



DISSERTATION AND THESIS GUIDELINES

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CHAPTER ONE

Introduction

Our intent in these guidelines is to provide a certain level of uniformity of style across the University while accommodating the discipline-specific needs of each academic field. The Graduate School bases our guidelines on the view that dissertations and theses are in themselves final products. Hence, some of the specifications for dissertations and theses do differ from those that traditionally pertain to manuscripts submitted to journals or book publishers.

We desire to assist you in producing a final product that you and all others concerned will be proud of. We are happy to help with questions throughout the process of completing the dissertation or thesis. Please email dissertation_thesis@baylor.edu if you need assistance.

The most updated version of our guidelines is available on the Graduate School website at graduate.baylor.edu/diss-thesis.

CHAPTER TWO

Dissertation/Thesis Style and Format Overview

The Standard Format

The Standard Format is the default format used for dissertations and theses. The body of the dissertation resembles a book manuscript, including front and back matter, an introduction, body chapters, and a conclusion according to expectations of the student's discipline. Some, for example, might have literature reviews or methods sections, while others might not. The formatting rules described in this manual should be applied to *all* material except for specific body chapters that have previously been published or are actively in the process of being published. Thus, with the exception of certain disciplines, the vast majority of dissertations and theses use the standard format throughout their entire manuscript.

All graduate programs at Baylor University have selected a nationally recognized style manual for their dissertations and theses. In case of conflict, *the Graduate School specifications below always supersede your program's chosen manual of style*. For a departmental list of approved style manuals, see *Appendix A*. Your style guide will determine how you format your tables, figures, and citations. Regardless of style guide, Baylor's guidelines do not allow bolding.

See CHAPTER SEVEN for more information on incorporating previously published work as chapters.

Preparing your Document

The Microsoft Word template on our website is already prepared with these settings, but it is always smart to double-check them at the outset of your project. If you take time formatting your Word document before you begin you will save your self time on the back end. Follow the instructions in this chapter to best set your document.

Before formatting your document, do the following in your Word document settings:

1. Highlight the whole document (ctrl+a or command+a)
2. Click Layout > Paragraph > Indents and Spacing
 - Before and After Spacing should be 0
 - Check "Don't add space between paragraphs of the same style."

- This will ensure even spacing throughout your document and allow you to properly create double and triple spaces when necessary.
3. Click Layout > Paragraph > Lines and Page Breaks
 - Check “Widow/Orphan control”
 - This will ensure that no lines are stuck by themselves at the top or bottom of a page.

Typeface and Size

Typeface

- A serif font is required (e.g. Times New Roman).
- Use the same font throughout, including page numbers.
- 12-point size is required for the body of the dissertation/thesis.
- 10-point is acceptable for footnotes, tables, figures, etc.

Margins

Consistent margins and page numbers must be maintained throughout the entire work. All typing (except for pagination) and all parts of tables, figures, and appendices must fit within the specified margins.

- Top and Bottom Margins: 1 inch
- Left and Right Margins: 1.25 inch

Spacing

All regular text in body paragraphs must be *double-spaced* throughout, with no additional space between paragraphs of the same style. The following content types are single-spaced with a double-space in between:

- Footnotes or endnotes
- Bibliography entries
- Block quotations

In addition to single and double spacing, headings require triple spacing in many scenarios. See *Headings* on page 7 for information about triple spacing.

Page Numbers

Format and Application of Page Numbers

- *Do not number*: abstract, signature page, or copyright page
- *Number with lowercase Roman numerals* (e.g. i, ii, iii): table of contents, list of figures, list of tables, preface, acknowledgments, and dedication pages (in this order). Numbering begins on the table of contents, but all front pages are counted.
- *Number with Arabic numerals* (e.g. 1, 2, 3): the first page of chapter one, and continue throughout the entirety of the document, including reference pages. On Chapter One you will restart your page numbers back at 1,
- Page numbers should be the same font as the body of the document.

Placement of Page Numbers

- All pages are numbered at the bottom of the page, center justified, and within a one-inch footer.
- Page numbers are the *only* material on *any* page that goes outside of the margins specified above.

