

Handbook for the Preparation of Graduate Dissertations and Theses*

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University of Toledo
Graduate Council

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Administrative Issues Addressed by

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*The  Graduate Faculty appreciate the countless hours staff members of the College of Graduate Studies routinely devote towards helping our students succeed in their graduate studies. Their knowledge, experience, and efforts have made this Handbook possible.

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1 Introduction

1.1 This Handbook

1.1.1 Standards

Your dissertation or thesis represents a significant contribution to the knowledge of your particular discipline and it contributes to the intellectual legacy of this university. Accordingly, it is important to ensure that its presentation meets certain standards and requirements so that it enjoys the widest possible dissemination and readership. This HANDBOOK specifies the style and format requirements necessary for your document to be acceptable to the Graduate Council. **In other words, every doctoral dissertation and master’s thesis must be formatted according to the requirements specified in this Handbook.**

1.1.2 An Interactive Handbook

This handbook is interactive in the sense that this PDF file acts like a webpage — with active links to external websites, other sections in this HANDBOOK, etc. For example, clicking on the link “[College of Graduate Studies website](#)” will cause your internet browser to open to the Graduate College homepage. Or, if you click on the link “[section 2.1](#)” your PDF reader will automatically take you to section 2.1 (p. 4) of this HANDBOOK. There are two other internal cross-reference features to note. First, all entries in the tables of contents are active links to the sections they represent. Second, the Index section (starting on p. 48) includes over 700 cross-references to every issue discussed in this HANDBOOK. Clicking on an index entry will cause your PDF reader to automatically take you to the requested page.

Active links in red text font are reserved for “pop-up” sample pages. These are examples which illustrate the formatting of major pages/sections in your document. For example, when reading the formatting requirements for the Title Page specified in section 3.2 you can click on the red link “[Sample Title Page](#)” ([appendix A.1, p. 31](#)) to create a PDF “pop-up” window containing the Sample Title Page. (In contrast, clicking on the blue “[appendix A.1, p. 31](#)” link will not create a “pop-up” window but instead will cause your PDF reader to take you to page 31 of this HANDBOOK.) The intent is to provide you with the opportunity to have one PDF window open that specifies formatting requirements (in words) and a different PDF window opened to illustrate those requirements — so you can see how those formatting requirements are actually applied.

1.1.3 Style Guides

The requirements in this HANDBOOK constitute the default style guide for formatting \mathcal{U} dissertations and theses. However, exceptions to some HANDBOOK requirements are permitted when a student follows an alternative style guide (e.g., *APA*, *Chicago*, *MLA*, etc.). See [section 2.8.1](#) (p. 10) for additional details on (a) the adoption of an alternative style guide, (b) what to do when a formatting issue is not addressed in this HANDBOOK but is addressed by the alternative style guide, (c) what to do when a HANDBOOK requirement conflicts with that in an alternative style guide, and (d) the limited and prescribed set of HANDBOOK requirements that may be displaced through the adoption of an alternative style guide.

1.1.4 Contact Information

If you have questions about the requirements in this Handbook or about information on the Graduate College’s website, please contact the College of Graduate Studies offices. They are located in room 3240 University Hall on the Main Campus (419.530.4723, grdsch@utnet.utoledo.edu) and

on the first floor of the Mulford Library Building, Room 117 on the Health Science Campus (419.383.4112).

1.1.5 Terminology

Throughout this handbook are references to the *Graduate Council* and the *College of Graduate Studies*. The Graduate Council is the faculty governance body that determines all policies and procedures concerning graduate education (such as those in this HANDBOOK). In contrast, the College of Graduate Studies administers and enforces those policies and procedures.

1.1.6 Appeals

A student interested in deviating from an instruction, rule, or policy in this HANDBOOK must submit a written appeal not less than 35 business days prior to the last day of classes for the term the degree will be awarded. Appeals are to be delivered to the Dean of the College of Graduate Studies, who will forward them to the Graduate Council Executive Committee (*GCEC*) for consideration. In turn, within 10 business days of the *GCEC* receiving the appeal, the *GCEC* will notify the student and the Graduate Dean of its decision on that appeal. This provides ample time for students to satisfy submission deadlines and requirements specified in [section 6.2](#) (p. 27). No such deviations will be permitted without the *GCEC*'s written authorization.

1.2 Resources and Requirements Beyond this Handbook

1.2.1 Coordinating Content, Formatting, and Administrative Requirements

Every student already knows that when preparing a dissertation/thesis their most important resource is their committee chair — who directs the content of the dissertation/thesis. But there are a second and third set of resources students need to employ to successfully complete their dissertation/thesis. The second is this HANDBOOK, which provides direction on how to format or present the contents of the document. The third is comprised of *web-resources* provided by the College of Graduate Studies (discussed further in [section 1.2.2](#)). These *web-resources* provide guidelines to help students understand *administrative requirements* that must be satisfied in order to complete their graduate degree. They also specify which forms you must complete (and submission dates) at each stage of your document's development. Last, when the content of a dissertation/thesis satisfies the student's committee, and is formatted according to the requirements of this HANDBOOK, the Graduate College's *web-resources* will provide instructions to help students navigate the electronic submission process of their dissertation/thesis.

The three resources above should be utilized in concert: consult your committee chair as you follow the instructions in this HANDBOOK and those of the Graduate College. When in concert, your document's content, format, and administrative requirements will be satisfied simultaneously.

1.2.2 Graduate College Web Resources

Students will not be able to successfully complete the document submission process without following the guidelines and deadlines specified on the [Graduate College's Thesis/Dissertation Webpage](#). From that webpage you can navigate to important information and documents that you will need to complete and submit your dissertation or thesis. This includes:

- important deadlines for the College of Graduate Studies;
- this HANDBOOK;
- PDF conversion guidelines (including how to “embed fonts”);

- overview of the submission process for ETDs (i.e., Electronic Theses and Dissertations);
- ETD Format Review Request;
- forms (e.g., Approval of Thesis form, Approval of Dissertation form, Intellectual Protection and Patent Sign-Off form, etc.);
- OhioLINK (instructions for uploading your final document and a link the ETD Center);
- ProQuest (instructions for uploading your final document and paying fees, ProQuest UMI Placeholder File, link to UMI ETD Administrator Site, and ProQuest Resources & Guidelines).

1.2.3 Which Documents and Forms are to be Submitted to the Graduate College?

A wide range of graduate-level documents are produced at this university, including Ph.D. dissertations, master's theses, master's projects, master's seminar papers, etc. As described below, these different graduate documents are subject to different administrative requirements.

Which Documents are to be Submitted to the Graduate College? The ☐ Graduate Council has determined that only doctoral dissertations and master's theses shall be submitted to the College of Graduate Studies. As explained in [section 6.3](#) (p. 27), such documents are to be submitted in *electronic* format (i.e., paper copies of dissertations and theses are no longer accepted by the College of Graduate Studies).¹

All other graduate-level documents such as master's projects, master's seminar papers, etc., are not to be submitted to the College of Graduate Studies. Instead, students are to submit these documents to their department or academic college only. Although it is not required, the ☐ Graduate Council encourages students completing such documents to follow the formatting standards established in this HANDBOOK.

Which Forms are to be Submitted to the Graduate College? Note that different forms are required for different graduate documents. Please review the listing of forms on the College of Graduate Studies website to determine which forms you must complete and submit. It is the student's responsibility to submit all forms required for their program and degree requirements. If you have questions about which forms to submit (or their submission dates), please contact your advisor or the College of Graduate Studies Office.² The information below describes some of the forms required for particular graduate documents.

- **Dissertations and Theses:** The College of Graduate Studies website contains forms that must be submitted after a thesis or dissertation has received final approval from the committee chair and all other committee members. For example, you must submit to the College of Graduate Studies the "*Intellectual Protection & Patent Sign-Off*" form. Further, depending on whether you have completed a master's thesis or a Ph.D. dissertation, you must also submit either the "*Approval of Thesis*" form or "*Approval of Dissertation*" form.
- **Master's Projects:** Students completing a master's project must submit an "*Approval of Project*" form to the College of Graduate Studies. However, students completing other graduate-level documents (e.g., a master's seminar paper) do not have to do so. Students must consult with their department's graduate director to determine if they need to submit this form to the College of Graduate Studies.

¹In contrast, [section 7](#) (p. 28) describes how your committee chair, department, or college may require paper copies of your dissertation/thesis.

²Please consult the following Graduate College web-pages:
www.utoledo.edu/graduate/currentstudents/academicprogramforms/index.html
www.utoledo.edu/graduate/currentstudents/academicprogramforms/thesesanddissertationinfo.html.

1.3 Further Instructions

When composing your document, be certain that you fully understand the instructions and directives in this Handbook. Check to make sure that the word processing software you intend to use can handle the margin, page-numbering, and other requirements mandated in this HANDBOOK; checking the software's capabilities before you begin writing can save a great deal of time at the end of the process. For students preparing a dissertation, please review the ProQuest/UMI information available on the College of Graduate Studies Web-site.

2 General Formatting

An acceptable thesis or dissertation must be legible, formatted according to the specifications in this HANDBOOK, and written in good quality English grammar.³ If the document is printed, it must be in suitable condition for binding and printed on one side only (i.e., no double-sided printing).⁴

Students may choose to have their document's textual material formatted "ragged-right" or "flush" with the right margin. This choice should be made by considering the typesetting capabilities of the software used to prepare your dissertation/thesis. For example, students using Microsoft's *Word* should consider the "ragged-right" option. In contrast, students using L^AT_EX should use the "flush-right" option (the default setting in L^AT_EX).

Hyphenations are permitted, except when the hyphenated word is split over two pages. If your word processing software has a "widow/orphan protection feature," it is recommended that you use this feature to avoid the first line of a paragraph being at the end of a page or the last line of a paragraph beginning a new page. It is acceptable to have a page end shorter to prevent paragraphs starting or ending in this manner.

The Graduate Council and the College of Graduate Studies reserves the right to require an author to make appropriate style and formatting changes to their document and to refuse any document that is not suitable for binding.

2.1 Text Color, Size and Font

The following requirements regarding text color, size, and font have been established for ease in reading your dissertation/thesis.

Text Color: Dissertations/theses are required to use black text color for all textual material in the document. To be clear: this includes all textual material in the preliminary pages, body, references, and appendices. This also includes text within section headings, page numbers, footnotes, mathematical expressions, tables, and labels and captions to tables, figures and other illustrative material.

Text Size: All dissertations/theses are required to use a 12-point text size throughout the textual material of the document's preliminary pages, body, references, and appendices. This requirement does not apply to text *within* tables, figures, footnotes, or mathematical expressions. However, the labels and captions to tables, figures and other illustrative material are required to use a 12-point text size.

³An exception to the rule that a document must be written in English exists for students in the Department of Foreign Languages, who may be required to write all or part of their thesis in a foreign language.

⁴The issue of printing the document pertains to when the final version of the document is printed for the committee chair, other committee members, department, academic college, or for other personal copies.

Text Font: Students are not permitted to use script-style fonts or san serif fonts in their dissertations/theses (examples of san serif fonts are Arial and Helvetica). All dissertations/theses are required to choose a single serif font as the text font that is used throughout the textual material of the document. Acceptable serif fonts are limited to:

- Book Antiqua
- Garamond
- Century Schoolbook
- Times Roman (a.k.a., “Roman” or “Times New Roman”).

Note: the Times Roman text font is recommended for all dissertations and theses.

2.2 Spacing and Margins

General Spacing: All textual materials must be double-spaced. The following exceptions to this rule may be single-spaced:

- long quotations (approximately forty words or more)
- captions to figures and tables
- the content of tables and text within figures
- footnotes

The discussion in [section 3.14](#) (p. 21) describes the formatting of your reference section. It states that when reporting works cited in a dissertation/thesis, students must chose one of the following spacing options for their reference section:

- 1) Use single-spacing within an individual reference but use double-spacing between references. This option is illustrated by the first group of references in the [Sample Reference Page](#) ([appendix A.15, p. 45](#)).
- 2) Use double-spacing within each reference and between references. This option is illustrated by the second group of references in the appendix’s [Sample Reference Page](#) ([page 45](#)).

