

# Article-Based Theses or Dissertations

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## Introduction

There are certain stylistic and format issues that thesis and dissertation writers must follow. However, with some exceptions there is no one-size-fits-all format to which all theses and dissertations must conform. Instead, it is expected that authors generally should be guided by disciplinary-based standards regarding academic writing and the guidance of their supervising committees. While the details of how the elements of a thesis or dissertation are written or assembled are important, it is critical that all stylistic and format decisions be consistently applied throughout the document and these decisions follow disciplinary norms.

The University of Texas at Arlington accepts both monograph-style and article-based theses and dissertations. Departmental policy and a student’s supervising committee determine if a monograph-based or article-based format is appropriate.

## Monograph-style Thesis or Dissertation

This is the canonical form of a thesis or dissertation. It is monograph-like, containing a series of related chapters written principally to satisfy degree requirements. Early chapters typically provide an extensive literature review which is the basis of and rationale for a research problem that is analyzed in subsequent chapters. A final chapter summarizes the work and explores its broader meanings and interpretations. The elements of a monograph style dissertation cohere because the content of each chapter exists expressly to provide the background and basis of later chapters. Theses and dissertations taking this form have long been accepted at UT Arlington.

## Article-Based Thesis or Dissertation

The article-based thesis or dissertation contains chapters that contain complete manuscripts which may be in preparation for publication, in press, or published. The original purpose for writing these manuscripts may or may not have been to satisfy current master’s or doctoral degree requirements. Nonetheless, they may be used to demonstrate the author’s capacity for independent scholarship and his or her contribution to knowledge.

Coherence across the chapters of article-based theses and dissertations is of major concern because the thesis/dissertation must not be a collection of unrelated manuscripts. The manuscripts must address related issues. Careful selection of manuscripts and convincing, incisive introductory and concluding

chapters are required in order to show readers how the articles relate to each other and contribute to the central theme of the thesis/dissertation. The common theme or problem that the manuscripts address is identified and discussed in an introductory chapter. A final concluding chapter discusses the theme or problem in light of the information contained in the manuscripts and provides an opportunity for the writer to explore the broader implications of the work.

A key difference between a monograph-based and article-based thesis/dissertation is in the formatting. An article-based document may contain manuscripts written to conform to the standards of their intended publishers. With few exceptions these formats can be preserved in the thesis or dissertation, even if the format varies somewhat between the manuscripts. In contrast, monograph-based theses or dissertations are required to follow a University-defined format throughout. With few exceptions, UT Arlington's format requirement for monograph-style theses and dissertations is they must be formatted in a consistent manner that follows the standards of the writer's field of study .

## Choosing Article-Based Style

The article-based thesis or dissertation contains chapters that contain complete manuscripts which may be in preparation for publication, in press, or published. The original purpose for writing these manuscripts may or may not have been to satisfy current master's or doctoral degree requirements. Nonetheless, they may be used to demonstrate the author's capacity for independent scholarship and his or her contribution to knowledge.

Coherence across the chapters of article-based theses and dissertations is of major concern because the thesis/dissertation must not be a collection of unrelated manuscripts. The manuscripts must address related issues. In addition to the careful selection of manuscripts, an article-based dissertation must include introductory and concluding chapters that show readers how the articles relate to each other and contribute to the central theme of the thesis/dissertation. The common theme or problem that the manuscripts address is identified and discussed in an introductory chapter. A final concluding chapter discusses the theme or problem in light of the information contained in the manuscripts and provides an opportunity for the writer to explore the broader implications of the work. In the article-based option the chapters are entire research papers as prepared or accepted for publication. The organization of chapters generally takes this form: Chapter 1: General Introduction; Chapter 2: Paper 1; Chapter 3: Paper 2; Chapter 4: Paper 3; etc., Chapter 5: General Discussion/Conclusions.

### 1. Authorship

The author of the thesis/dissertation must be the sole or primary author of the articles included in the document. Co-authored papers may be included (if the thesis/dissertation author is the primary author). However, the contributions of thesis/dissertation writer and his or her co-authors to the paper must be clearly stated in the thesis or dissertation. Descriptions of the contributions of co-authors are normally presented in a subsection of the introductory chapter of the document.