Justification and Hyphenation

Justification

- Align text at the left margin (except for paragraph indentations).
- The right margin may be either uneven (ragged) or right-justified, but be consistent throughout.

Hyphenation

Hyphenation at the right margin is permitted as long as it does not lead to ambiguity or cause difficulty in reading.

Footnotes and Endnotes

Footnotes

- Use superscript numerals within the text at the point of reference.

- Number footnotes consecutively by chapter (i.e., begin each chapter with number one).
- Maintain the 1 inch margin at the bottom of each page except on the last page of the chapter. When the body text on the last page of a chapter does not fill the entire page, the footnotes for that page should follow directly under the text (no white space between the last paragraph and the footnotes).
- Footnotes must begin on the page where referenced.
- Each footnote is single-spaced, with a double space between footnotes.
- Footnotes may be typed in a 10- or 12-point font.
- Use paragraph indentation (0.5” indent) for the first line of footnote texts and the footnote number. If the footnote goes onto multiple lines, all subsequent lines are not indented.
- Only repeat full footnote references at the beginning of each chapter if preferred by the department.

Endnotes

- Title the first endnotes page “Notes;” this title should be 1 inch from the top of the page, followed by a double space.
- Each endnote is single-spaced, with a double space between endnotes.
- Endnotes should follow your department’s chosen manual of style, but typically are set with paragraph indentation.

Headings

Use the five levels of headings and subheadings listed below. *For an example of proper heading usage, see the template.*

Five Headings Levels

- Level 1: Designates chapter number, is centered and typed in all uppercase letters with the number spelled out. (e.g. CHAPTER FOUR)
- Level 2: Indicates the title of the chapter, is centered with uppercase and lowercase lettering and with a triple space below.
- Level 3: Is centered and italicized with uppercase and lowercase lettering with triple space above. Level 3 headings are followed by a double space if they are followed directly by body text, or a triple space if they are followed by a Level 4 heading.

- Level 4: Is typed flush at the left margin, is italicized in title case with triple space above and a double space below.
- Level 5: Is indented at the beginning of the paragraph with triple space above, is italicized, using sentence-style capitalization, ending in a period (which also is italicized) and followed by 2 spaces, the text continues after the heading on the same line.

Triple Spaces

Note on Triple Spaces: A triple space is two blank single spaced lines. For example, the text here is written in single space. Most of your document will be in double space. Often, if the text above your new heading is double spaced, you may only require a single, single-spaced line to create a triple space. See our [Triple Spacing Tutorial](#) for more guidance.

Further Instructions

- When a heading exceeds a single line of text, the heading should be single-spaced, maintaining the specified spacing above and below it with the only exception being level 5 headings.
- If a student wishes to include an optional epigraph, or quote to begin the chapter, the epigraph should be placed under the level 2 heading with a triple space above and below. Use blockquote indentation for the quote, and provide the citation or the author's name in the bottom right corner of the quote.

CHAPTER THREE

Components of the Dissertation or Thesis

Dissertations and theses consist of three sections: *front matter*, *body*, and *back matter*. The number of chapters and components included in each section will vary by the student according to the particulars of the project. The overview below indicates the proper order of each of the components within each of the sections. Additional information for each component is detailed in the following sections.

Overview

Front Matter Components

- Abstract*
- Unsigned Signature/Title Page*
- Copyright page*
- Table of Contents*
- List of Figures
- List of Schemes
- List of Tables
- List of Abbreviations
- Glossary
- Preface
- Acknowledgments
- Dedication
- Attributions**
- Epigraph

Back Matter Components

- Epilogue
- Appendices (as needed)
- Bibliography/References*
- Index (optional)

Body Components

- Chapter One: Introduction
- Body Chapters (may include a literature review, methods section, previously published manuscripts as full chapters, etc. depending on your project)
- Chapter X: Conclusion

If using previously published manuscripts as chapters, we encourage you to include an introduction chapter and a conclusion chapter.

