

FORMAT & SUBMISSION GUIDELINES FOR DISSERTATIONS
UNIVERSITY OF HOUSTON–CLEAR LAKE

TABLE OF CONTENTS

I. INTRODUCTION	1
II. YOUR OFFICIAL NAME AT THE UNIVERSITY OF HOUSTON-CLEAR LAKE.....	2
III. ARRANGEMENT OF DISSERTATION	3
IV. PAGE FORMAT AND LAYOUT	5
a. Entire Document	5
i. Page Size.....	5
ii. Font.....	5
b. Preliminary Text Pages	5
i. Pagination of preliminary text pages.....	5
ii. Copyright Statement (optional)	6
iii. Title page	6
iv. Signature page	6
v. Dedication (optional) and/or epigraph (optional).....	7
vi. Acknowledgements (optional).....	7
vii. Abstract (required).....	7
viii. Table of Contents (required).....	8
c. Typesetting.....	8
i. Spacing	8
ii. Margins.....	8
iii. Paragraph indentation.....	9
iv. Pagination of text.....	9
d. Headings.....	9
i. Major headings	9
ii. Subheadings.....	10
e. Tables, Figures, & Illustrations	10
i. Placement.....	10
ii. Numbering.....	10
iii. Captions/Titles.....	11
f. References and Appendices	11

i.	References	11
ii.	Appendices	12
V.	SUBMISSION & PUBLICATION INFORMATION.....	13
a.	Copies Required.....	13
b.	Submission	13
i.	Embed fonts & convert to PDF	13
ii.	Scan & save signature page	13
iii.	Register for an ORCID ID (optional).....	14
iv.	View video of upload process	14
v.	Log-in to Vireo and upload your dissertation.....	14
c.	Delay of Publication (embargo).....	15
d.	Receiving and Submitting Corrections	15
e.	Copyright.....	16
i.	Copyright ownership	16
ii.	Using materials copyrighted by others	17
iii.	Using your previously publications in your ETD.....	17
f.	Final Clearance for Graduation.....	17
g.	Publication and availability	17
h.	Printing and Binding your Dissertation (not required).....	18

I. Introduction

The University of Houston-Clear Lake accepts electronic dissertations in PDF format only. You must upload your manuscript directly to the Vireo Thesis and Dissertation Submission System at <https://uhcl-etd.tdl.org/>. You are required to schedule a format check from the Neumann Library by a Research & Instruction Librarian before you upload your manuscript. Go to <http://libguides.uhcl.edu/dissertation> to schedule an appointment.

Download the UHCL Dissertation Templates at <http://libguides.uhcl.edu/dissertation>. These templates are designed for Microsoft Word for Windows. Templates define the correct pagination, margins, font size and style, and other formatting settings according to the guidelines specified in this guide.

In addition to uploading the PDF version of your dissertation to Vireo, all students must upload:

- A scanned electronic version of the signature page with original signatures of the supervising committee, the Associate Dean of the College, and the Dean of the College.
- The Committee for the Protection on Human Subjects form

NOTE: Committee signatures are **not** included on the signature page contained in your final manuscript. Committee signatures are required on the loose signature page that is uploaded as a supplemental document. The loose signature page and the CPHS form will be archived privately by the Neumann Library and will not be publicly available.

II. Your Official Name at the University of Houston-Clear Lake

All students must represent their full name as it is officially recorded by the Registrar.

III. Arrangement of Dissertation

Each dissertation must be arranged in the following order. Required pages are preceded by *

A. Preliminary text pages

1. **Copyright page** (Sample B). Include this page in the pretext page count, but do not place a page number on it.
2. * **Title Page** (Sample C). Include this page in the pretext page count, but do not place a page number on it.
3. * **Signature Page** (Sample D). Include this page in the pretext page count, but do not place a page number on it.
4. **Dedication and/or Epigraph** (Sample E). Include this page in the pretext page count, but do not place a page number on it.
5. **Acknowledgments** (Sample F). Begin placing pretext lowercase Roman numerals at the bottom of this page, counting all preceding pretext material. Page numbers are centered one inch from the bottom of the page.
6. * **Abstract** (Sample G). Continue pretext page numbering with lowercase Roman numerals.
7. * **Table of Contents** (Sample H). Continue pretext page numbering with lowercase Roman numerals.
8. * **List of Tables** (Sample I). Continue pretext page numbering with lowercase Roman numerals.
9. * **List of Figures** (Sample J). Continue pretext page numbering with lowercase Roman numerals.

