THE UNIVERSITY OF TENNESSEE KNOXVILLE

GRADUATE SCHOOL

Guide to the Preparation of Theses and Dissertations

Academic Year 2024-2025

Thesis and Dissertation Services

About

For all doctoral candidates and many master's candidates, the creation of the dissertation or thesis is the capstone of your graduate career and signifies the completion of the requirements for graduation. The Graduate School will help students in this process to keep it as smooth and worry-free as possible. The Coordinator of Student Services is available to assist in many areas:

- to show students resources for research approval and understanding of copyright;
- to demonstrate how to use iThenticate to validate the work;
- to outline the approval process;
- to ensure that theses and dissertations conform to the formatting requirements of the University of Tennessee;
- to provide guidance in submitting the work to Trace;
- to simplify the completion of the Survey of Earned Doctorates; and
- to explain the policies regarding the public availability of theses and dissertations.

Contact Us with Questions or Problems

You are welcome to ask any procedural or technical questions you may have, and you are strongly encouraged to check with the Coordinator of Student Services well in advance of any upcoming deadlines to help work through any possible challenges. This is especially important if you are having difficulties with any particular aspect of preparing or formatting your document.

The Graduate School
Student Services Building, Room 111
865-974-2475
thesis@utk.edu
tiny.utk.edu/theses-dissertations

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Section 1: Introduction and General Information

Purpose of this Guide

This guide provides basic information about thesis and dissertation preparation at the University of Tennessee, Knoxville. It establishes the technical parameters within which all students must work. These parameters include, but are not limited to, margins, formatting and style, sequence of pages, table/figure placement, and spacing. The guide does not address issues of content such as grammar, punctuation, or wording. ***Correction of content is the responsibility of the student as overseen by their thesis or dissertation committee***.

While a student's graduate committee evaluates the technical quality and content of a thesis or dissertation, the Graduate School imposes formatting requirements to ensure an appropriate and consistent academic appearance of the manuscript. This guide sets forth basic requirements for organizing and formatting a thesis or dissertation, but students in consultation with their committees have much leeway in determining the look and feel of their document. However, once a student chooses a specific formatting standard, the student must apply that standard consistently throughout the document.

Because most graduate students will publish during and after their graduate education, students (in consultation with their thesis or dissertation committee) are encouraged to use publications within their field, such as scholarly journals, to assist them in establishing heading format, bibliographic form, and other conventions that are discipline specific. However, although knowledge and use of academic publication formatting is essential, the regulations established by this guide take precedence over any other style manuals for final submission of a thesis or dissertation, if there is confliction between the two.

Students are also encouraged (but not required) to use style manuals such as the MLA Handbook for Writers of Research Papers, Publication Manual of the American Psychological Association, or The Chicago Manual of Style as resources for basic style and grammar.

Students should never use previously accepted theses and dissertations as the final guide for formatting, as examples taken from other theses and dissertations may be out of context, out of date, or incorrect. The existence of a particular style or usage in a previously accepted thesis or dissertation does not establish precedent for its continuation, and students are responsible for obtaining and following up-to-date guidelines.

Background Information

The Graduate School at the University of Tennessee, Knoxville, is committed to assisting graduate students and faculty members in meeting the goals of consistency, logical organization, attractiveness, and correctness in thesis and dissertation preparation. The Graduate School is responsible for the review and approval of the final copies of theses and dissertations and provides guidance in document preparation through online materials, this guide, and the one-on one assistance of the Coordinator of Student Services.

Students must also work directly with the Coordinator of Student Services for formatting reviews and for the final submission of the document. The Graduate School establishes a preliminary review deadline every semester for those students planning to graduate in that semester. This deadline date (as well as all others) are posted each semester on the Graduate School's website.

Student Integrity

Conferral of a degree implies in part the graduate's personal integrity and ability to perform within the framework of scholarly methods. There are three areas in which graduate students should be particularly cautious: the proper acknowledgment of cited works; the use of others' copyrighted material; and proper reporting of work subject to federal compliance regulations (i.e., use of human subjects, animal care, radiation, legend drugs, recombinant DNA, or the handling of hazardous materials).

The Office of Research, Innovation & Economic Development

UT's Office of Research, Innovation & Economic Development drives the campus research enterprise by providing technical expertise in proposal development, faculty development, sponsored programs administration, and compliance requirements. The office assists with identifying external funding opportunities and administering internal funding programs.

The federal government regulates research activities involving human subjects, animal subjects, radiological materials, and biological materials. For each of these areas, there is a campus committee that reviews proposed research projects.

The Office of Research, Innovation, and Economic Development (ORIED) also provides basic information on these compliance areas as well as campus compliance and safety committees.

All faculty and students who will be conducting any Human Subjects research must complete the online training course in IRB/Human Subjects Research prior to submitting their protocol to ORIED. If you have questions regarding

IRB/Human Subjects research, you may email **utkirb@utk.edu** or call 865-974-7697.

You can find additional information about ORIED on their website or the Graduate School website.

Scholarly Publishing Toolkit

A thesis or dissertation is a publication, and must comply with best practices for publishing scholarly research. The University of Tennessee Libraries have prepared a graduate student toolkit which includes information and links to other helpful resources on their site. These resources show how to comply with best practices, and provide guidance when entering agreements with publishers that may conflict with the public nature of a thesis or dissertation at UT. While deciding what research will be used in a thesis or dissertation, be aware of any publishing agreements previously entered into, and consider any future intention of including previously published material elsewhere.

iThenticate

iThenticate is a plagiarism-detection software site that will help faculty and student researchers avoid "cut and paste," or citation errors that might be unacceptable in funding proposals or scholarly articles.

All theses and dissertations must be scanned with university-approved plagiarism detection software (currently iThenticate) prior to thesis or dissertation defense. More information, including how to get access to iThenticate and interpret a report, can be found on the Graduate School websitehttps://gradschool.utk.edu/thesesdissertations/using-ithenticate/ and the Office of Research, Innovation, and Economic Development (ORIED) website. The iThenticate website also has several resources and tools available for users.

General Policies

Students should refer to the latest edition of the Graduate Catalog for policies concerning registration for thesis/dissertation hours, restricted, classified, or proprietary research, and other requirements for completion of the graduate program.

The goal of The Graduate School, as well as the student's thesis/dissertation committee is to ensure a document was produced that will properly represent and reflect well on the student, the student's committee, the department, and the university.

Additional Resources

Office of Innovative Technologies (OIT)

OIT handles all technical support for the university, including assistance with Microsoft Word. OIT regularly holds training sessions and workshops, and their website has many training videos and tutorials. All students also have access to LinkedIn Learning.

Subject Librarians

Meet with a subject librarian for assistance at any stage of the research process. Subject librarians can help identify and locate reliable sources, develop effective search strategies for drawing additional information from sources, or assist in evaluating the reliability of those sources. You can find more information at the UT Libraries website.

Writing Center

The Writing Center offers consultations for graduate students working on theses and dissertations. They can also recommend freelance editors who may be hired for proofreading/assistance with revisions.

Section 2: Elements of a Thesis/Dissertation

Order of Pages

Theses and dissertations must follow a specific sequence of pages. Consult Table A-2, Table A-3, Table A-4, or visit the Graduate School website for the required order of the pages.

Preliminary Pages

The three preliminary pages that are required for all theses and dissertations are the title page, abstract, and table of contents. Lists of tables, figures, and attachments are required in some cases. All other pages are optional. Sample pages are available in the appendix of this document beginning on page 40. You can also view a template of how the preliminary pages should be formatted on the Graduate School's website. The sections below illustrate the order of the preliminary pages.

Title Page (required)

The title page should follow the specific layout and wording shown in Figure A-1 in the Appendix. The font size of the thesis/dissertation title may be slightly larger, but the font size of the other title page text must be consistent. Due to the limitations of the student information system, thesis and dissertation titles are limited to 160 characters. This includes spaces.

