

**INSTRUCTIONS FOR THE PREPARATION OF THESES  
AND DISSERTATIONS**

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## INTRODUCTION

Please read these instructions before you begin preparation of your thesis or dissertation.

The instructions give an overview of preparing a thesis or dissertation, but they cannot cover all possible formats and information. Each discipline has its own guidelines or even several alternative sets of guidelines for such things as citation of references, footnote forms and location, and bibliography. It is therefore important that students confer with either their Program Director or advisor early in their research in order to agree on what guidelines will be followed. Once a form is decided upon, students should consistently maintain it throughout their work.

Different disciplines also have different ways of presenting material through such devices as tables, graphs, illustrations, pictures, spreadsheets, etc. Again, students should confer with their Program Director or advisor to agree on what will be included and how it will be presented.

Many students find that reviewing a thesis or dissertation in their field can be extremely helpful in answering questions about format. These are available at <https://wakespace.lib.wfu.edu/handle/10339/38132>.

### I. CONTENT AND ORGANIZATION

The word “thesis” is used in the text to include the doctoral dissertation as well as the master’s thesis. The order of the listing should be observed regardless of parts which may be omitted or combined in a particular thesis.

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### ORDER

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Traditional thesis format:	Thesis format using published papers as chapters:
A. Title Page	A. Title Page
B. Dedication and Acknowledgments (Optional)	B. Dedication and Acknowledgments (Optional)
C. Table of Contents	C. Table of Contents
D. List of Illustrations and/or Tables	D. List of Illustrations and/or Tables
E. List of Abbreviations	E. List of Abbreviations
F. Abstract	F. Abstract
G. Introduction	G. Introduction
H. Main Body of Text	H. Papers with references as chapters
I. References	I. Appendix
J. Appendix (Optional)	J. Curriculum Vitae
K. Curriculum Vitae	

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DESCRIPTION

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**A. Title Page**

The title page should include the following:

1. Thesis title, centered and capitalized. Triple space and center the word “BY” followed by another triple space.
2. Author’s name centered and capitalized, followed by a double space.
3. Submission statement consisting of the following lines centered and double spaced:

“A (*insert Dissertation or Thesis*) Submitted to the Graduate Faculty of”

“WAKE FOREST UNIVERSITY GRADUATE SCHOOL OF ARTS AND SCIENCES”

“in Partial Fulfillment of the Requirements”

“for the Degree of”

(*insert appropriate degree DOCTOR OF PHILOSOPHY, MASTER OF SCIENCE, MASTER OF ARTS*)

(*insert Program Name*)

(*insert Graduation Date [August, December, or May] as Month Year*)

Winston-Salem, North Carolina

This should be followed with a triple space with “Approved By:” centered followed by a double space.

4. Names of Examining Committee members centered and double-spaced beginning with (*insert name*), Advisor, then (*insert name*), Chair followed by others listed alphabetically. See samples on pages 9 and 10.

**B. Dedication and Acknowledgments**

A Dedication is optional, but if included, should come directly after the title page. The heading should be centered and capitalized.

Acknowledgments are also optional, but the majority of students do include this section. It is an opportunity for the student to recognize and express appreciation to those who encouraged and assisted them in their graduate education and research. The heading should be centered and capitalized.

### **C. Table of Contents**

This is required, and the heading should be centered and capitalized. The table of contents should outline major sections or chapter headings with corresponding page numbers. Pages prior to the table of contents should not be listed, but all sections or chapters following it must be included, such as appendices and curriculum vitae. Sub-headings can be broken down under the section or chapter, but this is not required. All headings should be worded identically to those used in the text.

### **D. List of Illustrations and Tables**

The List of Illustrations and Tables heading should be centered and capitalized. This section is required, but can be divided into two different lists. If combined (preferable), the listing should run consecutively, noting tables and figures as they appear in the text (divided by chapter). All illustrations and tables must have a legend.

### **E. List of Abbreviations**

The List of Abbreviations heading should be centered and capitalized. The abbreviations should be arranged alphabetically.

### **F. Abstract**

The Abstract heading should be centered and capitalized. The abstract should summarize the thesis, including the research problem, methods, and conclusions. It should be limited to 200 words for the Master's Thesis and 350 words for the Doctoral Dissertation.

### **G. Introduction**

The Introduction should prepare the reader for what follows by stating the specific problem or question to be studied and the research strategy used. It may delineate the boundaries of the problem or question and the limitations of the topic, and it may review studies pertinent to the thesis.

