

C. T. Bauer College of Business

University of Houston

INSTRUCTIONS FOR THE PREPARATION AND SUBMISSION OF THE PH.D. DISSERTATION

The instructions are made available to assist the student in the preparation and the submission of the doctoral dissertation. These guidelines contain the minimum requirements for format and style as established by the Faculty of the Bauer College of Business. Dissertations failing to meet these minimum requirements will not be accepted.

These instructions are intended to supplement other requirements for the Ph.D. degree as set forth in the Graduate and Professional Studies Catalog and the online Bauer College Doctoral Student Guidelines found at <http://www.bauer.uh.edu/Doctoral/dissertation.htm>. Of course, the candidate is also subject to any additional departmental requirements established by the faculty in his or her major field.

Approval of the Dissertation Subject

As outlined in the Doctoral Student Policies, the final decision regarding approval of the candidate's dissertation proposal rests solely with the student's Dissertation Committee. However, when considering potential topics, the student should remember that University policy requires that the completed dissertation be made available to the public through University Microfilms, Incorporated. Topics which involve classified or otherwise restricted research are therefore unacceptable for dissertation research. For similar reasons, confidential material such as unpublished manuscripts, letters, and so forth, for which publication permission is not readily available, may be unsuitable for inclusion in the dissertation. Students contemplating classified research or use of confidential material are urged to consult carefully with the members of their dissertation committee for advice on the options which may be available to them.

Preparation of the Manuscript

The following instructions on matters of format and style for the Ph.D. dissertation are intended as a brief guide only; for more complete details, students should consult the leading journals in their field, publication manuals of style such as A Manual of Style (15th edition, Chicago: University of Chicago Press, 1993); Kate L. Turabian, A Manual for Writers of Term Papers, Thesis, and Dissertations (7th edition, Chicago, University of Chicago Press, 2007); or the MLA Handbook for Writers of Research Papers (New York: Modern Language Association of America, 1984). Candidates should also consult with

their dissertation committee and/or doctoral program coordinator to determine if any specific departmental requirements have been adopted for the dissertation style.

In the absence of departmental requirements, the student will find many stylistic options available. In choosing among such options, the student should consider whether ultimate publication of the dissertation (in a form other than in microfilm) is anticipated and the process of publication likely to be used. For example, lettering on original graphs and drawings should be large enough so that if necessary it can be reduced in a process such as photo-offset. If the student knows in advance that the dissertation will be published by a definite publisher, or in a specific journal, the editorial practices of that publisher or journal should be followed as far as possible. Some publishers, for instance, require double-spacing throughout the manuscript, and the form for footnotes and bibliography may vary with the different journals and publishers. In this way, the student can often save time and money when preparing the manuscript for use as printer's copy.

Whatever editorial practices are followed, the basic principle is consistency within the dissertation. Students should remember that the dissertation will be available to scholars internationally, and thus every effort should be made to have the manuscript as perfect as possible in form and appearance. For example, a dissertation with careless spacing and centering, or in which the fundamentals of punctuation and spelling are not observed, or which is not suitable in appearance for microfilming, will not be accepted.

Number of Copies

A minimum of two copies of the dissertation must be submitted for binding. Both copies will be forwarded to the M.D. Anderson Library, University of Houston. Candidates should check with their departments to determine if any formal requirements exist for additional bound copies. The student can submit additional copies of the dissertation for personal use at this time. Binding costs for all copies are identical.

Production of Typed Copy

The candidate need not submit the original as one of the three copies required by the University. A faithful reproduction of the original will be treated as the candidate's "original manuscript" if it has been produced by a process that gives a sharp, high contrast black image on white paper. The text should be on one side of the sheet only, and should be double-spaced, except long quoted passages which may be single-spaced. Footnotes, bibliography, etc., may be single-spaced. Finally, the last line of text material presented on a page should never contain a subheading, and spacing between subheadings and text material must be consistent throughout the dissertation.

Cursive, all-italics, all-cap, and other fancy fonts should not be used. For successful microfilming, all characters, including those contained in tables and figures, should be no smaller than 8-point. If clear and readable, computer-controlled plotter output is acceptable for figures.

Under no circumstances are corrections permissible after the completed dissertation has been submitted for binding.

Paper

A good standard bond of at least 50 percent rag content, 8-1/2" by 11", and of at least twenty pound substance is required for both the first and second copies and is recommended for any additional copies. If a different paper is used for the additional copies, it must be of at least thirteen pound substance. Specifically coated paper (e.g., Corrasable) is not acceptable for any copy.