### 2. Copyright Permission

If the article has been published or has been accepted for publication, the author **must** secure written permission from the publisher (who owns the copyright to the paper), giving the author permission to

use the material in the thesis/dissertation. Contact the Thesis and Dissertation Desk at the Library for information on how to obtain it.

Permission to use material must be indicated at the beginning of each chapter containing copyrighted material. The example page titled “Format of the title page included in a chapter containing an article” (page 22 in the examples document) shows how this can be done. Copies of written permissions may also be submitted with the thesis or dissertation as an Appendix.

### 3. Co-author Permission

Co-authors should be informed of the thesis or dissertation writer’s intention to use co-authored work in their thesis or dissertation and the co-authors should agree to permit it.

### 4. Choice of Style and Formats Guides

The general style and format of a thesis or dissertation, including footnotes, citations and bibliographies must conform to the style and format appropriate to the writer’s discipline. While the University will accept any thesis or dissertation that uses the format created by the UTA electronic template (<http://library.uta.edu/etd>), supervising committees determine the details of the format and styles that shall be followed. *Regardless of the particular choices, a chosen style and format must be consistently applied throughout the document.* It is the responsibility of the student and the supervising committee to ensure that an appropriate style has been consistently followed.

In addition to the formatting style provided by the UTA thesis and dissertation electronic template, detailed style choices include the style required by a well-known journal in the major field or a style described in one of several different style guides. Examples of widely used style guides include:

- *Publication Manual of the American Psychological Association*
- *MLA Handbook for Writers of Research Papers, Theses and Dissertations*
- Kate L. Turabian, *A Manual for Writers of Term Papers, Theses, and Dissertations.*
- The ACS Style Guide
- *The Chicago Manual of Style*
- Scientific Style and Format: the CBE Manual for Authors, Editors and Publishers

**Other Important Considerations:** A key difference between a monograph-based and article-based thesis/dissertation is in the formatting. An article-based document may contain manuscripts written to conform to the standards of the intended publishers. With few exceptions these formats can be preserved in the thesis or dissertation, even if the format varies somewhat between the manuscripts. The only change that must be made is the page numbers of the papers must continue consecutively throughout the thesis/dissertation.

In contrast, monograph-based theses or dissertations are required to follow a University-defined format throughout. With few exceptions, UT Arlington’s format requirement for monograph-style theses and dissertations is they must be formatted in a consistent manner that follows the standards of the writer’s field of study.

# Requirements Pertaining to Chapters in an Article-Based Theses and Dissertations

## Chapter 1

The first chapter in the Main Text section provides a general introduction to the problem(s) investigated or analyzed in the manuscripts included in the thesis or dissertation.

It must contain a description of the problem and an explanation of how papers included in the document address this problem.

- If a paper is co-authored, the contributions of the thesis/dissertation writer and each of the co-authors must be described clearly.
- A review of prior work related to the problem. This review may be deeper or more extensive than publishers allow in manuscripts.
- It is possible that many of the points that need to be included in this introductory chapter are contained in the literature reviews of the individual papers. It is not permissible to simply cut-and-paste sections or otherwise plagiarized work in those papers even if the thesis or dissertation writer is the sole author. It is permissible to summarize these ideas and cite the paper(s) which are the source of them.
- References can be presented in a final section of the chapter. Alternatively all references cited in the thesis/dissertation can be collected within a separate bibliography after the required General Discussion/Conclusions chapter.

## Chapter 2 and Subsequent Chapters Containing Articles

These chapters contain the manuscripts selected for inclusion in the thesis/dissertation. Each manuscript is presented in a separate chapter. The first manuscript is located in Chapter 2.