B. Text

10. * **Text** (Sample K). All pages from the first page of text through the résumé are numbered consecutively in Arabic numerals, beginning with Arabic numeral “1” on the first page of the thesis or report text.

C. References and appendices

11. * **References** (Sample L). Continue page numbering with Arabic numerals.

12. **Appendices** (Sample M) Continue page numbering with Arabic numerals.

IV. Page Format and Layout

a. Entire Document

Your dissertation must be correct in spelling and punctuation and presented in a consistent, structured format.

i. Page Size

The entire document must be in 8.5" x 11" (letter) page size. Pages may be set in landscape orientation for figures and tables that do not fit optimally in portrait orientation.

ii. Font

A single, legible, black font must be used throughout, the only exceptions being in tables, figures, graphs, appendices, and supplemental files. Font size must be 12 point consistently throughout the text of the dissertation. Bold or italics may be used for emphasis in the text.

Italics may be used for Latin, other foreign words, and jargon/specialized terminology.

Tables, figures, graphs, captions, and appendices are not considered part of the text and therefore may be different font styles and sizes.

All fonts must be embedded while converting your document to PDF. Do not scan the text of your document into PDF format because readers will not be able to search for text within the document.

b. Preliminary Text Pages

Unless otherwise noted, font must match the text of the manuscript for all preliminary text pages.

i. Pagination of preliminary text pages

Preliminary text pages include the front matter before the first page of Chapter 1. Every page number in the preliminary text pages **must be numbered** with the exception of the:

- Copyright page
- Title page
- Signature page

- Dedication and/or Epigraph (if used)

Even though these pages **will not** have a page number on them, all of them are to be included in the preliminary text page number count.

The first page with a page number will be on Acknowledgements (if used) or Abstract. At that point, all preliminary text pages preceding the actual text must be numbered in lowercase Roman numerals (e.g. iii, iv, v) in Times New Roman font. These numerals must be centered under the text with at least one inch of space between the number and the bottom of the page.

ii. Copyright Statement (optional)

See Sample B. Include this page in the pretext page count, but do not place a page number on it. The purpose of this page is to declare copyright ownership of your dissertation.

iii. Title page

See Sample B. Include this page in the pretext page count, but do not place a page number on it.

- Title: Must be capitalized and double-spaced. If more than one line, must be double-spaced in cascading waterfall format, with each subsequent line shorter than the one before it.
- Your name: Must be capitalized. Must be the same as officially recorded by the registrar. Following your name, include your current degree held.
- Month and year of graduation

iv. Signature page

See Sample C. Include this page in the pretext page count, but do not place a page number on it. A Signature Page with the original signatures of all your committee members, the Dean, and the Associate Dean of the College must be scanned in separately and uploaded in Vireo as a supplemental document. This is required whether or not your committee members were physically present at the final defense. This page will be archived privately by the Neumann Library.

A blank Signature Page **without signatures** must be included in the electronic submission following the Title Page.

- Title: Must be formatted identical to that on the Title Page
- Your name: With the exception of the degree, your name must be the identical to that on the Title Page. Do not include any degree information.
- Signature lines: There should be as many lines as there are committee members, as well as lines for the associate dean and dean. Underneath each line, include the typewritten name of the signatory, and his or her highest degree. All signatures must be original. Duplicated signatures are not acceptable.

v. Dedication (optional) and/or epigraph (optional)

See Sample E. Include this page in the pretext page count, but do not place a page number on it.

Use the Dedication page to declare who or what the dissertation is dedicated to. Use the Epigraph page to include a short quotation, sentence, or poem with a relationship to your work.

vi. Acknowledgements (optional)

See Sample F. Begin placing pretext lowercase Roman numerals at the bottom of this page, counting all preceding pretext material.

Use the Acknowledgements page to acknowledge individuals, organizations, or other institutions that played a significant role in the successful completion of your dissertation.

vii. Abstract (required)

See Sample G. Continue pretext page numbering with lowercase Roman numerals.