Within each copy of the dissertation, all paper must be of the same shade, weight and rag content. These requirements apply to all paper used in the thesis, including figures, appendices, foldouts, etc. The only exception is the use of photographic paper, 8-1/2" X 11" single weight, for photographic reproduction.

Title

The title should be as short as possible and should give an accurate and meaningful description of the subject of the dissertation. Oblique references should be avoided, and to the extent possible, word substitutes should be used for formulas, symbols, superscripts, Greek letters, and so on. Modern information retrieval systems use the words in the title to locate publications, and the dissertation therefore will be a more valuable source for other scholars if the key identifying words are in the title.

Margins

The left margin must be at least one and one-half inches wide to allow for binding, and ensure easy reading and microfilming of the bound volume. All other margins should be one inch. If footnotes are placed at the bottom of pages, allowance should be made for the proper margin between the last line of footnotes and the end of the page. A backing sheet showing margins will help center the copy correctly on the page.

On the first page of a new chapter, a two inch margin should be allowed at the top and a 1-1/4 inch margin at the bottom to permit pagination (see "Pagination" and "Text Headings").

Pagination

With the exception of blank page or copyright page at the beginning of the dissertation, each page including figures, illustrations, etc., should be numbered. On pages carrying major headings, such as the first page of a chapter, first page of an appendix, etc., the number is placed in the bottom center of the page, four single-spaced lines from the bottom. On all other pages, the number is placed either at the top center (four single-spaced lines from the top of the page, or at the top right-hand corner (four lines from the top of the page and one inch from the right edge of the paper).

Use small Roman numerals for the preliminary pages, Arabic numerals for the remainder of the dissertation, including the text, illustrations, appendices, and bibliography. For preliminary pages, some of these assigned numbers are not shown (see “Arrangement of the Manuscript”). For material following the preliminary pages, the numbering should begin with “1” and run consecutively to the end of the dissertation; chapters or sections may not be individually paginated.

If there are more volumes than one, each volume should contain a title-page showing the volume number, or that the contents consist of “Plates”, “Appendices”, etc. The numbering may follow consecutively from one volume to another, or begin with Arabic I at each new title-page, although the number does not appear on this page.

Footnotes

In the absence of specific department regulations or accepted practices to the contrary, it is suggested that footnotes be placed at the bottom of each page to facilitate reading of the microfilm. A solid line two inches long should be typed between the text and the footnotes. In the matter of form, the basic requirement is consistency throughout the manuscript.

Although accepted practice may dictate that reference footnotes be accumulated at the end of the text, content footnotes that explain or amplify textual material must always appear at the bottom of the page on which they are first referenced.

Text Headings

The only text headings required in the dissertation are chapter titles. These titles are usually capitalized and centered directly below the chapter number as in the following example:

Chapter 6	12 th single spaced line from the top (i.e., 2” from top)
CONCLUSIONS	15 th line from the top

Although not required, the use of subheadings within the chapters is strongly recommended since they will usually help the writer organize text material and present it to the reader in a clear manner. Several formats of subheading are available, the choice in large part to be determined by the number of imbedded levels one requires.

The last line of text material presented on a page should never contain a subheading. Spacing between subheadings and text material must be consistent throughout the dissertation.

Tables and Figures

Illustrative materials included in the body of the dissertation must be on paper which meets the specifications described above, and copies must be produced by the acceptable processes already described.

Illustrative material drawn in ink, or hand lettered, will reproduce satisfactory on microfilm provided the ink is opaque or black. Colored materials are acceptable in dissertation, but because color does not reproduce in microfilm, some key should be used on maps, graphs, etc., which will show up in black and white in cases where color is significant. Whenever possible, illustrations should be bound in rather than mounted on pages with an adhesive.

In preparing charts and graphs, the student should remember that certain reproduction processes (e.g., photocopy) do not reproduce faithful copies of originals containing large blackened areas. Bar graphs, for example, should not be drawn with the area inside a bar totally blackened.

Charts, graphs, tables and other illustrative material should be positioned in the text immediately after textual reference to this material. Normally, this will mean that the material will be contained on the page following its reference in the text. However, if space permits, small tables or figures (i.e., material less than one half page in length) may be positioned on the same page as the text in which they are referenced.

