

The University of Memphis

Graduate Handbook

Dept of Mechanical Engineering

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ME Degrees Offered

1. Master's of Science in Mechanical Engineering Degree

- Concentrations in Design & Mechanical Systems, Energy Systems, Mechanical Systems, and Power Systems
- M.S. with thesis: 30 semester hours including 6 hours of thesis
- M.S. without thesis: 33 semester hours

2. Ph.D. in Engineering with Concentration in Mechanical Engineering

MS Degree

The department of Mechanical Engineering offers a graduate program leading to the Master of Science degree with a major in Mechanical Engineering.

Program objectives are: (1) ability to apply advanced knowledge of mathematics, physical sciences, and engineering principles to the solution of practical engineering problems; (2) meet or exceed the needs and expectations of public and private sector employers for MS graduates; and (3) preparation to pursue additional advanced studies if so desired.

All graduate students must comply with the general requirements of the Graduate School and the program requirements of the degree being pursued.

MS Degree Program

A. Program Admission

The Herff College of Engineering has established uniform admission criteria that identify the pool of master's level applicants from which the department evaluates and recommends qualified applicants to be admitted.

B. Program Requirements

A more detailed description of the information listed below will be given by the Coordinator of Graduate Studies to students admitted into the Mechanical Engineering MS program.

1. Thesis Option: Successful completion of 30 semester hours to include 6 hours in MECH 7996 for thesis and 3 hours each in MECH 7341 and 7342. Of the remaining 18 hours, no more than 9 hours of 6000-level MECH courses or collateral courses may be used in satisfying degree requirements. Only courses in mathematics, the physical sciences, or another engineering discipline may serve as collateral courses; each course must receive prior approval by the departmental graduate coordinator for it to be used in satisfying

degree requirements. With prior approval, up to 3 hours of 7000-level collateral courses may be used in satisfying degree requirements.

2. Non-Thesis Option: Successful completion of 33 semester hours total to include 3 hours each in MECH 7341 and 7342. Of the remaining 27 hours, no more than 9 hours in 6000 level MECH or collateral courses may be used in satisfying degree requirements. Only courses in mathematics, the physical sciences, or another engineering discipline may serve as collateral courses; each course must receive prior approval by the departmental graduate coordinator for it to be used in satisfying degree requirements. With prior approval, up to 3 hours of 7000-level collateral courses may be used in satisfying degree requirements. With prior approval, up to 3 hours of MECH 7992 may be used in satisfying degree requirements.
3. The department's graduate coordinator may approve transfer credit of up to 12 credit hours previously earned at another institution. For these hours to be used in satisfying degree requirements, appropriate documentation must be provided by the student, and approval granted, not later than the end of the student's second semester of enrollment.
4. Students selecting the thesis option will be required to complete an independent research project culminating in a master's thesis. Upon completion of the thesis, the student must successfully pass an oral examination to assess mastery of the thesis topic and to evaluate the student's knowledge in mechanical engineering. Students should familiarize themselves with the [Thesis/Dissertation Preparation Guide](#) before beginning to write.
5. Students selecting the non-thesis option must pass an oral comprehensive examination to demonstrate mastery of mechanical engineering topics commensurate with the degree to be awarded.
6. Graduate Assistants must enroll for at least 9 credit hours per semester. A limited number of graduate assistantships are available; contact the departmental graduate coordinator for applications.
7. Students who wish to take mechanical engineering courses must receive approval to register after consultation with the departmental graduate coordinator or with the faculty advisory committee.

C. Retention Policy

A student must maintain a GPA of 3.00 or higher throughout the program. If a student's GPA is below 3.0, that student will be on probation during the following semester. Failure to improve the GPA above 3.0 by the end of the probationary semester will result in dismissal from the program.

D. Graduation Requirements

Refer to "[Minimum Degree Requirements--Masters Degrees](#)" for University graduation requirements.