Copyright Page (optional)

All written materials, including theses and dissertations, are automatically copyrighted under U.S. law; no paperwork or payment is required in order to have copyright protection. Copyright protection is automatic for all such works from the moment of creation in a fixed form, which includes electronic formats.

Students are entitled to place a copyright notice on the page immediately following the title page. The U.S. Copyright office recommends that this statement contain the word "copyright" followed by the copyright symbol (©) and the student's legal name, with this statement underneath: "All rights reserved."

However, the University of Tennessee, Knoxville, while acting as a "publisher" for the thesis/dissertation, does not retain any claims to the copyright of the

thesis/dissertation—so regardless of whether or not this page is included, the author still has copyright of their own work.

Dedication (optional)

If the student wishes to dedicate the thesis/dissertation, the dedication statement is included on this page. If appropriate, the student may include a short quote or other text here. The student may choose to omit the heading "Dedication" on this page if the intent of the dedication itself is clear.

Acknowledgments (optional)

The acknowledgments page is used to thank those who have helped in the process of obtaining the graduate degree. Permission to quote copyrighted material is listed here, as well as acknowledgment for grants and special funding. If students must include a disclaimer stating, for example, that the views expressed in the thesis or dissertation are not necessarily the views of the agency or institution that funded or supported the research, they should do so on this page.

Preface (optional)

A personal statement about the purpose and scope of the thesis/dissertation could be included in the preface. The tone of the preface; however, must be academic and appropriate to scholarly work.

Abstract (required)

Every thesis and dissertation submitted to the Graduate School must include an abstract. Although the content of the abstract is determined by the student and committee, the following information is appropriate:

- a short statement concerning the area of investigation,
- a brief discussion of methods and procedures used in gathering the data,
- a condensed summary of the findings, and/or
- conclusions reached in the study.

The abstract will be used by the University of Tennessee Libraries in cataloguing the thesis or dissertation. Therefore, the abstract must *not* exceed 350 words in length.

Furthermore, if the abstract contains any special characters (those characters not found on typical English-language keyboards), the student must also write out the term or concept in plain English in square brackets immediately following the special character (i.e., π [pi]). Please direct any questions about what qualifies as a special character to the Coordinator of Student Services.

Table of Contents (required)

The table of contents may vary in style and amount of information included. **However, entries for preliminary pages should not be included in the table of contents**. Entries for the following sections *must* be included with their page numbers:

- Chapter / Section / Part Titles
- Bibliography / List of References
- Appendix, if used
- Vita

The capitalization of the chapter/section/part titles must be consistent with what is used for chapter/section/part headings on the first page of those sections. Capitalization of titles must also be consistent for the references, appendix (if applicable), and vita titles. Justification cannot be used for the table of contents. The use of italicization or bold font must be consistent throughout the table of contents. Period leader lines and page numbers must be the same font size and style. The table of contents for this document serves as an example of how this list should appear (it can be found on pages iii-vii).

Inclusion of Subheadings

It is not necessary to refer to subheadings (i.e., the titles of sections within each chapter) in the table of contents. However, any inclusion must be consistent. If a particular level is included at any point, all headings of that level must be included.

List of Tables / List of Figures / List of Attachments (sometimes required)

If there are five or more tables in the thesis or dissertation, a list of tables must be included. If there are five or more figures in a thesis or dissertation, a list of figures must be included. Justification cannot be used in the list of tables or list of figures.

Because attachments are uploaded separately from the main electronic theses or dissertations (ETD) file, a list of attachments must be included if the student's document includes one or more attachments.

There must be a separate list (on separate pages) for tables, figures, and attachments if you are required to have more than one. Any tables or figures designated as such that appear in the appendix must also be included in the appropriate list; however, students may choose to include tables and figures in the appendix as background material or raw data (without labeling them as tables/figures). In that case, they should not appear on these lists.

The list of tables and list of figures must include each table/figure's title, exactly as it is in the captions themselves, at least up to the first terminal punctuation. They must also include the page number on which each table/figure itself can be found (i.e., "Table 1: Trees in North America.....5"). An example of how these lists must appear can be found on pages vi and vii of this document.

The list of attachments must include a title/brief description of each attachment, as well as its file name (i.e. "Photos of Trees in North America.....NATrees.zip"). Figure A-2 in the Appendix shows how this list should look.

Nomenclature / List of Abbreviations / List of Symbols (optional)

Pages listing nomenclature, abbreviations, or symbols may be included in the front matter or in the appendix. If adding two or more of these lists, they must be separate lists on separate pages.

Text

Major Divisions

The thesis or dissertation must be divided into a logical scheme that is followed consistently throughout the document. The main body of the document must begin with a major division. Chapter is the most common label for these divisions, but sections and parts are also permissible. Each major division (chapter, section, or part) must:

- have a title
- be numbered consecutively throughout the document (i.e., Chapters 1, 2, 3...)
- begin on a new page

A major division entitled *Introduction* may precede the first numbered chapter, section, or part, ***only if*** the student ends the document with another unnumbered major division entitled *Conclusion.* Please note that both parts are required for multi-part, or "manuscript" theses/dissertations; see Multi-Part / Manuscript Style Theses and Dissertations in this guide.

Subdivisions and Headings

Any logical system of subdivision within chapters or sections is permissible, but the scheme used must be consistent throughout the document.

Although chapters or other major divisions must be numbered, numbering subheadings is optional; however, if a numbering scheme is used, it must be applied consistently throughout the document.

Headings of equal value must be formatted consistently throughout the document; however, unless a numbering sequence is used to indicate level, each level must be formatted differently than all other levels in at least one significant way (i.e., bold vs. not bold, centered vs. left aligned), so that the layout of the thesis or dissertation is obvious.

Once students decide on the format for each level of heading, they must apply the format consistently. This includes font, font size, and other font attributes (bold, italics, underline, etc.), space above and below the heading, numbering, indentation, and punctuation.

Beginning New Sections

The headings within a chapter, section, or part do not begin on a new page unless the preceding page is completely filled with text, or if there is not room for the complete heading and at least two lines of text at the bottom of a page (sometimes referred to as an orphan or widow heading). In those cases, the new heading *should* begin at the top of a new page.

References Within Text

Referencing usually consists of information in parentheses or square brackets within the text. Two common methods of referencing are:

- to use the author's name and date of publication, as in "(Smith, 2001)," or
- to assign numbers to the bibliographic entries and insert the corresponding numbers for the authors as they are cited in the text, as in "Smith (5)."

The purpose of internal referencing is to guide the reader to the appropriate entry in the list of references/bibliography, where complete information is available. In-text references to the author's name normally refer to an alphabetical list of sources, numbered references normally refer to a numeric list.

Students may *not* collect references as endnotes at the end of each chapter or section. Footnotes are permissible, but only if the student also includes a full list of references or bibliography at the end of the document.

The form, style, and content of references or footnotes should be determined by what is generally accepted in the student's field of study, using a professional journal or style manual. Students using both references and footnotes in the text must use a different format or style to differentiate the two, keeping in mind that the same font type must be used throughout the entire document. Other attributes may be used to distinguish footnotes from body text; for example, the footnotes may be single spaced and a smaller font size. In addition, the footnote number and the beginning of footnote must appear on same page.

Tables, Figures, and Attachments

Tables

Students should consider carefully whether information is best presented in the text or in a table.

Tables should be used sparingly. The *Publication Manual of the American Psychological Association* states, "[f]or several reasons, it is worthwhile to be selective in choosing how many tables to include in your paper . . . reserve tables for crucial data that are directly related to the content of your article and for simplifying text that otherwise would be dense with numbers (2001, p. 147). Tables are usually quantitative, though some may consist entirely of words rather than numbers. In either case, care must be taken to organize the material in ways that are readily understood and visually clean.

Title and Number

Tables must have a unique title and a unique number. Tables can either be numbered based on their order within the document as a whole (i.e., Tables 1-5 in Chapter 1 and 6-10 in Chapter 2), or they can be numbered based on their order within a chapter (i.e., Tables 1.1-1.5 in Chapter 1 and 2.1-2.5 in Chapter 2).