All charts, graphs, tables, etc. should be numbered, captioned and referenced in the List of Tables or List of Figures. Tables are usually numbered consecutively with Arabic numerals through the appendices. Figures (which include drawings, graphs, photographs and other exhibits) should be numbered in a similar fashion but separate from tables. Captions to tables or figures must be oriented to read with the material. If margins permit, tables and figures should be positioned on the page such that the left-hand side of the material is the side closest to the dissertation spine. With the exception of oversized pages, all tables and figures must maintain proper margins.

Tables. Tables should be captioned at the top. If a table must be positioned the long way on a page, the bottom of the table should be at the right-hand edge of the page, allowing proper margins. Tables may be continued to the next page by repeating the caption and column headings. The word "Continued" may replace the caption following the table number. Do not close out the table with a horizontal line at the bottom of the first page; rather, do this at the end of the entire table. This will indicate to the reader a continuation of the data.

Footnotes to tables should be designed by small letters, a, b, c. However, asterisks may be used to designate levels of statistical significance.

Figures. Captions are placed outside the figure at the bottom, two spaces below the abscissa. If oriented the long way on the page, the bottom of the figure should be at the right-hand edge of this page, allowing proper margins.

More than one figure may be placed on a single page if not crowded and if captions can be placed in their proper position. Figures with component parts a, b, c, etc. may be captioned as one figure, with the alphabetic designation placed below the individual figure portion, and the caption placed below the grouping.

On graphs, legends must appear outside the coordinates, reading up the left or right ordinate and across the abscissa.

Photographs. Ideally, each photograph contained in a dissertation should have a full range of contrast from the true black to pure white. Photographs with limited contrast will reproduce satisfactorily on positive microfilm, but they will be unclear in xerographic copies made from microfilm. On the whole, half-tone photographs photocopy more successfully than do continuous-tone photographs. It is suggested that color photographs not be used in the dissertation.

Both copies of the dissertation submitted for the use of the library must contain photographs reproduced by standard photographic methods. Under no circumstances will the reproduction of photographs by photocopy or other contrast methods be acceptable for either copy submitted to the library.

The neatest and most permanent method of mounting photographs is the dry mounting method. Duco or equivalent cement, rubber cement, and various kinds of “permanent” glue that will not wrinkle are also acceptable; regular glue, picture corners, and adhesive cellophane are not acceptable.

Oversize Pages. Charts, graphs, maps, tables, and computer printouts that are larger than the standard page size may have to be used in the dissertation. If so, they should be carefully folded into the manuscript, with the fold at least $\frac{1}{4}$ inch from the right-hand edge of other pages to avoid trimming in bindings. The same shade, grade and weight of paper used in the main body of the dissertation must be used.

Such oversize pages complicate microfilming, and it is recommended that they be avoided unless absolutely necessary. Test various layouts for a chart or table to see if it can be placed on a standard page, or use a photographic reduction of the graphic material. In any event, make as few folds as possible.

Use of Copyrighted Material

When any copyrighted material is used extensively (most copyright owners define anything above 150 words in direct quotation as extensive), the author of the dissertation should obtain permission from the copyright owner. Permission must also be obtained for use of other forms of copyrighted material such as photographs, tables, etc. The usual procedure is to write to the owner (by law, notice of copyright must appear on the back side of the title page) and obtain a written authorization for use of the material. Ordinarily there should be no difficulty in obtaining such permission provided proper

acknowledgement is made. However, if in certain instances the owner requires payment, the author will have to decide whether or not to use the material.

Reprints of the Previously Published Articles

Because the dissertation must report the results of original research, a simple compilation of previously published articles will not be acceptable. However, reprints of articles written primarily by the candidate may be included as part of the dissertation (e.g., as appendices).

Title and Signature Pages

The title and signature pages in all submitted copies must conform exactly to the format given in the examples provided on the next two pages. All members of the candidate's Dissertation Committee and the Dean of the College of Business are required signatories and their original signatures in black pen must be contained in at least one of the two copies submitted. Remaining copies may contain a reproduction of the complete signature page.

The names of those individuals signing the dissertation and their academic title (not degree designation) must be typed below the line where the signature occurs.

Copyright Page

If the microfilm publication of the candidate's dissertation is to be afforded copyright protection, a copyright page must replace the blank page in front of the manuscript. The recommended format for the copyright notice centered on this page is as follows:

© Copyright by Jane Doe Smith, 2008

Practices within individual fields make difficult a clear-cut answer to the question of whether or not to copyright. In general, copyright protection may be of more importance to the author who anticipates a lengthy delay in publishing the dissertation in another form in whole or in part.

