legend (caption) can extend to a margin. The format for embedded figures must be consistent throughout.

Most figures can be oriented in the portrait format. When a figure must be sideways on the page (landscape format), the figure follows the rule on margins for the portrait orientation pages, and with the top of the figure appearing always to the reader’s left, regardless of which side of the document it appears on. There is no requirement that the figure be placed at the top margin, but placement must be consistent throughout the thesis; the figure and its legend (caption) should be centered on the page for best appearance.

3.7 Tables

A table’s title is placed at the top of each table and must be placed consistently throughout; all centered or not centered, and labeled “Table.” The title, headings, information in the table, and explanatory information must remain within the limits of the page margins prescribed previously.
Tables are numbered consecutively throughout the thesis (e.g., Table 1, Table 2, etc.) or sequentially only within each chapter (e.g., Table 4.1, Table 4.2, etc., in Chapter 4). The numbering scheme must be consistent with that used for the figures. The “short-title” rule used for figures is applicable. Like figures, tables can be embedded directly into the text or inserted as a separate page or pages immediately following the page on which they are first mentioned.

Most tables can be oriented in the portrait format. When a table must be sideways on the page (landscape format), the table follows the rule on margins for the portrait orientation pages, and with the top of the table appearing always to the reader’s left, regardless of which side of the document it appears on. There is no requirement that the table be placed at the top margin, but placement must be consistent throughout the thesis; the table and its legend (caption) should be centered on the page for best appearance.

For short tables, the spacing requirements and font size must be consistent with the text. Table titles may be single-spaced (preferred), but consistent spacing of the titles must then be used throughout. For tables that could exceed one full page (long tables), a more compact format is acceptable if the table can then fit on a single page for ease of reading. This may include the use of spacing smaller than that used for the text, and the use of consistent breaks, indentation, or groupings of lines to make them more legible. The minimum font size is 6 for the body of the table only and this small font is normally acceptable only for limited use, e.g., super or sub-scripts. Size 8 is a more readable choice for the bulk of a table and only if necessary to keep the table within one page. The title, headings, etc., must use the same font size as the text. The format of tables must be consistent throughout. Tables that exceed one page must be captioned “Table x.y continued” on all subsequent pages.

3.8 Equations in the Text

Equations usually appear on a separate line, with one blank line above and below (or one-half line if 1.5-spacing is used), and are normally indented at least 5 spaces from the left margin. Equations must be numbered sequentially in order of appearance in the text. They may either be numbered continuously throughout the thesis, (1), (2), (3), etc., or by chapter, e.g., (4.1), (4.2), (4.3), etc., for equations in Chapter 4. The number of the equation is normally located at the right margin opposite the first line of the equation.
The number may be indented a few spaces from the right margin, but any indentation must be consistent. The equation number normally appears in parentheses or square brackets, and leader dots are not used. Alternatively, the equation number, in parentheses or square brackets, can be placed at the left margin, with at least 5 spaces between the equation number and the equation. However, the numbers must appear at the left or right margin consistently throughout the thesis.

References to equations are in the form Equation 1 (or Eq. 1), or Equation 4.1 (or Eq. 4.1), depending on the numbering system used; “Equation” (or “Eq.”) is normally capitalized in such references, but lower case is permitted if used consistently.

Very simple equations, which can be typed without ambiguity on a single line (e.g., \(a(b+c) = d\)) and which won’t be referred to later in the thesis, may be included within the text, and in that case are not numbered. However, such simple equations may also be on separate lines and numbered, as above. All variables and constants in equations must be defined at their first occurrence.

Alternatively, all variables and constants can be defined in a table; then reference should be made to this table when the first equation is inserted. Consult with your committee members to determine the normal practice in your field.

3.9 References, Literature Cited

Preferred formats for reference listings vary widely, so a specific format is not imposed herein. Therefore, it is imperative that you refer to the approved style manual in your field and consult with your graduate advisory committee.

