The University of Arkansas Graduate School Guide to Preparing Master’s Theses and Doctoral Dissertations
A thesis submitted in partial fulfillment of the requirements for the degree of Master of Science in Cell and Molecular Biology

by

Taylor Doe
University of Missouri
Bachelor of Science in Chemistry, 2000
University of Missouri
Master of Science in Chemical Engineering, 2005

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University of Arkansas

This thesis is approved for recommendation to the Graduate Council.

Dr. David Livingstone
Thesis Director

Professor Harry Carey Derryberry
Committee Member

Dr. Benjamin Spock
Committee Member

Dr. Ruth Westheimer
Committee Member

Dr. John Dolittle
Ex-Officio Member
Abstract

The University of Arkansas Graduate School Guide to Master’s Theses and Doctoral Dissertations will save you heartache, headache, irritation, and delay if you will read it thoroughly and completely, follow the directions carefully and adhere to all standards and requirements. The guidelines are here to help you, and if you have a question about something that is not contained in the guidelines or is not clear, please contact the Graduate School at (479) 575-4401.
Acknowledgments

Special thanks are extended to the staff of the University of Arkansas Graduate School for all of their help with theses and dissertations. It would be impossible to make it through the semester without their help.

Also, a special thanks goes out to the faculty and staff at the University of Arkansas for their commitment to the University and to the students.
Dedication

This edition of the Guide to Master’s Theses and Doctoral Dissertations is dedicated to all master’s and doctoral students at the University of Arkansas.
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I. Introduction

Congratulations on reaching this stage in your academic program! You are beginning preparation of your master’s thesis or doctoral dissertation for final submission to the Graduate School.

The purpose of this Guide is to acquaint you with the University of Arkansas Graduate School’s requirements for the format of theses or dissertations that will be submitted to the University. It is your responsibility as a student to follow these guidelines as well as correctly using spelling, punctuation, and grammar. The Graduate School reserves the right to refuse any thesis or dissertation that does not observe the guidelines found within.

Regardless of when you started your program, or when you started working on your thesis/dissertation, you must follow the instructions in the most current version of the guide available. If you are unsure if the guide you are using is the most current, the most current guide is available for download on the Graduate School website. This “Guide for Preparing Theses and Dissertations” will save you heartache, headache, irritation, and delay if you will read it thoroughly and completely, follow the directions carefully, and adhere to all standards and requirements.

The Graduate School requires that a preliminary copy of the master’s thesis or doctoral dissertation be presented to our staff to check for formatting problems and specifications. The formatting of the thesis or dissertation must be approved by the Graduate School before final submission will be allowed and a majority of students do require multiple preliminary checks before submission is approved. The pre-check must take place AT LEAST two weeks before the submission deadline.

**DO NOT use a previous master’s thesis or doctoral dissertation as a model for your paper!**

Because the master’s thesis or doctoral dissertation is the culmination of a student’s study and learning in a graduate degree program, this work should represent and reflect the excellence of the student’s abilities and competency. The subject should be current and pertinent to the discipline; the language should be clear and free from jargon; the grammar should be perfect; and the style, format, and quality MUST meet requirements stated in this Guide. For other matters of style and directions on preparation of the final copy, please consult the style book accepted in your specific field. Please remember consistency in formatting and style throughout your thesis or dissertation.

Do not wait until the last minute to secure approval of your master’s thesis or doctoral dissertation. You should allow time to make any corrections or adjustments that may be required by your committee or the Graduate School. If no corrections or adjustments are required, there is no harm in receiving approval well before the submission deadline. However, if some corrections or adjustments are required and the student has not allowed sufficient time to make these corrections or adjustments, graduation and the awarding of the degree may be delayed until the next semester and/or until approval has been received.
If you have any questions or if you are in any doubt at all, please call the graduate school at (479) 575-4401 or email gradtad@uark.edu before you proceed further. We prefer that you call and ask for information before you proceed, rather than have you proceed in error and be required to make what may be costly corrections and/or adjustments later, and perhaps delay completion of your degree.
II. Format Requirements

A. Style Guide Requirements

A consistent style must be used throughout the master’s thesis and doctoral dissertation. For other matters of style and directions that are not included in this guide, the student should consult the style book accepted in their specific field of study.

