

# Southern Methodist University

## Dissertation and Thesis Guide

Dedman College



SMU.

2019-2020

## 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 Graduate Studies Coordinator, Kerri Bennett ([kerrit@smu.edu](mailto:kerrit@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) (Student Homepage → Academic Records → Apply for Graduation). The deadline to file for graduation is usually early in the semester of graduation. For 2019-2020, the deadlines are:

August 2019 Graduation	Thursday, June 6
December 2019 Graduation	Friday, August 30
May 2020 Graduation	Friday, January 24
August 2020 Graduation	Thursday, June 4

If, after applying for graduation, you determine that you will not be able to graduate that semester, please **notify Kerri Bennett** so that your graduation date can be postponed in [my.smu](http://my.smu.edu).

### 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 Kerri Bennett. 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 2019 Graduation	Friday, June 21
December 2019 Graduation	Monday, October 7
May 2020 Graduation	Friday, March 13
August 2020 Graduation	Friday, June 19

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 2019 Graduation	Friday, June 21
December 2019 Graduation	Friday, October 18
May 2020 Graduation	Friday, March 20
August 2020 Graduation	Monday, June 22

### **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 2019 Graduation	Monday, July 1
December 2019 Graduation	Monday, November 4
May 2020 Graduation	Thursday, April 2
August 2020 Graduation	Friday, 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 2019 Graduation	Monday, July 22
December 2019 Graduation	Monday, November 25
May 2020 Graduation	Friday, April 24
August 2020 Graduation	Friday, July 17

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 2019 Graduation	Friday, August 2
December 2019 Graduation	Thursday, December 5
May 2020 Graduation	Thursday, April 30
August 2020 Graduation	Friday, July 31

### Step 7: Submit Examination Report and Signature Page; Obtain Signature on Deposit Agreement Form

After you have completed your written or oral examination, the **original** 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** must follow. It is highly recommended that you obtain your Department Chair/Advisor signature on the Deposit Agreement form at this time. Students will upload the Deposit Agreement with the final version of their Dissertation/Thesis online to the SMU Scholar site. The Examination Report and Signature Page can be submitted as soon as the examination is completed, but must be submitted by the following deadlines:

August 2019 Graduation	Monday, August 5
December 2019 Graduation	Monday, December 9
May 2020 Graduation	Monday, May 4
August 2020 Graduation	Monday, July 27

### Step 8: Submit Final Version of Dissertation/Thesis Online and Deposit Agreement

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 through the SMU Scholar system online at <http://scholar.smu.edu/>. No paper copies are required by SMU. Please note that the dissertation submitted online should NOT include the signed version of the Signature Page. During this process, you will need to upload your signed Deposit Agreement. The final dissertation or thesis and Deposit Agreement must be submitted by the following deadlines:

August 2019 Graduation	Sunday, August 4
December 2019 Graduation	Friday, December 13
May 2020 Graduation	Friday, May 8
August 2020 Graduation	Friday, July 31

### 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 2019 Graduation	Sunday, August 5
December 2019 Graduation	Monday, December 16
May 2020 Graduation	Monday, May 11
August 2020 Graduation	Sunday, August 2

### Degrees Conferred

August 2019 Graduation	Tuesday, August 6
December 2019 Graduation	Saturday, December 21
May 2020 Graduation	Saturday, May 16
August 2020 Graduation	Tuesday, August 4

### Dedman College Graduation Checklist

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

### 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](mailto: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. Imagine the picture or chart printed as a manuscript. Pages with the picture or chart would not hang out of the manuscript if printed.

### **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 with a double space between each entry. Each paragraph should begin with an indentation.

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). MS Word has a setting to assist with this rule under Paragraph→Line and Page Breaks→Widow/Orphan Control.

### **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.

If a table or figure is placed on a table in landscape orientation instead of portrait, captions should follow the same pattern as used elsewhere. Follow the guidelines under “Page Numbers” for any landscape pages as well.

## 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. Use a single space between the committee member’s name and title.
- e. List your advisor first, and then all other committee members in alphabetical order by last name.
- f. 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.

### **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</i> , Sixteenth Edition (2010)	English Religious Studies
<i>Geological Union Guideline for Journals</i>	Earth Sciences

## Formatting Checklist

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

- Double-space between entries
- Single entries that exceed one line are single-spaced, and the second line is indented three character spaces
- Right-justify all page numbers
- Dot leaders if used in Table of Contents

**Acknowledgment OR Dedication Page (*optional*)**

- 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

**Text**

- 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

**Tables and Figures**

- 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

**Appendix or Illustrations**

- 2” top margin on first page
- Continue with arabic numbers

**Bibliography or References**

- 2” top margin on first page
- Continue with arabic numbers
- Indent run-over or wraparound lines three character spaces (as done with the Table of Contents entries)
- Follow appropriate style guide for field

## CONTACTS AND RESOURCES

### **Office of Research and Graduate Studies**

Kerri Bennett, Graduate Studies Coordinator

[kerrit@smu.edu](mailto:kerrit@smu.edu)

214-768-4345

Perkins Administration Building, Suite 101

### **Lyle School of Engineering**

Jim Dees, Sr. Director, Graduate Student Administration

[jdees@lyle.smu.edu](mailto: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](mailto:smithjr@smu.edu)

214-768-4453

Turabian Citation Quick Guide:

[http://www.press.uchicago.edu/books/turabian/turabian\\_citationguide.html](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/>