*Required of all theses and dissertations

**Required of any thesis or dissertation that includes work by multiple authors

CHAPTER FOUR

Front Matter

Abstract (un-paginated)

- The abstract briefly summarizes the contents of the document.
- For dissertations, the abstract is limited to 350 words; for theses, the limit is 150 words. (*Be advised that editors at UMI Dissertation Services, without consulting the author, will shorten abstracts that exceed these limits.*)
- The abstract page is the only page that requires a 2.5 inch top margin.
- If a student has two mentors then they will use the term co-mentor. The first co-mentor will be identical to the example. The second co-mentor will be one line below. Both will include the title Co-mentor before their name.
- For example, see *Appendix A*.

Signature Page (un-paginated)

- Signature page templates and instructions can be found [here](#). A properly formatted version is due at the Preliminary Technical Review.
- The signature page is unnumbered.
- We will need a single unsigned signature page and a single signed signature page in digital format. You may obtain electronic signatures, or you may scan a copy of your signed signature page. Regardless, we will not accept paper copies.
- The Dissertation and Thesis Office will insert your unsigned signature page for you at the time of approval. Until then, please keep a “Hold for signature page” in your document to allow for proper page numbering of the following front matter.
- For an example of a signature page, see *Appendix B*.

Copyright Page (un-paginated)

- For an example of a copyright page, see the template.
- Ensure that your copyright page uses the exact name you use on your abstract and on your signature page. All three should match.

Table of Contents (Lowercase Roman numeral pagination begins)

- This is the first page where pagination appears, although previous pages are counted. (This should start on iv if you have a one page abstract or v if you have a two page abstract).
- Right-justify the page numbers at the right margin (but not the entire line) for each included heading.
- Table of Contents entries that go onto multiple lines should be single spaced, with the second line slightly indented.
- The page number column on the right should be free of any text. If a title runs into the page number column, move the last word and subsequent text to the next line.
- Leading dots are required to connect the heading with the page number. Leading dots must not be on a line alone. If so, move a word from the heading title to the line below.
- Include at least the first three levels of headings. All level 1 headings can be in all caps if desired but all level 2 and level 3 headings should be un-italicized and in title case.
- Double-space between headings, but single-space and indent any continuation lines of the same heading.
- Add a blank line above each level 1 heading so as to separate each chapter from one another.

Lists of Figures, Schemes, and Tables

- These pages are required if any figures (illustrations), schemes, or tables are included in the document.
 - The titles of these sections are typed as first-level headings, centered and all uppercase, 1.5 inches from the top of the page, followed by a triple space.
- If the legend or caption of the figure, scheme, or table is brief within the text, then include the entire legend or caption in this list. If the legend or caption is long, use an abbreviated legend or caption in this list.
- Follow the same formatting as the Table of Contents.
- These lists are numbered using lowercase Roman numerals centered, continuing on from the Table of Contents.

List of Abbreviations

- This page is optional.
- The title of this section is typed as a first-level heading, centered and all uppercase, 1.5 inches from the top of the page, followed by a triple space.
- It is paginated with lowercase Roman numerals.
- The entries are single-spaced where the text is more than one line, with a double space between entries.

Attributions

- This page only applies to students incorporating research or writing performed by co-authors and co-researchers. This includes chapters that have already been published or chapters that would list co-authors if published in the future.
- This section should mention the specific contributions of each author of each applicable publication/chapter, including the author of the dissertation.
- The title is typed as a Level 1 heading, centered and all uppercase, 1.5 inches from the top of the page, followed by a triple space.
- Attributions are paginated with lowercase Roman numerals.

Acknowledgments

- This page is optional.
- It is the place for the author to professionally acknowledge the various sources of direction, advisement, assistance, funding, etc. that facilitated the project. It is also where the author can acknowledge people or things of personal importance.
- The title is typed as a Level 1 heading, centered and all uppercase, 1.5 inches from the top of the page, followed by a triple space.
- Acknowledgments are paginated with lowercase Roman numerals.
- Write the body of this section in prose paragraph format. (double spaced, 12-point font, indent all paragraphs)
- Note that Baylor's spelling of Acknowledgments only has two 'e's. Do not write 'Acknowledgements.'

Dedication

- This page is optional.
- If this page is included, students may choose whether or not to include the title "Dedication." If the title is to be present, it is typed as a Level 1 heading, centered and all uppercase, 1.5 inches from the top of the page.
- The text of this page is typically brief and is more personal in nature than the Acknowledgments.