References must be listed in alphabetical order of the first author's surname, and, after that, by sequential dates. The approved style manual governs the ordering for two or more authors. Alternately, when references in the text are identified by numbers they must be listed in numeric order, and they must appear in the text in numeric order. It is recommended that references be single-spaced within an entry and then double-spaced between entries. However, they may be spaced the same as the rest of the document. The edition of a book must be indicated if the one used is not the first edition. If this section is entitled "Literature Cited" it must include only those references actually cited in the text of the thesis.

You are responsible for carefully checking the reference list to ensure that (1) it is
complete, including all papers and other items such as websites cited (must have last accessed date) in your thesis, and correct, and (2) the references are consistently formatted. Every citation must be referenced and every reference must have a corresponding in-text citation.

Please note what style manual you used in the “Notes to Administrator” during the ETD submittal process.

3.10 In-Text References

3.10.1 General Information

Contemporary practice in the formatting of quotes, footnotes and in-text citations varies so widely that no satisfactory rule can be stated. Consult with your graduate advisory committee and the approved style manual in your field for additional guidance.

3.10.2 Quotes

Prose quotations of over three lines (more or less depending on the style manual you are using) must be typed in block style (with indentation and no quotation marks) or in the style appropriate to the field, and must be one-and-one-half-spaced or double-spaced (unless indicated differently by your style manual), consistent with the main body of the text.

Shorter quotations are placed within the main body of the text. Review the use and proper placement of punctuation marks when combined with quotation marks. As an example: "Note that a comma or period comes before the closing quotation mark."

3.10.3 Footnotes

According to the special demands of the thesis, explanatory footnotes may be included, and must be consistently placed as follows:

1. At the bottom of each page, separated from the text by a solid line of consistent length equivalent to at least ten spaces; or

2. Within the text itself, set off by solid lines above and below the footnote and extending across the page from margin to margin.
3. Footnotes to tables may be placed below them and designated with lower-case letters or other symbols as specified in the selected style manual.

In general, place footnotes at the bottom of each page. All footnotes must be single-spaced and typed within the prescribed margins. Footnotes must be numbered consecutively throughout the thesis or by chapter and the numbers must be placed in accordance with the format recommended by the selected style manual. If the footnote system of in-text citation is used throughout the thesis, any standardized format is acceptable if approved by the graduate advisory committee and followed consistently.

3.10.4 In-Text Citations

When the system of citing references within parentheses or brackets is used, the format of the selected style manual must be followed. These citations must be sufficiently exact to enable the reader to find the source with ease.

3.11 Appendices

In choosing appendices, you must determine, in concert with your graduate advisory committee, what materials are essential to include as supporting information to the thesis. Appendices must be paginated consecutively within the text numbering system. Tables and figures that appear in an appendix can be numbered in one of two ways:

1. They may continue the numbering system begun in the text, so that if Table 3 is the last table in the text, the first table in the first appendix is Table 4; or
2. They may be numbered sequentially within each appendix in the form Table A-1, Table A-2, etc., for Appendix A, Table B-1 etc., for Appendix B, etc.

All requirements for a table in an appendix are the same as for a table in the text. Each appendix must be identified separately by a block title (e.g., Appendix A, Appendix B, etc.) that appears centered at the upper margin of the first page. A short appendix title follows on the next text line, with its exact title listed in the List of Appendices. These are not repeated on any subsequent pages. There is no title if only one appendix appears in the thesis, and the block title is simply “Appendix.”
Figures and tables in the appendix/appendices must be listed in the List of Figures and List of Tables (respectively).