- Title: Must be formatted identical to that on the Title Page.
- Your name: With the exception of the degree, your name must be the identical to that on the Title Page. Do not include any degree information.
- Your chair's/co-chair's name(s): Must be identical to those on the Signature Page.

- Text: Recommended text length is no longer than 350 words. Provide a complete, succinct snapshot of the research, addressing the purpose, methods, results, and conclusions of the research. The abstract should be able to stand alone, with no formal citations or references to chapters/sections of the work

viii. Table of Contents (required)

See Sample H. Continue pretext page numbering with lowercase Roman numerals.

The Table of Contents is placed in the document immediately before any pretext lists of tables, figures, or illustrations. These pretext lists, if present, will be the first item noted on the Table of Contents.

The Table of Contents must include each major section heading for the text **up to and including Second Level subheadings**. All chapter titles and subheadings listed on the Table of Contents must exactly match the headings as presented in the text. For example, a chapter labeled as “Chapter 3” in the Table of Contents should not appear as “Chapter III” within the text.

Major sections and chapters within the document are listed on the Table of Contents with left-justified headings (not indented). Each of these major sections should begin on a new page within the text. Subheadings do not need to begin on new pages.

c. Typesetting

i. Spacing

The text of the dissertation must be double-spaced throughout. Exceptions include block quotations, in-text lists, captions, footnotes, and appendix material.

ii. Margins

Your dissertation must have minimum margins of 1.25 inches. These margins must be consistent throughout the document, including pages in the appendix. All text must be placed within the margins with the exception of page numbers. All page numbers must be placed at least one inch from the bottom center of the page.

iii. Paragraph indentation

Indent the first line of each paragraph, including the first paragraph underneath the subheading.

iv. Pagination of text

Every page number in the text of the dissertation must be numbered. The first page of text begins with Arabic numeral 1 in Times New Roman font. Pagination begins on the first page of Chapter I and continues throughout the manuscript text, references, and appendices. All pages within the text must contain an Arabic page number, bottom-centered, at least one inch from the bottom edge of the page.

The first page of every major section (chapters, appendices, bibliography) must begin on a new page.

d. Headings

i. Major headings

Major headings include:

- Preliminary Text
 - TITLE of the dissertation on the Title Page
 - TITLE of the dissertation on the Signature Page
 - DEDICATION
 - ACKNOWLEDGEMENTS
 - ABSTRACT
 - TABLE OF CONTENTS
 - LIST OF TABLES
 - LIST OF FIGURES
- Text
 - CHAPTER TITLES
- References & Supplemental Sections

- REFERENCES
- APPENDIX

Major headings are to be double spaced, uppercase, centered, and not bold. If major headings are more than one line, they are to be double-spaced.

For Chapter Titles, the word “CHAPTER” and its corresponding numeral are on the first line, and the chapter title is on the second line.

ii. Subheadings

Subheadings include all sections and subsections within a chapter. Subheadings must be 12-point size. All text will begin on the line immediately following the subheading.

- First level headings are centered, bold, with uppercase and lowercase letters.
- Second level headings are flush left, bold, with uppercase and lower case letters.
- Third level headings are indented, bold, and sentence case ending in a period. See example below.

First Level Heading
Second Level Heading
Third level heading.

e. **Tables, Figures, & Illustrations**

i. Placement

If possible, tables/figures should be presented on the page with the text, even if that leaves some blank space in the preceding page. If that is not possible, the table/figure should appear at the top of the next page. Pages carrying illustrative material must be given page numbers appropriate to their place in the document.

ii. Numbering

All tables, figures, illustrations, and other types of examples included and referenced in the text of the dissertation should be numbered for identification. No two examples should be assigned the same number.

Tables/figures may be numbered in one of two ways:

- Consecutively throughout the document (e.g. Table 1 – Table x)
- Per-chapter so that the numbers reflect the location in the document (e.g. Table 4.1 is the first table in Chapter 4).

Do not mix these two types of numbering schemes within your dissertation.

iii. Captions/Titles

Captions/titles must be placed on the same page with the table/figure they describe. The captions should be consistently placed either above or below the table/figure throughout the document.

If tables/figures exceed one page in length, the figure is divided at a place deemed appropriate by the dissertation committee. For example, the figure may be presented on one page, with the legend on the next page.