- The text of this page typically begins with "To:"
- The text should begin approximately at 3 inches below the top of the page.
- Generally, there is *no ending punctuation*.
- The dedication page is paginated with lowercase Roman numerals.

CHAPTER FIVE

Standard Formatting of Body Chapters*

*Unless a chapter has been previously published or has *already* been submitted for publication, the following formatting is required. See CHAPTER SEVEN for information on incorporating previously published work.

Chapters (Arabic numeral page numbers begin.)

- The number of chapters and their titles may vary according to topic and discipline.
- Always spell out chapter numbers in the headings and in the body of the document.
- Consult with your mentor or program director to determine the chapter designations (if any) that have been adopted by your program.
- “Introduction” and “Conclusion” are always labeled as chapters (e.g. CHAPTER ONE instead of INTRODUCTION). “Introduction” and “Conclusion” would be Level 2 headings.
- For a sample Chapter Title Page see *Appendix D*.

Block Quotations

- Block quote should be indented ½” inch, unless otherwise specified by your department style guide.
- Always single-spaced with double-space above and below.

Epigraphs

- Epigraphs are quotations that are used at the beginning of a dissertation/thesis, chapter, or section to allude to a central idea or theme.
- Treat epigraphs as a block quotation.
- Do not justify the text of the quotation; instead leave a ragged right edge.
- On the line below the quotations, give the author and the title, flush right and preceded by an em dash (a formal citation is unnecessary)
- Add a double space following an epigraph.

Equations

Equations should be centered with a double space above and below.

Tables, Figure, and Schemes

Numbering Tables, Figure, and Schemes

- All tables, figures, and schemes are referenced by number within the text prior to the placement of the table.
- All tables, figures, and schemes in the body chapters are numbered by chapter and order of appearance. (Table 1.1, Figure 3.5, Scheme 2.1, etc).
- All tables, figures, and schemes within an appendix are numbered with the letter of the appendix plus the number (i.e., A.1, B.1, etc.).
- Pages with tables, figures, and schemes are paginated in sequence with text pages.

Formatting Applicable to all Tables, Figures, and Schemes

- Ideally, the typeface used within a table, figure or scheme should match the typeface used in the text.
- Font size within the table, figure, or scheme should not be smaller than 10 point.
- Generally, borders are not used around tables, figures or schemes.
- Tables, figure, and schemes may be displayed either landscape or portrait orientation if they are on a page of their own.
- All tables, figures, and schemes must fit within the 1.25” left and right margins, and the 1” top to bottom margins.
- If a table, figure, or scheme does not fit within the margins they can be placed on a page that is then set to landscape. This will provide more space for wide tables, figures or schemes.
- If the table, figure, or scheme and its caption/legend are greater than about three-quarters of a page, then allocate an entire page to that figure; in such cases, center the figure so that equal amounts of blank space occur above and below the table, figure, or scheme and to the left and right of the table, figure, or scheme.
- Figures and schemes, and their respective legends should be embedded within the text if they occupy less than approximately three-quarters of a page.
- For figures, schemes, and tables, black-and-white or color images are permissible.
 - If the original of a figure is in color, then the figure should be reproduced in color.
 - ProQuest/UMI Dissertation Services offers several recommendations regarding figures. Among them are that lines on graphs should be identified by labels or symbols rather than by colors.
- Consult your departmental style guide for further instruction in creating tables, figures, and schemes.

Formatting Specific to Tables and Captions

- For tables, students should use only three lightweight, horizontal lines: one line above and one line below the column headings, and an ending line at the very bottom of the table. Generally, vertical lines are not used.
- Spanner lines are an exception to the three horizontal line rule.
- Every table column should have a heading. Repeat heading columns if tables take up multiple pages.
- The table caption is always single-spaced and center-aligned. The table should be center-aligned as well.
- Leave a triple-space between the preceding text and the table caption, a double-space between the caption and the body of the table, and a triple-space below the table before resuming text.
- The typeface and font size used within a table should match the typeface used in the caption and the text. If necessary the font size may be decreased to 10 point, but not smaller.
- Tables and their captions should be embedded within the text if the table and caption occupy less than approximately three-quarters of a page.