3.12 Supplemental Files

If you have materials to be included in the thesis that are over-sized or cannot be bound (e.g., geological maps, CD, videos, etc.), they must be submitted as supplemental files. If you have multiple small files, compile them in a zipped folder and submit the folder as a file. You have a 1,000 MB limit for supplemental files.
Chapter 4 Requirements for Thesis Manuscript Format

4.1 Introduction

The manuscript format is provided should you wish to use, as a complete chapter or chapters, a manuscript or manuscripts that are ready for submission, have been submitted, or are published in a scholarly journal or journals. This includes stories, plays, poetry, etc., that are not published in the standard journal format of the technical disciplines. For technical papers, the requirements herein are concerned with the format required for journal submission as opposed to the format of the published paper. The University of Alaska Fairbanks approves of this method of writing the thesis when certain guidelines are followed, as stated herein. For the purpose of these requirements, papers given at conferences are not considered manuscripts, although the information may be included as a part of the thesis. A single-chapter thesis should be formatted as a monograph (Chapter 3), and not as a manuscript.

Thesis chapters must be printed as part of the thesis manuscript and CANNOT be simply the digital files from a journal inserted as part of the thesis (but may be added as supplemental files). The insertion of a chapter or chapters from a single journal establishes that journal’s format as applicable to the full thesis. If chapters are included from two or more journals, the format of each journal is used for the respective chapters. The format of the chapters not being published or prepared for publication (i.e., non-journal or “other” chapters) is selected based on the dominant format for the chapters that are published or for publication (journal chapters). If there is no dominant format for the published chapters, the format of the other chapters must follow that of the first journal chapter appearing in the thesis. Otherwise, the dominant journal format must be used for the other chapters. For example, if two chapters are published in Journal A and one from Journal B, then the format of the remaining material (that not intended for submission) is to follow the format of Journal A.

Graduate advisory committees may recommend this manuscript format for some students, but not for others. You and your committee should make a decision early in your graduate career on what format will be used.

4.2 Authorship

The degree candidate submitting the thesis must be the sole or first author on each manuscript included in the body of the thesis; it is the first author who contributed most to the work,
including the writing of the manuscript. If multiple-authored manuscripts are used, you must include a clear statement as to what work was done by you and what was done by your co-authors. This is generally written in the Acknowledgments, but it could also appear in the General Introduction.

To indicate the current status of each manuscript, the names of all authors, in the order of appearance in the manuscript, and the name of the journal (with volume, page numbers, and date, if known) must be given as a footnote to the title on the first page of each manuscript in the thesis. This footnote will start at #1 for each chapter. Permission to use the manuscript in the thesis must be obtained from each co-author. For advisory committee members, their signatures on the thesis signify their consent. For authors that are not part of the advisory committee, a letter or e-mail message granting permission should included as an appendix.

If you had a secondary role on a manuscript, that manuscript should be included as an appendix if it bears directly on the body of the thesis; otherwise, such manuscripts are not to be included in the thesis.

4.3 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.

4.4 Arrangement of Pages

This style of thesis must have general introduction and conclusion sections. These are titled Introduction and Conclusion(s), respectively, except where other titles are deemed appropriate, as for example in an MFA thesis comprising a collection of short stories published separately. Literature Cited/References may come directly after the General Introduction section and the General Conclusion section or it may placed after just the General Conclusion section (preferred). The numerous elements of the thesis must be presented in the sequence listed below. Additional information about content and form for each of these elements is included on the following page.

The sequence is:

Preliminary Pages
Signature Page
Title Page
Abstract
Dedication Page *
Table of Contents
List of Figures
List of Tables
List of Other Materials
List of Appendices
Preface or Acknowledgments

Main Body of the Thesis

General Introduction

References/Literature Cited**

Chapter 1 (and repeat for each additional chapter)

Abstract (optional and then consistent with journal style)

Text (including chapter introduction, chapter text, etc.)

Figures+#

Tables+#

References/Literature Cited+

Appendix or Appendices+◊

Chapter 2 (repeat sequence from Chapter 1)

Chapter 3 (repeat sequence from Chapter 1)

General Conclusion(s)

References/Literature Cited**

Appendix or Appendices+◊

* The Dedication Page may go after the Abstract or List of Appendices or after the Preface or Acknowledgments.

** The References, Literature Cited for the General Introduction may be combined with the References, Literature Cited for the General Conclusion to form one Reference, Literature Cited section (located after the General Conclusion).