Margins: No material may appear in the margins, except a page number (see [section 2.3](#)). Every page of the document must have the following margins:

Bottom margin: one inch (1")
Right margin: one inch (1")
Left margin: one and a half inch (1½")

Note that the left margin (1½") allows space for binding and trimming of printed copies for personal use or paper copies that may be required by your committee chair/committee members, your department, or your college (for additional details see [section 7](#), p. 28).

The value of the top margin depends on whether the page is the first page of a “major division.” A “major division” includes the acknowledgements page, table of contents, list of tables, list of figures, list of abbreviations, list of symbols, preface, chapters, references, appendices, and index.

If the page is the first page of a major section or division, the top margin is 2 inches (2"). This is the distance from the top edge of the page to the bottom edge of the section heading. Examples of this margin requirement are provided in the appendix: see the [Sample Preface Page](#) (p. 41) and the [Sample Chapter First Page](#) (p. 42).

The top margin of every other page is one inch (1") from the top edge of the page. An example of this margin requirement is provided by the [Sample Table Page](#) ([appendix A.14, p. 44](#)).

2.3 Page Numbering

Page Number Location: All pages must be present and numbered in the proper sequence. Do not use periods, brackets, hyphens, etc. before or after page numbers. The page number of every page is to be located $\frac{3}{4}$ " from the bottom edge of the page and centered between the 1.5" left margin and the 1" right margin. Page numbers are to be printed in 12-point font size and black text color (the same font size and color required of all textual material).

Preliminary Page Numbers: Page numbers that are printed on “preliminary pages” are in lower-case Roman numerals (i.e., i, ii, iii, iv, . . .). Detailed formatting issues for these preliminary pages are provided in [section 3](#). Appendix pages [31](#) through [41](#) provide examples of each preliminary page. Table 2.1 provides a summary of the pagination requirements for preliminary pages. The two far-right columns of Table 2.1 indicate the HANDBOOK section which provides additional formatting information for each preliminary page and the corresponding sample page in the appendix.

Table 2.1: A summary of some formatting issues for preliminary pages. This includes whether a page/section is required, pagination issues, inclusion in the table of contents, and the location of the corresponding sample page.

Page	Required or Optional	Included in Pagination	Page Number Printed	Listed in Table of Contents	Described in Handbook Section	Sample Page Location
Title	required	yes	no	no	3.2 (p. 13)	p. 31
Blank/Copyright	required	yes	no	no	3.3 (p. 14)	p. 32
Abstract	required	yes	yes	yes	3.4 (p. 15)	p. 33
Dedication	optional	yes	no	no	3.5 (p. 16)	p. 34
Acknowledgments	optional	yes	yes	yes	3.6 (p. 16)	p. 35
Table of Contents	required	yes	yes	yes	3.7 (p. 17)	p. 36
List of Tables	conditional	yes	yes	yes	3.8 (p. 17)	p. 37
List of Figures	conditional	yes	yes	yes	3.9 (p. 18)	p. 38
List of Abbreviations	optional	yes	yes	yes	3.10 (p. 19)	p. 39
List of Symbols	optional	yes	yes	yes	3.11 (p. 19)	p. 40
Preface	optional	yes	yes	yes	3.12 (p. 20)	p. 41

Chapter, References, Appendix, & Index Page Numbers: All pages within these divisions receive a page number and the page number is printed on the page using Arabic numerals (i.e., 1, 2, 3, . . .). The first page of the first chapter must be numbered “1” with subsequent pages numbered 2, 3, 4, etc. The page number of the first page of a subsequent chapter is to follow consecutively from the last page number in the previous chapter (i.e., the page number of the first page of a subsequent chapter does not reset to “1”). The same principle is to be applied to the page number of the first page of subsequent major divisions (i.e., References, Appendices, and Index).

To summarize, the first page of the first chapter is numbered “1” with subsequent pages numbered 2, 3, 4, etc., and this pagination continues unbroken to the last page of the document (i.e., page numbers are never again “reset” to 1).

A page number must be printed in an Arabic numeral on every page starting with the first page of the first chapter. This includes pages that contain a table, figure, blueprint, photograph, etc. The only exception to this requirement are whole-page photographs: such pages need not show a page number, though a page number must be reserved in the sequence. In other words, a

whole-page photograph page must be counted in the pagination, though a page number does not have to be printed on that particular page.

2.4 General Rules

Abbreviations, Acronyms, and Symbols: these must be defined in the text the first time they are used in the text. Depending on the context, this definition must appear immediately before or after the abbreviation/acronym/symbol; thereafter the abbreviation/acronym/symbol must be consistently substituted for its definition within the document's text. The following is an example of an abbreviation/acronym appearing after its definition:

“The eclipse will occur at 9:15, Eastern Standard Time (EST).”

In contrast the following is an example of a symbol preceding its definition:

“These results depend on the value of Tobin's Q ; where Q represents the ratio of the market value of installed capital to the replacement cost of capital.”

See [section 3.10](#) and [section 3.11](#) for formatting information on optional preliminary pages, including *List of Abbreviations* and *List of Symbols*.

Beginning a Sentence: No sentence, except in a footnote, should begin with a numeral, symbol or abbreviation (except titles such as Dr., Mrs., Mr.).

Capitalization: A good general rule is that nouns, verbs, and any word of four or more letters are capitalized in a title or heading.

Colon: When a colon is used to introduce a list, it should be preceded by an independent clause (e.g., “Our study included five elements: (1) ...”; “The ingredients were as follows: ...”, not “The ingredients were: ...”).

Dates: Typing style for dates that appear in the text must take the following form: Month day, and year. For example: July 10, 1994 — not “10 July 1994”.

Ellipses: Within a sentence, omissions are indicated by three spaced periods. Between and at the end of sentences where omissions have been made, the final period precedes the three ellipsis points. When typed correctly, it will look like this. . . . In most cases, do not use ellipses at the beginning or end of a quote.

Footnotes: Footnotes to textual material must be numbered consecutively using Arabic numerals (i.e., 1, 2, 3, . . .). Footnote numbers are not reset to “1” for new chapters, sections, appendices, etc. Throughout the text, footnotes must appear at the bottom of the page and not in a separate section ([section 2.8.1](#) provides an exception to this rule when an alternative style guide is adopted).

Footnotes to a table (or figure) must be typed directly beneath the table (or figure) and numbered consecutively. They are not to be numbered in sequence with footnotes throughout the text. Instead, footnotes to a table (or figure) are to be enumerated using the “alph” style (i.e., a, b, c, . . .). The first footnote of each table (or figure) is to be reset to “a”, with subsequent footnotes to that table (or figure) being “b,” “c,”

Numbers: Numbers should always be written out when they stand as the first word in the sentence. The numbers one (1) through nine (9) are to be written out in the text when not used with abbreviations. All higher numbers will be presented in Arabic figures. Numbers indicating time, weight, and measurement are to be expressed in Arabic figures when followed by an abbreviation (e.g., 1 mm; 1 sec; 3 gm; 10 mm³).

2.5 No College-Specific Pages

No “college signature pages” or other college-specific page(s) shall be permitted in any document submitted to the College of Graduate Studies, OhioLINK, Proquest/UMI Dissertation Publishing or any other organization publishing the document.

However, individual colleges are free to ask their students to include “college-specific page(s)” in internal copies of documents kept only by their college. In such cases students must make certain that the table of contents and pagination present in the internal copy kept by their college is identical to their document submitted to the College of Graduate Studies. For this to occur, students must make certain that the following conditions are satisfied:

- college-specific page(s) are located only within the “preliminary pages” of the document kept by the college as an internal document;
- college-specific page(s) do not receive a page number — even in the college’s internal copy of the document;
- college-specific page(s) are not included in the table of contents — even in the college’s internal copy of the document (i.e., the table of contents within the college’s internal copy of the document must be identical to that submitted to the College of Graduate Studies);
- college-specific page(s) shall not be included in the version of the document submitted to (a) the College of Graduate Studies or (b) any organization publishing or archiving the document (e.g., OhioLINK or Proquest/UMI).

2.6 Formatting Tables, Figures, Charts, Graphs, Photographs, Maps, etc.

“Illustrative material” includes tables, figures, charts, graphs, photographs, maps, etc. Please note the following requirements for using illustrative material in your dissertation/thesis:

- Illustrative material must be concise, accurate, and of professional-quality.
 - Distinguishing characteristics within such illustrative material (e.g., lines on a graph or portions of a figure) should be identified by labels or symbols, with colors used only when the use of such labels or symbols is not possible or practical.
 - Shaded areas (e.g., countries on a map) will have better contrast if cross-hatching is used instead of color.
- Formatting and labeling of charts, graphs, photographs, maps and other illustrative material (excluding tables) are to follow the rules for figures established throughout this HANDBOOK. If necessary, a *List of Charts*, or a *List of Graphs*, etc., would be included in the preliminary pages. If such lists are necessary, they would follow the *List of Figures* but would appear prior to the *List of Abbreviations*.
- Each illustrative material must be labeled.
 - See [section 3.8](#) and [section 3.9](#) (pp. 17 – 18) for a description of how the chapter/appendix number is incorporated into table and figure labels. For example, the fifth table in chapter 2 would have the label “Table 2.5” and the label for fourth figure of the second appendix would be “Figure B-4.”

- Each illustrative material is to be labeled according to its classification. This simply means that tables in chapter 5 would be labeled “Table 5.1,” “Table 5.2,” “Table 5.3,” — figures in chapter 5 would be labeled “Figure 5-1,” “Figure 5-2,” “Figure 5-3,” — charts in chapter 5 would be labeled “Chart 5-1,” “Chart 5-2,” “Chart 5-3,” — and so on for other illustrative material;
- As stated in [section 2.1](#) (p. 4) the label’s font size must be the same as the text size (i.e., 12-point text size).
- Each illustrative material must have a concise descriptive caption accompanying its enumeration. Examples of such captions are provided in the appendix’s [Sample Figure Page](#) (p. 43) and [Sample Table Page](#) (p. 44). Note:
 - captions may be single-spaced;
 - a caption to a table appears above the table;
 - a caption to a figure appears below the figure; the same is true for other illustrative material (excluding tables);
 - as stated in [section 2.1](#) (p. 4), a caption’s font size must be the same as the text size (i.e., 12-point text size).
- When possible, illustrative material is to be placed within the text rather than on a separate page. An example of this is provided in the [Sample Table Page](#) ([appendix A.14](#), p. 44).
 - When placed within the text, the illustrative material is to occur on the page it is first cited or at the top of the subsequent page.
 - If the illustrative material is too large to fit between text, it is to appear centered (vertically and horizontally) on the page subsequent to its first citation.
- Photographs must be professional-quality.
- Appropriate permission letters must be included for any copyrighted materials in the document that exceed “fair use.” See [section 5.2](#) (p. 25) for a discussion of using copyrighted material in your document.
- Illustrative material that is larger than the standard $8\frac{1}{2}'' \times 11''$ page size may be used in your document. These items must be gathered and placed in an appendix (or appendices). An appendix containing extra-large illustrative material must be located after all other appendices.

2.7 L^AT_EX Users

Note: Information in this section is not relevant for students using *Microsoft Word* to prepare their dissertation or thesis.

Students using the L^AT_EX document preparation system are *strongly* encouraged to use the L^AT_EX document class file (\mathcal{U}_{thesis}) that has been created to facilitate uniform dissertations, theses, and projects at the University of Toledo.⁵ \mathcal{U}_{thesis} transforms a draft L^AT_EX document into one that satisfies all style and formatting requirements established in this HANDBOOK (i.e., much less work for you). Proper use of \mathcal{U}_{thesis} will therefore guarantee the College of Graduate Studies’ acceptance of the style and formatting of your document.