The title and number are placed directly above the table.

Typeface

Rather than copying tables from another source and inserting them into the document as images, students should create tables themselves. Although the type of font within a table must be Times New Roman, it may differ slightly in size. The line spacing of the table caption must be single-spaced. The label and number for the table must be bolded (ex., **Table 1**).

Required Format

Tables must have at least two columns with headers. The headers describe the material in each column. Headers must apply to the entire column, even if it continues onto additional pages. However, it is permissible to use subheadings below the columnar header separated by a line. If the data does not readily conform to the columns/rows format (such as an outline or list of questions), then it is likely not a table and should not be labeled as such.

The table must include these three horizontal lines:

- At the top of the table above the header row, but below the title/caption. This is known formally as the table opening line.

- Between the header row and the body of the table, this is known formally as the columnar heading closing line.
- At the bottom of the table below the last row, but above any explanatory notes. This is known formally as the table closing line.

Different table styles, such as a full grid (i.e., vertical lines and additional horizontal lines) or shaded rows are acceptable, but not required.

Continued Tables

A table may continue on as many pages as necessary provided that the columnar headers remain the same and are repeated on each continued page. The first page must contain the table number and title, and subsequent pages contain the remainder of the table with "Table # continued" at the top of the page. This must be done for each page the table continues onto. Table A-1 is an example of how these tables should appear. If the columnar headers change, the table is a new table and not a continued table.

Table Footnotes

Footnotes to tables consist of four different categories: [1] full source citation, [2] general notes, [3] notes to specific parts of the table indicated by superscripts, and [4] notes on level of probability. Students should use any or all types of footnotes that are applicable to a particular table.

Table footnotes must be in Times New Roman, though the font size may be slightly smaller than the main division text.

Figures

Illustrations such as photos, maps, drawings, graphs, or charts should be called figures (Gibaldi, 2003, p. 136).

Title and Number

Figures must have a unique title and a unique number. Figures can either be numbered based on their order within the document as a whole (i.e., Figures 1-5 in Chapter 1 and 6-10 in Chapter 2), or they can be numbered based on their order within a chapter (i.e., Figures 1.1-1.5 in Chapter 1 and 2.1-2.5 in Chapter 2).

The title and number are placed directly below the figure.

Typeface

Since figures may be imported from an external source, any text that is inside the figure can be in any typeface, provided it is neat and legible. The figure number and title must sit below the figure (as opposed to being within the image);

therefore, it must be in Times New Roman font, though the font can be slightly smaller. The label and number for the figure must be bolded (ex., **Figure 1**).

Lengthy Titles (Legends)

Explanatory material for figures may be placed within the figure or continued after the period following the figure title. The figure title/legend must be in Times New Roman font and single-spaced. If a figure has a long title or legend that makes it impossible for it to fit entirely on the same page as the figure itself, the page containing the title and legend must be placed immediately before the figure. The page number assigned to the legend page is considered to be the first page of the figure. Separate legend pages should be used only if needed.

Continued Figures

A figure containing several related parts too large to be included on a single page may be continued onto other pages. The first page on which the figure appears must contain the figure number and complete title, and all subsequent pages on which the figure appears must have "Figure # continued" below those parts of the figure. Figure A-8 shows how these figures should appear.

Figure Footnotes

Footnotes are placed below the figure title, but are not separated by a dividing line. If the figure or data within the figure are taken from another source, the source citation must be included.

Equations and Schemes

Equations and schemes are not considered tables/figures and should not be labeled as such, nor should they adhere to the placement rules for figures. Equations and schemes are considered to be part of the text, so they should be formatted consistently throughout the thesis or dissertation, following the advice of the students' committee members, and should not be surrounded by boxes or visible borders.

Attachments

Students with very large files (such as maps, spreadsheets, or architectural drawings) or multimedia objects (digital video, audio, datasets, or software) should upload these as supplemental files in TRACE. These supplemental files will be called "attachments."

Attachments should be referred to by their filename. The student should include the filename both in the body of the document and in a list of attachments. If the reader needs any additional information in order to interpret the attachment, that information must be included with reference to the attachment.

Titles

Each table, figure, or attachment must have a unique title descriptive of its contents. No two titles can be exactly the same, even if they appear in different chapters. Figures or tables containing multiple parts must be given a general title, after which the figure/table may be broken down into separate parts as necessary. For multiple part figures/tables, the title may be composite with no references to individual parts, or integrated with titles for each part as part of the general title. The style of the titles must be consistent for all figures/tables. The title of an attachment may be its filename.

Numbering

Because tables and figures are separate entities, they must be numbered independently. Students may choose to number them in one of several ways:

- Number tables/figures consecutively throughout the thesis or dissertation, including the appendix, using either Roman or Arabic numerals (i.e., 1-5 in Chapter 1, 6-10 in Chapter 2, and 11-15 in the appendix).

- Number tables/figures within chapters carrying a prefix of the chapter number, and number appendix tables/figures carrying a prefix of "A" for appendix or a prefix designating the specific appendix (i.e., 1.1-1.5 in Chapter 1, 2.1-2.5 in Chapter 2, and A.1-A.5 in the appendix).

- Establish a consecutive numbering scheme for the body of the thesis or dissertation and a different one for the appendix (i.e., 1-5 in Chapter 1, 6-10 in Chapter 2, and A.1-A.5 in the appendix).

Numbering Attachments

It is not always necessary to number attachments, but if the student will refer to the attachment at several points in the document then numbering may be used. A similar logic may be used when numbering and referencing equations.

References to Tables and Figures in Text

All tables and figures must be referenced in the text by number, not by expressions such as "in the following table/figure." When more than one table/figure is referenced on a page of text, each table/figure follows in the order mentioned until all have been placed, and then text begins again.

Continuation of Text

Tables and figures are not considered part of the flow of the text, but rather are treated as artifacts that support the text. For this reason, it is not acceptable to

stop the text after a table/figure is first mentioned and leave white space on a page in order to wait to show a table or figure on the next page.

Instead, simply continue the text (even if this means beginning a new paragraph or new section). Each page should have as much text as possible (even if it ends in the middle of a sentence or paragraph), unless it is the last page of a chapter. In no case should a text page be left significantly free of text because of the mention of a table/figure.

Placement

Tables or figures can be placed in the thesis or dissertation in the following ways: at the top or bottom of the page (after it is referenced in the text), on a separate page immediately following the text page in which the table or figure is first mentioned, or in an appendix. Students may use any combination of these methods within their thesis or dissertation, as long as they follow the rules governing each method.

On the Same Page as the Main Division Text

A single figure or table can be placed at the top or bottom of a text page. Figures/tables may not be sandwiched between sections of text. The text on a figure/table page must be at least one paragraph. There must be adequate spacing between the figure/table and the chapter text so that any explanatory text for the figure/table is distinguished from the main division text. You cannot place multiple figures/tables on a text page. For multiple figures/tables, the separate page or appendix option must be used.

On Separate Pages

For multiple figures/tables shown on the same page, you should place them on a separate page immediately following the text page where they are first mentioned. When figures or tables are mentioned, the text should remain unbroken and cover as much of the page as possible unless it is the last page of a chapter. There must be half an inch of space between each figure or table shown.

If there is not enough room for all of the tables/figures that are mentioned on a page to appear on the very next page, they should continue on as many pages as necessary until they have all been shown. Multiple figures and tables on the same page must be shown from top to bottom. They cannot be shown in columns (side by side).

In an Appendix

When all tables/figures are placed in an appendix, this fact must be stated in a note within the body of the text. This note should be placed on the page of text that refers to the first table or figure in the document. The note could be

presented either as part of a sentence, as parenthetical information, or as a footnote.

When some, but not all of the tables or figures in an ETD are mentioned in an appendix, their location must be clearly indicated in the text with each reference (i.e., Table 1 in Appendix A), unless the numbering scheme makes the location obvious (i.e., Table A-1).