Formatting Specific to Figures, Schemes, and Legends

- There should only be one figure or scheme legend per figure
- The figure or scheme legend is placed below the figure or scheme and single-spaced.
- If a figure or scheme legend is one line, the legend is centered.
- For figure or scheme legends over one line, both lines of the legend should be left justified.

- Leave a triple-space between the preceding text and the top of the figure or scheme, a double-space between the figure or scheme and the legend, and a triple-space below the legend before resuming text.

CHAPTER SIX

Back Matter

The *only* required reference component is the bibliography (others are included as appropriate).

- Order reference pages as follows:
 - Endnotes
 - Appendices
 - Additional reference material (e.g., glossary)
 - References, Bibliography, and/or Works Cited
 - Index
- The titles of reference page sections are level 1 headings; they are centered, typed in all uppercase letters, and (except for appendices) placed at 1.5 inches from the top of the page with a triple space below.

Appendices

Appendices contain material that is too massive or is otherwise inappropriate to be incorporated within the body of the text.

- The section of the document containing appendices begins with a separator page that bears the word “APPENDIX” if only one is included, or “APPENDICES,” if more than one is included.
- This word is in uppercase lettering and is centered horizontally and vertically. The page number of this separator page is centered at the bottom of the page. Appendices are designated with capital letters, beginning with A; if there is only one appendix, then do not assign it a letter.
- The first page of each appendix bears a first level heading, such as “APPENDIX C”, placed 1.5 inches from the top of the page, followed by a double-space, then a title (in the format of a level two heading).
- Pagination is continuous with the rest of the document with page numbers placed at the bottom of the page, centered.
- If the material in an appendix is photocopied or scanned in from another source, then it, with its original pagination, must fit within the standard thesis margins.
 - Be sure that reduction does not shrink printing so small that it is illegible.

- If photocopied material is included, it must be of high resolution.

Bibliography/Works Cited/References

- The title of this section varies by discipline and department specifications.
- The text of each entry should be single-spaced.
- For entries over one line, use a 0.5-inch hanging indent.
- Double-space between each entry.
- Do not split entries across pages.
- Each page of the REFERENCES following the level 1 heading should begin at the 1" top margin.
- All hyperlinks should be in black font with no underlining. If they exceed the margins, break the entry after a backslash or logical marker.
- The style used within a citation (e.g., sequencing of author, date, title, and other information; abbreviation or full spelling of periodical names; etc.) is determined by your department or program's chosen style guide.
- Inclusive pagination should be used within the citation.

References for Published Articles

- Published manuscripts may include the reference lists for individual chapters.
- The dissertation bibliography will then be a *comprehensive* list of chapter references in addition to other references, arranged in an alpha or numeric list.

CHAPTER SEVEN

Incorporating Previously Published Work

The Graduate School allows students to use/reproduce, as body chapters, one or more articles that have been published or are already under review by an academic journal. A general introduction may provide an overarching context for the project, including a short explanation of the overall research agenda as well as the importance and consequences of this research. A conclusion drawing the chapters together is also encouraged.

Eligibility

In many of Baylor's graduate programs, publication of dissertation research has become a requirement for earning the degree. With the exception of fields that alphabetize authorship (e.g. mathematics), students must be the lead contributor of the included published work. If not the first/sole author, permission for use in the dissertation must be granted through the Graduate School deans. Committee chairs must submit a petition justifying the chapter's inclusion in the dissertation or thesis using our [online form](#).

Copyright

If you intend to include this published research in your dissertation, you need to be certain that the publisher of your journal article will allow you to do so. This is handled during the publication process as you negotiate the copyright assignment agreement with the journal publisher. For more information on this vital topic, consult the [Avoiding Copyright and Plagiarism Issues](#) document.

The student must also provide Baylor University with a letter or email of copyright release from the journal or publisher. If publisher permissions are readily available on the journal's website, a screenshot and link to that information will suffice. This is submitted as a supplementary file to the Vireo submission portal.