Students enter (or ‘copy and paste’) information into a template file — for example, the document title, degree, student’s name, advisor’s name, text to the abstract, etc. With this information \mathcal{U}_{thesis} automatically generates the title page, copyright notification page, abstract page, dedication page, acknowledgements page, table of contents, preface, and the lists of tables, figures, abbreviations, and symbols — all formatted to the specifications established in this HANDBOOK. \mathcal{U}_{thesis}

⁵Dr. Michael Dowd’s “ \mathcal{U}_{thesis} — A L^AT_EX Document Class for Dissertations and Theses at The University of Toledo.”

also controls for all other requirements in this HANDBOOK— from obvious issues as text size, margins, page numbers, table/figure captions, etc. to less obvious issues as automatically adjusting the vertical spacing on the title page to account for varying number of signature lines that may appear on that page. To be brief, student’s provide the information and \mathcal{U}_{thesis} formats the document.

The \mathcal{U}_{thesis} package includes the template file, tutorials, and other documents to assist students in the preparation of their document. They can be obtained at the following Department of Economics webpage:

www.utoledo.edu/as/econ/UThesis_Documents.html.

If you have any questions about the \mathcal{U}_{thesis} package please contact the Department of Economics (419.530.2572; economics@utoledo.edu) or the College of Graduate Studies (419.530.4723; gradsch@utnet.utoledo.edu).

2.8 Formatting Exceptions

2.8.1 Exceptions for Established Discipline-Specific Style Guides

Requirements stated in this HANDBOOK constitute the default style guide for formatting \mathcal{U} dissertations and theses. However, exceptions to some HANDBOOK requirements are permitted when a committee chair directs his/her student to “adopt” an alternative style guide. For an alternative style guide to be acceptable it must be (a) a well-established general style guide (e.g., *The Chicago Manual of Style*) or (b) endorsed by a professional organization — such as the style guides from *American Psychological Association* (APA), the *Modern Language Association* (MLA), etc.

It is important to note that if a particular formatting issue is not addressed in this HANDBOOK but is addressed by the alternative style guide, then the student is to follow the formatting requirements for that issue specified in the alternative style guide. For example, [section 3.14](#) (p. 21) of this HANDBOOK does not specify how the works cited in your dissertation/thesis are to be reported in your Reference section. In this case students would format individual references according to requirements specified in their alternative style guide.

It is equally important to note that if a particular formatting issue addressed in this HANDBOOK conflicts with that in an alternative style guide, then the following five prescribed set of formatting issues are the only set of HANDBOOK requirements that may be displaced through the adoption of an alternative style guide:

1. **Page headings** of preliminary pages, chapters, references, and appendices. The alternative style guide may influence the following formatting issues for page headings:
 - vertical position (e.g., the distance from the top margin to the page heading);
 - horizontal position (e.g., centered or presented flush with the left margin);
 - font and font size (used consistently for all page headings.)
2. **Section headings** (i.e., headings to sections, subsections, subsubsections, etc.) The alternative style guide may influence the following formatting issues for section headings:
 - enumeration (i.e., whether section headings are enumerated within chapters and appendices);
 - vertical position (e.g., additional vertical space above or below the section heading);
 - horizontal position (e.g., its position depending on the section level);
 - font and font size (e.g., font and font size depending on the section level).
3. **Labels of illustrative materials** (i.e., tables, figures, etc. — see [section 2.6](#), [section 3.8](#), and [section 3.9](#) — pp. 8, 17, and 18). The alternative style guide may influence the following formatting issues for such labels:
 - enumeration (i.e., whether such labels must include a chapter/appendix designation);

- vertical position (e.g., whether label is one line above or adjacent to caption);
 - font (but not font size — all labels must be in 12-point font size).
4. **Captions to illustrative materials** (see #3 above). The alternative style guide may influence the following formatting issues for captions:
- vertical position (e.g., whether caption is one line below or adjacent to label);
 - horizontal position (e.g., caption text formatted with left and right margins or with a “hanging indentation”, as illustrated in the appendix’s [Figure 1–1](#) on p. 43);
 - font (but not font size — all captions must be in 12-point font size).
5. **Location of footnotes:** In contrast to that specified in [section 2.4](#) (p. 7), text footnotes may appear in a separate section if required by the alternative style guide. This does not apply to footnotes in tables or figures.

2.8.2 Exceptions for Published or Submitted Manuscripts

General Information: When applicable, some programs may permit students to include manuscripts as chapters. This is acceptable under the following conditions. First, such manuscripts are self-contained modular units, each written as a single paper. Second, by the student’s graduation date, such manuscript chapters must be either published by or under review at a refereed scientific journal.⁶

If, in addition to such manuscript chapters, a dissertation or thesis has chapters that are neither published nor under review at a journal, then the material in those chapters must be formatted according to this HANDBOOK’s requirements.

If a manuscript has been accepted for publication or has been published, the title page of the corresponding manuscript chapter (not the title page of the dissertation/thesis), must specify the name of the publishing journal and include either the notation “in press” or the complete citation if already published.

Applicable Journal Formatting Requirements: Each manuscript chapter (presumptive journal article) must be prepared exactly in the style required for the journal it has been submitted to, including formats for illustrations (charts, graphs, tables, etc.) and the mode of citation of the references. If a dissertation or thesis contains multiple manuscript chapters then each chapter’s material is to be formatted according to the style of the respective journal — even if this results in different formatting styles across chapters.

Handbook Formatting Requirements: Each manuscript chapter must adhere to this HANDBOOK’s requirements regarding text color, text size, text font, margins, pagination and placement of page numbers.

Other Formatting Requirements: As with all dissertations/theses, those with manuscript chapters may not have college-specific pages ([section 2.5](#), p. 8) and must adhere to the prescribed document sections described in this HANDBOOK (see [section 3.1](#), p. 12). Dissertations/theses including manuscript chapters are required to include both a “Discussion” (or “Summary”) chapter and a complete References section. The Discussion/Summary chapter is to describe the thread of continuity across all parts of the document and to state clearly the new addition to knowledge. As described in [section 3.14](#) (p. 21), the References section must provide a complete list of references to

⁶A student interested in an exception to this second condition must follow the appeal process described in [section 1.1.6](#) (p. 2).

all works cited in the dissertation/thesis. This Reference section must be included in the document regardless of whether manuscript chapters list the works cited in those particular chapters.

Responsibilities:

1. It is the responsibility of the student’s committee members to determine the number of chapters and authorship, as well as the quality and probability that these chapters will be published (if they have not already been published).
2. It is the joint responsibility of the student and the student’s committee chair to ensure that no conflicts, legal or otherwise, exist between the journal publication of the manuscript chapter(s) and the publication of the dissertation/thesis by OhioLink, ProQuest, or any other such organization.

3 Organization of Document

3.1 Prescribed Sections

The list below provides the exact sequence preliminary pages and major sections must appear in a dissertation or thesis. Further, these are the only preliminary pages and major sections that may be included in a dissertation or thesis. There are no exceptions to these rules: any dissertation or thesis that deviates from the sequence listed below will be rejected by the Graduate College.

- Title page required
- Copyright/Blank Page required
- Abstract Page required
- Dedication Page optional
- Acknowledgments optional
- Table of Contents required
- List of Tables conditional
- List of Figures conditional
- (other Lists from [section 2.6](#)) conditional
- List of Abbreviations optional
- List of Symbols optional
- Preface optional
- Chapter 1 required
- Chapter 2 as needed
- ⋮ ⋮
- Chapter n as needed
- References required
- Appendices if necessary
- Index optional

Specific Directions: The material in [section 3.2](#) through [section 3.16](#) (pp. 13–22) describe specific style and formatting requirements for each of the preliminary pages and major sections listed above.

Some preliminary page numbers are not printed on the page: Every preliminary page is counted in the pagination. When page numbers are printed on a preliminary page they are printed in lower-case Roman numerals (i.e., i, ii, iii, ...). However, the page number of *some* preliminary

pages is not printed on the page (see the table in [section 2.3](#), p. 6). For example, the title page is counted in the pagination as page “i” but that page number is not printed on the title page.

3.2 Title Page

The title page is counted in the pagination as page one. However, the page number is not printed on that page. The title page is not listed in the table of contents. The title page text is to be double-spaced (though items #2 and #4 below allow for possible exceptions to this rule).

Figure 3–1 illustrates the information that must appear on the title page, and the order that information must appear on the page. That figure also demonstrates the general formatting of information and the principle of equal spacing between each major section of the page. A detailed description of each informational component in Figure 3–1 is enumerated below that figure.

Please note three additional issues. First, no other information may be included on the title page (e.g., there shall be no reference to individual colleges or their administrators). Second, the formatting of the information on the title page is to follow that illustrated in the [Sample Title Page](#) ([appendix A.1](#), p. 31). Third, signatures appearing on the title page must follow the specifications of [section 4](#) (p. 23).

A <document>
entitled
<title>
by
<your name>

Submitted to the Graduate Faculty as partial fulfillment of
the requirements for the <degree> Degree in <discipline>

<Name>, Committee Chair

<Name>, Committee Member

<Name>, Dean
College of Graduate Studies

The University of Toledo
<month> <year>

Figure 3–1: General Formatting of a Title Page (not drawn to scale). See the information below this figure and the sample *Title Page* (appendix, p. 31) for specific details on how to format each component on this page.

The following list provides formatting information for each component in Figure 3–1 above.

1. This document is either a “Dissertation,” or a “Thesis”. The “A <document> entitled” statement must be double-spaced and centered at the top of the page (i.e., located 1” below the top edge of the page).

2. **<title>**: The title is to be centered and double-spaced. However, single-spacing the title is permitted if space is needed to accommodate additional signature lines (see #5 below). The [Sample Title Page](#) (appendix A.1, p. 31) provides an example of how to format the document title.

You should not use all capital letters in your title. However, in some cases, it is appropriate to use all capital letters for some acronyms, proper nouns and other terms. Whenever possible, use full proper names. Avoid abbreviations for specialized vocabulary, and use word substitutes for formulas, symbols, superscripts, subscripts, Greek characters, etc. You must include all appropriate accents and diacritical marks.

3. **<your name>**: This, of course, is where you state your name. Consider carefully the style of reporting your name. Examples are a) “Elmer Fudd,” b) “Elmer J. Fudd,” or “Elmer Jehosephat Fudd.” The “*by <your name>*” statement must be centered and double-spaced.
4. (a) **<degree>**: This is the exact description of your degree (e.g., Doctor of Philosophy, Master of Arts, Master of Science, etc.).

(b) **<discipline>**: This is the discipline awarding the degree (e.g., Economics, Education, Engineering, etc.). In many cases <discipline> is just the name of your department, though it’s not so obvious in other cases. For example, a student receiving a masters degree in Civil Engineering would have the statement “Master of Science Degree in Civil Engineering”; however, a student whose Ph.D. work was in Civil Engineering would have “Doctor of Philosophy Degree in Engineering” (i.e., not “Civil Engineering”). Consult your committee chair and/or the College of Graduate Studies if you have questions on this issue.

The statement beginning with “Submitted to the Graduate Faculty ...” and ending with “... <discipline>” is centered and double-spaced. However, single-spacing this statement is permitted if space is needed to accommodate additional signature lines (see #5 below).

5. **Signatures**: See [section 4](#) (p. 23) for specific information on required/optional signatures appearing on the title page, signature lines, consistent presentation of signatures, etc. Such signature lines are to be double-spaced and presented flush with the right margin. See the [Sample Title Page](#) (appendix A.1, p. 31) for an example of how to format signature lines.
6. **<month> <year>**: The conferral information consists of the statement “*The University of Toledo*” followed by the month and year your degree will be conferred. This information must be double-spaced and centered at the bottom of the page.

Do not use commas, brackets, etc. before or after the conferral date (i.e., the month and year). Do not confuse the conferral date with the date the document was defended, approved, or when committee members signed the title page. The month of the conferral date is either May, August, or December and year is, of course, the year the university confers your degree. Consult the Graduate College for the specific month and year your degree will be conferred. See the [Sample Title Page](#) (appendix A.1, p. 31) for an example of how to format this conferral information.

