

Southern Methodist University

Dissertation and Thesis Guide

Dedman College



2016-2017

GRADUATION DEADLINES AND CHECKLIST

For Dedman College Master's and Doctoral candidates, the following steps are required for graduation. These steps and deadlines are also available online at:

<http://www.smu.edu/graduate/CurrentStudents/Graduation/GraduationTimeline>. Please note that Lyle and Meadows students will follow similar steps in their own schools. Further details for those schools are available below.

Step 1: Apply for Graduation

As you approach the beginning of a new semester, you should discuss the prospect of graduation with your advisor. If you both agree that you are in a position to graduate during the next graduation cycle (May, August, or December), please have your department notify the Director of Graduate Studies, Reva Pollack (reva@smu.edu). Following your department's notification, the Office of Graduate Studies will give you access to the "Apply for Graduation" section of [my.smu](http://my.smu.edu) (Self-Service→ Degree Progress/Graduation→ Apply for Graduation). The deadline to file for graduation is usually early in the semester of graduation. For 2015-2016, the deadlines are:

August 2016 Graduation	Friday, June 3
December 2016 Graduation	Friday, August 26
May 2017 Graduation	Friday, January 27
August 2017 Graduation	Thursday, June 8

If, after applying for graduation, you determine that you will not be able to graduate that semester, please **notify Reva Pollack** so that your graduation date can be postponed in my.smu.

Step 2: Optional Mid-Semester Format Review

If you would like to have an early format check for your thesis or dissertation, you can submit your in-progress work to Reva Pollack. She will provide feedback and direction that can be incorporated into your work as you finish, which will hopefully make the final weeks of your semester easier. If you would like to participate in this optional format review, please submit a copy of your dissertation through the online form to the Office of Research and Graduate Studies by the following deadlines:

August 2016 Graduation	Friday, June 24
December 2016 Graduation	Monday, October 3
May 2017 Graduation	Friday, March 10
August 2017 Graduation	Friday, June 23

You can access the online submission form at:

<http://www.smu.edu/graduate/CurrentStudents/Graduation/GraduationTimeline>.

Step 3: Submit Establishment of Examination Committee Form

Once your dissertation examination committee is finalized, you must submit the member names to the Office of Research and Graduate Studies. You can submit this information online at the following page: <http://www.smu.edu/graduate/ExaminationCommittee2016>.

This should be submitted as soon as your committee is finalized, but the deadlines are as follows:

August 2016 Graduation	Tuesday, July 5
December 2016 Graduation	Friday, October 14
May 2017 Graduation	Friday, March 17
August 2017 Graduation	Friday, June 23

Step 4: Submit Dissertation/Thesis for Mandatory Format Check

You must submit a draft of your dissertation or thesis for a mandatory format check to ensure adherence to the guidelines outlined in this document. Please submit a copy of your dissertation through the online form to the Office of Research and Graduate Studies by the following deadlines:

August 2016 Graduation	Tuesday, July 5
December 2016 Graduation	Monday, October 31
May 2017 Graduation	Friday, March 31
August 2017 Graduation	Monday, July 3

You can access the form online at:

<http://www.smu.edu/graduate/CurrentStudents/Graduation/GraduationTimeline>. You will receive comments on your dissertation or thesis within approximately one week of submission. After that, you will be expected to revise and submit a corrected version prior to graduation (see Step 5). Note that the turnaround time for the correction version is fairly short. If you submit your dissertation or thesis in advance of the above deadline, you will have more time to make any required changes.

Step 5: Submit Corrected Dissertation/Thesis for Final Review

After you have made the required corrections to your dissertation or thesis, you must submit it for a final format check. Please submit the corrected version of your dissertation to the Office of Research and Graduate Studies through the same online form used for the first check by the following deadlines:

August 2016 Graduation	Tuesday, July 19
December 2016 Graduation	Monday, November 21
May 2017 Graduation	Friday, April 21
August 2017 Graduation	Monday, July 24

You can access this form online at:

<http://www.smu.edu/graduate/CurrentStudents/Graduation/GraduationTimeline>.