### **H. Main Body of Text**

Depending on the field of study, the main body may be organized into sections on Methods, Results, and Conclusion or Discussion, or into chapters appropriate to the study with, for example, each chapter covering a specific aspect or major component of the topic. The important thing is to have an overall organization which suits the work. Each section or chapter should begin on a new page and should exactly reflect the title listed in the Table of Contents.

### **Submitted or Published Manuscripts**

If the student has submitted, has had accepted, or published one or more papers pertinent to the subject of the thesis, the paper(s) may be incorporated into the thesis, as long as the student had the major role in the preparation of the manuscript and has the right to include the paper(s). Portions of papers representing work either not done by the student or used as part of another thesis should be identified clearly and, if permissible, placed in an appendix.

Theses including papers submitted, accepted, or published are subject to the same principles of consistency. However, the form for literature citations, table presentations, references, etc. may conform to the style required by the publishing journal.

Generally, each paper constitutes a chapter of the thesis. A statement should be included on the title page of the chapter stating that stylistic variations result from the demands of the journal to which the paper was submitted, accepted, or published. In the case of multiple authorship, the student should indicate the portion of the work for which he or she is responsible.

It is important to clearly state the status of each manuscript submitted, accepted, and published. This can be done in the Table of Contents by including a statement that the manuscript has been submitted, accepted, or published.

Theses containing papers already published or accepted for publication must be accompanied by letters of permission or denial of permission concerning copyright, when applicable. Such letters should be included as an appendix to the thesis. Many publishers automatically grant authors the right to include papers as thesis chapters. It is the student's responsibility to confirm the right to republish prior to inclusion. One example is Academic Press which no longer requires authors to obtain permission in the following cases: 1) to use original figures or tables in future works; 2) to make copies of papers for classroom teaching; and 3) to include papers as part of the thesis. Students are responsible for determining whether additional permission from copyright holders is required.

## **I. References**

The Reference section should begin on a new page and include every book, article, thesis or dissertation, abstract, videotape, website, etc. mentioned in the thesis with complete publishing information. Other sources, such as interviews, are also listed with appropriate information about when and where they took place. The references can be listed either alphabetically or in the order they are cited in the text, as long as consistency is maintained throughout. The library has guidelines for citing references including on-line material at <http://zsr.wfu.edu/research/guides/citation.html>.

## **J. Appendix (Optional)**

The appendix could include any supplementary materials that support or are relevant to the thesis but which have no logical or appropriate place within the body of the text. This should begin on a separate page and be numbered consecutively with the entire document.

## **K. Curriculum Vitae**

The Curriculum Vitae, also called Scholastic Vita, or simply Vita, should begin on a separate page. This section would contain the student's educational background, academic awards, honors, memberships in professional organizations, publications, presentations, and other pertinent information. This statement should be presented in outline form.

## II. DOCUMENT FORMAT

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### PRESENTATION

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The thesis should be uniformly arranged and error free.

#### A. Page Layout

The thesis should have uniform margins as follows:

- 1.0" Top Margin
- 1.0" Bottom Margin
- 1.5" Left Margin
- 1.0" Right Margin

#### B. Spacing

The text of a thesis should be double-spaced throughout. Paragraphs can begin with the first line indented, or you may double space between paragraphs, as long as you are consistent.

#### C. Font

Font type should be professional looking; leading suggestions would be Times New Roman or Arial. The type size should be either 11 point or 12 point and should remain consistent throughout the document.

#### D. Pagination

All pages of the thesis are numbered **EXCEPT** the title page. The preferred method for page numbering is centered at the bottom of the page, but numbered in the top right corner is also acceptable. If you use the bottom centered method, the footer would be placed at .5" from the bottom of the page. If you use the top right corner, the header would be placed at .5" from the top of the page and the text would begin at 1.0" from the top of the page. If your document contains rotated landscape pages, the page number should appear in the same position as in the rest of the document.

Roman numbers are used on the pages preceding chapter one. The first number would be used on the page immediately following the title page and the number would be ii. Arabic numerals begin with chapter one and include the text, illustrations, tables, through to the Curriculum Vitae.

#### E. Headings

All headings must be formatted consistently throughout the thesis. Formatting choices would include either centered with solid capitals or centered with both capitals and lower case underscored.