3.3 Copyright/Blank Page

The second page of every dissertation/thesis must be either a copyright notice page or a blank page. A copyright notice page may not appear elsewhere in the dissertation/thesis. If a student chooses to not include a copyright page, then the second page of their document must be a blank

page. Regardless of whether the second page is a copyright notice page or a blank page, this page is counted in the pagination but the page number is not printed on the page. Further, this page is not listed in the table of contents.

If a student chooses to include a copyright notice page as the second page of their document, then the content of that page shall be limited to the following text:

Copyright <year>, <full legal name>

This document is copyrighted material. Under copyright law, no parts of this document may be reproduced without the expressed permission of the author.

The student must replace “<year>” in the above example with the appropriate year of copyright and replace “<full legal name>” with their full legal name. The above material is to be printed single-spaced at the center of the page just above the bottom margin — with one blank line separating the “Copyright <year>, <full legal name>” line from the subsequent text. From [section 2.1](#) (p. 4), this material must be printed in the same font as is used for all other textual material (i.e., no other font is permitted for this page). The location of this material is illustrated in the [Sample Copyright Page](#) ([appendix A.2, p. 32](#)). Note that all copies of a copyrighted document must include this copyright notification page. The material in [section 5.1](#) (p. 25) provides additional information on the process of copyrighting your document (including a discussion of legal protection for you).

3.4 Abstract Page

General Information: Every dissertation and thesis is required to provide an abstract of the scholarly work contained in the document. The Abstract page must be the third page of the document (following the Title page and the Copyright/Blank page). This page is counted in the pagination and its page number is printed on the page (in lower case Roman numerals). Because the title page and the copyright/blank pages are counted in the pagination, the page number for the Abstract page must be “iii”. The heading “Abstract” appears in the table of contents — as illustrated in the [Sample Table of Contents](#) ([appendix A.6, p. 36](#)).

The information contained in the Abstract page is comprised of two parts, described below. No other information may be included on the Abstract page. Students are encouraged to compare the information below with the [Sample Abstract Page](#) provided in [appendix A.3, p. 33](#).

Part One: This information is illustrated in [Figure 3–2](#) (p. 16). It is single-spaced and centered at the top of the Abstract page — with equal spacing between each component (i.e., one blank line). Note that this information (i.e., document title, your name, degree, discipline, and conferral date) must correspond exactly to the information provided on the title page.

Further, from [section 2.1](#) (p. 4), Abstract page material must be printed in the same font as is used for all other textual material (i.e., bold, italics, underline, etc., fonts are not permitted for this page).

Part Two: This material follows the “Part One” material described above. It contains the abstract text, which must be double-spaced. (The appendix’s [Sample Abstract Page, page 33](#), illustrates how Part One of the Abstract page is single-spaced and how Part Two of the Abstract page is double-spaced.) The abstract text must contain a concise statement of the problem, procedure or methods utilized, results obtained and a brief conclusion. There is no word limit on the text of your abstract, however, as ProQuest/UMI will continue to publish print indices and these

An Abstract of
<document title>
by
<your name>
As partial fulfillment of the requirements for the
<degree> Degree in <discipline>
The University of Toledo
<month> <year>

Figure 3–2: This is the information included in “Part One” of your Abstract page (see the discussion on p. 15). Following directly after that material is a description of “Part Two” of your Abstract page.

require word limits of 350 words for dissertations (see the definition of “a word” below). Hence, a dissertation’s abstract will be truncated by ProQuest/UMI if it exceeds this word limit. Please see the additional guidelines for preparing your abstract available in the Proquest/UMI “Publishing Your Dissertation” booklet available on the College of Graduate Studies website.

A word is defined as any characters that has a space before and after, i.e., the words “a,” “of,” etc., count as one word each. Hyphenated words such as “post-translational” or “1,1-bis(p-chlorophenyl)-2,2,2-trichloroethane” count as one word each.

3.5 Dedication Page

General Information: This is an optional page. If you choose to include a Dedication page, note that its length shall not exceed one page. A Dedication page is counted in the pagination, but the page number is not printed on the page. This page is not listed in the table of contents (e.g., note that it is not included in the [Sample Table of Contents](#), appendix A.6, p. 36).

Format: There is no page heading and the start of the dedication is located 3 inches from the top-edge of the page — as illustrated by the [Sample Dedication Page](#) (appendix A.4, p. 34).

3.6 Acknowledgments

General Information: This is an optional page. If this page is included in the document then this page shall include the heading “Acknowledgments”. An Acknowledgments page shall not exceed one page in length. This page is counted in the pagination and its page number is printed on the page (in lower case Roman numerals). As shown in the [Sample Table of Contents](#) (appendix A.6, p. 36), the heading for this page is listed in the table of contents.

Format: The page heading (“Acknowledgments”) is located 2 inches from the top edge of the page and flush with the left margin. The text of the acknowledgments shall begin 1 inch below that heading — as illustrated in the appendix’s [Sample Acknowledgments Page](#) (page 35).

3.7 Table of Contents

General Information: All dissertations/theses are required to include a detailed table of contents (i.e., parts, chapters, sections, subsections, references, appendices, etc.). The first page of the table of contents shall include either the heading “Contents” or “Table of Contents.” The table of contents pages are counted in the pagination and their page numbers are printed on the page (in lower case Roman numerals). The heading for this page is listed in the table of contents (see the [Sample Table of Contents](#), appendix A.6, p. 36).

Format: The heading for this page (i.e., “Contents” or “Table of Contents”) is located 2 inches from the top edge of the page and flush with the left margin. Following 1 inch below that heading and flush with the left margin will begin the list of entries to the table of contents. If the Table of Contents extends beyond a single page, the top-margin of subsequent pages is 1 inch from the top edge of the page.

3.8 List of Tables

General Information: The first page of this section must include the heading “List of Tables” — as illustrated in the [Sample List of Tables](#) (appendix A.7, p. 37). The list of tables pages are counted in the pagination and their page numbers are printed on the page (in lower case Roman numerals). The heading for this section is included in the table of contents (e.g., see the [Sample Table of Contents](#), appendix A.6, p. 36).

Note: A List of Tables section is a required “preliminary page” if three or more tables are present in the document. If the document contains only one or two tables then the inclusion of this section is left to the discretion of the student.

Format: The [Sample List of Tables](#) (p. 37) shows that the heading of the first page of this section (i.e., “List of Tables”) is located 2 inches from the top edge of the page and flush with the left margin. Following 1 inch below that heading and flush with the left margin begins the enumerated list of entries to the List of Tables. If this list extends beyond a single page, the top-margin of subsequent pages is 1 inch from the top edge of the page.

Table Caption Location: [Sample Table 1.1](#) (appendix A.14, p. 44) illustrates that captions to tables *must be located above the table* (in contrast to the placement of figure captions).

Caption Text v. Text in a List of Tables Entry: Although a caption must fully describe the content of the table, an entry in the *List of Tables* must only provide sufficient information to direct readers to the appropriate page where they can examine the table and review its full caption. This means that a *List of Tables* entry does not have to be a verbatim copy of the caption text to that table — that entry may present the caption information in a much more concise form. For example, compare the text entry for Sample Table 1.1 in the appendix’s [Sample List of Tables](#) (p. 37) to the caption text of [Sample Table 1.1](#) on p. 44. Students must consult their committee chair to determine whether *List of Tables* entries are to be verbatim copies of caption text or whether a more concise description is acceptable in the *List of Tables*.

Table Labels (numbers): Tables are to be numbered sequentially in the order they appear in a chapter or appendix — and table numeration is reset to “1” for each new chapter/appendix. As examples, the labels of the first three tables appearing within chapter 1 would be “1.1”, “1.2”, and

“1.3” — and those appearing in chapter 2 would be “2.1”, “2.2”, and “2.3”. Similarly, the labels of the first three tables appearing within the first appendix would be “A.1”, “A.2”, and “A.3” — and those appearing in the second appendix would be “B.1”, “B.2”, and “B.3”.

The above examples show that a table’s label consists of the chapter/appendix number, followed by a period, followed by the table number. Note that this differs from a figure label, which uses a hyphen to separate such numbers (see section 3.9 below). The [Sample List of Tables](#) (page 37), [Sample Table 1.1](#) (page 44), and [Sample Table A.1](#) (page 46) illustrate the application of the above requirements.

3.9 List of Figures

General Information: The first page of this section must include the heading “List of Figures.” (This heading is illustrated in the [Sample List of Figures](#), appendix A.8, p. 38). List of figures pages are counted in the pagination and their page numbers are printed on the page (in lower case Roman numerals). The heading for this section is included in the table of contents — as shown in the [Sample Table of Contents](#) (appendix A.6, p. 36).

Note: A List of Figures section is a required “preliminary page” if three or more figures are present in the document. If the document contains only one or two figures then the inclusion of this section is left to the discretion of the student.

Format: The [Sample List of Figures](#) (p. 38) illustrates that the heading of the first page of this section (i.e., “List of Figures”) is located 2 inches from the top edge of the page and flush with the left margin. Following 1 inch below that heading and flush with the left margin begins the enumerated list of entries to the List of Figures. If this list extends beyond a single page, the top-margin of subsequent pages is 1 inch from the top edge of the page.

Figure Caption Location: The appendix’s [Sample Figure 1-1](#) (p. 43) and [Sample Figure A-1](#) (p. 47) show that captions to figures *must be located below the figure* (in contrast to the placement of table captions).

Caption Text v. Text in a List of Figures Entry: Although a caption must fully describe the content of the figure, an entry in the *List of Figures* must only provide sufficient information to direct readers to the appropriate page where they can examine the figure and review its full caption. This means that a *List of Figures* entry does not have to be a verbatim copy of the caption text to that figure — that entry may present the caption information in a much more concise form. For example, compare the text entry for Figure 1-1 in the appendix’s [Sample List of Figures](#) (p. 38) to the caption text of [Sample Figure 1-1](#) (p. 43). Students must consult their committee chair to determine whether *List of Figures* entries are to be verbatim copies of caption text or whether a more concise description is acceptable in the *List of Figures*.

Figure Labels (numbers): Figures are to be numbered sequentially in the order they appear in a chapter or appendix — and figure numeration is reset to “1” for each new chapter/appendix. As examples, the labels of the first three figures appearing within chapter 1 would be “1-1”, “1-2”, and “1-3” — and those appearing in chapter 2 would be “2-1”, “2-2”, and “2-3”. Similarly, the labels of the first three figures appearing within the first appendix would be “A-1”, “A-2”, and “A-3” — and those appearing in the second appendix would be “B-1”, “B-2”, and “B-3”.

The above examples show that a figure’s label consists of the chapter/appendix number, followed by a hyphen, followed by the figure number. Note that this differs from a table label, which

uses a period to separate such numbers (see [section 3.8](#)). The [Sample List of Figures](#) (page 38), [Sample Figure 1–1](#) (page 43), and [Sample Figure A–1](#) (page 47) illustrate the application of the above requirements.

3.10 List of Abbreviations

General Information: This is an optional section. Not every dissertation or thesis needs a *List of Abbreviations*. However, such a list can be a very helpful resource to readers if a significant number of abbreviations are used throughout the document. Students are encouraged to consult with their committee chair to determine whether a List of Abbreviations should be included in the preliminary pages.

Completeness: If this list is included in the preliminary pages then, for completeness, every abbreviation appearing in the document must be included in this list. (Further, this list may not contain abbreviations that do not appear elsewhere in the document.) Regardless of whether a List of Abbreviations is included in the preliminary pages, a definition of each abbreviation must appear in the document’s text directly before or after the first use of the abbreviation.