+ Tables, figures, etc., for the specific chapter only.

# In some cases, a journal may require manuscripts to be submitted in the order of text, literature cited, tables then figures. This is allowable under the manuscript formatting.

◊ Placement of the references and appendices may be reversed.
4.5 Text

The text is divided into as many chapters and major and minor sections (of all levels) as are necessary for clarity. The format for chapter and section headings (e.g., numbering and titles) must be consistent throughout the thesis to produce a consistent format for the Table of Contents. It is recognized that these and some other requirements might conflict with some journal requirements, but the requirement for consistency within the thesis is judged of greater importance. Simple editing of the manuscript is required to make the transition where differences exist.

This alternate thesis format is provided for a thesis in which a part or parts of the thesis are ready for submission, have been submitted for publication, or have been published already in a scholarly journal or its equivalent, and you do not wish to reformat that work for inclusion within the thesis or it would be difficult to do so. While your use of the format described in Chapter 3 is not precluded by the publication status of your work, this alternate format option does reduce (with minor exceptions noted herein) the need for you to prepare the manuscript or parts thereof in two different formats, i.e., the thesis and journal submission formats. However, to maintain a consistent format throughout the thesis, the following format rules apply:

1. A thesis using this format must have general introduction and conclusion sections. These are titled Introduction and Conclusion(s), respectively, except where other titles are deemed appropriate, as for example in an MFA thesis comprising a collection of short stories. The General Introduction and Conclusion must cover information from all chapters in the thesis. The included chapters, if they have been previously published, may contain some of this information. The format of the general Introduction and Conclusion should be that of the most commonly used format elsewhere in the thesis (e.g., typeface, references, etc.).

2. The full citation for each submitted or published manuscript must be included as a footnote on the first page of each such chapter (published as, in press, submitted to, or prepared for submission in). See Figure 1.

3. Requirements for margins, line spacing, font size, preliminary pages, Table of Contents, List of Figures, etc., chapter headings, major and minor section headings (at all levels), figures, tables, etc. must follow UAF requirements as listed in this Thesis Format Handbook. Make sure that these general formatting requirements are maintained throughout the thesis, regardless of the format used for a particular publication.
Chapter 1: Guidelines for Preparation of Your Thesis or Dissertation

Abstract

A dissertation is required of every candidate for the Ph.D. degree and is expected to include work that represents the equivalent of at least one (1) academic year at the University of Alaska Fairbanks. The doctoral dissertation must demonstrate the ability to perform independent research and must be a substantial contribution to the body of knowledge in the student’s area of interest, the substance of which is publishable in a professional journal or as a book.

A thesis is required in some Master’s degree programs, as indicated under specific degree-program requirements. Other programs require no thesis. In those instances, a project is prepared rather than a thesis. The UAF Faculty Senate and the Graduate School have imposed no requirements on the format of a project report in the non-thesis option; the format is controlled at the department level. You must obtain specific project format requirements from your department.

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4. Continuous pagination is required throughout the thesis.

5. Manuscripts must appear formatted as part of the thesis rather than inserted from journal(s).

6. Each manuscript must blend with the other parts of the thesis in substance; i.e. section headings, margins, tables, etc. (see previous section), although they may be prepared in the style of the appropriate scientific journal.

Acronyms and abbreviations must be defined at first use, unless they are defined in standard dictionaries, or are internationally accepted abbreviations or symbols for units, physical constants, mathematical operations or similar notations.

4.6 Figures

A figure, illustration, photograph, or other graphic that is bound within the body of the thesis is defined here as a figure. There is no differentiation between color and black- and- white figures. All figures must be of publishable quality, with care taken to insure reproducibility of all details. To this end, the font size for text must equal or exceed 6 after reproduction. Your graduate advisory committee should review the content of figures to insure their appropriateness. Outside the technical disciplines there may be appropriate exceptions to this broad definition of a figure or even the appropriateness of a legend (caption), e.g., a political cartoon within a satirical novel.