- Place the Chapter number and title at the top center of the page.
- Any connecting text or supplementary information that is necessary to link the chapter to others may be presented at the beginning of the chapter under a heading such as “Background,” “Introductory Comments,” etc.
- Each chapter containing a paper includes the following elements presented in the order below:
  1. Any connecting text or supplementary information needed to link the chapter to others may be presented under a heading such as “Background,” “Introductory Comments,” etc.
  2. Create a title page which is always placed on a new page. If no introductory or background text is included at the start of the chapter, the title page will be the first page of the Chapter. An example of an acceptable lay-out for this page is listed in the “Guides and Examples of elements of Theses and Dissertations.” The title page must contain

- a. the title of the paper
  - b. the names of any coauthors
  - c. the full citation to the work and a note that permission from the publisher to use the paper in the thesis/dissertation has been granted if the work is in press or has been published.
3. The article itself is presented beginning on the page following the title page. The presentation must contain the abstract (if the published version contains one,) main body, references, etc., presented in the manner in which the manuscript was prepared for publication or published.
4. The next article (if any) included in a thesis or dissertation is presented in a new chapter that is formatted exactly as described above.
  - a. Chapters containing papers intended for different publishers may be presented in the format that meets the requirements of each individual publisher even if the publishers require different formats. Alternatively, the papers may be reformatted into a single, common style.
  - b. The pages in each paper must be renumbered so that all pages in the thesis/dissertation are numbered consecutively.

### **Final Chapter: General Conclusions**

The final chapter in an article-based thesis/dissertation must summarize the results, discuss the results as they relate to the central research questions posed in the introductory chapter of the thesis/dissertation and present the general conclusions supported by the work. Future research directions may also be discussed in this section.

### **Who Decides When a Thesis or Dissertation is Ready to Be Archived?**

The supervising committee will inform the Electronic Thesis and Dissertation (ETD) Coordinator at the Library that the document submitted by the student satisfies academic requirements for the intended degree and that it meets disciplinary style and format expectations. Upon receipt of this notification, the ETD Coordinator will verify that the Intellectual Property Statement has been signed and provided. If the Intellectual Property Statement has not been signed and provided then the thesis/dissertation will not satisfy graduation requirements until that document has been submitted. When the document passes the ETD Coordinator's inspection, he or she, will initiate the archiving process and notify the Office of Admissions, Registration and Records that the student has satisfied the thesis or dissertation requirement related to their intended degree. If there are questions regarding the Intellectual Property Statement, the library will address those. The library is subject to university rules and regulations such as those on copyright, patents, trademarks, trade secrets, sponsored research, etc. and may require a delay in publication or result in the involvement of the Office of Research. This typically occurs when the student does not abide by the principles of the Intellectual Property Statement when preparing their manuscript.

## Format Requirements That Must be Met

**Elements of a Thesis or Dissertation —Front Matter, Body and Back Matter** The elements of all theses and dissertations are commonly presented in the order given below. Collectively, elements 1-7 are referred to as “Front Matter,” number 8 is simply referred to as the “Body” or “Main Text” (which is usually divided into separate chapters) and the remaining elements, 9 and 10, are called “Back Matter.” “REQUIRED” means the section must be included in every thesis or dissertation, optional means the author can elect to exclude that particular section. If an optional section is excluded, omit it entirely and arrange the remaining sections in the order indicated.

Front Matter	<ol style="list-style-type: none"><li>1. Title page (REQUIRED--the date must be the month and year in which the student will graduate (the only choices for months are, May, August, or December: Do not number this page.</li><li>2. Abstract page which must be double-spaced (REQUIRED—this page is typically numbered Roman numeral ii)</li><li>3. Copyright page (optional)</li><li>4. Acknowledgments page (optional)</li><li>5. Dedication page (optional)</li><li>6. Table of Contents (REQUIRED)</li><li>7. List of Tables, List of Figures, List of Abbreviations, etc. (optional—only consider if you have one or more of these in the thesis or dissertation. Use a separate page at the start of each type of list).</li></ol>
Body or Main Text	<ol style="list-style-type: none"><li>8. Body of master’s thesis or doctoral dissertation. Begin page numbering with Arabic numerals and number each page consecutively to the end of the doctoral dissertation. Do not skip any pages within the body of the master’s thesis or doctoral dissertation.</li></ol>
Back Matter	<ol style="list-style-type: none"><li>9. Bibliography/References/Works Cited, (REQUIRED--however, it is <i>optional here if references are provided at the end of every chapter in the main body of the thesis or dissertation</i>).</li><li>10. Appendix (optional).</li></ol>

### Other Format Requirements that MUST be met

Regardless of the overall style chosen, all theses and dissertations submitted at the University of Texas at Arlington must meet the following requirements.