Format: The [Sample List of Abbreviations](#) (appendix A.9, p. 39) illustrates how this section is to be formatted. The heading for this section is “List of Abbreviations,” which is included in the table of contents (see the [Sample Table of Contents](#), appendix A.6, p. 36). This heading is located on the first page of this section, 2 inches from the top edge of the page and flush with the left margin. Following 1 inch below that heading and flush with the left margin begins the single-spaced list of abbreviations. Pages in this section are counted in the pagination and their page numbers are printed on the page (in lower case Roman numerals). If this list extends beyond a single page, the top-margin of list entries on subsequent pages is located 1 inch from the top edge of the page.

The [Sample List of Abbreviations](#) (p. 39) shows that this list shall not be enumerated and it must be presented in alphabetic order of *abbreviations* (not their definition). Each list entry has two components, presented in a two-column format. For example,

AER	American Economic Review; the journal of the American Economic Association
BB	B.B. King
HHS	Department of Health and Human Services

The list entry’s left column is the abbreviation, presented flush with the left margin. Its right column is the definition of that abbreviation. If a definition extends beyond one line, the definition is to wrap the line with succeeding words left-aligned with the start of the definition (such as that for the definition of “AJA” in the above example).

3.11 List of Symbols

General Information: This is an optional section. Not every dissertation or thesis needs a *List of Symbols*. However, as with the list of abbreviations, a *List of Symbols* can be a very helpful resource to readers if a significant number of symbols are used throughout the document. Students are encouraged to consult with their committee chair to determine whether such a list should be included in the preliminary pages.

Completeness: If this list is included in the preliminary pages then, for completeness, every symbol appearing in the document must be included in this list. (Further, this list may not contain symbols that do not appear elsewhere in the document.) Regardless of whether this list is included in the preliminary pages, a definition of each symbol must appear in the document’s text directly before or after the first use of the symbol.

Format: The [Sample List of Symbols](#) (appendix A.10, p. 40) shows how this section is to be formatted. The heading for this section is “List of Symbols,” which is included in the table of contents (see the [Sample Table of Contents](#), appendix A.6, p. 36). This heading is located on the first page of this section, 2 inches from the top edge of the page and flush with the left margin. Following 1 inch below that heading and flush with the left margin begins the single-spaced list of symbols. Pages in this section are counted in the pagination and their page numbers are printed on the page (in lower case Roman numerals). If this list extends beyond a single page, the top-margin of list entries on subsequent pages is located 1 inch from the top edge of the page.

As is illustrated in the appendix’s [Sample List of Symbols](#) (p. 40), this list shall not be enumerated. Each list entry has two components, presented in a two-column format. For example,

†	magnetic field gradient pulse separation
‡	the ratio of the M2 money supply to the Monetary Base
α	angle of rotation around internal rotation axis
β	correlation coefficient
Q	Tobin’s q; the ratio of the market value of installed capital to the replacement cost of capital
Y	Gross Domestic Product (adjusted for inflation)

The list entry’s left column is the symbol, presented flush with the left margin. Its right column is the definition of that symbol. If a definition extends beyond one line, the definition is to wrap the line with succeeding words left-aligned with the start of the definition (such as that for the definition of “Q” in the above example).

The entries to the List of Symbols environment are to be arranged in subgroups of symbols according to discipline conventions (e.g., non-associated symbols first, Greek characters second, English alphabet characters third, etc.). Note: a single blank line must separate each such subgroup of symbols (as in the example above). When possible the list within each subgroup must be in alphabetic order of *symbols* (not their descriptions). For the Greek alphabetic, this would be: $A, \alpha, B, \beta, \Gamma, \gamma, \dots, \Omega, \omega$. In the English alphabet language we’d have: A, a, B, b, C, c, \dots Z, z.

3.12 Preface

General Information: This is an optional section. If a student chooses to include a *Preface*, then the first page of this section must include the heading “Preface.” This is illustrated in the [Sample Preface Section](#) (appendix A.11, p. 41). Preface pages are counted in the pagination and their page numbers are printed on the page (lower case Roman numerals). The heading for this page is listed in the table of contents (see the [Sample Table of Contents](#), appendix A.6, p. 36).

Format: The heading on the first page of this section (i.e., “Preface”) is located 2 inches from the top edge of the page and flush with the left margin. Following 1 inch below that heading and flush with the left margin will begin the text of the preface. An example of this is provided in the

appendix's [Sample Preface Section](#) (appendix A.11, p. 41). If the Preface extends beyond a single page, the top-margin of subsequent pages is 1 inch from the top edge of the page.

3.13 Chapters 1, 2, 3, etc.

Divisions of Text: The first page of the first chapter begins the document's text. Any page preceding that page is a preliminary page and must be formatted accordingly (see [section 2.3](#) and [section 3.2](#) through [section 3.12](#)). The document's text is to be divided into explicitly defined divisions (as needed), with the main divisions being designated as chapters (not as 'parts,' 'books,' etc.). As needed, a chapter may have explicitly defined subdivisions, designated as sections, subsections, subsubsections, etc. Headings for chapters, sections, subsections, etc. must be included in the table of contents.

Your document shall not have a "free-standing" main division or component that does not have an explicit chapter number designation. For example, you shall not have a free-standing "Introduction" section. Instead, you must decide whether that material is best included in a Preface section or as the contents of Chapter 1.

Chapter Page Format: Every chapter title must be numbered using Arabic numerals: "Chapter 1," Chapter 2," "Chapter 3," etc. Chapter titles must be located 2 inches from the top edge of the page and flush with the left margin. The chapter heading is located 1 inch below that title and flush with the left margin. Following 1 inch below the chapter heading and flush with the left margin is the start of the chapter text. An example of this formatting is provided by the [Sample Chapter First Page](#), appendix A.12, p. 42. The top-margin of subsequent chapter pages is 1 inch from the top edge of the page. An example of this formatting of a subsequent chapter page is illustrated by the [Sample Table Page](#) (appendix A.14, p. 44).

Section Number and Heading: When establishing a section, a section's number is followed directly by its heading (i.e., both appear on the same line – and in that order). This information is presented flush with the left margin. No words or symbols may appear prior to a section's number when establishing a section. The same formatting applies to subsections, subsubsections, etc. Examples of such formatting is provided in the appendix's [Sample Chapter First Page](#) (p. 42).

Sections of chapter 1 are numbered 1.1, 1.2, 1.3, ... while those of subsequent chapters are to be numbered "2.1", "2.2", ... "3.1", "3.2", ... That is, section enumeration resets to "1" for each new chapter. Similarly, subsection numbers are reset to "1" for each new section. For example, the subsections of the fourth section of chapter 5 are to be numbered 5.4.1, 5.4.2, 5.4.3 ... For the same reason, subsubsection numbers are reset to "1" for each new subsection.

3.14 References

General Information: List in this section complete references to all works cited in your dissertation/thesis. There is only one acceptable heading for the section that lists works cited in your dissertation/thesis: "References" (e.g., "Bibliography" is not acceptable). The [Sample References](#) (appendix A.15, p. 45) illustrates that this heading is not enumerated (unlike chapters, appendices, etc.). Further, this section is included in the table of contents but it is not enumerated in the table of contents (see the [Sample Table of Contents](#), appendix A.6, p. 36). Reference pages are counted in the pagination. Pages within the Reference section have their page numbers printed on the page in Arabic numerals. The page number of the first page of the Reference section follows consecutively from that of last page of the previous chapter (i.e., its page number is not reset to "1").

Presentation of References: The presentation of references in the [Sample References](#) (p. 45) is for illustrative purposes only. How information is presented in your references and the order such information is presented is to be dictated by the convention used in your discipline. Consult your committee chair on the proper method of reporting works cited in your dissertation/thesis.

Spacing Options: Students have two spacing options for reporting works cited in their dissertation/thesis:

1. Use single-spacing within an individual reference but use double-spacing between references. This option is illustrated by the first group of references in the appendix's [Sample References](#) (p. 45).
2. Use double-spacing within each reference and between references. This option is illustrated by the second group of references in the appendix's [Sample References](#) (p. 45).

Format: As mentioned above, the first page of this section must include the heading “References”. This heading is located 2 inches from the top edge of the page and flush with the left margin. Following 1 inch below that heading and flush with the left margin is the start of your list of references. If the reference list extends beyond a single page, the top-margin of subsequent pages is 1 inch from the top edge of the page.

3.15 Appendices

General Information: This is an optional section. If appendices are necessary, then each appendix label must be enumerated by the *Alph* numbering style (i.e., A, B, C, ...) instead of the *Arabic* style used for chapters (i.e., 1, 2, 3, ...). The first page of each appendix must include the title “Appendix \mathcal{X} ” (where $\mathcal{X} = A, B, C, \dots$) followed by its heading. This is illustrated in the [Sample Appendix First Page](#) (appendix A.16, p. 46). The enumerated heading to each appendix is listed in the table of contents (as shown in the [Sample Table of Contents](#), p. 36). Every appendix page has its page number printed on the page in an Arabic numeral. The page number of the first page of the first appendix will follow consecutively from that of last page of the Reference section (i.e., the page number of the first page of that appendix is not reset to “1”). The page number of the first page of a subsequent appendix follows consecutively from that of last page of the previous appendix.

Format: The appendix title “Appendix \mathcal{X} ” (where $\mathcal{X} = A, B, C, \dots$) is to be located 2 inches from the top edge of the page and flush with the left margin. The appendix heading is located 1 inch below that title and flush with the left margin. Following 1 inch below the appendix heading and flush with the left margin is the start of the appendix text. The [Sample Appendix First Page](#) (appendix A.16, p. 46) illustrates this formatting. If an appendix extends beyond a single page, the top-margin of subsequent pages is 1 inch from the top edge of the page. The format of a subsequent appendix page is the same as that for page 2, 3, ... of a chapter (e.g., see the [Sample Table Page](#), appendix A.14, p. 44).

3.16 Index

General Information: This is an optional section. Most dissertations and theses do not include an Index, and some committee chairs actively discourage its inclusion in the document due to the work involved in generating a comprehensive index. Students are strongly encouraged to

consult with their committee chair to determine whether an index should be included in their dissertation/thesis.

Format: The first page of this section must include the heading “Index” — located 2 inches from the top edge of the page and flush with the left margin. Following 1 inch below that heading and flush with the left margin begins the index. If the index extends beyond a single page, the top-margin of entries on subsequent pages is located 1 inch from the top edge of the page.

Pages in this section are counted in the pagination and their page numbers are printed on the page in Arabic numerals. The page number of the first page of the index will follow consecutively from that of last page of the previous section (i.e., the page number of the first page of the index is not reset to “1”). The heading for this section is listed in the table of contents (e.g., see the [Sample Table of Contents](#), [appendix A.6](#), p. 36).

4 Title Page Signatures

4.1 Electronic v. Written Signatures

The student’s name appears on the title page as the document’s author. Other typed names appearing on the title page serve as electronic *signatures* when the dissertation/thesis is uploaded to the College of Graduate Studies and *OhioLink*. Hence, *written* signatures are not to appear on the title page of those uploaded documents (i.e., your electronic document **must not** include scanned images of *written* signatures). The material in [section 4.2](#) provides additional information about which signatures may or may not appear on a title page.

Although dissertations and theses are submitted electronically to the College of Graduate Studies, many committee chairs, departments, and academic colleges require students to provide them with a bound paper copy of the dissertation/thesis (see [section 7](#), p. 28). Such paper copies typically require written signatures above the names printed on the title page. In addition, students often want personal paper copies of their dissertation/thesis with written signatures on the title page. For these reasons, [section 4.3](#) describes the “signature line” that must accompany each typed name appearing on the title page. Such signature lines must be present on the title page of the final document uploaded to the College of Graduate Studies and *OhioLink*.

Electronic and written signatures may appear only on the title page of a dissertation/thesis.

4.2 Required, Optional, and Prohibited Signatures

Required Signatures: The Graduate Council requires the following signatures to appear on the title page of every dissertation and thesis:

1. the student’s committee chair, and
2. Dean of the College of Graduate Studies.