Figures and their legends (captions) must remain within the limits of the page margins prescribed previously. Font size, typeface, and graph size for figures must be consistent throughout the thesis or within chapters as required by specific journal formats. The legend (caption) is to be placed at the bottom of the figure and labeled consistently, i.e., all centered or all not centered, all labeled "Figure" or "Fig.". Figures are numbered sequentially within each chapter (e.g., Figure 4.1, Figure 4.2, etc., in Chapter 4). Spacing for figure legends (captions) may be single-spaced, one-and-one- half-spaced, or double- spaced, as long as they are consistent throughout and do not exceed the spacing for the text. The same spacing separates a figure from its caption. The full caption for the figure follows directly after the shorter title, beginning on the same line. You do not use a separate list of figure captions within this manuscript-format option, even if required by a journal.
The standard format for submission of papers to journals generally requires the attachment of all figures and tables after the full text. These are then inserted within the text by the journal as the paper is prepared for printing. In response to continuing technological innovation, some journals now provide authors with the option to embed figures and tables directly into the manuscript as it is being prepared for submission. It is expected that this option will become increasingly available in the future. If embedding is required by a journal, you do so for that chapter or those chapters using the format requirements of that journal. If embedding is an option versus a requirement, you may use the option to embed figures and tables, following the format requirements of that journal, or you may simply place the figures and tables at the end of the manuscript following the ordering specified in Section 5.5. However, you must make the same option selection for all chapters governed by that journal’s format. The choice to embed or not embed for chapters in one journal’s format does not force you to make the same choice for chapters using a different journal’s format. Under these conditions, chapters not for publication (i.e., “other” chapters) are not required to have embedded figures and tables, but see additional information provided in several following paragraphs of this section. Hence, it is possible for a thesis to contain different chapters in which figures and tables are or are not embedded.

If a journal requires that figures and tables be placed at the end of the manuscript, UAF still provides you the option to embed the figures and tables within your thesis. However, there are specific format requirements. If another chapter in your thesis is governed by the format of a journal that requires or allows the use of embedded figures and tables, then that format must be used. If two or more chapters have embedded figures formatted according to journal requirement or options, then you must use one of these formats for any remaining chapters that are not governed by the format of a specific journal. The choice of format should be made to minimize the number of different formats within the thesis. However, having elected to embed figures and tables when the journal did not allow it for submission, you must now use the embedding format throughout the remainder of your thesis for all chapters not governed by a required journal format. This includes chapters not for publication.

If no journal-submitted material from your thesis requires or provides the option for embedded figures and tables, you would normally place the figures and tables at the end of each chapter as per Section 5.5. However, UAF allows you the option of embedding the figures and tables using any standard journal format for embedded figures and tables. For all options, you cannot embed some figures and tables in a chapter and place others at the end of the chapter.
Because the use of embedded figures places an increased workload on the author and complicates later editing, the decision to use embedded figures can be difficult. In contrast, the use of embedded figures provides for a more readable manuscript. UAF’s main requirement is that your selections result in as consistent a format as is possible under these conditions. Your graduate advisory committee may be able to assist you in making these selections.

Most figures can be oriented in the portrait format. When a figure must be sideways on the page (landscape format), the top of the figure follows the rule on margins for the even- or odd-numbered pages, depending on its location, and with the top of the figure appearing always to the reader’s left, regardless of which side of the document it appears on. There is no requirement that the figure be placed at the top margin, but placement must be consistent throughout the thesis; the figure and its legend (caption) should be centered on the page for best appearance.

A facing-page legend (caption) is used only when placing the legend on the same page would jeopardize the clarity or legibility of a particular figure or illustration. When a facing-page legend is used, it is placed on a separate sheet of paper and it is not to be paged, or counted in the numbering of pages; it is considered an extension of the page it faces. The caption is to be centered on the page, near the lower margin. The exact number of lines from the lower margin is not specified, but must be consistent throughout the thesis.