Step 6: Complete Oral/Written Comprehensive Exams

As required by your department, you must complete your oral or written examinations with sufficient time to process your graduation. Examinations must be completed by the following deadlines:

August 2016 Graduation	Friday, July 29
December 2016 Graduation	Thursday, December 1
May 2017 Graduation	Thursday, May 4
August 2017 Graduation	Friday, August 4

Step 7: Submit Examination Report and Signature Page

After you have completed your written or oral examination, the signed examination report and Signature Page from your dissertation or thesis must be submitted to the Office of Research and Graduate Studies. This may come directly from your department rather than from you. You should coordinate with your department to ensure that the forms are submitted in a timely manner. A scanned copy may be sent initially to meet the deadline, but the originals should follow. They can be submitted as soon as the examination is completed, but must be submitted by the following deadlines:

August 2016 Graduation	Monday, August 1
December 2016 Graduation	Monday, December 5
May 2017 Graduation	Monday, May 8
August 2017 Graduation	Monday, August 7

Step 8: Submit Final Version of Dissertation/Thesis Online

Once all revisions are made, both formatting and any content changes requested during your examination, all Master's and Ph.D. candidates must submit a final copy of their dissertation or thesis. This must be submitted in two places: (1) to the Office of Research and Graduate Studies, and (2) to ProQuest. No paper copies are required by SMU. If you would like to order a paper copy for yourself, you can do so through ProQuest. The links to submit the papers online can be found at: <http://www.smu.edu/graduate/CurrentStudents/Graduation/GraduationTimeline>. Please note that the dissertation submitted online should NOT include the signed version of the Signature Page. The final dissertation or thesis must be submitted by the following deadlines:

August 2016 Graduation	Tuesday, August 2
December 2016 Graduation	Monday, December 12
May 2017 Graduation	Monday, May 15
August 2017 Graduation	Sunday, August 6

Step 9: Complete Exit Survey

The final step to receive your diploma is to complete an exit survey with the Office of Research and Graduate Studies. All graduates are required to take this survey. Submissions will not be reviewed until after your degree is conferred. In addition to the ORGS survey, Ph.D. candidates are requested to participate in the National Science Foundation's Survey of Earned Doctorates. Links to both surveys can be found at:

<http://www.smu.edu/graduate/CurrentStudents/Graduation/GraduationTimeline>. The surveys must be completed by the following deadlines:

August 2016 Graduation	Tuesday, August 2
December 2016 Graduation	Monday, December 12
May 2017 Graduation	Monday, May 15
August 2017 Graduation	Sunday, August 6

Dedman College Graduation Checklist

<input type="checkbox"/> Apply for Graduation
<input type="checkbox"/> Mid-Semester Format Review (<i>optional</i>)
<input type="checkbox"/> Submit Establishment of Exam Committee Form Online
<input type="checkbox"/> Submit Dissertation/Thesis for First Mandatory Format Check
<input type="checkbox"/> Submit Corrected Dissertation/Thesis for Final Review
<input type="checkbox"/> Complete Oral/Written Comprehensive Exam
<input type="checkbox"/> Submit Examination Report
<input type="checkbox"/> Submit Dissertation/Thesis Signature Page
<input type="checkbox"/> Submit Final Version of Dissertation/Thesis Online
<input type="checkbox"/> Complete Exit Survey(s)

Meadows School of the Arts

The Meadows School of the Arts may require the completion of additional forms. Each student anticipating graduation bears the responsibility for checking with the Student Academic Services Office and their department/division/institute office regarding additional forms. Contact Jennifer R. Smith, Undergraduate and Graduate Records Coordinator (smithjr@smu.edu) for further information.

School of Engineering

The Lyle School of Engineering maintains a list of graduation process and important dates on their website. You can find the Lyle graduation information at:

<http://www.smu.edu/Lyle/Graduate/CurrentStudents/ThesisDissertation>.

FORMATTING GUIDELINES

The elements of your dissertation or thesis should be placed in the following order*:

1. Signature Page
2. Title Page
3. Copyright Page (*optional*)
4. Acknowledgment Page (*optional*)
5. Abstract
6. Table of Contents
7. List of Illustrations
8. List of Tables
9. List of Abbreviations
10. Dedication or Acknowledgment (if no Dedication) Page (*optional*)
11. Text
12. Appendix or Illustrations
13. Bibliography or References

*Note the exceptions to these guidelines at the end of this section.