Formatting Previously Published Work

Chapters that have been at the very least submitted to a journal may use that journal's formatting guidelines for that specific chapter, with some exceptions (listed below.) *Chapters that have not yet been submitted for publication must be formatted according to Baylor Graduate School's Standard Format.* In all cases, front matter and back matter will follow our Standard Format. A few general formatting requirements also still apply to chapters using the published journal article's format:

- Each previously published manuscript constitutes a new chapter within the thesis/dissertation. The chapter heading should begin with the Standard Format guidelines, including a level 1 heading (CHAPTER X) with the chapter title as the level 2 heading.
- The student should provide a full literature citation of the article beneath the level 2 chapter heading. Double-space after the chapter title (level 2 heading), then type “This chapter published as:” and then insert the full citation, using the format specified by your style guide. The citation should be centered, 12 point font, and single-spaced. Follow the citation with a triple space.
- If accepted but not yet published, use “This chapter pending publication as:”
- If submitted but not yet accepted for publication, use “This chapter submitted to *Journal Name* as:”

¶
 ¶
 ¶
 ¶ CHAPTER NUMBER
 ¶
 ¶Chapter Title
 ¶
 This chapter [published/pending publication/submitted] as: [insert full citation here]
 ¶
 ¶
 ¶Text begins at this level.

- Margins and page numbers must follow the standard format.
- Figures and tables should be numbered consecutively by chapter and figure/table number (eg. 1.1, 1.2; 2.1, 2.2). (This will likely deviate from the numbering within each manuscript but aids in the flow of the dissertation/thesis.)
- The Graduate School reserves the right to require minor changes to the manuscript format to aid in the flow of the dissertation/thesis.

Additional Requirements

- For published pieces with multiple authors, OR work that utilized the work of multiple contributors (i.e. the work *would* be published under multiple co-authors should it go to publication) the student must include an Attributions page explaining the contribution of each author in the front matter.
- A full citation for the published or pending article should follow the level 2 heading, centered on the page. See *Appendix B*.
- Each chapter formatting should remain internally consistent.

- If a previously published chapter has an appendix, then it will go at the end of the document in the appendices. It will remain formatted according to the guidelines of the chapter to which it belongs.
- Published manuscripts may include the reference lists for individual chapters. The dissertation bibliography will then be a *comprehensive* list of chapter references in addition to other references, arranged in an alpha or numeric list.

CHAPTER EIGHT

Processing of the Document

Preliminary Review

Each graduate student is required to undergo a preliminary technical review at least 14 days prior to their defense. This review is for formatting; if content is not completely finalized at this stage, that is acceptable. Reviews are conducted by the Dissertation and Thesis Office housed within the Graduate School. The information below is reproduced from our [Preliminary Technical Review](#) page found on the Graduate School website.

Schedule your Review

Students should schedule their review by using the Microsoft Bookings scheduling system following the [online instructions](#). All Baylor students have access to Bookings through their Baylor account and must use their Baylor email to schedule. Once scheduled, students will receive an email with a link to a Microsoft Teams meeting at their scheduled time, which they can also access through their Baylor account.

Prior to your Meeting

Review the Dissertation and Thesis Formatting Guidelines. Consider copy-pasting your work into the Dissertation/Thesis template provided on the website. You must do your best to apply all formatting guidelines including spacing, margins, fonts, etc. to your work prior to meeting. If our guidelines have clearly not been applied to your document, your review will be cancelled and you will need to reschedule for a later date.

Submitting your Document

By the morning of your review, please log in to our submission system at <https://baylor-etd.tdl.org>. Complete the initial information in steps 1-3. In Step 4, “Upload Your Files,” scroll down and read all special notes before you begin. Upload documents per the instructions and complete the process. You are required to submit the following ([all forms can be found on our forms page](#)):

- A PDF of your entire document as your "primary" document.
- A filled (but unsigned) signature page (PDF) as an "administrative" document. Do not attempt to insert the signature page into Word or the PDF of your dissertation/thesis at this stage. You must have this at your preliminary review so that we can confirm it is formatted correctly before you seek out signatures at your defense.
- Doctoral students should also complete the Doctoral Investment Form.

DO NOT submit the Copyright and Final Approval form until *after* your defense.

The Review

The graduate assistants in the Dissertation and Thesis Office will review your submission and prepare feedback. They will screen-share and walk through this feedback with you during the 30-minute review, which is conducted via Teams through the link sent to you upon scheduling.