Some authors, because they are citizens of countries which are not signatories of the Universal Copyright Convention of 1955, may not be able to obtain a United States copyright. Foreign students who are uncertain of their eligibility for copyright protection should obtain Circulars 1, 38 and 38A from the Copyright office, Library of Congress, Washington, D.C. 20059.

Abstract

An abstract or digest of the dissertation must be bound into each copy of the manuscript. An unbound copy of the abstract is also required for eventual publication in Dissertation Abstracts International, an international bibliography of doctoral dissertations. As the

abstract will be printed (and distributed internationally) without editing or revision, the author is urged to take great care in its preparation.

The abstract should be double-spaced and not more than 300 words in length (preferably less). It should accurately describe the contents of the dissertation, so that readers can decide if they want to read the complete dissertation. Normally, it should state the research problem, the methods and procedures employed and the main results or conclusions. Whenever possible, authors of technical dissertations should use word substitutes for formulas, symbols, superscripts, subscripts, Greek letters, etc. No tables or illustrations should be included. The abstract title page should be similar in format to the dissertation title page.

Table of Contents

The Table of Contents must list chapter titles and page numbers. If they exist, each of the following components of the dissertation must also be referenced in the Table of Contents: List of Tables, List of Figures, Appendices, Bibliography (or List of References).

If the dissertation contains tables and/or figures, a List of Tables and/or a List of Figures should follow the Table of Contents. Each should begin on a new page. Recommended formats for the Table of Contents, List of Tables, and List of Figures are illustrated in Turabian's A Manual for Writers of Term Papers, Thesis, or Dissertations.
Appendices.

Material useful to the reader but not suitable for inclusion in the text (e.g., research questionnaires), should be included in one or more appendices. A single appendix need not be titled; however, titles must be supplied if more than one appendix exists.

Bibliography

Depending on the chosen method for placing references or footnotes in the dissertation, a Bibliography or List of References may be necessary. Such a list should be compiled according to accepted standards for format and style and should be positioned after any appendices.

The Completed Dissertation

Arrangement of the Manuscript

The order of the parts of a dissertation should be as follows:

- I. Preliminary Material (paginate with lower case roman numerals)
 - A. Blank sheet of paper or copyright page, unnumbered
 - B. Title page, page number i assigned but not shown

- C. Signature page, page number ii assigned but not shown
- * D. Acknowledgements (or Preface or Forward)
- E. Abstract title page, page number assigned but not shown
- F. Abstract
- G. Table of Contents
- ** H. List of Tables
- ** I. List of Figures

II. The Text (paginate with Arabic numerals)

III. Reference Material (continue Arabic numerals)

- * A. Appendices
- B. Bibliography (or List of References)
- C. Blank sheet of paper, unnumbered
- * - Optional
- ** - Required only under some circumstances

When appendices or illustrations are bound in a separate volume, this volume should contain a title page duplicating the title page of the textual volume with the addition of the word "Appendices" or "Illustrations" just below the title of the dissertation. In this case, the bibliography should be bound with the text in the first volume

Proofreading

Prior to submission for reproduction and binding, the manuscript must be carefully proofread to insure page sequence, readability, typographical accuracy, agreement with all rules of format and style, and reproducibility. The candidate should be particularly careful to check any numeric values contained in either the text or in tables since typing errors in such values often go unnoticed.

Submission

The required copies of the completed manuscript, containing all required signatures and ready for binding, must be submitted to the Bauer College Director of Registration and Academic Records no later than 2:00 p.m. on the deadline specified. Any additional copies of the dissertation that the candidate may wish bound for his or her personal use must also be submitted at this time. An extra copy of the dissertation title page must accompany each dissertation bound for personal use.

At the time of submission, the candidate should have completed (1) a Submission Card, (2) a Graduate Programs Agreement Form, and (3) a Microfilm/Copyright Agreement form. An optional Survey of Earned Doctorates (distributed by the U.S. Commission on Human Resources) may also be completed at this time.

Fees for the following services are required at the time of submission: (1) binding, (2) microfilming, (3) copyright (optional), and (4) supplying reprints of the dissertation

abstract (optional). Fees for supplying copies of the dissertation abstract are given in the Microfilm/Copyright Agreement Form.

Failure to submit the dissertation and required forms or to pay the required fees by the published deadline will cause graduation to be delayed to a subsequent term. The candidate is also reminded that a separate Application for Graduation must be completed and submitted to the University Registrar's Office. Deadlines for the graduation application are listed in the University academic calendar for the semester and fall before the deadlines for submission of the dissertation.