General Guidelines

Margins

The following pages require a 2” top margin:

- Signature Page
- Title Page
- Copyright Page
- Acknowledgment Page
- Lists (first page of each only)
- Chapter heading pages in text
- Appendix (first page only)
- Bibliography (first page only)

All other margins should be 1” from the edge of the page – top, bottom, left, and right. Tables, figures, and appendices follow the same margin rules as the main text.

Page Numbers

All page numbers should be centered, 1” from the bottom of the page. This applies to both roman numerals on the preliminary pages and arabic numerals on the main text pages. The detailed page descriptions below outline which pages require which types of numbers.

All pages must have the number in the same position. If a page is in a landscape format to accommodate a large picture or chart, the margins and page number remain as if the page were still in portrait orientation.

Font and Text

You should select a standard font that is easy to read on paper and online. Suggestions include: Arial (10 pt), Courier New (10 pt), Times New Roman (12 pt), and Verdana (10 pt). The dissertation or thesis should feature the same font and typeface throughout, including the captions and labels of figures, which must also be the same size as the main text. If you use bold or italics, do so in a consistent manner throughout the text.

Spacing

The text should be double-spaced. Individual footnotes or endnotes, block quotations, bibliographies, and figure legends should be single-spaced.

Avoid widows (the last line of a paragraph carried over alone to the top of the next page) and orphans (a heading, subheading, or first line of a paragraph appearing alone at the bottom of a page).

Headings, Titles, and Subtitles

Always begin a major division (such as a chapter) at the top of a new page. Center the heading at the top of the page, and type it entirely in uppercase letters. Chapter headings or similar main sections should be 2" from the top of the page, rather than the standard 1" margin.

Chapter titles are optional. If you title one chapter, however, then all chapters should have titles. If you type the title in all uppercase letters, this should be reflected in the Table of Contents. Do not type subheadings entirely in uppercase letters. Center chapter titles under the chapter number, one double-space below. If the title extends beyond one line, keep the title single-spaced.

Triple space from the chapter title (or from the chapter number if no chapter title is used) to the first line of text. This also applies to the first entry in the Table of Contents and the Bibliography, as well as to the first paragraph in a chapter.

Tables and Figures

Number all tables consecutively with arabic numbers. Likewise number all figures consecutively with arabic numbers. Do not mix roman and arabic numerals. If the document has many tables or figures, begin a new numbering sequence for each chapter (e.g., 1.1, 1.2....3.1, 3.2, etc.).

Insert a table or figure after the paragraph in which it is first mentioned. If a table or figure cannot be accommodated in the space remaining on the page, continue the text to the bottom margin, placing the table or figure at the top of the next page. Place a table or figure alone on a page if the space remaining will accommodate fewer than six lines of text.

If the table does not begin a new page, triple-space from the end of the paragraph to the table or figure. Be consistent in the style used in the placement of table and figure captions, whether above or below the text.

Description of Preliminary Pages

1. **Signature Page**

This signature page is an approval page that the thesis/dissertation committee members sign after the student passes the oral defense. Prepare the signature page and have the format approved before obtaining signatures. This signed page will be collected as part of the final steps of the graduation process.

- a. This page has a 2" top margin.
- b. Do not number, but count in pagination.
- c. Title should be in all capital letters, in the shape of an inverted pyramid.
- d. See the template for the standard format.

2. **Title Page**

- a. This page has a 2" top margin.
- b. Do not number, but count in pagination.
- c. See the template for the standard format.

3. **Copyright Page**

This page is *optional*.

- a. This page has a 2" top margin.
- b. Do not number, but count in pagination.
- c. See the template for the standard format.
- d. A registered copyright is available through ProQuest for Ph.D. candidates. For 2015-2016, the cost for this service is \$55.00.

4. **Acknowledgment Page**

This page is also *optional*, although it is usually included. If you wish to include an Acknowledgment ONLY (no Dedication Page), then place it just before the text (see item 8). If you are going to include both a Dedication and Acknowledgment, then place the Acknowledgment here.

- a. This page has a 2" top margin.
- b. This page should be numbered with a roman numeral at the bottom of the page, 1" margin (as with all pages).
 - i. Number this page with roman numeral (iv) if copyright page is included, or (iii) if no copyright page is included.