#### Page Size

Pages must be equivalent to 8 ½ x 11-inches (letter size.) Pages with figures and tables that do not fit optimally in “portrait” position may be set in “landscape” position (11” x 8.5”).

#### Text

When creating the PDF file, make certain all fonts and symbols are embedded.

#### Line Spacing

The text should be double-spaced. The same line spacing must be used throughout the document *except* in the following cases where writers may choose to use either single or double spacing. The decision to single or double space must be followed every time these cases reoccur in the thesis or dissertation.

- Block quotations, lists in text, and table and figure titles can be single-spaced.
- Appendices: Spacing in appendices will depend upon the nature of the material. Line spacing in appendices may differ from the spacing in the text and may also differ across different appendices.
- Footnotes may be single-spaced and a single space should separate each footnote on a page.
- Endnotes may be single-spaced with single spacing of text between the notes.
- Reference Section may use the same spacing of the text throughout or single space.
- Figure and Table Titles: It is recommended that they be single-spaced to help differentiate them from text.

## **Margins**

All margins must be a minimum of 1-inch. Any of the approved manuals of style will give rules for setting margins that fall within these limits.

- Margins must be the same size throughout the thesis or dissertation.
- Charts, maps, and other illustrative material must fit within the selected margins.

## **Font**

Any 10 or 12-point font, except for italic, ornamental or script is acceptable. Times New Roman or Arial are preferred font styles.

- Choose one font size and style and use it throughout the thesis or dissertation.
- Smaller font sizes may be used in footnotes, end notes, figure captions, large tables, and appendices as long as they remain legible. Fonts smaller than 7 are never considered legible.

## **Page Numbering**

Page numbering begins with the first page of the body of the document. ALL pages beginning with page one and continuing to the last page of the thesis or dissertation must be numbered consecutively with Arabic numbers (1,2,3,4,...etc.). Pages prior to the first page of the body of the text need not be numbered. However if these pages are numbered, they should be numbered with Roman numerals (I, II, III, IV,...etc.)

## **Placement of Page Numbers**

Page numbers must be placed in the same location on all numbered pages. Numbers may be placed at the top right corner, bottom right corner, or bottom center. Only the appropriate Arabic (or Roman) number is to be placed in the location selected for page numbers. Page numbers must not contain text or other symbols.

## **Placement of Page Numbers on Landscape Pages**

Page numbers on landscape pages must appear in the same location as portrait pages. Type “portrait page number to a landscape page” along with the name and version of the word processing program you are using into a search engine for instructions on how to do this.

## **Figures and Tables**

Figures are also referred to as illustrations. Diagrams, drawings, paintings, photographs, graphs are labeled as figures. Tables list information in an organized array of rows and columns.



- Material presented in figures or tables MUST fit within the required margins of the thesis/dissertation. They must not extend past the left, right, top, or bottom margins.
- Tables or figures which are too long or too wide for a single page may be continued on the next page. The continued material should be labeled with the word Table or Figure, followed by the table or figure number and the abbreviation (Cont.) All column and row headings for tables must be repeated on each continued page.

### Location of Figures and Tables in Text

Figures and tables are often inserted into the body of text near the text that makes reference to them. If included in the body of the text, a figure should be placed as close as possible to the first reference made to it. However, inserting figures or tables into the body of the text is NOT required. With the approval of the supervising committee, figures and tables may be grouped at the end of each chapter or at the end of the Main Body.

The following requirements must be met if Figures and Tables are presented as in grouped format.