Approval of the Bound Dissertation

In accordance with University policy, the completed dissertation will be given a grade by the candidate's Dissertation Committee Chairperson. With respect to format and style, the student's department and the Dean's Office representative, the Bauer College Director of Registration and Academic Records, will certify that the completed dissertation meets the standards contained in this document. Dissertations not meeting these standards will not be accepted for binding and the grade on the dissertation withheld.

Supplementary Guidelines: Answers to Common Questions Regarding Format and Style

- 1) Indention of paragraphs may vary from five to ten spaces, but consistency should be the rule.
- 2) Abbreviations should conform to the practice established in the area of study or the manuscript. In scientific writing, abbreviations are used for many technical and statistical terms; however, a sentence should never begin with an abbreviation. A glossary of terms may be included. It may be placed as the last page of the preliminary pagination or immediately following the text and paginated accordingly.
- 3) When Roman numerals are arranged in an outline form, the right-handed column is aligned, as in the case of Arabic numerals. Example:

I.	1
II.	10
III.	100
- 4) All words in titles of books, periodicals, essays, etc., should be capitalized- -except unemphatic prepositions, conjunctions, and articles. (Exception: The article "the" is capitalized if a part of a specified title: The American Psychological Society, or if the first word of a title).

5) Words should not be divided at the bottom of a page and carried over to the next page. Sentences ending a paragraph should not end as a partial line at the top of the next page. This can be avoided by proper editing of the final thesis draft copy to carry over the last line from the preceding page.

6) Words formed with prefixes- -bi, co, non, semi, quasi, under, over, pre, sub, super, and the like- - should not be hyphenated. A general rule is to omit the hyphen unless the word is “unusual.”

7) A compound modifier is hyphenated when ambiguity may be avoided by doing so; however, accumulation of compound modifiers should be avoided.

8) Always place a period or comma inside quotation marks, even for single or short quotes. Colons and semicolons are placed outside quotation marks. Interrogation and exclamation points come before or after the quotation marks, depending upon the meaning of the text.

9) In general, numbers in the text of one digit are spelled out. The numerical form is used for two or more digits. (Exceptions: numbers less than ten are given as numerals when they come in a series such as 3, 8, 10, and 15; numbers that indicate a page in a bibliographical reference; numbers comparable to two-digit numbers used in the same paragraph; numbers expression scores or percentages; numbers preceding an abbreviation indicating quantity. A numeral, however, should never be used to begin a sentence.)

10) Good usage requires that the term, percent, or the % sign be preceded by a number.
Example: “...found that 18% (or 18 percent) of the subjects...” Choice of symbol (%) or the word (percent) should be consistent throughout the text.

Example: “...determined the percentage of subjects that...”

11) Quotations within a quotation are enclosed in a single quotation marks, unless block style is used, in which case double quotation marks are used.

12) Prose quotations over three lines should be placed in a single-spaced block quote with indentation on the left only. No quotation marks are used, except for quotes within the block, in which case double quotation marks are used.

13) If words are omitted from a quotation, three spaced periods (called an ellipsis) are inserted at the beginning of a sentence or within the sentence. At the conclusion of a complete sentence, three spaced periods are used in addition to the sentence period.

14) The division of a word at the end of the line must be between syllables. Never divide a word if only one letter would exist on either side of the hyphen. Divide hyphenated words only where the hyphen comes in the regular spelling.

These guidelines were approved by the Faculty of the College of Business Administration on May 5, 1977.

Revised on May 6, 1986

Revised on December 9, 1992

Revised on May 5, 2008

(Signature Page Example)

THIS IS THE DISSERTATION TITLE TYPED
IN ALL CAPTIAL LETTERS TWO INCHES
BELOW THE TOP EDGE OF PAGE

Approved:

(signature)

John A. Jones, Professor of Finance
Chairperson of Committee

(signature)

John B Smith, Associate Professor of Management

(signature)

Mary C. Miller, Assistant Professor
of Decision and Information Sciences

(signature)

Robert D. Doe, Professor of Marketing

(signature)

G. Douglas Evans, Dean
C.T. Bauer College of Business

Title Page Example

THIS IS THE DISSERTATION TITLE TYPED
IN ALL CAPITAL LETTERS TWO INCHES
BELOW THE TOP EDGE OF PAGE

A Dissertation

Presented to

The Faculty of the C.T. Bauer College of Business

University of Houston

In Partial Fulfillment

Of the Requirements for the Degree

Doctor of Philosophy

By

First Middle Lastname

December (or May), 2008