5. **Abstract Page**

The thesis or dissertation must contain an abstract. This is a concise summary of the work, intended to inform a prospective reader about its content. Usually this includes a brief description of the problem investigated, the procedure or methods, the results and the conclusions. Headings from the text should be omitted in the abstract. It should not contain parenthetical citations of items listed in the bibliography or reference section. A reasonable length for an abstract is 300-400 words. Like the text, it must be double-spaced. The dissertation/thesis title needs to have the same layout as used on the Signature Page and Title Page.

- a. This page has a 1" margin.
- b. Number the page with the next consecutive roman numeral.
- c. See the template for the standard format.

6. **Table of Contents**

This is a topic outline of the work, compiled by listing the headings in the paper, including as many subheading levels as you choose. List the divisions of the thesis that follow this page – do not list anything that precedes the Table of Contents. List all chapter headings and other major divisions. Be sure that the headings listed in the Table of Contents match word-for-word the headings in the text, including capitalization.

- a. Page numbers and chapter numbers need to be right justified. The use of dot leaders to connect each heading with its page number is optional. Whichever you choose, leaders or no leaders, be consistent throughout.
- b. Each level of subheading should be indented three character spaces from the beginning of the previous title. Also indent run-over or wraparound lines three character spaces.
- c. This page has a 1" top margin.
- d. Number the page with the next consecutive roman numeral.

7. **Lists**

Include a list of figures, illustrations, etc., if you have one or more items in these categories. Use a separate page for each list, even if both would fit on the same page.

- a. All major headings need to be in all capital letters.
- b. Double-space between entries. If an item exceeds one line, it should be single-spaced, and the second line must be indented three character spaces.
- c. Right-justify all page numbers, and use dot leaders if you did so in the Table of Contents.
- d. For every figure and table in the body of the text, include the number, title/caption, and page number. You must also list figures and tables in the appendix if they have individual numbers and captions. List captions exactly as they appear in the text, if

they are relatively brief. If they are long, stop at the first period or other logical stopping point.

- e. These pages have a 2” top margin on the main page with the heading, and a 1” top margin for any subsequent pages in that section.
- f. Number the pages with the next consecutive roman numerals.

8. Dedication Page

This page is *optional*.

- a. If you are not including a Dedication Page, place the Acknowledgement Page here and number with a roman numeral. Include this in the Table of Contents.
- b. If you have a Dedication Page and an Acknowledgment Page, do not number this page and do not include it in the Table of Contents.
- c. This page has a 2” margin.

Exception to these Formatting Guidelines

Only one discipline currently has an exception to these formatting guidelines in favor of their field’s standard formats.

Department	Style Manual
Psychology	<i>The American Psychological Association Publication Manual, 6th edition (2010)</i>

Students in this department must follow the same formatting check procedure as all other students.

Approved Style Manuals for Use With These Formatting Guidelines

The text, all materials included in the text, and references should reflect the requirements of the discipline, and documentation should be in accord with professional style manuals. The Office of Graduate Studies does reserve the right to ask for some deviations from the style manuals. The following is a list of style manuals approved by the departments. If your department is not listed here, obtain the name of the approved style manual from your department.

Style Manual	Department(s)
<i>A Manual for Writers of Term Papers, Theses and Dissertations</i> , 8th edition (Chicago, 2013) by Kate L. Turabian	Art History Anthropology Chemistry Economics History Mathematics Music
<i>The American Psychological Association Publication Manual</i> , 6th edition (2010)	Music Therapy Psychology Television/Radio
<i>The Chicago Manual of Style, Sixteenth Edition</i> (2010)	English Religious Studies
<i>Geological Union Guideline for Journals</i>	Earth Sciences