The signature of the student’s committee chair certifies the intellectual advancement achieved by the student’s dissertation or thesis. The signature of the Dean of the College of Graduate Studies certifies final approval of the dissertation/thesis with respect to other standards and requirements established by the *Graduate Faculty*. See the [Sample Title Page](#), [appendix A.1](#), p. 31.

Other Permitted Signatures: As an option, students may include for signature the names of other committee members serving on the dissertation/thesis committee (i.e., those other than the committee chair). Such signatures serve to confirm the committee chair’s certification of the

intellectual advancement achieved by the student’s dissertation or thesis. If the signature of at least one other committee member appears on the title page, then a signature from every committee member must also appear on the title page in order for the dissertation/thesis to be accepted by the Graduate College.

No Administrative Signatures: While the signature of the Dean of the College of Graduate Studies must appear on the title page of every dissertation and thesis, in no case shall the name or title of any other administrator appear for signature on any dissertation or thesis submitted to the Graduate College, or any publishing organization, unless that administrator served as the student’s committee chair or as a committee member. In such a case, only the administrator’s academic degree (i.e., Ph.D. or M.D.) or academic title (i.e., “Dr.”) may be printed on the title page. In no case shall a administrative title be included as part of that signature line.

4.3 Signature Lines

Every thesis and dissertation must provide a signature line for each signature that appears on the title page. The name of the committee chair must be printed below her/his signature line. As described above, if the student includes for signature the name of at least one committee member other than the chair, the student must include for signature the names of all committee members. In this case,

- the name of each committee member must be printed below their respective signature line; and
- the names printed must be accompanied by a clear differentiation between the student’s committee chair and other committee members — in a manner consistent with that illustrated in the appendix’s [Sample Title Page](#) (appendix A.1, p. 31).

Following the signature line(s) for the committee chair and, optionally, for all other committee members, a signature line must be provided for the Dean of the College of Graduate Studies. The following information must be printed below that signature line, centered across the signature line, and presented in a manner consistent with that illustrated in the appendix’s [Sample Title Page](#) (appendix A.1, p. 31):

<academic title and name of Graduate College Dean>, <administrative title>
College of Graduate Studies

The dean’s *administrative title* may be “Dean,” “Interim Dean,” or “Acting Dean.” Consult the College of Graduate Studies for the exact name and administrative title of the current dean. For example,

Dr. Patricia R. Komuniecki, Dean
College of Graduate Studies

4.4 Consistent Presentation of Signatures

For names printed below a signature line, there are two options for reporting the title/degree of those that sign the title page. Option A is to have every named signature line report their respective title prior to their name (e.g., “Dr. Roy Hinkley”). Option B is to have every named signature line report their degree after their name (e.g., “Roy Hinkley, Ph.D.” or “Roy Hinkley, M.D.”). To maintain uniformity, students may choose either Option A or B for every signature line but they may not use Option A for some signature lines and Option B for others. Consult your committee chair to determine whether Option A or B follows the convention used in your discipline.

5 Copyright Issues

5.1 Copyrighting Your Document

Your document is automatically copyrighted once it is in a tangible form. While this automatic copyright is expected to be understood and honored by readers, you may wish to include a copyright page as part of your document to ensure copyright protection. As described in section [section 3.3](#) (p. 14), this is accomplished by having the second page of your document be the copyright notification page. Inclusion of a copyright page does not register your copyright. Registration of copyright is a formal process which takes place through the U.S. Copyright Office. Registering the copyright to your document is optional, but it can be arranged through ProQuest/UMI for an additional charge.

All copies of a copyrighted dissertation or thesis must include a separate copyright notice page. As explained in [section 3.3](#) (p. 14), that copyright notice page must be the second page of the dissertation or thesis. The material in [section 3.3](#) also describes the exact form the copyright notice page required for all dissertations and theses.

Because copyright law is complicated, students should consult ProQuest's document "Copyright Information" along with the manual "Copyright Law and Graduate Research," which is excerpted in this section.⁷ More detailed information regarding copyrights can be obtained from other sources.

The copyright notice consists of the following three elements: the symbol ©, or the word "Copyright;" the year of first publication of the work; and the name of the copyright owner in the work. The notice shall be affixed to the copies in such manner and location as to give reasonable notice of the claim of copyright (17 U.S.C. 401). The specifications in [section 3.3](#) (p. 14) satisfy all of these conditions.

By adding the copyright notice, which must be included on all copies, you have copyrighted your document. You have a number of options to consider:

1. You may choose to copyright your document by adding the notice but not registering it. You then will hold the legal rights to your work. However, to protect your rights more in a copyright dispute and in order to be compensated for damages caused by infringement, your copyright must be registered. Having a copyright page does not serve to register one's copyright; registration of copyright is a formal process which takes place through the U.S. Copyright Office. "Registration of copyright provides a public record and is usually a prerequisite for any legal action" (p. 299), of the 2001 Publication Manual of the American Psychological Association (6th ed.).
2. You may have the copyright registered for you by ProQuest/UMI for a fee. To do so, select this option when completing your Publishing Agreement and pay the associated fee. UMI registers your copyright and submits your document to the Library of Congress.
3. You may register the copyright yourself by paying the registration fee and sending two copies of the document to the Library of Congress. In order to have greater protection against infringement, this should be done as soon as possible after the submission of your document to the College of Graduate Studies.

5.2 Using Copyrighted Material

Since the submission of your thesis/dissertation to *OhioLink* constitutes a form of publication, you must obtain permission to include (or quote) copyrighted material such as that in most journal

⁷The location of these document are, respectively, www.utoledo.edu/graduate/files/UMI_CopyrightGuide08-09.pdf and www.proquest.com/en-US/products/dissertations/copyright/.

articles or books unless you are the owner of the copyright or unless the material meets the “fair use” described in the next paragraph. The author is responsible in the matter of copyrighted materials. The agreement form that you sign with Proquest/UMI specifically absolves them of any such responsibility.

Use of copyrighted work in your thesis/dissertation without securing permission and without paying royalties is permissible when the circumstances amount to what the law calls “fair use.” That is, when the following factors are weighed: the purpose and character of the use, including whether such use is of a commercial nature or is for non-profit educational purposes; the nature of the copyrighted work; the amount and substantiality of the portion used in relation to the copyrighted work as a whole; and the effect of the use upon the potential market for or value of the copyrighted work (17 U.S.C. 107). Instances of quotations that exceed fair use require permission of the copyright owner. You must contact the copyright owner, describe the use you are making of the material, and request permission to use it in your dissertation or thesis.

A statement listing such materials should be included in the acknowledgments of the thesis/dissertation and at the end of each applicable chapter. The statement shall (1) inform the reader the permission has been granted, and (2) state the source of the permission.

6 Submitting Your Dissertation or Thesis

6.1 Issues to Consider Prior to Submitting Your Document

6.1.1 Proofread Your Document

You are ultimately responsible for submitting a dissertation/thesis that is free of spelling and other errors, and is a document that conforms to formatting requirements specified in this HANDBOOK. Before you submit your final document, check carefully for correct margins, page numbering, references, citations, and other formatting items. Further, additional information and a submission tutorial are available on the library website. It is strongly recommended that you review the information available on this site before submitting your document. Proofread and correct your document before it is uploaded to *OhioLink* — because after it is uploaded no changes will be permitted (unless otherwise directed by the College of Graduate Studies).

6.1.2 Department/College Procedures & Deadlines

Department/College Procedures: Uploading your document to *OhioLink* is the final step towards the completion of your document (along with that described in [item 5](#) of section 6.3 on p. 28). Therefore, before you upload your document, you must follow all procedures instituted by your department and home academic college. These may include particular actions you have to take prior to scheduling the defense of your dissertation/thesis, the defense, or any necessary revisions or actions you have to take after the defense. After making those revisions to your document, you must verify that your dissertation/thesis satisfy the style and formatting requirements specified in this HANDBOOK.

Department/College Deadlines: Please check with your college office to determine if it has a submission deadline for processing your document. Because such college-level review must take place prior to uploading your document to *OhioLink*, you must provide your college with sufficient time for processing your document so that the deadline specified by the College of Graduate Studies in section 6.2 is satisfied. In other words, the student and the student’s advisor are responsible for

making certain that all department/home college actions and document processing occurs so that there is sufficient time for the student to satisfy the submission deadline specified in section 6.2.

6.2 Deadline for Submission

Theses and dissertations must be uploaded in electronic format to *OhioLink* **no later than fifteen (15) business days prior to the last day of classes for the term the degree will be awarded.** No exceptions, waivers, or extensions to this deadline will be granted. (See the [Graduate College's Thesis/Dissertation Webpage](#) for the specific date of that deadline.) Note: for students completing a dissertation, all information and associated fees with submitting your dissertation to *Proquest/UMI* must also be paid by this deadline.

See [section 1.2.3](#) (p. 3) for a discussion of the forms that must be submitted to the College of Graduate Studies when completing a thesis or dissertation.

6.3 Submitting Your Document

The College of Graduate Studies no longer accepts paper copies of dissertations and theses. All dissertations and theses must be submitted in *electronic* format (i.e., an “ETD” – an electronic thesis or dissertation).⁸ That is, when you submit your document you will simply upload an electronic version of that document to *OhioLink*. However, regardless of which word-processor program you used to write your dissertation/thesis, you cannot simply upload the “word-processor” version of your document. Instead, you must first convert the word-processor document into a “PDF” version of that document. The steps involved in the submission process are as follows:

1. Complete your dissertation/thesis and secure its approval from your committee and your home college. Afterwards, complete and submit all forms required by your home college to the appropriate office within that college.
2. Convert your word-processor document to a PDF file, making certain that fonts are “embedded” in the conversion process.

If fonts are not embedded, then the reader will read your document using fonts located on her/his computer. If they are not the exact fonts used to generate your document, the reader might see gibberish when attempting to read or print your PDF file. However, if you “embed” fonts, the reader will see exactly what you wrote when you generated your dissertation/thesis.

If you need help converting your word-processor document to a “font embedded” PDF document, first consult the Graduate College's document “*PDF Conversion Guidelines – Embedding Fonts*”, which is available on [Graduate College's Thesis/Dissertation Webpage](#). If you need further assistance, please contact Professor Wade Lee in the library at 419.530.4490.

3. Upload your “font-embedded” PDF file to *OhioLink*. You must upload the final version of your dissertation/thesis to *OhioLink* by the posted deadline. **NOTE: the uploaded file must not include a scanned image of the title page containing actual signatures. Instead, the title must be “blank” with respect to actual signatures.**
4. The College of Graduate Studies will review your electronic document to determine whether it satisfies all style and formatting requirements established in this HANDBOOK. (It will not

⁸Additional information on ETDs is available through the [OhioLINK ETD Center](#).

proofread your document for grammar or spelling mistakes.) The College of Graduate Studies will then determine whether your document is either “acceptable” or “unacceptable.” You and your committee chair will be notified of this determination via email.

If your document is unacceptable to the College of Graduate Studies their email correspondence will include a list of changes or corrections that must be made to your document before you upload a corrected version to *OhioLink*. **NOTE:** *you will have five (5) days from the date of notification to make the necessary changes and upload your corrected document to OhioLink.*

5. In addition to submitting your document to *OhioLink*, Proquest/UMI, etc., the \mathcal{U} Graduate Council requires every electronic thesis and dissertation (ETD) to be submitted to a repository at the University of Toledo. Storing ETDs locally provides a fail-safe backup of your document — which is an important addition to the intellectual legacy of this university.

Therefore, in addition to submitting your document to *OhioLink* you must submit the final (“acceptable”) version of your dissertation/thesis to this \mathcal{U} repository. Contact the College of Graduate Studies for specific instructions on how to submit your ETD to this \mathcal{U} repository.