PhD Degree

The Herff College of Engineering has established uniform admissions criteria for all graduate programs. Exceptions to these requirements may be addressed by the Graduate Admissions and Retention Committee of the department and must be approved by the Dean of Engineering.

Applicants will be considered for admission to the doctoral program based upon their educational background, Graduate Record Examination (GRE) scores, grade point average (GPA), and three letters of recommendation from previous instructors/professors attesting to their academic ability and potential for success in a doctoral program.

In most cases, applicants will be considered for admission after completion of a master's degree. However, in certain cases, highly qualified applicants will be considered for admission to the doctoral program after the attainment of a bachelor's degree. It may be suggested that the student complete a master's degree while in pursuit of the doctoral degree.

In addition to the above requirements, all applicants must apply for admission to The University of Memphis. Applicants whose native language is other than English must have a competitive score on the Test of English as a Foreign Language (TOEFL) or The International English Language Testing System (IELTS). The University minimum TOEFL/IELTS scores can be found from [this link](#) under the Additional Admission Requirements section.

The department of study for an applicant whose highest degree is from an international university may require that their credentials be evaluated. The department of study will accept evaluations done by any credentialing agency listed on the National Association of Credential Evaluation Services web site (<http://www.naces.org>). A course-by course report is required.

Depending on the applicant's educational background, the Advisory Committee for the individual graduate student may require additional coursework to prepare the student for doctoral studies. The Advisory Committee is composed of Graduate Faculty from the College. The Department Chair, the Director of Graduate Studies for the College and the Graduate School will review and approve the Committee.

In unusual circumstances where the above admission requirements cannot be met, an applicant may seek exceptions by contacting the Director of Graduate Studies for the college.

Applicants are further advised that the College reserves the right to deny some applications for admission because of limited availability of faculty and/or physical facilities to accommodate the student's research interests.

English Conditional Admission: International students are required to demonstrate a strong grasp of the English language before admission into graduate programs. Conditional admission may be granted depending on individual academic departmental policy. If English conditional admission is offered, students will need to register for English skills assessment and take instructional sessions (if required as a result of that assessment) through the University's

Intensive English for Internationals (IEI) program (<http://www.memphis.edu/iei>). Upon successful completion of the requisite sessions, as determined by IEI, the student's English skills will be considered up to standard and the TOEFL/IELTS requirement may be waived depending on specific academic department policy. The student can then proceed into their graduate academic program. Please note that in order to have a complete application packet, students seeking English conditional admission will need to simultaneously apply for the IEI program through the link above and to the Graduate School (www.memphis.edu/graduateadmissions).

Please note that a student cannot be a graduate assistant (GA) until they have been fully admitted and have begun their graduate academic program. Please review your academic program department's website and graduate catalog entries to determine if English conditional admission is offered. Questions can be directed to the program's graduate coordinator. Students will pay IEI fees until they meet the language criterion. If courses are taken outside of IEI, the student will be charged additional tuition at the regular rate.

Retention Requirements

A student will be retained continuously in the program until completion of the degree providing the following conditions are met:

1. All students will be required to maintain a grade point average (GPA) of at least 3.00. Should the student's GPA fall below that mark, a period of one semester or one full summer term will be allowed to correct the deficiency. Failure to regain the minimum 3.00 is considered sufficient reason for being dropped from the program. This period may, at the discretion of the student's advisory committee, be extended one additional semester or full summer term. If the GPA at the end of this extension is still below 3.00, the student will be dismissed from the program.
2. Accumulation of more than 7 semester hours of cumulative graduate coursework with a grade of "C+" or lower will result in dismissal from the program, i.e., a student who accumulates 6 hours of graduate coursework with a grade of "C+" or lower in a master's program is permitted only one additional hour with a grade of "C+" or lower.
3. All students must form an Advisory Committee by the end of February of the following Spring semester.
4. All students are required to complete a written qualifying examination by the following Spring semester after starting the program with at least a minimum passing score on the written portion and a satisfactory performance on the oral portion of the exam by the Advisory Committee. A second and final attempt to pass this examination may be granted by the student's Advisory Committee; failure will result in mandatory dismissal from the program.
5. All students must demonstrate reportable activity and progress on their research project to their advisory committee once a year after dissertation hours are started. The format of the report can be oral presentations or written reports. A copy of the written report must be submitted to the department Graduate Coordinator.