Formatting Checklist

<input type="checkbox"/> Margins <ul style="list-style-type: none">o 1” for top, bottom, left, and righto Certain exceptions for top margin only, described below
<input type="checkbox"/> Page Numbers <ul style="list-style-type: none">o Centered, 1” from bottom of pageo Same location for portrait or landscape orientation
<input type="checkbox"/> Font <ul style="list-style-type: none">o Standard and readable on paper and online
<input type="checkbox"/> Spacing <ul style="list-style-type: none">o Double-spaced texto Single-spaced footnotes, endnotes, block quotations, bibliographies, and figure legendso No widows or orphans
<input type="checkbox"/> Signature Page <ul style="list-style-type: none">o 2” top margino Do not number, but count in pagination
<input type="checkbox"/> Title Page <ul style="list-style-type: none">o 2” top margino Do not number, but count in pagination
<input type="checkbox"/> Copyright Page (<i>optional</i>) <ul style="list-style-type: none">o 2” top margino Do not number, but count in pagination
<input type="checkbox"/> Acknowledgment Page (<i>optional</i>) <ul style="list-style-type: none">o Place here only if you also have Dedication pageo 2” top margino Begin numbering with lower case roman numerals
<input type="checkbox"/> Abstract <ul style="list-style-type: none">o Number with the next consecutive roman numeral
<input type="checkbox"/> Table of Contents <ul style="list-style-type: none">o Number with the next consecutive roman numeralo Don’t list anything that precedes the Table of Contentso Consistent in headings or sub-headings; match word-for-wordo Page numbers and chapter numbers should be right justifiedo Dot leaders are optionalo Each level of subheading should be indented three character spaces from the previous titleo Indent run-over or wraparound lines three character spaces
<input type="checkbox"/> List of: Figures; Illustrations; Tables; Abbreviations; Glossary <ul style="list-style-type: none">o 2” top margin on first page for each type of listo Include if you have more than one itemo Separate page for each type of listo Include number, caption (title), and page number of every itemo Double-space between entrieso Single entries that exceed one line are single-spaced, and the second line is indented three

<ul style="list-style-type: none"> ○ character spaces ○ Right-justify all page numbers ○ Dot leaders if used in Table of Contents
<ul style="list-style-type: none"> <input type="checkbox"/> Acknowledgment OR Dedication Page (<i>optional</i>) <ul style="list-style-type: none"> ○ 2” top margin ○ If only including an Acknowledgement Page, place here with roman numeral and include in Table of Contents ○ If including a Dedication Page, place here and do not number or include in Table of Contents
<ul style="list-style-type: none"> <input type="checkbox"/> Text <ul style="list-style-type: none"> ○ Begin using arabic numbers ○ Margin exception – 2” for the first page of a chapter ○ Double-spaced text, and single-spaced footnotes, endnotes, blocked quotations, bibliographies, and figure legends ○ Same font and typeface throughout, including captions and labels, unless made by a different program ○ Chapter titles are optional but must be used consistently ○ Center the chapter title under the chapter number, one double-space below ○ Triple-space from the chapter title (or chapter number if not title) to the first line of text
<ul style="list-style-type: none"> <input type="checkbox"/> Tables and Figures <ul style="list-style-type: none"> ○ Number all tables and figures, respectively, consecutively with arabic numbers ○ Triple-space from the end of the text to the table or figure ○ If table or figure does not fit in remaining space, continue text to the bottom margin and place table or figure at top of next page ○ Place table or figure alone on a page if there is space for fewer than six lines of text ○ Be consistent with the placement of table and figure captions
<ul style="list-style-type: none"> <input type="checkbox"/> Appendix or Illustrations <ul style="list-style-type: none"> ○ 2” top margin on first page ○ Continue with arabic numbers
<ul style="list-style-type: none"> <input type="checkbox"/> Bibliography or References <ul style="list-style-type: none"> ○ 2” top margin on first page ○ Continue with arabic numbers ○ Follow appropriate style guide for field

CONTACTS AND RESOURCES

Office of Research and Graduate Studies

Reva Pollack, Director of Graduate Studies

reva@smu.edu

214-768-4202

Perkins Administration Building, Suite 101

Lyle School of Engineering

Jim Dees, Sr. Director, Graduate Student Administration

jdees@lyle.smu.edu

214-768-1456

Caruth Hall, Suite 353

Meadows School of the Arts

Jennifer R. Smith, Undergraduate and Graduate Records Coordinator

smithjr@smu.edu

214-768-4453

Turabian Citation Quick Guide:

http://www.press.uchicago.edu/books/turabian/turabian_citationguide.html

Guide for Dissertations in Microsoft Word 2010 and 2013:

<http://guides.lib.umich.edu/c.php?g=283073&p=1886001>

General Microsoft Word assistance: <https://support.office.com/>

LaTeX Basics Guide: <http://www.jgsee.kmutt.ac.th/exell/General/LaTeX.html>

LaTeX2e Guide: <http://mirrors.ibiblio.org/CTAN/info/lshort/english/lshort.pdf>

General LaTeX assistance: <http://www.latex-project.org/>