7 Paper Copies of Your Dissertation/Thesis

Arrangements for bound, paper copies of your dissertation or thesis can be made with Rocket Copy located on the second floor of the Student Union (419.530.4606). Copies of dissertations can also be ordered through Proquest/UMI. If you make such arrangements for a paper copy of your document, you are strongly encouraged to use white, at least twenty-four (24) pound, acid-free, $8\frac{1}{2}'' \times 11''$ paper.

Students wishing to retain extra paper copies of their dissertation/thesis should retain these copies and submit only the additional title pages [with original signature(s)] to the College of Graduate Studies for signature by its Dean. A maximum of five title pages will be signed.

8 Dissertation Publishing Requirement

Microfilming is a requirement for those writing a Doctoral Dissertation in the College of Graduate Studies. The College of Graduate Studies has made arrangements with Proquest/UMI for the micro reproduction of dissertations. Proquest makes a master microfilm and retains it in its vaults. It announces the publication in *Dissertation Abstracts International* and provides positive microfilms and paper bound xerographic copies to all who wish to buy them.

The University of Toledo Graduate Council, as part of its obligation to disseminate research results, requires all Ph.D. dissertations be published. In order to satisfy this requirement, students must choose to have *OhioLink* forward a copy of the dissertation to Proquest/UMI Dissertation Publishing. ProQuest/UMI will preserve, archive, and publish such documents. Please note the following:

1. students must choose this option when completing the *OhioLink* submission process; and
2. some master’s programs also require students to submit their theses to Proquest/UMI. It is the student’s responsibility to determine whether they are subject to such a requirement.

The cost for publishing is the obligation of the author. The current charge for publishing can be obtained by contacting the College of Graduate Studies.

In order for the dissertation to be published, the author must certify that any copyrighted materials used in the document that exceed “fair use,” is with the written permission of the owner(s). Copies of permission letters must be submitted with the Pro Quest/UMI Dissertation Agreement Form. If permissions are not supplied, copyrighted materials will not be reproduced.

For assistance and for a sample permission letter, please refer to the ProQuest/UMI “Publishing Your Doctoral Dissertation” booklet.

9 Amending this Handbook

9.1 General Issues

The *Graduate Council Executive Committee* is authorized to approve minor editorial changes to this HANDBOOK. However, only the *Graduate Council* may approve a substantive change to the style and formatting requirements established by this HANDBOOK. Under no circumstance may College of Graduate Studies personnel alter the content of this HANDBOOK without prior approval of either the *Graduate Council Executive Committee* or the *Graduate Council*.

9.2 History of Revisions to this Handbook

Document Approved by Graduate Council:

- April 21, 2009

Minor Modifications Approved by the Graduate Council Executive Committee:

- January 18, 2011
- June 23, 2010
- February 2, 2010
- September 1, 2009
- August 12, 2010
- March 16, 2010
- October 13, 2009

10 Reference Material for this Handbook

OhioLINK ETD Center (www.ohiolink.edu/etd/)

ProQuest/UMI’s “Copyright Information”
(www.utoledo.edu/graduate/files/UMI_CopyrightGuide08-09.pdf)

ProQuest/UMI’s “Copyright Law and Graduate Research”
(www.proquest.com/en-US/products/dissertations/copyright/)

ProQuest/UMI’s “Publishing Your Doctoral Dissertation with UMI Dissertation Publishing”.

Virginia Tech’s ETD Web Site (etd.vt.edu/)

University of Cincinnati’s ETD Web Site (www.etd.uc.edu/ETDCenter.aspx)

University of Toledo Libraries’ Web Site (<http://www.utoledo.edu/library/serv/etd.html>)

University of Toledo, College of Graduate Studies (www.utoledo.edu/graduate/)

Appendix

A Sample Pages

This appendix provides sample pages that illustrate the formatting of all major pages included in a dissertation/thesis (as well as those including figures and tables). The table below provides the page number for each sample page.

Sample Page	Page Number
Title Page	31
Copyright Page	32
Abstract Page	33
Dedication Page	34
Acknowledgments Page	35
Table of Contents	36
List of Tables	37
List of Figures	38
List of Abbreviations	39
List of Symbols	40
Preface (first page)	41
Chapter (first page)	42
Figure (full page)	43
Table (embedded in text)	44
References	45
Appendix (first page)	46
Figure (embedded in text)	47

To help students using *APA* formatting, a corresponding series of sample pages for that alternative style guide is provided on the College of Graduate Studies' website:

[Addendum — Sample Pages for Students Following the APA Style Guide](#)

Students following an alternative style guide such as *APA* or *MLA* should consult [section 2.8](#) (p. 10) for a discussion of the five (5) acceptable deviations from formatting requirements established in this HANDBOOK.

(A.1 Sample Title Page)

1"

A Dissertation

entitled

A Game-Theoretic Approach to a General Equilibrium Model
with Asymmetric Price Information and No Goods

by

Elmer J. Fudd

Submitted to the Graduate Faculty as partial fulfillment of the
requirements for the Doctor of Philosophy Degree in Economics

1.5"

1"

Dr. <insert name>, Committee Chair

Dr. <insert name>, Committee Member

Dr. <inserting a really, really long name>, Committee Member

Dr. <insert another long name>, Committee Member

Dr. <insert name>, Committee Member

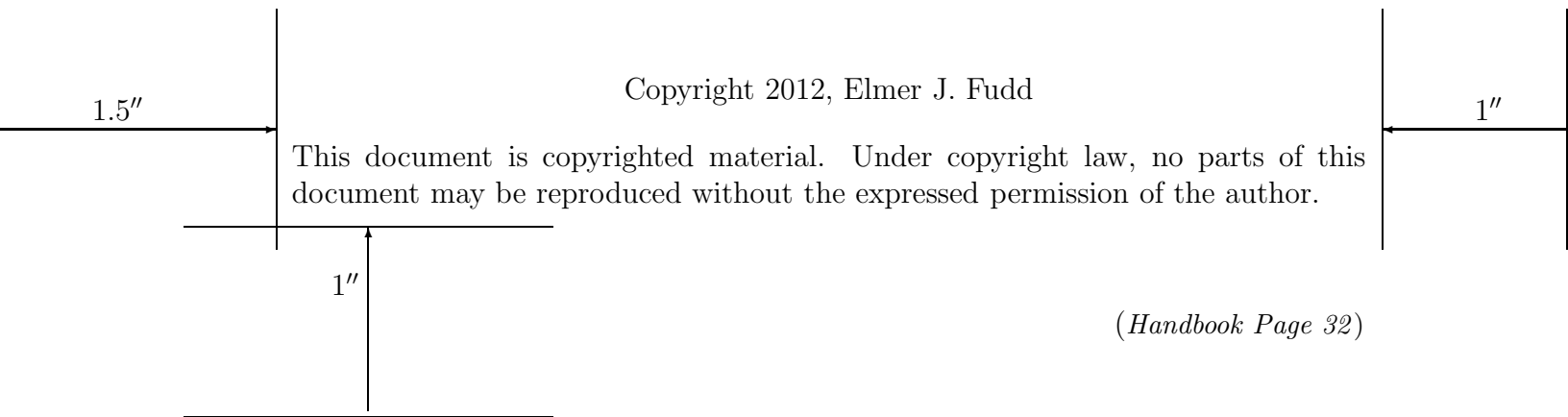
Dr. Patricia R. Komuniecki, Dean
College of Graduate Studies

The University of Toledo

May 2012

1"

(Handbook Page 31)



(A.3 Sample Abstract Page)

1"

An Abstract of

A Game-Theoretic Approach to a General Equilibrium Model
with Asymmetric Price Information and No Goods

by

Elmer J. Fudd

Submitted to the Graduate Faculty as partial fulfillment of the
requirements for the Doctor of Philosophy Degree in Economics

The University of Toledo

May 2012

1.5"

1"

Out-of-sample forecasting experiments are used as an alternative to looking at F-
statistics when examining whether money, interest rates or the commercial paper/T-
bill spread provide information content for subsequent movements in output, real and
nominal personal income, the Consumer Price Index (CPI) and the Producer Price
Index (PPI). Here a variable provides information if it improves the forecast of the
explained variable. Employing this procedure I find that the paper-bill spread but
not monetary aggregates provide information content for industrial production or real
personal income when using data over the 1980-97 period. In contrast, I find that
monetary aggregates provide information content for the CPI and nominal personal
income but not the PPI.

(A.4 Sample Dedication Page)

3"

1.5"

For Margaret, Jack, and Joseph. I used to wonder what I might accomplish — but since you entered my life, I want only to be the best Papa I can be.

1"

2"

Acknowledgments

1"

1.5"

This dissertation would not have been possible without the love, support, and encouragement I received from my parents, brothers and sisters. Only now am I beginning to realize how much my parents sacrificed so that I could attend college. I do not have words to adequately describe my deep gratitude for all they have provided me, though I hope to show them my appreciation in the years to come.

I could not have completed this work without the mentoring of my dissertation advisor. I studied Economics because of what I saw in him — a tremendous desire to learn and understand, and a wonderful fascination with macroeconomics. I am truly indebted to him for fostering the same pursuit and fascination in me and, of course, for his guidance and advice during my years as his student. I will always be his student.

1"

1"

$\frac{3}{4}$ "

v

(A.6 Sample Table of Contents)

2"

Contents

1"

Abstract

iii

1.5"

Acknowledgments

v

1"

Contents

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List of Tables

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List of Figures

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List of Abbreviations

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Preface

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1 The Heading to Chapter 1

1

1.1 A Section Heading 1

1

1.1.1 A Subsection Heading 1

1

1.1.1.1 A Subsubsection Heading 1

1

References

4

A The Heading to this Appendix

5

vi

1"

$\frac{3}{4}$ "

2"

List of Tables

1"

1.5"

1.1	Mean Absolute Percentage Errors from six alternative models forecasting Industrial Production	3
A.1	A silly glossary for research reports.	5

1"

1"

$\frac{3}{4}$ "

vii

2"

List of Figures

1"

1-1 Rudimentary economic analysis of the impact from a change in taxes. . .

2

1.5"

A-1 A person enjoying a cigar.

6

1"

viii

1"

$\frac{3}{4}$ "

(A.9 Sample List of Abbreviations)

List of Abbreviations

2"			
1"			
	1.5"	ABBREV This is where you provide a brief definition of the abbreviation "ABBREV" AAGG American Association of Solving the World's Problems by way of Government Grants ADD Administration on Developmental Disabilities AFDC Aid to Families with Dependent Children ARS Agricultural Research Service ATF Bureau of Alcohol, Tobacco, and Firearms BB B.B. King BEA Bureau of Economic Analysis BLM Bureau of Land Management BLS Bureau of Labor Statistics BSE Bovine Spongiform Encephalopathy (Mad Cow Disease) CB L.D. Caskey and J.D. Beazley, <i>Attic Vase Paintings in the Museum of Fine Arts</i> , Boston (Oxford 1931–1963) CBO Congressional Budget Office CEA Council of Economic Advisers CFA Commission of Fine Arts CIA Central Intelligence Agency CNO Chief of Naval Operations GLE Gauss' law for electricity: $\nabla \cdot E = \frac{\rho}{\epsilon_0} = 4\pi k\rho$ HHS Department of Health and Human Services IAR I am root	1"

List of Symbols

- † magnetic field gradient pulse separation
‡ the ratio of the M2 monetary aggregate to the Monetary Base
- α Angle of rotation around internal rotation axis.
 β correlation coefficient
 δ Magnetic field gradient pulse separation
 Θ_i the *ith* degree to which the flayrod has gone out of skew on tredel
 λ the shadow price of income
 ρ Internal rotation interaction constant $\rho = [\sum_x (\lambda_x I_\alpha / I_x)^2]^{1/2}$
- A_C crystal surface area
Ba Barium
Ca Calcium
 E_G activation energy
F Internal rotation dynamical constant (GHz) $F = h/8\pi^2 r I_\alpha$
 I_i Angular momentum quantum number of nuclear spin for the *ith* nucleus
J Resultant total angular momentum quantum number, excluding nuclear spins
k Boltzmann's constant
Mg Magnesium
N Rotational angular momentum quantum number, excluding electron and nuclear spins, in the case where electron spin is present
Q Tobin's q; the ratio of the market value of installed capital to the replacement cost of capital
Ra Radium
 S_a area of an active site
Sr Strontium
Y Gross Domestic Product (adjusted for inflation)
 Y^P Potential Gross Domestic Product

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Preface

1"

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Macroeconomics analyzes the economy as a whole; where output, prices, interest rates, exchange rates, and unemployment are the key variables macroeconomists want to explain. In contrast, microeconomics analyzes the behavior of individuals and firms; where prices for particular products are determined by demand and supply. As it is all but impossible to summarize all of the differences between macro- and microeconomic models, I focus only on three theoretic models that have had a substantial impact on economic modeling over the last 60 years. The three classes of models I examine are the IS-LM, overlapping generations, and growth models. The IS-LM is the traditional (static) aggregative macro model which excels in short-run stabilization issues. The overlapping generations model with production is a general equilibrium, intertemporal micro-based macro model. It incorporates both utility and profit maximization. Growth models examine the importance of technology and human capital, convergence to equilibria, and its long-run focus sharply contrasts that of the IS-LM model.