Final Review

After meeting with one of our graduate consultants, the consultant will upload the version of your dissertation or thesis that contains their comments to the submission portal. They will also send you a follow-up email with detailed instructions and ensure you have all the proper forms.

You should go ahead and apply any necessary formatting/revisions to your document, but you do not need to re-upload your document until after your defense. You will submit again within 10 days after your defense date and before the semester deadline, whichever comes first. Your document will reflect all of your formatting changes along with any content revisions required by your committee. Our team will then conduct a post-defense review and inform you of any last changes required before approval by the Graduate Writing Center Director. The final review is asynchronous, and no meeting is required unless there are egregious errors.

Final Form Submission

- **Submit the following online** to the SAME submission you used for your preliminary review. You should not, under any circumstances, create a duplicate submission.
 - Signed Signature Page
 - Any necessary publisher permissions if you are reproducing published articles as chapters. These can be found on the journal websites themselves or a screenshot of email correspondence confirming publisher permission.

- **Submit also the [Copyright and Final Availability form](#)** on Slate via the online link. To do so:
 - Discuss and agree on an embargo option with your committee chair. Information about embargos is listed below as well as on the form itself.
 - Within 10 days *after* the defense, students must submit this form using Bear ID and Duo Authentication.
 - Committee chairs will receive an automated email with a link to approve the student's embargo selection and the final manuscript using Bear ID and Duo Authentication.
 - Students and advisors will receive a confirmation email after the advisor's approval response has been received.

Information about Embargo Options

Options

Immediate Release

Two-year embargo

Five-year embargo

Baylor University's Policy

Unless you choose to embargo (delay release) your Electronic Thesis/Dissertation (ETD), your document will be findable and openly accessible **on the Internet** via BEARdocs (<http://beardocs.baylor.edu>) in the semester following your graduation.

Why would I choose a two-year embargo?

You may desire this option if you have a pending journal publication and the publisher requests that you delay access to your thesis or if you have patent and/or similar proprietary reasons for withholding your thesis from open access. This option restricts access to your work for a period of two years. This embargo may be extended if an email is sent to the address below **before** the initial embargo ends. **Note:** Once your article is published, please send library personnel the citation information so that we can add this information to the descriptive information associated with your ETD so researchers will be aware of the publication.

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You may desire this option if you are (or will be) submitting material to a journal or book publisher. Some publishers prefer not to publish material that has been openly accessible. This option restricts access to your document for five years. This embargo may be extended if an email is sent to the address below **before** the initial embargo ends. **Note:** Once your article or book is published, please send library personnel the citation information so that we can add this information to the descriptive information

associated with your ETD so researchers will also be aware of the publication.

Can I extend my embargo?

Yes. If you find it necessary to extend your embargo, send an e-mail to libraryquestions@baylor.edu before the initial embargo period ends.

Questions about availability options?

If you still have questions or concerns about availability options, please e-mail us at libraryquestions@baylor.edu.

Final approval of the pdf/a copy of your dissertation or thesis from the Graduate School is necessary before you can reach the final steps for graduation.

Electronic Submission to UMI/ProQuest

After Graduate School approval of the final pdf-a copy, the student uploads their work to ProQuest. This is required for doctoral students and optional for master's students.

1. Proceed to the [UMI/Proquest website](#), and submit the dissertation along with any accompanying publisher permissions (*not* your Copyright and Availability form, which is for Baylor use only). It places your dissertation on the UMI Dissertation Services access server for worldwide cataloging. The system will notify the Graduate School that you have submitted your dissertation.
2. Optionally, you may also use the service of UMI/ProQuest to register your copyright with the U.S. Copyright Office. Follow their directions. The additional cost for this service is \$75. You will pay them directly online, per the directions given, and you and the Graduate School will receive notice of submission to register copyright.
3. Later in the semester when notified, complete the Survey of Earned Doctorates. This is a required step in your completion of the dissertation submission process and the Graduate School will receive notice of completion. The Graduate School will send the link to the Survey at the appropriate time.
4. Return all materials to the library, check out of your library carrel if necessary, and complete any lab and key clearances with your department. The Graduate School will receive notice that all these items are clear before your final clearance to graduate.