The tables/figures in an appendix must follow the same formatting guidelines as those that are included in the body of the document with the exception that you can show more than one figure/table on a text page. There must be half an inch of space between the figure/table and the text.

Landscape Placement

To accommodate large tables/figures, it is sometimes necessary to orient them horizontally on the page. In such cases, it is required to change the page orientation from "portrait" orientation (wherein the shorter sides of the page are on the top and bottom, and the longer sides are on the left and right) to "landscape" orientation.

The image and text on landscapes page should read horizontally from left to right, and the top of the figure or table should be against the top of the page (in landscape orientation, the longer side of the page).

The page number should be horizontal in the header or footer of the landscape page, not sideways on the left side of the page. Therefore, the actual page orientation must be changed, as opposed to simply rotating the PDF page.

Ensure that the margins on the landscape pages retain their dimensions. For example, if the left margin is 1.25″ on normal pages, then the left margin on the landscaped page (now a "short" side) should be 1.25."

Figure A-7 in the Appendix shows how landscape pages should and should not appear.

Bibliography/References

Every thesis and dissertation must include a list of materials used in the preparation of the document. The purpose of listing the citations is threefold:

- to serve as an acknowledgment of sources;
- to give readers sufficient information to locate the material; and
- in the case of personal interviews or correspondence, to save the reader the trouble of attempting to locate material that is not publicly available.

The list may consist of only references cited in the text (as in a list of references), or may also include works consulted, but not cited in text (as in a bibliography).

The format used for citations should be that used in the student's field of study, as determined in consultation with the advising faculty. However, citations may not be collected at the end of each chapter or section; instead, they must be combined and listed only at the end of the document.

Heading and Numbering

The heading List of References, References, Bibliography, Works Consulted, or Works Cited can either be on a separate sheet with the title at top or center of the page or it can be at the top on the first page of the list. Please note that placing the heading on a separate sheet should only be done if the chapter headings are also on a separate sheet. Formatting for this heading should follow that of the chapter headings, but this heading is not numbered. If using a separate sheet, the page number assigned to the sheet marks the beginning of the references section. Therefore, the table of contents refers to the page number of this separate sheet, rather than the first page of the citations themselves.

Appendix (optional)

The appendix "...is a useful device to make available material that is relevant to the text but not suitable for inclusion in it" (Turabian, 1996, p. 12). Also, tables/figures can appear in the appendix to avoid interrupting the text. Appendix material may not be collected at the end of chapters or sections, only at the end of the document unless you are doing a multi-part thesis or dissertation.

Heading and Numbering

An appendix, if included, can either be on a separate sheet with Appendix or Appendices at the top or center of the page or it can be at the top on the first page of the appendix materials. Please note that placing the heading on a separate sheet should only be done if the chapter headings are also on a separate sheet. Formatting for this heading should follow that of the chapter headings, but this heading is not numbered. If using a separate sheet, the page number assigned to the sheet marks the beginning of the appendix section. Therefore, the table of contents refers to the page number of this separate sheet, rather than the first page of the appendix materials.

Appendix Divisions

If the student wishes to subdivide the appendix, the subsections must follow a logical scheme of division (Appendix 1, Appendix 2... or Appendix A, Appendix B...). Each individual subsection should begin at the top of a new page.

Appendix Material as an Attachment

If appendix material is included as an attachment, a page should be included stating how material is accessible and how it should be used.

Vita (required)

The vita is a brief biography of the student that should be written in third person and paragraph form; it cannot be a resume or *curriculum vitae*. It should contain appropriate academic and professional information about the author/student. Because copies of the manuscript will be available to the public, personal information such as the student's address or phone number should not be included. The vita will be the very last page of your thesis or dissertation. Example of proper Vita page can be found in Figure A-9.

Numbering

As with the bibliography and appendix, the vita heading must be formatted like the chapter headings; however, unlike those sections, the vita should not have a separation sheet for the title. Instead, the actual vita should begin just below the title (on the same page).

Section 3: Formatting and Technical Pointers

Typeface and Quality

Typeface or Font

Typeface affects the physical appearance of a manuscript more than any other single element. Word processing software provides the opportunity to use different typefaces, type sizes, and font attributes, such as bold or italics. **The student must select Times New Roman 12-point font and apply it consistently throughout.**[1] This applies to all text in the document except text that is inside of a figure or other imported image.

Type Size

The size of type is determined by point size. Text must be 12 point; however, 11 or 10 point may be used for footnotes, table contents, or figure captions. If you use a slightly smaller font size for any of these parts of the document, you must apply it consistently.

Spacing

The entire thesis or dissertation including headings can be 1.5 or double-spaced. Single-spacing is reserved for figure/table captions, legends/notes, footnotes, or block quotations. Essentially, text that needs to be distinguished from the main division text. Please note that you cannot exceed double-spacing for any part of the thesis or dissertation.[2] The spacing of text such as table/figure captions and footnotes must be single-spacing. Block quotes may be single-spaced or may follow the spacing chosen for the main division text.

Text must begin at the top of the page. If paragraph indentions are used, they should be uniform throughout the document. Students are encouraged to seek the advice of their committee members about conventions in their specific scholarly fields.

[1] LaTeX users can use the standard font type and size for the Overleaf template.
[2] LaTeX users can follow the standard spacing set by the template.

Other Formatting Considerations

Margin Settings and Justification

The inside margin must be one inch on all sides of the page except for large figure/table pages. Large figure/table pages can have between a half inch to one-inch margin however, the side of the page that has the page number must be consistent with the margin used for the other page numbers so that the placement is consistent on every page. These margins define the minimum and maximum white space to be maintained on all sides of the page and apply to page number placement. All material in the document, including text, tables, and figures must fit within the margins. If that is not possible for a certain table or figure, it must be uploaded separately as an attachment.

Left alignment must be used for all text except headings or subheading in which center alignment is used to distinguish the different levels. permissible. The use of justified alignment is not allowed. Dividing the text into columns (journal/newspaper style) is not permissible.

Pagination

Page numbers should appear on every page in the document except the title page (which is still counted in the page numbering, but the page number itself is suppressed).

Preliminary Pages

Lowercase Roman numerals are used to number the preliminary pages. Although the title page is counted as page i, the page number itself should be suppressed. The page following the title page should be the first one with a visible page number (which should be ii).

Body of Document

Beginning with the first page of the text, all pages should be numbered consecutively throughout the document (including the references, appendix, and vita) with Arabic numerals beginning with number 1.

Formatting and Placement of Page Numbers

Pagination using letter suffixes (i.e., 10a, 10b) or hyphenated numbers (i.e. 1-1, 1-2) are not allowed. The page number may be positioned at the top or bottom right edge of the page or at the bottom center of the page and must be consistently placed throughout the document. Page numbers must be placed no less than half an inch and no more than one inch from the top or the bottom edge of the page.

Running Headers and Footers

Regardless of the convention in the students' field of study, running headers or footers are NOT permitted in the thesis or dissertation. The only text permitted to be in the header or footer of any page is the page number.

Consistency in Format

The element that contributes most to the attractiveness and readability of the thesis/dissertation is consistency. Consistency in formatting means that the student establishes a series of conventions or protocols regarding spacing, heading sequencing, and other aspects of appearance to visually guide the reader through the document, enabling the reader to concentrate on the content. Consistency in thesis/dissertation production is especially critical, since it determines in part the committee reaction to content, and ultimately, acceptance of the document by the Graduate School.

Some common errors and how to avoid them can be found in Table A-1.

Templates

Microsoft Word Templates

The Graduate School provides standard and multi-part templates for students' reference. These templates can be used for both dissertation and theses as formatting requirements are identical for both.

LaTeX Template

The Graduate School LaTeX template is provided courtesy of student Darrin Weber. The Graduate School does not provide support for this template. If students have questions about using the template, they should reach out to their specific departments or fellow students who have utilized the template.

Furthermore, while this template provides one correct way of interpreting most of the University of Tennessee Graduate School formatting guidelines, it is not intended to present the only way of interpreting these guidelines nor does it imply that all formatting requirements will automatically be met by using this template.