The IS-LM model is a description of the economy's demand side and whose focus is on short-run analysis of monetary and fiscal policy variables. In varying form, this model has been widely used since its introduction by Sir John Hicks in 1937. An IS-LM model is comprised of a number of postulated relationships between variables, including those describing consumption demand, investment demand, and money demand. Chapter 1 provides a paradigmatic IS-LM model which demonstrates these characteristics. Chapter 2 provides an alternative model specification that illustrates

1"

1"

$\frac{3}{4}$ "

2"

Chapter 1

1"

The Heading to Chapter 1

1"

Please note the information below. While the info below is important, here I'm just filling space with a sample sentence. This is another sample sentence.

1.1 A Section Heading

1.5"

Figure 1-1 on p. 2 illustrates what to do if the vertical size a table or figure consumes more than half of the page size: put that table or figure on its own page without text above it or below it.

1"

1.1.1 A Subsection Heading

Table 1.1 on p. 3 illustrates what to do if the vertical size a table or figure consumes less than half of the page size. That table or figure may appear at the top or bottom of the page — or it may appear between paragraphs (such as Table 1.1 on p. 3).

1.1.1.1 A Subsubsection Heading

Appendix A (p. 5) describes the placement of table v. figure captions, the difference between table labels and figure labels, and the difference between the information in a table/figure caption and the corresponding entry in the *List of Table/List of Figures*.

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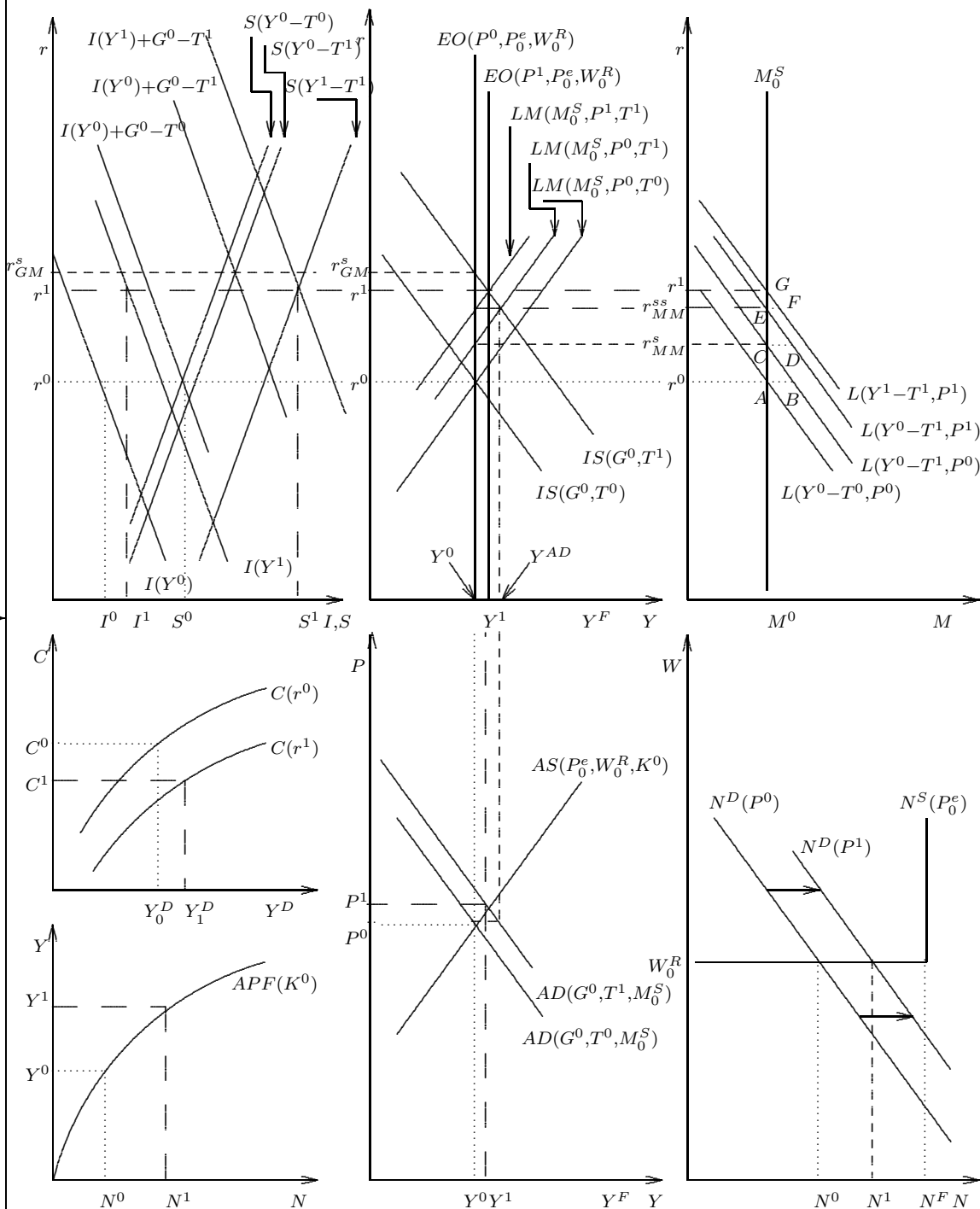


Figure 1-1: Rudimentary economic analysis of the impact from a change in taxes when the Federal Reserve is following a Money Stock Instrument. This analysis assumes the goods market is more sensitive to a change in taxes than is the money market.

1"

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3/4"

1"

This is just a sample sentence and a sample paragraph — to provide text around Table 1.1. This is another sample sentence, again filling space. This is third sample sentence. This is another sample sentence. This is another sample sentence. This is another sample sentence. This is another sample sentence. This is another sample sentence. This is another sample sentence. This is another sample sentence. This is another sample sentence. This is another sample sentence. This is another sample sentence. This is another sample sentence. This is another sample sentence. This is another sample sentence. Whew! Glad that's over.

Table 1.1: Errors when forecasting Industrial Production. Below are the Mean Absolute Percentage Errors from 1 to 6 months-ahead Forecasts of Industrial Production from six alternative model specifications.

Month Forecast	Errors from Six Alternative Forecasting Models					
	I	II	III	IV	V	VI
1	0.502	0.716	0.680	0.581	0.584	0.581
2	1.030	1.343	1.271	1.171	1.186	1.219
3	1.578	1.757	1.679	1.631	1.661	1.759
4	2.146	2.070	1.944	2.109	2.103	2.418
5	2.728	2.279	2.107	2.563	2.530	3.055
6	3.240	2.293	2.157	2.857	2.819	3.664

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This is another sample paragraph — to provide text around Table 1.1. This is another sample sentence, again filling space. This is third sample sentence. This is another sample sentence. This is another sample sentence. This is another sample sentence. This is another sample sentence. This is another sample sentence. This is another sample sentence. This is another sample sentence. This is another sample sentence. This is another sample sentence. This is another sample sentence. This is another sample sentence. This is another sample sentence. This is another sample sentence. Wow! It's really over. I'm free! I'm free!

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References

1"

Friedman, Milton. "The Role of Monetary Policy," *American Economic Review*,
March 1968, 58(1), 1–17.

1.5"

Keynes, John Maynard, *The General Theory of Employment, Interest, and Money*,
New York: Harcourt Brace Jovanovic, 1936.

1"

Smith, Adam, *An Inquiry into the Nature and Causes of the Wealth of Nations*,
Edwin Cannan, ed., London: Methuen & Co., Ltd. 1904.

Tobin, James, "A Dynamic Aggregative Model," *Journal of Political Economy*,
April 1955, 63(2), 103–115.

- The group above illustrates your first option: single-spacing within a reference but double-spacing between references.
- The group below illustrates your other option: double-spacing within a reference and double-spacing between references.

Friedman, Milton, "The Role of Monetary Policy," *American Economic Review*,
March 1968, 58(1), 1–17.

Keynes, John Maynard, *The General Theory of Employment, Interest, and Money*,
New York: Harcourt Brace Jovanovic, 1936.

Smith, Adam, *An Inquiry into the Nature and Causes of the Wealth of Nations*,
Edwin Cannan, ed., London: Methuen & Co., Ltd. 1904.

Tobin, James, "A Dynamic Aggregative Model," *Journal of Political Economy*,
April 1955, 63(2), 103–115.

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Appendix A

1"

The Heading to this Appendix

1"

This appendix provides relevant information for formatting tables and figures.

The first issue is rather obvious: the caption to a table appears *above* the table while the caption to a figure appears *below* the figure. Examples of this rule are provided in Tables 1.1 and A.1 (pp. 3 and 5) and Figures 1-1 and A-1 (pp. 2 and 6).

1.5"

Table A.1: A silly glossary for research reports. If your committee chair sees this, remind her/him that I'm only joking.

1"

When Professors write...	they REALLY mean ...
Typical results are shown ...	The best results are shown ...
It is generally believed that ...	A couple of other guys think so too
Thanks to Al K. Seltzer for assistance and to I.P. Daly for valuable discussions.	Seltzer did the work and Daly explained what it meant.

The second issue is the difference between a table label and a figure label. Bear with me here — this point is *so* simple that students and faculty often do not notice the difference. The labels to Tables 1.1 and A.1 were, of course, “1.1” and “A.1” — and those for Figures 1-1 and A-1 were “1-1” and “A-1.” Both types of labels have the chapter number (i.e., “1” or “A”) followed by the table/figure number (i.e., “1”). The difference is that the chapter and table/figure numbers are separated by a period in the table label and by a hyphen in the figure label.

1"

5
3"
4

(A.17 Sample Figure A-1 Page)

Last, many students and faculty presume that a caption's text must be used as the text in the corresponding entry in the *List of Tables* or *List of Figures*. This is not true. A caption must fully describe the content of a table/figure, so its length should not be dictated by space considerations. In contrast, a *List of Tables/Figures* entry should be as concise as possible, and its text does not have to include all the information that is included in the caption. Its only purpose is to direct readers to the table/figure page where they can review the full caption. Compare the captions of Tables 1.1 and A.1 and Figures 1-1 and A-1 to their respective *List of Tables/Figures* entries on pp. vii–viii of these sample pages. In some cases the caption text matches the *List* entry in other cases the *List* entry is a concise summary of the caption text. Try to limit the length of such *List* entries to one or two lines (I recognize that this is not always possible — for example, see the entry for Figure 1-1 on p. viii of these sample pages). If you have any questions on what to include (or not include) in a *List of Tables/Figures* entry, simply ask your committee chair.

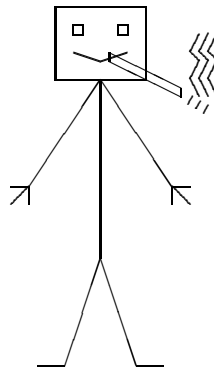


Figure A-1: A person enjoying a cigar.

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