Style books are available in the University Bookstore or in the University Libraries. These books in no way supersede directions given in this Guide. They answer most of the questions confronting writers; other questions are to be referred to the master’s thesis or doctoral dissertation director.

The Graduate School reserves the right to reject a thesis or dissertation if a style guide is not followed. Examples of acceptable style guides include, but are not limited to, the following: Chicago, APA, MLA, CSE.

B. Formatting Requirements

Type/Font
Any legible font except script, italic, or ornamental font that is equivalent in scale to 10 pt. Arial or 12 pt. Times New Roman is acceptable. The same font and font size must be used throughout the entirety of the paper. THIS INCLUDES PAGE NUMBERS, HEADERS, FIGURE CAPTIONS, AND FOOTNOTES.

Margins
All pages of the thesis or dissertation must have the following margins:

<table>
<thead>
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<th>Margin</th>
<th>Measurement</th>
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<td>Top</td>
<td>1 inch</td>
</tr>
<tr>
<td>Bottom</td>
<td>1 inch</td>
</tr>
</tbody>
</table>

Page Numbering
Page numbering begins with the first page of the body of the document. ALL pages beginning with page one, chapter title pages, section-dividing pages, appendices, etc. and continuing to the final page, MUST be consecutively numbered with Arabic numerals (i.e., 1, 2, 3, etc.). All pages prior to the first page of the body do NOT contain a page number.

Placement of Page Numbers
Page numbering may be top right corner, bottom right corner, or bottom center, but consistency is essential. When page numbers are bottom center, they are placed ¾” from bottom of the page. If page numbers are at top right, they must be no less than 1” from right margin and ¾” from top. If page numbers are located bottom right, they must be no less than 1” from right margin and ¾” from the bottom. Also, page numbers cannot contain running headers or any other symbols. The placement of the page numbers must be consistent throughout the entire document.
Placement of Page Numbers on Landscape Pages
Page numbers on landscape pages must appear in the same location as portrait pages if they were turned in the same direction. To find instructions on how to insert page numbers properly, Google “How to add a portrait page number to a landscape page.” You can also include the software type and version you are using to further tailor the instructions.

Tables/Figures
Text within tables and figures must be legible both in print and electronic formats. Headings and figure captions must be equivalent in scale to 10 pt. Arial or 12 pt. Times New Roman and must be consistent with all other font throughout the entirety of the paper. Captions must be single spaced.

Charts, maps, graphs, diagrams, photographs, artwork, etc. should all be labeled as figures.

Tables or figures which are too long or too wide for a single page may be continued on the next page. If continued, tables, charts, figures, graphs, photographs, etc. number or headings should be repeated and followed by the abbreviation (Cont.). All column and row headings for tables must be repeated on each continued page.

Headers/Headings
Running headers are not allowed. Headings (i.e. chapter title headings, section headings, etc.) must be formatted consistently throughout. Please pay close attention to consistent placement, bolding, and capitalization of each heading.

Spacing
The main body of the master’s thesis or doctoral dissertation must be double spaced.

- The abstract, acknowledgments, and dedication (if included) must be double spaced.
- The bibliography/references/works cited/etc. must be single spaced within the reference and double spaced between references.
- Lengthy quotations must be single spaced and all lines indented.
- Table and figure captions must be single spaced.

Justification
Left justification must be used throughout the entire thesis or dissertation.

Color
Color is not allowed in the form of text (i.e. hyperlinks, headings, etc.). Color is allowed in the form of photographs, tables, figures, graphs, etc. when a student’s committee considers this essential to the thesis or dissertation.

Personal Information
Because master’s theses and doctoral dissertations are published online through UMI ProQuest, personal information such as home phone, cell phone, home address, and e-mail address must not be included in the thesis or dissertation. University-based information can be included but is not recommended.
**References**
The bibliography/references/works cited/etc. must be single spaced within the item and double spaced between items. For all other formatting requirements, please see your chosen style guide.