5. Upon completion of all the above steps, you will receive notice that your file has been sent to the Graduate School Records Office for final clearance to graduate.

APPENDICES

APPENDIX A

Approved Manuals of Style

American College of Sports Medicine (ACSM). *Medicine & Science in Sports and Exercise*. [Available online](#).

- HHPR

American Institute of Physics Publication Board. AIP Style Manual. 4th ed. New York: American Institute of Physics, 1990.

- Physics

American Medical Association (AMA). Available online.

- Public Health (choice of AMA or APA, depending on subject matter)

American Physiological Society. *Journal of Applied Physiology*. [Available online](#).

- HHPR

American Society for Nutrition. *American Journal of Clinical Nutrition*. [Available online](#).

- HHPR

American Society of Mechanical Engineers (ASME) Style Guide. [Available online](#).

- Mechanical Engineering

American Statistical Association. American Statistical Association Style Guide. [Available online](#).

- Statistics

The Chicago Manual of Style. 17th ed. Chicago: University of Chicago Press. 2017. Available online.

- Communication – Rhetorical Track w/Medhurst
- Computer Science
- Theatre Arts

Council of Science Editors Style Manual Committee. Scientific Style and Format: The CSE Manual for Authors, Editors, and Publishers. 8th ed. Reston (VA): The Council; 2006.

- Biology
- Biomedical Studies - Biological Science Track

Coghill, Anne M. and Lorrin R. Garson, eds. The ACS Style Guide: Effective Communication of Scientific Information. 3rd ed., Washington, D.C.: American Chemical Society, 2006.

- Biomedical Studies - Chemistry Track
- Chemistry
- Environmental Science – Chemistry Track

Gibaldi, Joseph. MLA Handbook for Writers of Research Papers. 8th ed. New York: Modern Language Association of America. 2009.

- English
- Modern Foreign Language – Spanish
- Communication – Film and Digital Media w/ Hansen

Hansen, Wallace R., ed. Suggestions to Authors of the Reports of the United States Geological Survey. 7th ed. Washington, D.C.: U.S. Government Printing Office, 1991.

- Geosciences

Institute of Electrical and Electronics Engineers, Inc. (IEEE). Author Digital Toolbox. Available online.

- Electrical Engineering

National Strength and Conditioning Association. Journal of Strength & Conditioning Research. Available online.

- HHPR

Publication Manual of the American Psychological Association. 7th ed. Washington, D.C.: American Psychological Association, 2019.

- American Studies
- Communication Sciences and Disorders
- Communication
- Curriculum and Instruction
- Educational Administration
- Educational Psychology

- Family and Consumer Sciences - Nutrition Sciences
- Journalism
- School of Music - Music Education
- Nursing
- HHPR
- Psychology and Neuroscience
- Public Health (choice of AMA or APA depending on subject matter)
- Sociology

The SBL Handbook of Style. 2nd ed. Atlanta, GA: SBL Press, 2014.

- Religion-Biblical Studies (Old Testament and New Testament)

Turabian, Kate L. A Manual for Writers of Term Papers, Theses, and Dissertations: Chicago Style for Students and Researchers. 9th ed. Chicago and London: University of Chicago Press, 2018.

- Baylor University Graduate School
- Entrepreneurship
- Environmental Science
- Hankamer School of Business
- History
- Mathematics
- Museum Studies
- School of Music - Musicology, Church Music, Music Theory, Composition
- Philosophy
- Political Science
- Religion-Theological Studies and Historical Studies

APPENDIX B

Intellectual Property and Previously Published Material

Incorporating Previously Published Material

In many of Baylor's graduate programs, publication of dissertation research has become a requirement for earning the degree.

The Copyright and Final Approval Form that you will submit after the defense includes a statement verifying that you have obtained written permissions for use of copyrighted materials. We in the Graduate School office are here to assist you and your professor as you navigate these important matters. You may direct questions to copyright@baylor.edu.

Avoiding Plagiarism in Dissertations and Theses

Serious problems, both legal and scholarly, can result from plagiarism and copyright violations. Most material found in another source (third party content) is protected by copyright. Therefore, if this content is used in a dissertation or thesis (or any other research document)—whether paraphrased or directly quoted—there are two choices:

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