Section 4: Special Problems and Considerations

The guidelines given in the previous chapters are sufficient for most theses and dissertations. However, several circumstances require additional guidance. This chapter addresses a few of the more specific questions that may arise in thesis/dissertation preparation, such as the use of papers that have been, or will be submitted to journals and requirements pertaining to creative writing and foreign languages.

The Use of Journal Articles in Theses and Dissertations

A thesis/dissertation may include articles submitted, or about to be submitted, to professional journals. However, certain guidelines must be met before these can be included in the final document.

Disclosure

The student must add a brief explanatory statement at the beginning of each article stating how the article was revised and/or detailing the student's involvement in the article. Any coresearchers should be identified and their role clarified as part of this statement. If the article has been published or will be published by the time of the final submittal process, the source should be cited as part of this statement.

Non-disclosure statements indicating that the article has not been submitted for publication should not be included.

Uniformity of Presentation

Additionally, the individual papers must be integrated into a unified presentation. This may be accomplished through an introductory chapter which might contain, among other things, a detailed literature review that is not present in most journal articles. One or more connecting chapters might be used to expand upon the methodology or the theoretical implications of the findings presented in the individual articles.

The guidelines given in the previous chapters, including a uniform style of headings, reference citations, and bibliographical format, must be used even though the individual papers may have been prepared for submittal to journals with different formatting requirements.

Multi-Part / Manuscript Style Theses and Dissertations

With committee approval, the multi-part/manuscript style may be used. This is an effective method of organization when research has been performed in two or more areas that cannot be combined into a single presentation.

Students should note that this format is only appropriate if the thesis or dissertation will contain two or more separate, but related essays. If it is comprised only of one essay conceived as a journal article, the student should include a disclosure statement but should otherwise format it as a standard thesis/dissertation.

Parts of a Multi-Part Thesis or Dissertation

Each chapter may end with its own bibliography and appendix (if needed); or all references and appendix material may be combined and placed at the end of the document. Either way, the student must exercise caution to ensure that formatting is consistent throughout the document such as unique numbers for tables/figures and logically arranged and consistently applied organization for each chapter.

While all of the requirements discussed in previous sections apply to theses and dissertations prepared using this style, it must also include several elements that are not required of those using the standard style (discussed below).

Introduction and Conclusion

These sections are required. The student has three options for inclusion of these sections:

- the first and last numbered chapters
- unnumbered sections before and after the numbered manuscript chapters
- sections included at the beginning and end of each article

For numbered chapters or unnumbered sections, the introduction and conclusion sections must address the project as a whole. The headings must be formatted like the manuscript chapter headings. For introduction and conclusion sections at the beginning and end of each article, each section must address how that particular article contributes to the overall project. The headings should follow the formatting implemented for subdivision headings.

Abstract

You must have both an abstract for the thesis or dissertation as a whole *and* an abstract for each manuscript chapter. While the main abstract cannot exceed 350 words, there are no length limitations for the abstracts for each individual essay.

Separation Sheets/Title Pages

Each manuscript chapter must be preceded by a separation sheet/title page. The only text on these pages should be the chapter heading itself ("Chapter #" and the title). The disclosure statement, publication information, and abstract should begin on the very next page. Title pages for the introduction and conclusion are optional.

Previously Published Material

If a manuscript thesis/dissertation includes previously published or submitted material, the disclosure statement discussed above in "The Use of Journal Articles in Theses and Dissertations" must be included.

Creative Writing Theses and Dissertations

In order for the Graduate School to accept a creative writing thesis or dissertation, it must include the following elements:

- a title page, abstract, and table of contents (that follow the same rules discussed in Section 2:)
- introduction which sets the academic tone for the body of the thesis and provides a rationale for the acceptance of the creative work as a thesis
- a bibliography or list of works cited (only if outside sources are referenced/consulted in the document
- a vita (that follows the same rules discussed in Section 2:)

Creative writing theses and dissertations are also expected to adhere to the basic guidelines in Section 2: and Section 3: Formatting And Technical Pointers, and must be blended into a unified presentation.

Theses and Dissertations Prepared in a Foreign Language

All theses or dissertations at UT normally should be written in English. Under exceptional circumstances, another language may be used, only if prior approval is obtained from the Dean of the Graduate School.

The Request to Use a Foreign Language in Preparation of the Thesis or Dissertation form must be completed and submitted prior to applying for admission to candidacy for the degree sought. The request must include a detailed justification and must be endorsed by the committee chair and the department head.

In all cases, the thesis or dissertation must include an abstract and vita written in English.

Section 5: Review / Submission Process

Overview of Process

This section will discuss the submission process in further detail. The following are the basic steps students must take in order to have their thesis or dissertation accepted by the Graduate School:

1. Submit draft to TRACE for preliminary review.
2. Receive necessary changes from the Coordinator of Student Services.
3. Make requested corrections.
4. Submit revised draft to TRACE for second review; if further corrections are required, steps 2–4 will be repeated.
5. Upload final/approved version to TRACE, submit Thesis/Dissertation Approval Form to the Graduate School, and take Survey of Earned Doctorates (doctoral candidates only).
6. Notify the Coordinator of Student Services via email (**thesis@utk.edu**) that the final version has been submitted and is ready to be accepted.
7. The student will receive email confirmation when the thesis/dissertation has been accepted, and after the Coordinator of Student Services has verified that all requirements have been met.

Preliminary Review

All theses and dissertations must be submitted to the Coordinator of Student Services for a preliminary review. There is a preliminary review deadline each semester, but students (particularly those with exceptionally lengthy or complex documents, or ones that are table/figure-heavy) can and are encouraged to begin the process earlier than that date. The document does not need to be complete by the time of the preliminary review. **The preliminary deadline is a hard deadline. Students that are intending to follow the second deadline for the term must still submit a draft by the preliminary deadline for that term.** Students who submit their initial draft after the preliminary deadline are not guaranteed to have their draft reviewed and may be ineligible for graduating that semester.

During the preliminary review, the Coordinator of Student Services will identify and address all necessary formatting revisions. The Coordinator of Student Services will not review grammar, spelling, or other content concerns, which are

the responsibility of the student, in cooperation with his/her faculty advisors. Students may also hire an editor, although final responsibility for the document will rest with the student.

The thesis or dissertation cannot be accepted until all formatting issues have been corrected. Therefore, the final version should not be the second submission; instead, all required changes should be made as soon as possible after receiving initial feedback, and the revised document should then be submitted to the Coordinator of Student Services for another review. This process will continue until the document is found free of issues; the number of intermediate reviews a document requires will vary based on the student's needs, the complexity of the document, and so on. A list of common errors can be found in Table A-1.

Once a document is free of formatting errors it will be deemed approved by the Coordinator of Student Services. Approval is NOT the same as acceptance. A thesis or dissertation is accepted in TRACE when the document is complete and free of formatting errors and all required forms have been received. The deadline for acceptance in TRACE for each semester can be found on the Graduate School's website.

Thesis and Dissertation Review Time

The turnaround time for reviews also varies greatly, as reviews are always done in the order that the documents are submitted. The Coordinator of Student Services makes every effort to have documents reviewed and feedback submitted as soon as possible to allow ample time for students to make revisions. While it is impossible to say exactly when a certain document will be reviewed, the estimated turnaround times are:

- Early in semester (non-peak)—3–5 working days
- Preliminary Review Deadline (peak)—12–18 working days
- Final Deadline (peak)—8–12 working days

TRACE

Thesis and dissertation submissions must be uploaded to TRACE in order to be reviewed for formatting. Submissions sent as an attachment via email will not be reviewed. Instructions for submitting to TRACE can be found on the Graduate School's website. Students must access TRACE using the correct submission link for their document type (thesis or dissertation) to ensure the document is submitted to the correct collection.