**Supplementary Material**
The Supplementary Files step of the submission process allows the uploading of supporting files like videos, sound clips and data sets. These files will be submitted to ProQuest/UMI Dissertation Publishing along with the PDF version of your dissertation/thesis. Multiple files can be uploaded and ProQuest asks that a description of each file (or set of files, if more appropriate) be included in the abstract.

When you submit your dissertation/thesis PDF along with any supplemental files, the size of all files added together must be less than 1000 MB.

**Size Restrictions**
The thesis or dissertation PDF along with any supplemental files cannot exceed 1000 MB total. Exceptions cannot be granted for this size restriction.

**C. Plagiarism and Copyright Issues**

**Plagiarism**
Plagiarism is the appropriation of another person’s ideas, processes, results, or words without giving appropriate credit. The use of a quotation, figure, table, graph or legend directly from a publication that is not cited is also considered plagiarism. The Graduate School reserves the right to check any thesis or dissertation for plagiarism. If you have specific questions about plagiarism, please contact the staff at the University of Arkansas Quality Writing Center (http://qwc.uark.edu) for assistance.

**Self-Plagiarism**
Self-plagiarism occurs when an author reuses portions of their previously published writings in subsequent research papers, without citing the published work.

**Copyright Violations, Excessive Use of Materials**
When any copyrighted material is used, the student must conform to all laws pertaining to the use of copyrighted material. Also, use of materials, including figures, legends, and pictures from a publication, even if cited, can be a copyright violation. In this case, it is recommended that the student contacts the publisher of the document for further instructions on obtaining permission for use. Documentation of permission must be included in the appendices of the paper. Consult with the University of Arkansas Technology Licensing Officer, (479) 575-7243, for additional information about copyright laws.

**D. Citations**

When citing another person’s ideas, processes, results, or words, you must consistently follow rules set out by your chosen style guide. This applies not only in the body of work, but also in the acknowledgments, dedication, and appendices.
• All charts, tables, graphs, photos, etc. that are directly used from another work must be cited in the figure caption. Permission to reproduce must be included for all copyrighted tables and figures.

• All original photos for a thesis or dissertation must include the name of the photographer in the figure caption of the photo to give appropriate credit along with the statement “used with permission”. If the photographer is someone other than the author of the dissertation or thesis document, permission must be obtained from the photographer to reprint the photo.

E. Abstract

The abstract for a master’s thesis or doctoral dissertation must be double-spaced and is limited to 350 words, without exception. An abstract is required for all theses and dissertations.

F. Special Problems

Patented Material
The use of patented material in a master’s thesis or doctoral dissertation is expressly prohibited without the prior consent of the patent holder. Documentation of permission must be included in the appendices of the paper.

Research Compliance
The Office of Research Compliance (RSCP), a unit of the Office of the Vice Provost for Research and Economic Development, is responsible for assisting faculty, staff and students in complying with federal and state regulatory requirements for sponsored and unsponsored research and with the associated University policies. These areas include, but are not limited to: Biological Safety, Export Control, Human Subjects, Radiation Safety, Responsible Conduct of Research, Toxic Substances, and Vertebrate Animals. More information about Research Compliance can be found on the RSCP website: http://vpred.uark.edu/

Master’s theses or doctoral dissertations which contain research that requires research compliance approval ARE REQUIRED TO INCLUDE a copy of the Research Compliance Protocol Letter as an appendix of the master’s thesis or doctoral dissertation.

G. Intellectual Property

Defenses of master’s theses or doctoral dissertations which contain information relevant to proprietary material or possible patent applications shall be held in the usual manner with the exception that those portions of these documents which deal specifically with proprietary material or patent related information will be presented and discussed only after the meeting has been closed to all persons except the candidate and the specifically assigned members of the review committee. The meeting will be re-opened when discussion moves to other portions of the work.