Grade point averages above are based on a 4.00 grading system where A = 4.00. Students presenting transcripts using a different system will be held to similar standards.

Graduation Requirements

General Requirements: Each student must earn at least 72 semester hours beyond the bachelor's degree or 42 beyond the master's degree (see Table 1A). Students entering with a bachelor's degree can apply up to 24 semester hours of dissertation credit toward these requirements. Students entering with a master's degree can apply up to 18 hours of dissertation credit. Early in each student's program of study, the Director of Graduate Studies, upon recommendation of the Departmental Chair, will approve an Advisory Committee composed of Graduate Faculty in the College. The Advisory Committee will guide the student's dissertation research and recommend coursework to support that research endeavor.

For students admitted with a bachelor's degree, at least 48 of the 72 semester hours required, including dissertation and research credit, must be in the student's concentration. No more than 12 semester hours of credit for 6000 level courses will count toward the PhD degree. (See Table 1B)

For students admitted with a master's degree, at least 30 of the 42 semester hours required, including dissertation and research credit, must be in the student's concentration. No more than 6 semester hours of credit for 6000 level courses will count toward the PhD degree.

Table 1A) Doctoral Program Options

| Option | Total Credit Hours | Course Hours (excluding Dissertation) | Hours of Dissertation (9000 course) |
|-----------------------------|--------------------|---------------------------------------|-------------------------------------|
| Post Bachelor's Degree (BS) | 72 | 48 | 24 |
| Post Master's Degree (MS) | 42 | 24 | 18 |

Table 1B) Doctoral Program Course Hours

| Option | Course Hours (excluding dissertation) | Maximum hours of dissertation (9000 courses) | Maximum hours at 6000 | Minimum hours at 7000/8000 | Minimum hours at 7000/8000 in concentration |
|--------|---------------------------------------|--|-----------------------|----------------------------|---|
| | | | | | |

| | | | | | |
|-----------------------------|----|----|----|----|----|
| Post Bachelor's Degree (BS) | 48 | 24 | 12 | 36 | 24 |
| Post Master's Degree (MS) | 24 | 18 | 6 | 18 | 12 |

Residency Requirements: A minimum of 18 semester hours must be earned while the student is in continuous residence. This may be done in two regular consecutive semesters. If the student is retained as a graduate assistant, the residency requirement may be met over a single continuous twelve-month period provided the student completes 18 semester hours in two successive regular semesters. A student is not eligible to complete the residency requirement until a minimum of 18 semester hours of graduate study have been successfully completed.

Mathematics Requirements: Based on the qualifying examination required of all The University of Memphis doctoral students, the advisory committee may stipulate that appropriate mathematics courses be made a part of the student's program.

Examination Requirements: All students must take a qualifying examination in accordance with University policy outlined under Minimum Requirements for Doctoral Degrees in this catalog. This examination, which is intended to determine the student's mastery of broad fundamental concepts, will be typically given only after the student has completed between 9 to 27 semester hours of graduate study. For students entering the program with a master's degree, the exam will occur early in their PhD program as directed by the student's Advisor and Advisory Committee. The results will be used to prescribe the remainder of the student's academic program, and successful completion of the qualifying exam is required for admission to candidacy as a doctoral student.

The examination will generally be given in written form. However, the student's committee may require an oral session before making a final decision on the student's qualification to continue his/her studies.