4.7 Tables

A table’s format is defined by the journal format followed for that chapter, but you are encouraged to reformat tables if the submission copy is difficult to read. You must remain consistent, however, throughout the chapter. The title, headings, information in the table, and explanatory information must remain within the limits of the page margins prescribed previously. The same rules apply for tables as for figures in your thesis when you elect to embed them or place them at the end of chapters. You cannot use one method for figures and another for tables.

A table’s title is placed at the top of each table. The title, headings, information in the table, and explanatory information must remain within the limits of the page margins previously described. The “short-title” rule used for figures is applicable.
For short tables, the spacing requirements and font size must be consistent with the text. Table titles may be single-spaced, but consistent spacing of the titles must then be used throughout. For tables that could exceed one full page (long tables), a more compact format is acceptable if the table can then fit on a single page for ease of reading. This may include the use of smaller spacing than used for the text, and the use of consistent breaks, indentions, or groupings of lines to make them more legible. The minimum font size is 8 for the body of the table only. Superscripts and subscripts (and similar annotations) may use a font size of 6. If your table(s) will fit better the title, headings, etc., must use the same font size as the text. The format of such tables must be consistent throughout.

Tables that exceed one page must be captioned “Table x.y continued…” on all subsequent pages. For tables that require to be inserted in landscape orientation, or facing page title, follow the same guidelines for landscape figures (Section 5.17).

4.8 Equations in the Text

For some journals, equation format may differ from these guidelines, and then the journal format may be used for those chapters to which it applies.

Equations usually appear on a separate line, with one blank line above and below (or one-half line if 1.5-spacing is used), and are normally indented at least 5 spaces from the left margin. Equations must be numbered sequentially in order of appearance in the text. They may either be numbered continuously throughout the thesis, (1), (2), (3), etc., or by chapter, e.g., (4.1), (4.2), (4.3), etc., for equations in Chapter 4. The number of the equation is located at the right margin opposite the first line of the equation. The number may be indented a few spaces from the right margin, but any indentation must be consistent. The equation number normally appears in parentheses or square brackets, and leader dots are not used. Alternatively, the equation number, in parentheses or square brackets, can be placed at the left margin, with at least 5 spaces between the equation number and the equation. However, the numbers must appear at the left or the right margin consistently throughout the thesis, unless it is necessary to vary the location between chapters because of differing journal formats.

References to equations are in the form Equation 1 (or Eq. 1), or Equation 4.1 (or Eq. 4.1), depending on the numbering system used; “Equation” (or “Eq.”) is normally capitalized in such references, but lower case is permitted if used consistently.
Very simple equations, which can be typed without ambiguity on a single line (e.g., \( a(b+c) = d \)) and which won’t be referred to later in the thesis, may be included within the text, and in that case are not numbered. However, such simple equations may also be on separate lines and numbered, as above. All variables and constants in equations must be defined at their first occurrence.

Alternatively, all variables and constants can be defined in a table; then reference should be made to this table when the first equation is inserted. Consult with your committee members to determine the normal practice in your field. If the chapters are to be submitted or have been submitted or published as journal articles, then the variables and constants must be defined at first occurrence within each such chapter, or a table defining the variables used must appear in each chapter, as required by the corresponding journal.

4.9 References, Literature Cited

References within a thesis journal chapter must be formatted according to specifications of the specific journal style, except as noted below. A reference within another chapter (non-journal) follows the journal format previously established for such chapters, as discussed in Section 5.1. Line spacing and font size must be consistent with the requirement for the entire thesis, as opposed to any journal requirement. The actual title in a chapter for References, Literature Cited, etc., is based on the journal format.

Please note what style-manual you followed for non-published chapters in the “Notes to Administrator” during the ETD submittal process. You are responsible for carefully checking the reference list to ensure that (1) It is complete, including all papers and other items such as websites cited in the thesis, and correct. (2) The references are consistently formatted.

4.10 In-Text References

4.10.1 General Information

You must refer to the style of the journal format being followed. In all cases, the requirements for non-journal chapters must follow the format as previously established in Section 4.1.
4.10.2 Quotes
You must refer to the style of the journal format being followed.