Master’s theses or doctoral dissertations containing information relevant to proprietary material or possible patent applications will be made available only to the members of the review committee. After the work has been successfully defended, the master’s thesis or doctoral dissertation will be available for access only with the express permission of the University of
Arkansas Technology Licensing Officer. Such documents will remain in restricted status and will not be forwarded to UMI ProQuest until the patents have been applied for, at which time, specific authorization for their release will be given by the Technology Licensing Officer.

Any questions referring to patentable inventions or proprietary material should be referred to the Technology Licensing Officer at (479) 575-5806.
H. Theses or Dissertations Consisting of Published/Publishable Articles and/or Co-Authored Works

A student who contemplates this type of submission should seek the approval of his/her thesis or dissertation chair before beginning the project. Students should also check with their department head or program director to confirm that there are no program restrictions that will apply. Students need to be aware that some departments/programs have very strict rules about submitting this type of dissertation and some departments/programs do not allow it.

Graduate School requirements with regard to this type of submission include the following:

- The thesis or dissertation must include an overall abstract.
- The thesis or dissertation must include a section entitled “Introduction,” separate from the articles, which presents the topic of the dissertation and explains the rationale for compiling these articles into one document.
- If any of the articles in the thesis or dissertation have been published previously or have been submitted/accepted for publication, proper publication citation is required:
  - The thesis or dissertation must include a list of the original articles included in the document with a full publication citation for each.
  - Each citation must be labeled with the chapter number for the specific citation and the status of the articles, such as in press, in review, submitted for review, published etc.
  - The list of original articles must be inserted after the Table of Contents but before the first article. (See Detailed Arrangement)
  - Proper usage of journal citation as written at the journal website for use in theses and dissertations. This should precede the chapter in which the published work is included. Students should be very careful to follow journal requirements for the use of such papers.
- The thesis or dissertation must include a final section entitled “Conclusion” which summarizes the articles and provides concluding remarks.
- Each article must be a separate chapter.
- References and appendices are to be placed after each individual chapter or article, including the introduction, conclusion, and literature review if applicable. If the same references or appendices are used in multiple chapters, they must be relisted after each chapter to which they refer.
- In some disciplines and journals, students who publish their work are allowed to use that work in their thesis or dissertation with appropriate, journal-specific, citation. In these cases, the student has permission to use the work as appropriate in the thesis/dissertation which may mean the work is split among different chapters. However, the student is again cautioned to very carefully follow the journal requirements for the use of such work and to use proper citation and referencing.

In situations where more than one graduate student from the University of Arkansas has co-authored a published paper, it is acceptable for both graduate students with guidance and advice from their major professor(s) (thesis/dissertation advisor) to use the published work in their thesis/dissertation as appropriate for that individual student. Theses/dissertations are intended as original bodies of work and no student may submit a thesis/dissertation that is identical to, or contains extensive content that is identical to another student’s thesis/ dissertation. Additionally,
it is not acceptable for a student to submit a thesis/dissertation that is completely comprised of co-authored works in which they are not the lead author. (Lead author is defined as the writer/researcher who was the major contributor to the work involved in creating the paper.)

All other applicable Graduate School rules with regard to format requirements and the submission of the dissertation MUST be followed. Please remember consistency in formatting and style throughout your thesis or dissertation.
I. Detailed Arrangement of the Master’s Thesis or Doctoral Dissertation