After the final semester of coursework, the student will be required to successfully complete an oral comprehensive examination that will ascertain the student's mastery of the theoretical material that will underlie the dissertation topic. The student's Advisory Committee will conduct this oral comprehensive exam.

At the completion of the dissertation, the student must defend the work before the advisory committee and other interested members of the university faculty who may care to question the results of the research. NOTE: Students should familiarize themselves with the [Thesis/Dissertation Preparation Guide](#) before starting to write.

Course Requirements: Nine semester hours of major mathematics, physical science and engineering principles core courses that integrate their doctoral experience are required of all doctoral students. This core is developed by the student's graduate Advisory Committee. Each concentration requires a minimum of 48 semester hours of coursework post bachelor's degree

(and 24 post master's degree) plus research comprising the dissertation hours in the chosen field of study. Each student's program of study will be developed with the student's Advisory Committee. **NOTE: Students taking Engineering courses will be charged an additional \$35 per credit hour.**

Concentration Requirements

- [MECH 8341 - Engineering Analysis I](#)
- [MECH 8342 - Engineering Analysis II](#)

Graduate Program Admission

The Department of Mechanical Engineering offers courses of study that lead to the Master of Science in Mechanical Engineering degree and to the Ph.D. in Engineering with a concentration in Mechanical Engineering degree.

[MECH Graduate Degree Requirement \(from the graduate catalog\)](#)
[MECH Graduate Assistantships](#)

[Herff Graduate Fellowships](#)
[Herff Post-Doctoral Fellowships](#)

For more information please contact the Department Graduate Program Coordinator, [Dr. Teong Tan](#).

ADMISSION PROCEDURES: For admission into a degree program, applicants should allow a reasonable amount of time for necessary documents to be processed by the appropriate degree program and Graduate Admissions (approximately three to six weeks). International applicants should allow at least four months for the application process. Applicants are urged to apply early to ensure full consideration.

All determinations concerning the classification of a student as in-state or out-of-state for fee purposes are made in the Graduate Admission office. If, for any reason, there is a question about a state residency classification, the student is responsible for requesting a review of his/her residency status BEFORE classes begin. Complete an Application for Residency Classification and submit it to Graduate Admissions (FedEx Institute of Technology Building, Suite 201) for review.

[Application for Residency Classification](#)

Guidelines for Classification of Students for Fee Paying Purposes

All admission credentials become the property of the University and will not be forwarded or returned. Credentials will be maintained in active files for 12 months, after which they will be destroyed.

APPLICATION CHECKLIST:

To complete the Mechanical Engineering Graduate Application, you need to be ready to:

- 1) Submit your CV or Resume, Statement or Letter of Purpose.
- 2) Supply e-mail addresses and telephone numbers for three recommenders who will be automatically notified to send letters of recommendation after the recommendation request is saved in your application.
- 3) Report your test scores (GRE and/or TOEFL).
- 4) List all other colleges/universities attended with dates, degrees, majors, and GPAs (you will be asked to request official transcripts). If credentials are not in English, they are required to be evaluated course-by-course by any credentialing agency listed on the [National Association of Credential Evaluation Services web site](#); see [Admission of International Students](#).

DEADLINE:

In order to expedite the processing of your application, you are strongly encouraged to adhere to the timeline provided below:

For Domestic Applicants and International Applicants currently in the U.S., the Application Deadline and File Completion Deadline for Fall semester are July 1 and August 1, for Spring semester are December 1 and January 1, and for Summer semester are May 1 and June 1.

**Note: Domestic Applicants, applying for readmission, who left the University of Memphis on suspension must be fully readmitted by the following dates:*

Fall - August 1

Spring - January 1

Summer - May 1

At the University of Memphis, the deadline for scholarship consideration is December 1 for admitted students. Therefore, if you believe you may be scholarship eligible, you are strongly encouraged to submit your application before November 1 of the year before your enrollment. To discover for yourself if you may be scholarship eligible, please check the [Scholarship Office web site](#).