Tables/figures for which the non-text part exceeds one page should be reconfigured (e.g. reduce font size, use landscape format) so that it will fit on one sheet of paper. The form of the table is to follow the specifications in the *APA Publication Manual*. Although the size of the tables will vary, formatting among tables should be consistent in terms of spacing, indentation and alignment.

f. References and Appendices

i. References

Every dissertation must include a comprehensive reference, or bibliography, section. This section must be called “References.” The Reference section is the last required section of the dissertation. The bibliography must follow APA style according to the 6th edition of the *Publication Manual*.

The bibliography must indicate materials actually referenced in the dissertation and from sources the student has actually used. References must include the edition number when later than the first, so that the accuracy of quotations and citations may be readily verified.

ii. Appendices

Appendices are optional and used for supplemental material. All Appendix pages must be numbered, continuing from the Reference section. All material must be within prescribed margins and be readable in size and legibility (1.5 mm or larger).

Appendix designations (for example, "APPENDIX A") and Appendix titles should be centered, in all capital letters, on the top of the first page of each Appendix. Titles more than one line in length must be double spaced, as chapter titles.

The appendix designation (APPENDIX or APPENDIX A, etc.) is required in the Table of Contents. Appendix titles are optional in the Table of Contents.

V. Submission & Publication Information

a. Copies Required

The University of Houston-Clear Lake requires all dissertations to be published as part of each student's graduation. Dissertations are to be submitted through the Vireo Thesis & Dissertation Submission System at <https://uhcl-etd.tdl.org/>. Electronic copies of dissertations will be open access and globally available through the Neumann Library Institutional Repository at <https://uhcl-ir.tdl.org/uhcl-ir/>. Print dissertations are not required and will not be accepted. As an extra measure of security, students are strongly encouraged to keep a copy of their approved dissertation and to provide an additional copy to their supervisor/department.

b. Submission

i. Embed fonts & convert to PDF

You will need to embed your fonts inside your Microsoft Word document, and then convert the document to a PDF file. You will still be able to retain the Word file as a separate document. Do not submit your Word document in Vireo.

Please consult the Guide for Using the UHCL Dissertation Template at <http://libguides.uhcl.edu/dissertation> to complete this step.

Name the document file with the following three elements in all capital letters, separated by a hyphen: year of graduation, semester of graduation, DOCTORALDISSERTATION, your last name. For instance:

2016-FALL-DOCTORALDISSERTATION-WILLIAMS.pdf

ii. Scan & save signature page

You will need to scan one of your signature pages to be uploaded in Vireo along with your dissertation. The signed signature page should be saved as a separate PDF from the dissertation PDF. The Neumann Library has scanners that are free to use, and we will be happy to help you with this step if needed.

Name the signature page file with the following three elements in all capital letters, separated by a hyphen: year of graduation, semester of graduation, DISSERTATIONSIGNATUREPAGE, your last name. For instance:

2016-FALL-DISSERTATIONSIGNATUREPAGE-WILLIAMS.pdf

This page will be archived, but will not be publicly available to protect the signatures of the signing parties. The signature page with blank signature lines will be used in the publicly available version.

iii. Register for an ORCID ID (optional)

This step is optional but highly encouraged. Register for an ORCID ID at <http://orcid.org/>. Registration is free.

ORCID provides a persistent numeric identifier that distinguishes you from every other researcher. ORCID is an open, non-profit, community-driven effort to create and maintain a registry of unique researcher identifiers and a transparent method of linking research activities and outputs to these identifiers.

Connect your ORCID ID to your thesis or dissertation so that users can easily locate your work in cases of name ambiguity (other authors have the same or similar name as you) and name variants (e.g. use of different names or initials across publications).

iv. View video of upload process

Available at <https://youtu.be/gLgkLg1ZuZA>

v. Log-in to Vireo and upload your dissertation

Go to <https://uhcl-efd.tdl.org/> to upload your dissertation.

c. Delay of Publication (embargo)

All dissertations will eventually be available to the public. At the time of submittal in Vireo, you have the option to release the manuscript immediately, or to embargo (delay) the full-text availability for a limited time for publishing/patenting purposes. You may embargo your dissertation for either 6 months, 1 year, or 2 years. If you do not choose to embargo the dissertation, it will be made available in the next semester following your graduation.