1. Half Title is centered between the 1” left margin and 1” right margin
2. Title Page is centered between the 1” left margin and 1” right margin
   On the title page, the following information must be listed: (See example in Appendices of Guide for correct formatting)
   a. The title of the master’s thesis or doctoral dissertation
   b. “A thesis/dissertation submitted in partial fulfillment of the requirements for the degree of (Master of Science in, Doctor of Philosophy in, Doctor of Education in).” Contact the Graduate School for the exact degree.
   c. The full name of the author (this must be the name as recorded in ISIS)
   d. Previous degree or degrees with the name of the institution and the year awarded in date order. Only list degrees received at the bachelor’s level and above. If more than one degree has been received from the same institution, the institution’s name is repeated above each degree.
   e. The month and year in which the degree sought is to be awarded (contact the Graduate School for the correct month and year)
   f. “University of Arkansas”
   g. “This thesis/dissertation is approved for recommendation to the Graduate Council”
   h. Spaces for the signatures of the master’s thesis or doctoral dissertation director and members of the committee
   i. Original signatures are needed on the title page submitted to the Graduate School only. The name of each committee member will be typed directly under each signature line.
3. Abstract which must be double-spaced (REQUIRED)
4. Copyright page (optional)
5. Acknowledgments (optional)
6. Dedication (optional)
7. Table of Contents with page references, bibliography/references/works cited/etc. (REQUIRED)
8. List of tables, list of figures, abbreviations, etc. (optional). If you have more than three tables and/or figures, it is strongly recommended that you include a list.
9. List of published papers (required for published papers format ONLY)
11. Bibliography/References/Works Cited, (continue Arabic numbering)
12. Appendix (optional), (continue Arabic numbering)
13. Index (optional), (continue Arabic numbering)
14. Vitae (optional), (continue Arabic numbering): A vitae of the author may be included.
   This should be a single-spaced, brief account of the student’s training, experience, and of professional memberships, contributions, and/or publications. Please remove any personal contact information.

** An additional approval page is required for all Microelectronic/Photonic students. Please contact the Micro EP department for further information.
III. Thesis or Dissertation Submission

The online electronic submission process is MANDATORY (effective Summer 2013). This option waives the UMI ProQuest fees that were previously assessed when a student turned in the final copies of the thesis or dissertation.

A. Publication Agreement

All candidates for the master’s or doctoral degree who are submitting a thesis or dissertation as part of their degree requirements are required to complete a Publication Agreement through the UMI ProQuest website at the time the thesis or dissertation is submitted to the Graduate School. The Publication Agreement includes a number of publishing options. The Graduate School highly recommends that the students research and educate themselves about these long before the final submission of the thesis or dissertation to the Graduate School.

If the student is planning to publish all or part of the thesis or dissertation now or at a later date or is including previously published articles as a chapter(s) of the thesis or dissertation, the student will want to look into policies of the journal or publishing company to which they are submitting or have submitted the work for publication. Each publisher or editorial board of a scholarly or peer-reviewed journal sets policy on prior publication of a work, even if the work was used as a requirement for a degree.

Also, becoming educated about the ProQuest publication options will help address important issues that may occur while publishing with a journal or other publishing company. Because the choice of publishing options is unique to each student, a list of the basic publishing options provided by ProQuest is below. If you need further information, you can contact the Graduate School at (479) 575-4401 or ProQuest at 1-800-521-0600 ext. 77020.

Traditional Publishing (Free) vs. Open Access Publishing PLUS ($95 fee):

Delayed Release and other Publishing Options:

*Work discovered by major search engines:

*The University of Arkansas Graduate School does not suggest, in most cases, allowing work to be made searchable by major search engines.
B. Pre-check Process (REQUIRED)

Students are required to submit/present a preliminary copy of their thesis/dissertation to the Graduate School to allow our staff to check for formatting problems and specification. The formatting of the thesis or dissertation must be approved by the Graduate School before final submission will be allowed. The first pre-check must take place at least two weeks before the submission deadline, even if the defense has not yet taken place.

The Graduate School has a team of manuscript specialists who check for different formatting details throughout the submission process. Therefore, separate manuscript specialists may uncover additional suggestions or changes, and more than one set of eyes to review each document is encouraged.

Walk-in Pre-Checks

Appointments are not required for walk-in pre-checks. The pre-check will take 20-30 minutes and a complete paper copy of the thesis or dissertation is needed to do the pre-check. Pre-checks may be printed front and back or on scrap paper.