- Do not insert some figures and/or tables into the text and group others at the end of chapters. Group all figures and tables or do not group any of them.
- Do not use figure or table “call outs” (e.g., <Place Figure 1.3 about here> or <Place Table 3.2 about here> anywhere in the thesis or dissertation.
- If figures and tables are presented at the end of the chapter they must be grouped in the order they occur in the text. Do not group together by type. If the figure is followed by a table in the text the figure should be followed by the table when presented at the end of the chapter.
- When figures and tables are grouped at the end of a chapter within the main text, they are considered a section of that chapter and should be given the appropriate section heading, such as “Figures,” “Tables,” “Figures and Tables.”
- If figures and tables are grouped at the end of the main text instead of at the end of chapters within the text, they are to be collected in a separate chapter or Appendix which is numbered and given an appropriate title, such as “Figures,” “Tables,” or “Figures and Tables.”
- Each figure or table may be placed on separate pages.
- Several figures or tables may be placed on a single page as long as they remain legible.

### Headers/ Headings

Headings (i.e. chapter title headings, section headings, etc.) must be formatted consistently. Chapter headings (titles) are always presented at the top center of a new page. The use of subheadings is generally up to the author. Subheadings may be numbered by level or not. Follow disciplinary practices, regarding the format of headings and subheadings (especially regarding bolding, capitalizing, and numbering) and make sure that these practices are followed throughout the thesis or dissertation. It is not necessary to list subsections in the Table of Contents.

### References or Bibliography

It is permissible to present separate reference lists at the end of each chapter in the Main Text or to include just one list of all sources cited in the thesis or dissertation in the Back Matter section of the document. Some authors may wish to do both.

### ***References Presented at the End of the Document***

- The list of citations presented at the end of the thesis/dissertation should begin on a new page with the section heading centered. While its heading is listed like a chapter title in the Table of Contents, the citation list should not be given a chapter number.
- Page numbers on the list of citations occurring at the end of the thesis/dissertation must continue the sequence followed in the Main Text and Appendices (if any).
- Follow disciplinary rules for formatting citations.
- Citations must be preceded by a subheading or heading. Examples of common headings include “Literature Cited,” “References,” or “Bibliography.”

### ***References within Chapters***

It is permissible to present the references cited at the end of each chapter

- If references are provided at the end of chapters, they are presented as a subsection of the chapter. This means that they do not have to begin on a new page if they can be continued naturally on the current page.
- Follow disciplinary rules for formatting citations.

## **Appendices**

An appendix or a set of appendices are not required, but can be used to present relevant material when that material is not suitable for inclusion in the body of the document. Some items that might be included in an appendix are raw data, tables too detailed for text presentation, computer programs, technical notes on methods, schedules and forms used in collecting materials, copies of documents not generally available to the reader, case studies too long to put into the text, etc.

Authors may choose to include their appendices in the Back Matter section or at the end of each chapter. The latter use of appendices is described in the section *Appendices Embedded in Article Chapters*.

### **Appendices Placed in the Back-Matter**

- Each appendix must start on a new page.
- Appendices should be labeled, Appendix A, Appendix B, Appendix C, etc. They may be given a subtitle that identifies its content clearly, such as “Appendix A: Figures and Tables.”
  - The first Appendix is labeled Appendix A, the next Appendix B, and so on alphabetically.
  - The label is centered on the first page of an appendix.
  - The title of the appendix should be centered and placed two lines beneath the label.
  - The title should be double spaced if it is more than one line in length.
  - Information included in the appendix begins on the second page of the appendix
  - The next appendix begins on a new page.
  - The page number of the first page in the first Appendix follows consecutively from the last page from the body of the text and is an Arabic number.

## Appendices Embedded in Article Chapters

- Additional details on background, methods, procedures, data, etc., may be included in appendices embedded in a chapter containing an article. They may be inserted at the end of the article as a subsection(s) of the chapter. Different material should be put in separate appendices. These subsections can be labeled “Chapter X Appendix” if there will be only one appendix or “Chapter X Appendix 1 (2,3,4 etc.,)” if it is one of several appendices that will be included with Chapter X . Unlike appendices placed in the Back Matter, appending material in this manner does not require a new section started on a new page. It should start where any other subsection in a chapter would begin.

**Note on Large Size Documents or Supplemental Files:** Electronic submissions may include data in a supplemental file to be included with the final electronic thesis/dissertation submission. See the electronic submission website at <http://library.uta.edu/etd> for instructions on including supplemental files with a thesis or dissertation. .