Generally, in order to publish journal articles or books from your dissertation or thesis, the publisher will require significant revisions; for instance, the language may need to be condensed and modified to suit the journal's reader base, the format will need to conform to the publisher's specifications, and the peer reviewers may suggest rewriting or rethinking portions of the work. For these reasons, many publishers do not regard theses and dissertations as prior publications, and will publish articles and books based on those works without requiring the dissertation to be embargoed. Review the policies of publishers you intend to work with, and speak with your Committee Chair.

d. Receiving and Submitting Corrections

After you have submitted your dissertation, the only corrections you may make are those required by the Neumann Library. Additional corrections requested by the student, the chair, or other committee member will not be accepted.

You can monitor the dissertation status by logging in to Vireo. The Neumann Library will contact you via your UHCL email address after review of the manuscript with any required corrections. Log-in to Vireo and you will notice that the Status of your work is "Needs Corrections."

For step by step instructions about how to make corrections and resubmit your manuscript, please watch this brief video tutorial on YouTube: <https://youtu.be/xYbHUIYvdNc>. Click the Edit button and enter the View Application screen, where you can upload a corrected document. The screen will provide instructions, highlighted in red, for uploading a corrected document. You

can replace the ETD using the upload tool on this screen and selecting “Complete Corrections” at the bottom of the screen when finished. You will be asked to confirm that you have completed the replacement and will then see a screen confirmation indicating that corrections have been successfully submitted.

All corrections must be made promptly and meet the deadlines at <http://libguides.uhcl.edu/dissertation>. Graduation will be postponed if corrections are not made on time.

e. Copyright

i. Copyright ownership

You are the copyright owner of your thesis or dissertation, regardless of whether you choose to register it with the U.S. Copyright Office. As copyright owner, you have a bundle of rights, enumerated in the United States Copyright Law:

<http://www.copyright.gov/title17/92chap1.html#106>.

When submitting your thesis or dissertation, you are asked to agree to a license to grant the Texas Digital Library, UHCL, and your academic department "the **non-exclusive rights** to copy, display, perform, distribute and publish the content I submit to this repository...and to make the Work available in any format in perpetuity as part of a TDL, Institution or Department repository communication or distribution effort."

Non-exclusive rights permit the university to archive, preserve, and make your work available but do not give it copyright ownership. You retain copyright of your work, and can still exercise all of your rights under copyright. Because the license is non-exclusive, you still have the right to publish the work yourself, or transfer exclusive rights to another publisher.

ii. Using materials copyrighted by others

If you use copyrighted material in your dissertation beyond the extent covered by fair use, you must obtain the written permission of the copyright holder and upload the permission letter with your dissertation.

iii. Using your previously publications in your ETD

If you have already published portions of your dissertation as articles or book chapters and assigned copyright to the publisher, you must obtain copyright release to include that portion in your dissertation. That permission must be submitted with the dissertation as a supplemental document. An acknowledgement of any previous publication must also be included.

f. Final Clearance for Graduation

In addition to making corrections, students must:

- Register for the semester
- Apply for graduation in the semester graduating through e-services. See <http://www.uhcl.edu/registrar/graduation-information>.

g. Publication and availability

Your work will be accessible directly from the UHCL Institutional Repository at <https://uhcl-ir.tdl.org/uhcl-ir/>, hosted by the Neumann Library and the Texas Digital Library (TDL).

Researchers, practitioners, members of the public, and anyone interested in reading your work will be able to find it via the Neumann Library catalog, Google Scholar, Texas Digital Library, the National Digital Library of Theses and Dissertations, or other academic library catalogs based on searches for your name, the title, or the keywords from the abstract. Researchers will be able to cite it easily because it will be assigned a stable and permanent URL. The Institutional Repository will provide usage statistics, including how many people download it and the cities around the world from which people are viewing your work.

h. Printing and Binding your Dissertation (not required)

Printed and bound copies are not required by the University of Houston - Clear Lake, but you may want to have physical copies for yourself or others. You can print personal copies of your dissertation from the UHCL Copy Center <http://prt1.uhcl.edu/business-services/copy-center>. You can print/bind using an online service such as GradWorks Online <http://gradworksonline.com/> or a local book binder here in Houston such as The Bookbindery <http://www.thebookbinderyhouston.com>. These vendors are optional and provided here for informational purposes only. The University of Houston-Clear Lake does not endorse these vendors.