#### F. Illustrations and Tables

Illustrations and tables including photographs are used to enhance the thesis and must be referenced in the text. The size will determine where it is placed. If it is small, it can be placed on the page with the text above/below as reference. Larger illustrations or tables can be placed on the page following the first point of reference. Large items must be reduced to fit the page size. Using landscape orientation is also an option.

Roman numerals should be used for tables (Table I, Table II, etc.) and Arabic numerals for other illustrations (Figure 1, Figure 2, Chart 1, Chart 2, etc.). Illustrations pages must be paginated according to the format used in the text. All copyright laws must be observed for illustrations as well as text.

### III. COPYRIGHT

Standard citation of others' copyrighted works does not require permission from the copyright holder prior to use in theses. The republication of tables, charts, images, etc. from previously published works, authored by others or the student, likely requires permission from the copyright holder. Although most publishers automatically grant student authors the right to republish their own accepted or published work(s) as part of theses, confirmation of that right should be obtained prior to inclusion.

Under United States copyright law, copyright is automatically vested with authors as theses are written and saved in a fixed format. The majority of theses probably do not require official copyright registration; registration is usually of most benefit when the work is of a highly creative nature. Should a student wish to submit a copyright registration, they may do so directly with the US Copyright office at <http://www.copyright.gov/> for a lower fee than registration offered through ProQuest's ETD Administrator system on behalf of the student.

Inclusion of the copyright notice is necessary if the student wishes to file for official copyright registration (e.g., **Copyright John Doe 2010; it must appear on the title page or the page immediately following**). A student may wish to consult with the advisor on this matter. Further information regarding copyright registration may be found at <http://www.etsadmin.com/cgi-bin/main/resources?geoclass=USA>, and <http://www.copyright.gov/>

### IV. SUBMISSION

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#### ELECTRONIC SUBMISSION

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Submission of an electronic copy of your thesis (ETD) is required by the Graduate School. ETDs will be submitted using the UMI/ProQuest ETD Administrator tool. In lieu of collecting bound copies for the WFU Libraries, ETDs will be collected locally via the WakeSpace digital archive, which is maintained by the Z. Smith Reynolds Library. The full text of your ETD will be publicly available, either immediately or after an embargo period, during which time access will be restricted to WFU IP only. Longer embargo periods are available upon approval by the Graduate School.

Submission of your ETD is not made until all changes from your final examination have been incorporated and you have advisor approval. At the time of submission, you will be asked to enter basic information that enables others to find your work, such as the title, abstract, and keywords. ETDs must be submitted as single PDF documents. Through the electronic release agreement, students grant a license to the University to make the work publicly accessible in the current and potential future formats, which enables the Library to maintain and preserve the ETD. The Library will provide submission training sessions and individual assistance to students. Information on preparing and submitting your ETD can be found at <http://etd.wfu.edu/>

Students should check with their departments and advisors regarding submission requirements for their defense review. It is the students' responsibility to bind paper copies needed to meet department requirements and for personal use. An online resource is [www.lulu.com](http://www.lulu.com).

**V. SAMPLE TITLE PAGES**

Sample Title Page for Master's Thesis

A LOOK AT MEDIEVAL POETRY IN THE NINETIES

BY

DEBBIE DENNIS

A Thesis Submitted to the Graduate Faculty of

WAKE FOREST UNIVERSITY GRADUATE SCHOOL OF ARTS AND SCIENCES

in Partial Fulfillment of the Requirements

for the Degree of

MASTER OF ARTS

English

December, 2010

Winston-Salem, North Carolina

Approved By:

Barry G. Maine, Ph.D., Advisor

Nancy J. Cotton, Ph.D., Chair

Linda N. Nielsen, Ed.D.



Sample Title Page for Doctoral Dissertation

CENTERED ON PAGE

STUDIES OF VIBRIO VULNIFICUS INFECTION

BY

TIMOTHY M. JOHNSON

A Dissertation Submitted to the Graduate Faculty of

WAKE FOREST UNIVERSITY GRADUATE SCHOOL OF ARTS AND SCIENCES

in Partial Fulfillment of the Requirements

for the Degree of

DOCTOR OF PHILOSOPHY

Microbiology and Immunology

December, 2010

Winston-Salem, North Carolina

Copyright Timothy M. Johnson 2010 (If Applicable)

Approved By:

Douglas S. Lyles, Ph.D., Advisor

Mark O. Lively, Ph.D., Chair

Eugene R. Heise, Ph.D.

Linda C. McPhail., Ph.D.

Daniel J. Wozniak, Ph.D.