4.10.3 Footnotes
You must refer to the style of the journal format being followed.

4.10.4 In-Text Citations
You must refer to the style of the journal format being followed.

4.11 Appendices
In choosing appendices, you must determine, in concert with your graduate advisory committee, what materials are essential to include as supporting information to individual chapters for publication and for other parts of the thesis. Appendices in the thesis must be paginated consecutively within the text numbering system.

Each appendix within a chapter must be identified separately in the journal-specified manner, but preceded by the chapter number; e.g., Appendix 3.A, Appendix 3.B, etc., for appendices in Chapter 3. The title format is specified by the journal, with its exact title listed in the List of Appendices.

Tables and figures that appear in an appendix within a chapter must be numbered sequentially within each appendix; e.g., Table 3.A-1, Table 3.A-2, etc., for Appendix 3.A, Table 3.B-1 etc., for Appendix B, etc, in Chapter 3. Requirements for the format of a table in an appendix are those of the journal.

Each appendix included at the end of the thesis must be identified separately by a block title (e.g., Appendix A, Appendix B, etc.) that appears centered at the upper margin of the first page. A short appendix title follows on the next text line, with its exact title listed in the List of Appendices. There are not repeated on any subsequent pages. There is no title if only one appendix appears in the thesis and the block title is simply “Appendix.”
Appendices may also be included at the end of the thesis. Tables and figures that appear in such appendices must be numbered sequentially within each appendix in the form Table A-1, Table A-2, for Appendix A, Table B-1 etc., for Appendix B, etc. All requirements for a table in an appendix are the same as for a table in the text.

4.12 Supplemental Files

If you have materials to be included in the thesis that are over-sized or cannot be bound (e.g., geological maps, music, videos, etc.), they must be submitted as supplemental files. If you have multiple small files, compile them in a zipped folder and submit the folder as a file. You have a 1,000 MB limit for supplemental files.
Chapter 5 Thesis Preparation Guidelines in Brief

5.1 General

- Read the Thesis Format 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 correct: 1" top, inner margins, bottom and outer margins.
- Preliminary pages must be numbered using lower case Roman numerals (iii, v, etc.)
  Blank pages are not numbered but are counted (except for facing-legend pages)
- The thesis should be formatted for US Letter size paper (8.5"x11"). A4 size (Europe) is not acceptable.

5.2 Signature Page, Title Page and Abstract

- Bring your signature page to the Graduate School BEFORE obtaining any signatures for a format check.
- Title page format must be correct. See the sample in the Thesis Format 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 max.
- Abstract must be on page v of the thesis and it is the first page on which page numbers are printed.

5.3 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.
- A shortened summary title of 8-10 words is recommended, so that the entire caption or description of a figure, table, or other object does not have to be printed in the List of Figures, List of Tables, or other lists.
• Tables and figures must be clear and readable.
• Review the requirements of Chapter 1 and then either Chapter 3 or Chapter 4.
• Proofread carefully.

5.4 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.)

5.5 Thesis Submittal

Provide the Graduate School with an approved copy (approved by committee, department head and dean) via the ETD submittal web site - http://www.etdadmin.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:
• a signed paper copy of the UAF publishing agreement (printed from the ETD site)
• proof you completed the Graduating Student Exit Survey
• 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.

ProQuest/UMI provides all binding services for UAF graduate students. Any questions regarding binding or delivery of bound copies should be addressed to:
For technical assistance:
1.877.408.5027
Available 8:00-19:00 E.S.T. Monday through Friday (excluding U.S. holidays)

For questions about payment or ordering copies:
1.800.521.0600 x77020
Available 8:00-17:00 E.S.T. Monday through Friday (excluding U.S. holidays)

Mailing Address:
ProQuest Customer Service
789 E. Eisenhower Parkway
P.O. Box 1346
Ann Arbor, MI 48106-1346 U.S.A.
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.