TRACE (Tennessee Research and Creative Exchange), is UT's institutional open access repository. TRACE is a publicly-accessible archive of research and creative work done by UT scholars and researchers. The growing collection of official

copies of theses and dissertations accepted by the Graduate School is one of the largest collections in TRACE.

Documents uploaded to TRACE for draft reviews will not be visible to the public. Only the accepted version of the thesis or dissertation will be published. Students can upload as many versions as necessary but once a document is accepted in TRACE, students cannot replace it. Each draft overwrites the previous one as the main file. The final, accepted version will be published after the student's graduation. Timelines for publication vary. The process can take several months between the Graduate School's verification and the library staff's publication of documents. Questions about the publication of documents can be referred to the Coordinator of Student Services at thesis@utk.edu.

Instructions to make the **preliminary draft submission**:

1. Go to TRACE. Be sure to click on the correct link based on your submission type.
    - Thesis Submissions - TRACE homepage (trace.tennessee.edu/utk_gradthes/)
    - Dissertation Submissions - TRACE homepage (trace.tennessee.edu/utk_graddiss/)
2. Select "My Account" from the left navigation bar.
3. If this is the first time logging in, click on "Sign Up" under *Create New Account* and add all information required. Please use your UT email address as your login. You will receive a confirmation email once you complete your account.
4. After confirming your email address, you will need to click on the link in your email and it will bring you to the link "My Account."
5. Select "Submit your Work" from the left navigation bar.
6. Review the information regarding the "Submission Agreement."
7. Check the box next to "Please check this if you agree to the above terms" and click "Continue."
8. On the next page, a form will populate, and you will need to provide details of your work. Be prepared to complete all required elements such as your title, author, date of award (the semester you are graduating) and degree type (thesis or dissertation). Other information can also be completed, including an abstract, your major professor and committee members, etc.
9. Please carefully review to ensure all information entered is accurate. Your name must be listed as it is listed in the UT student information system. Please check with the Coordinator of Student Services at thesis@utk.edu if you have any questions.

10. Upload the full text. You may upload your draft (in Word or PDF formats) using the form fields at the bottom of the page and click "Submit" to finalize your submission.
11. Upload any additional files. These could include any supplementary files you want to include such audio, spreadsheets, video, etc.
12. Once all information is entered and files have been uploaded, please click "Submit" at the bottom of the page. After submitting your draft, you should receive confirmation on the next page.
13. Email thesis@utk.edu to notify the Coordinator of Student Services that your work has been submitted for review.

The only time to follow the above steps are when making the original submission; after that, every new version (including the final one) should be uploaded as a revision to that original submission. **Uploading subsequent drafts as initial submissions will cause issues with the publication of the document and can result in the wrong version of a thesis or dissertation being made public.** It is imperative that students follow the subsequent submission instructions (listed below) that are included in each feedback document.

Instructions for uploading ***all subsequent drafts***:

1. Go to TRACE. Be sure to click on the correct link based on your submission type.
    - Thesis Submissions - TRACE homepage (https://trace.tennessee.edu/utk_gradthes/)
    - Dissertation Submissions – TRACE homepage (https://trace.tennessee.edu/utk_graddiss/)
2. Select "My Account" from the left navigation bar and login using the email address you used when you initially setup your account.
3. After logging into TRACE, you will be brought to the *My Account* page.
4. Under "Theses/Dissertations," on the *My Account* page, click on the title for which you want to submit a revised draft.
5. In the top left-hand corner, click on "Revise thesis/dissertation."
6. On the next page, a form will populate with the information you entered previously. Please carefully review to ensure all information entered is accurate and make any updates as needed.
7. Upload the full text. You may upload a revised draft (in Word or PDF formats) using the form fields at the bottom of the page and click "Submit" to finalize your submission.
8. Upload any additional files. These could include any supplementary files you want to include such audio, spreadsheets, video, etc.

9. Update the submission. Please provide a reason for the revised draft. Reasons could include: “incorporated Graduate School feedback,” “added committee feedback,” “wrong draft initially submitted,” etc.
10. Once all information is entered and files have been uploaded, please click “Submit” at the bottom of the page. After submitting your draft, you should receive confirmation on the next page.
11. Email **thesis@utk.edu** to notify the Coordinator of Student Services that your work has been submitted for review.

Final Submission

When all content edits to the thesis/dissertation have been made and all committee members have signed off on the final version, the final document must be submitted to TRACE.

After that has been completed, the Coordinator of Student Services will review the document to ensure all formatting issues from the last review were corrected; or, if the coordinator found the previous submission free of issues (which is what should ideally have been done), and no new issues have popped up during the course of final revisions, the coordinator will process the acceptance provided the required forms have already been received. If the forms have not yet been received, the coordinator will confirm that the formatting is approved but the document cannot be accepted until the forms are received.

If errors *are* found with that version, they will need to be fixed and resubmitted before the document can be accepted. However, if it is free of formatting issues, it will be accepted when the requirements discussed below have been completed as well. **Submission of the final document must be made before the acceptance deadline.**

Submission of Thesis/Dissertation Approval Form

This form is used to notify the Graduate School that a student’s work has been fully approved by their committee and they give permission to accept the thesis or dissertation. The approval form along with submission instructions can be accessed at Forms Central.

Email Confirmation

When a student’s thesis or dissertation is accepted, it will be locked and the student will be unable to edit it or upload new drafts (even in the event of typos or other errors). Therefore, in order to make sure a document is not accepted prematurely, students are required to email the Coordinator of Student Services at thesis@utk.edu and notify them upon completion of final edits and give permission for the document to be accepted (provided no formatting issues are

found). The Survey of Earned Doctorates (Doctoral candidates only) must be completed.

All doctoral candidates must complete the Survey of Earned Doctorate (SED). This survey should not take long to complete, so completing it early in the semester is recommended to allow for focusing on the actual thesis or dissertation as the final deadline approaches. The Graduate School website provides instructions for how to complete the SED.

Deadline Dates

Each semester, deadline dates are posted for final submission. These are the deadlines by which the thesis or dissertation itself, and all appropriate materials mentioned above must be turned into the Graduate School.

Each semester there are two dates for submission of final copies of all theses and dissertations. The first deadline, approximately two weeks before the end of the term, must be met by all students expecting to graduate that semester. The other date is for the "early deadline." Students meeting the early deadline will have their degrees awarded for the early deadline semester. However, registration for the thesis/dissertation hours in the semester in which the degree is conferred is not required.

Post-Final Submission

After graduation, the thesis or dissertation will be placed into the University Libraries as an electronic document, accessible via the UT Library catalog. The time at which the document becomes publicly available varies, but it generally occurs 2–3 months after the student graduates.

Hard Copies and Binding

The Graduate School only accepts the submission of ETDs (electronic theses and dissertations) and does not provide printing or binding services. If individual committees/departments require their students to submit a traditional bound hard copy to them and/or if the student wishes to obtain a hard copy for themselves or family/friends, the student will need to locate a vendor for those services.

Section 6: Copyright/Embargo Policy

Publication Policies

The Graduate School Catalog states,

> *A student must, as a condition of a degree award, grant royalty-free permission to the university to reproduce and publicly distribute, including by electronic and digital technologies now known or developed in the future, on a non-commercial basis, copies of the thesis or dissertation.*

The world of scholarship depends on people making their research available to others. When that is done electronically, more people can get access at a lower cost, and more knowledge transfer occurs. This can stimulate education and research. It also can ensure that many people give credit to you for your work, and that your research is cited in others' publications, which adds to your prestige and can help your future advancement.

Because of the access restrictions in storing single copies of theses and dissertations on the shelf before they were available electronically, few of these documents were read. Electronic access can dramatically increase the number of times your work is read or used. Since you spent a great deal of time on your research, it should encourage you to know that others are reading that work. Your literature review may guide others, and your results may save others the time of redoing your study.

Embargo Policy

Although you are required to give UT permission to distribute your thesis/dissertation, you still have and retain copyright of your work. Therefore, you are permitted to also submit your work for publication elsewhere.