E-Mail Pre-Checks

If you would like to e-mail your thesis or dissertation for a pre-check, please send a complete copy of your paper to gradtad@uark.edu. The thesis or dissertation will need to be in Microsoft Word or PDF format. Please allow 2-3 business days for e-mail pre-checks during high volume time. The deadline to submit a pre-check by e-mail is two weeks before the submission deadline. Students who submit e-mail pre-checks after that time will be required to present their pre-check in person.
C. Submission Process

All completed forms and documentation must be submitted together after the defense and final approval by the thesis or dissertation committee. The complete thesis or dissertation packet must be submitted in person to the Graduate School by the student (or his/her assigned agent) and if received in campus or regular mail, will be returned to the student’s department of study. The Graduate School highly recommends that the student take responsibility for the submission of his/her own thesis or dissertation to the Graduate School. Submission of the thesis or dissertation by anyone other than the student can lead to a delay in awarding of the student’s degree. If the student is not able to submit in person, please make prior arrangements with the Graduate School.

Required Documentation and Forms (Thesis / Dissertation Packet)

The following forms and documentation are required for submission of the master’s thesis or doctoral dissertation. There are no requirements for the type of paper on which these forms are printed.

1. Pre-check sheet or e-mail showing format approval
2. Forms found at http://grad.uark.edu/forms/index.php:
   - Thesis/Dissertation Submission Form
   - Intellectual Property Disclosure Form
   - Survey of Earned Doctorates Certificate (Doctoral Students Only)
3. Full title page with original committee signatures

* The Master’s/Doctoral Record of Progress form is not required to be submitted with the thesis/dissertation packet but is a required document for graduation. It is recommended that this form is submitted along with the thesis/dissertation packet. If not submitted with the packet, it is due no later than the last date of the semester.

Final Submission Process

After submission of the above mentioned items to the Graduate School, students will be given directions to submit their master’s thesis or doctoral dissertation electronically to UMI ProQuest on any computer with internet access available to them. (Paper copies are not required or submitted to the Graduate School.) Students will then be given 24 hours or until 4:30pm on the due date, whichever comes first, in which to complete the publication agreement and submit their thesis or dissertation electronically. Students who submit theses and dissertations electronically after 4:30pm on the due date will be required to contact the Registrar’s Office (575-5455) to move their date of graduation to a future semester.

There are no fees associated with the electronic submission process unless a student chooses to copyright, purchase copies of his/her thesis or dissertation from the publishing company, or chooses the open access publishing option, all of which are optional.

Any master’s thesis or doctoral dissertation submitted to UMI ProQuest’s website before the required items are received by the Graduate School will be rejected until all required documents are received.
D. Copyrighting Master’s Theses or Doctoral Dissertations

Theses or Dissertations may be copyright registered, if desired, for a charge of $55.00. This fee is paid online during the electronic submission process. A separate page bearing copyright notice, as specified in the agreement form, must be provided.
IV. Sample Master’s Thesis and Doctoral Dissertation Pages
   A. Sample Full Title Page
   B. Sample Copyright Page
   C. Sample Landscape 8.5x11 Page
   D. Sample Oversized Landscape 8.5x14 Page
   E. Sample Oversized Landscape 11x17 Page
This is the Title of My Thesis or Dissertation, in Correct Title Case

A thesis submitted in partial fulfillment of the requirements for the degree of Master of Science in Microelectronics-Photonics

by

Taylor Doe
University of Missouri
Bachelor of Science in Chemistry, 2000
University of Missouri
Master of Science in Chemical Engineering, 2005

August 2014
University of Arkansas

This thesis is approved for recommendation to the Graduate Council.

Dr. David Livingstone
Thesis Director

Professor Harry Carey Derryberry
Committee Member

Dr. Benjamin Spock
Committee Member

Dr. Ruth Westheimer
Committee Member

Dr. John Dolittle
Ex-Officio Member

Committee members must be addressed as Dr. or Professor. In instances where these titles are not appropriate, the highest degree earned should be listed after the member’s name.

Actual page does not contain page number
This is an example of a Portrait Page Number on a Landscape 8.5x11 Page.

To find instructions on how to insert page numbers properly, Google “How to add a portrait page number to a landscape page.” You can also include the software type and version you are using to further tailor the instructions.
This is an example of the page number placement on a landscape 8.5x14 page.
This is an example of the page number placement on a landscape 11x17 page.