Due to many students choosing to do this now, the Graduate School allows students to request that an embargo be placed on your work. An embargo is a delay in the release of a publication, which prevents your work from being publicly available. This is helpful in several instances as discussed on the UT Libraries website.

- When an author wants to submit their thesis or dissertation to the Graduate School, but simultaneously has a chapter from it under review (or soon to be submitted for review) as an article at a journal. Most journals want the right of first publication and will not accept or publish anything

previously published elsewhere. An embargo prevents your thesis or dissertation from being published in TRACE for a period of time.

- When an author has published a chapter of their thesis or dissertation as an article, but the publication agreement the author signed with the journal publisher prevents them from making the article publicly available for a period of time (usually 12 months from date of publication).
- When an author wants to submit their thesis or dissertation to the Graduate School, but also wants to submit their work to a publisher for consideration as a monograph. Again, publishers want the right of first publication, so an embargo allows you to keep your work private until the embargo period ends.

In order to request an embargo, you must submit the initial embargo request form to the Graduate School no later than the thesis/dissertation submission deadline. Students are given the option to request that their work be held from public release for one, three, or six years—make sure to discuss with your advisor which term will best fit your needs. Under extraordinary circumstances, former students are allowed to extend the embargo for an additional 12 months after the initial embargo period. In order to extend the embargo former students must complete the embargo renewal request form prior to the expiration of the initial embargo period.

Appendix

The following table also happens to be an example of how a table that cannot fit entirely on one page should appear.

Table A-1: List of Most Common Errors.

Error	Further information / How to avoid
Incorrect date on title page	This date must be the month and year of *graduation*, regardless of when the student submits or defends. The only possible months are May (for a spring graduation), August (for summer), and December (for fall).
Abstract is too long	350 words is the maximum length for all theses/dissertations regardless of your field of study.
Inaccurate Table of Contents, List of Tables, and/or List of Figures	You are encouraged to use your word processing software's functions to index your headings and tables/figures so that you can automatically generate and update these lists (as opposed to typing them yourselves). The Office of Innovative Technologies (OIT) offers technical support and workshops.
Incorrect page numbering scheme	Lowercase roman numerals must be used in the preliminary pages and Arabic numbers must be used throughout the rest of the document. The title page should be counted as page i—although the page number should be suppressed—and all other page numbers must be visible. Finally, the numbering in the body of the document should start over with 1. Each page must have a unique page number. You cannot start over with your numbering scheme for each chapter.

Table A-1 Continued

Error	Further information / How to avoid
Tables/figures are incorrectly referenced in the text	Every table/figure must be directly mentioned by number in the text, not just by phrases like “in the following image…”.
Incorrect table/figure placement	This is one of the things students generally have the most trouble with during the formatting process. If you are going to have tables/figures, they must either be on a separate page or in an appendix. Please carefully review the guidelines in Section 2: .
Formatting inconsistencies	You are encouraged to use your word processing software’s functions to index your headings and tables/figures to ensure the formatting among text of equal value is consistent throughout the document. OIT offers technical support and workshops.
Margins are not consistent	Even if you set your margins to at least 1”, large tables/figures can go into them. Also, every time you add a section break (such as to insert a landscape page), the margins can be changed without affecting the margins in the previous section, so make sure to check all sections to ensure the margins are consistent on all sides of the page.
PDF conversion issues	Make sure to always check your converted PDF, not just the source file, before uploading it to TRACE. If there are issues present on the PDF that are not present on the source file (such as blank pages, spacing issues, error messages), you can get technical support from OIT.

Thesis and Dissertation Submission Key Takeaways

- The preliminary draft deadline is a HARD deadline. If students do not submit their draft in TRACE by this deadline they may not have their document reviewed before the final deadline. The preliminary draft does not have to be complete. The purpose of the preliminary draft is to ensure the student is on the right track formatting-wise.
- Only drafts submitted in TRACE will be reviewed. Drafts submitted as attachments via email will not be reviewed.
- The ACCEPTANCE DEADLINE is not simply the deadline for students to submit their document to TRACE. The acceptance deadline is the deadline for the document to be ACCEPTED in TRACE. Acceptance is confirmed by a notification through TRACE explicitly stating the document has been accepted. This means the document is free of formatting errors and all of the required paperwork (e.g. approval form, Survey of Earned Doctorates certificate for doctoral students) has been received. Submission of the final document must be made before the acceptance deadline.
- Timeline for reviews and feedback varies throughout the semester. It is the recommendation of the Coordinator of Student Services that students submit early. Submissions around the deadline (this encompasses the week of the deadline date) are extremely high. This makes the review and feedback process take much longer.

Thesis and Dissertation Formatting Key Takeaways

- CONSISTENCY IS KEY. Where the Graduate School does not require a specific format, you must be consistent in the aesthetic choices you make.
- Preliminary pages must be in the right order and (with the exception of the title page) must be numbered using lowercase roman numerals.
- The text should cover as much of the page as possible unless it is the last page of a chapter.
- Figures and tables must follow the placement requirements for each placement method: a single figure or table on a text page, on a separate page following the text page where they are referenced, or in an appendix.

Questions? Concerns? Confused? Reach out early! Email the Coordinator of Student Services at thesis@utk.edu.

Microsoft Word and LaTeX Resources

MS Word for Theses and Dissertations (asynchronous)

In this asynchronous course, you will explore how Microsoft Word can create different features for your writing and help you format your document. Please note that this course is not a comprehensive list of all of the requirements and guidelines for your thesis/dissertation, but rather a resource to help you structure your thesis/dissertation using Microsoft Word as a tool.

The Word Group

Online forum for best practices in Word.

LaTeX Support from Research Computing Support

RCS provides minimal support for LaTeX, specifically with the TeXstudio and MacTeX editors. To learn more about installing and accessing LaTeX for Linux, Mac OS, and Windows, please visit *The LaTeX Project* website.

To schedule an appointment with Research Computing Support (RCS) for help with your research, please contact the OIT HelpDesk by phone at 865-974-9900 or online.

To learn more about LaTeX, visit the OIT Research Computing Support software website.

LaTeX Codes for Figure/Table Placement (Separate page)

Grad School LaTeX template:

```
% Grad school limits floats to float pages
\renewcommand{\floatpagefraction}{0.0}
\setcounter{totalnumber}{0}
% Grad school requires half inch between figures on float
pages
```

```
\makeatletter
\setlength{\@fpsep}{0.5in plus 1fil minus 0pt}
\makeatother
```

Other templates:

```
\begin{figure}[hp]

    ... figure contents...

    \end{figure}
```

Overleaf: Positioning of Figures

Table A-2: Required Page Sequence— Preliminary Pages

Order	Required?	Page Numbers
Title page	Yes	Counted as page I but there must not be a page number on this page
Copyright page	No	Visible lower-case roman numeral
Dedication	No	Visible lower-case roman numeral
Acknowledgements	No	Visible lower-case roman numeral
Preface	No	Visible lower-case roman numeral
Abstract	Yes	Visible lower-case roman numeral
Table of Contents	Yes	Visible lower-case roman numeral
List of Tables	If 5+ tables appear in the text	Visible lower-case roman numeral
List of Figures	If 5+ figures appear in the text	Visible lower-case roman numeral
Nomenclature / List of Abbreviations / List of Symbols	No	Visible lower-case roman numeral
List of Attachments	If including any attachments	Visible lower-case roman numeral

Table A-3: Required Sequence of Pages—Body of Thesis / Dissertation

Order	Required?	Page Numbers
Body of text	Yes	Visible Arabic numbers (first page is page 1)

Table A-4: Required Sequence of Pages—End Pages

Order	Required?	Page Numbers
Bibliography / List of References	Yes	Visible Arabic numbers (continue sequential numbering)
Appendix	No	Visible Arabic numbers (continue sequential numbering)
Vita	Yes	Visible Arabic numbers (continue sequential numbering)

Figure A-1: Example of Title Page

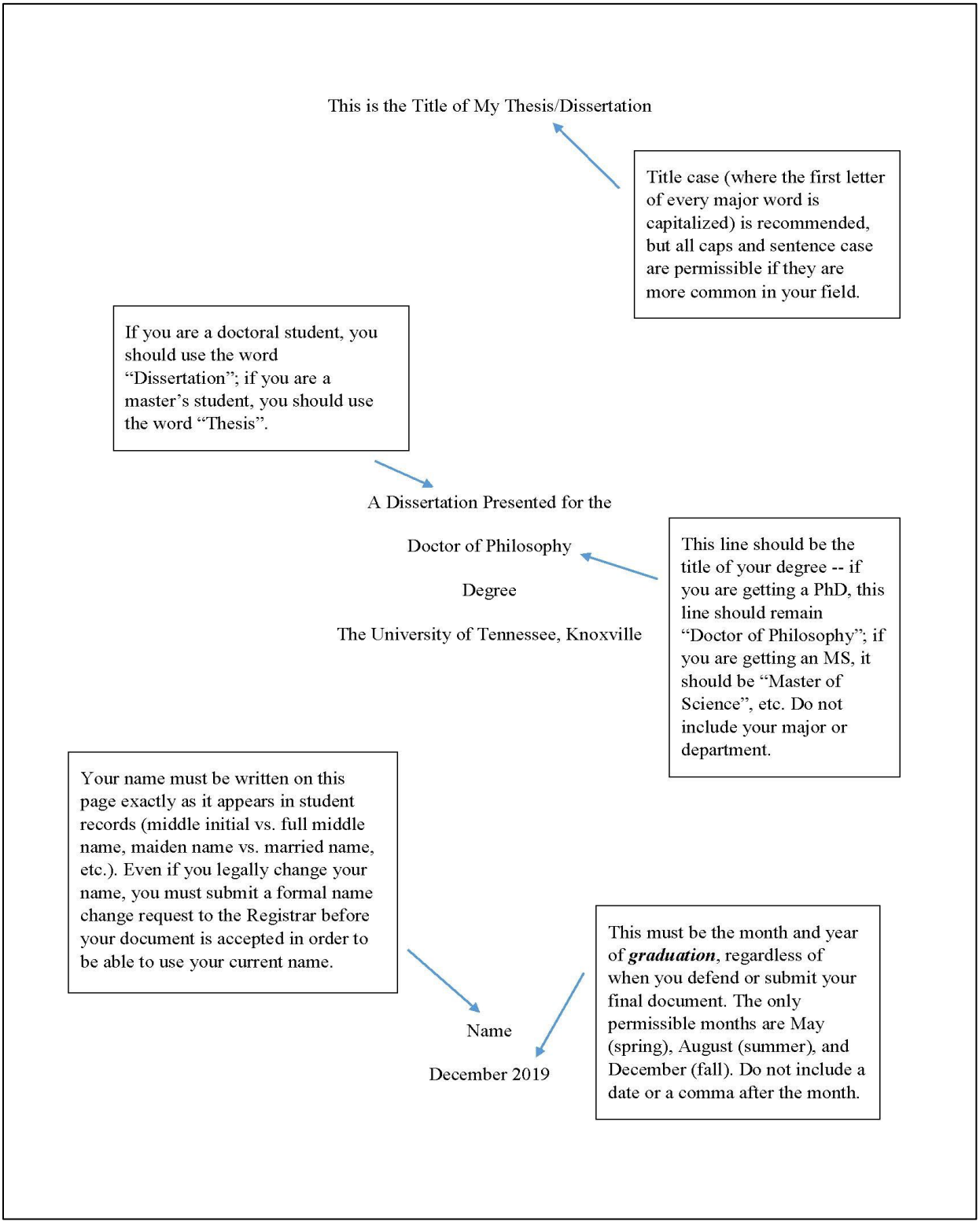

Figure A-2: Example of List of Attachments Page

List of Attachments

Photos of Trees in North America (NATreePhotos.zip)

North American Tree Data (NATreeData.xls)

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Figure A-3: Placing Tables and Figures on the Text Page: Sample Figure Page

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Figure 1. This is a photograph of a campus. Source: https://brand.utk.edu/standards/photographic-style/

Figure A-4: Placing Tables and Figures on the Text Page: Sample Table Page

Ut tempor in justo vitae mollis. Aliquam ultrices diam a tortor vehicula, et rutrum velit malesuada. Curabitur in accumsan turpis. Vestibulum ornare felis eu bibendum interdum. Donec sollicitudin, augue sed vehicula dapibus, quam orci tempus dolor, vel tincidunt libero nunc elementum mi. Nullam magna lectus, imperdiet cursus orci ac, pretium tempor elit. Nullam suscipit quis felis sed suscipit. Donec at quam rutrum, tempor ante vitae, consectetur turpis. Pellentesque mattis enim a massa faucibus dapibus. Sed sit amet consectetur quam, (**Table 1**) sed facilisis urna. Morbi tempor purus in tempus elementum. Ut quam elit, auctor ac leo eget, vehicula ornare felis. Etiam accumsan pellentesque nulla condimentum varius. Vestibulum ante ipsum primis in faucibus orci luctus et ultrices posuere cubilia Curae; Nulla facilisi. Vestibulum eget ex blandit, venenatis turpis facilisis, ultricies ipsum. Ut rhoncus, nibh ut vehicula efficitur, tortor est condimentum nibh, id sollicitudin turpis nisl quis nisl. Duis sodales vel nunc vel pellentesque. Mauris ultrices luctus nunc, eu sagittis ligula commodo ut. Praesent eget scelerisque diam.

Table 1: Example of a table on the text page.

Reviews	**Sample Tables**	**Sample Figures**	**Submissions**	**Totals**
299	24	16	101	440
413	91	20	173	697
577	53	11	252	893
802	82	43	328	1255
1026	37	75	403	1541

Figure A-5: Placing Tables and Figures on a Separate Page: Sample Figure Page

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Figure 1. This is a photograph of a fire. Source: https://pixabay.com/en/fire-flame-carbon-burn-hot-mood-2777580/

Figure A-6: Placing Tables and Figures on a Separate Page: Sample Table Page

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Quisque non ullamcorper nibh, nec convallis erat. In eu sollicitudin ipsum, nec dapibus lacus. Duis vulputate nibh nec lectus molestie laoreet. Nam commodo nunc non mollis iaculis. Phasellus eget lorem nunc. Vestibulum justo neque, sodales non tortor eu, feugiat pulvinar magna. Morbi volutpat nec nunc dictum pharetra. Quisque posuere tincidunt orci sit amet ornare. Praesent nibh ipsum, vehicula in tincidunt ac, porta et risus. Nullam metus lectus, laoreet ac metus et, pharetra vulputate nibh. Quisque posuere tincidunt orci sit amet ornare. Praesent nibh ipsum, vehicula in tincidunt ac, porta et risus. Nullam metus lectus, laoreet ac metus et, pharetra vulputate nibh.

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Table 1: Example of a Table on a Separate Page

Document ID	Type of Document	Date Processed
1	Paper	6/2/9999
2	Electronic	7/4/9999
3	Copy	8/8/9999

Figure A-7: Examples of Incorrect and Correct Landscape Page

Figure A-8: Example of Figures with Multiple Images

(a) Taking a break while on a walk

(b) Chewing on a toy

Figure 2: Dog Photos.

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(c) Hoping for a treat

Figure 2 (continued)

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Figure A-9: Example of a Vita Page

Originally from South Carolina, Jane Doe grew up in Columbia, South Carolina. After high school, she attended the University of South Carolina and received a Bachelor of Science degree in Chemistry. Before graduating with her undergraduate degree, she knew she wanted to attend graduate school. She chose to attend the University of Tennessee, Knoxville to pursue a Doctor of Philosophy degree in Chemistry with a concentration in Analytical Chemistry. Her research interest includes studying the mechanisms of food related toxins and assessment of exposure. After graduation, she will begin her new position as an assistant professor position at State University. She is incredibly grateful for all the support from her husband, children, and family as she begins her new career.