International Applicants NOT in the U.S. (first time F1 visa holders) are encouraged to apply for Fall or Spring admission. The Application Deadline and File Completion Deadline for Fall semester are May 1 and July 1, and for Spring semester are September 1 and October 15.

Graduate School Forms

For a brief description of our forms and when they should be submitted to the Graduate School, please click [here](#).

To view the PDF version of our forms, you must have Adobe Acrobat Reader on your computer. If you do not already have this, [click here](#) to download the free software.

REMINDER: Most of the Graduate School Forms will ask for a University Banner ID number (U-Number). When you log into SSB Banner on the myMemphis "Student Tab", the U-number is in the top right-hand corner.

Applications for graduate fellowships and awards may be found on the Assistantships, Fellowships, and Awards web site.

APPLICATION FORMS

[Admissions Application](#)

[Change of Major/Update](#) - This form should NOT be completed if you are a currently enrolled student. This form is used only to change information on current admissions application.

[Change of Status](#) - This is NOT an application for first-time admission to Graduate School. This form is only for current degree seeking student wishing to change their degree program or degree level.

[Combination Senior / ABM](#) - This form is to be used by UofM undergraduate students only who wish to enroll in a graduate level course.

[Graduate Non-Degree Agreement](#)

[Readmission Application](#) - This form MUST be submitted IF you missed enrolling in either a fall or spring semester.

[Residency Classification Application Instructions](#)

[Residency Classification Application Form](#)

GRADUATE ASSISTANTSHIP FORMS

[Timesheet for Service Graduate Assistants](#)

[Verification of Academic Credentials](#)

GRADUATION FORMS

[Apply to Graduate](#) - can be found on MyMemphis portal

[Comprehensive Examination Results](#)

[Course Substitution](#) - For all levels of candidacy forms

[Credit by Examination/Course Validation](#)

[Doctoral Degree Candidacy Form](#)

[Instructions for Completing Doctoral Degree Candidacy Form](#)

[Graduate Certificate Program Candidacy Form](#)
[Master's Degree Candidacy Form](#)
[**Instructions for Completing Master's Degree Candidacy Form**](#)
[Request to File for Graduation After Semester Deadline](#)
[Transfer Credit Evaluation - For Graduate Certificate Programs Only](#)
[Transfer Credit Evaluation - For Doctoral Degree Programs Only](#)
[Transfer Credit Evaluation - For Master's Degree Programs Only](#)

[Paper Doctoral Degree Candidacy Form](#)

[Paper Master's Degree Candidacy Form](#)

[Paper Graduate Certificate Candidacy Form](#)

THESIS/DISSERTATION FORMS AND SAMPLE PAGES

[Animal Care Facility Forms](#)
[Human Subjects Research Form](#)
[ProQuest Dissertation Publishing Agreement Form](#) - This form should be submitted in the ProQuest system.
[Survey of Earned Doctorates](#) - This form should NOT be completed until AFTER dissertation has been submitted and approved in the ProQuest system.
[Thesis/Dissertation Checklist](#)
[Thesis/Dissertation Defense Announcement form](#) – it's an online form and must be submitted three weeks prior to date of defense.
[Thesis/Dissertation Approval Form](#)
[Thesis/Dissertation "Proposal" Defense Form](#)
[Thesis/Dissertation "Final" Defense Results Form](#)
[Thesis/Dissertation Faculty Committee Form](#)
[Request to Submit a Late Dissertation or Thesis](#)
[Sample - Table of Contents](#)
[Sample - Title Page](#)

MISCELLANEOUS FORMS

[Course Revision Forms](#)
[GRE Fee Reduction Request](#)
[Grade Appeals](#)
[Grade Expiration Form](#)
[Graduate School Competitive Awards, Nomination Form](#)
[Graduate School Competitive Awards, Self-Application Form](#)
[Graduate Student Travel Funding Application Form](#)
[Incomplete Grade - Extension](#)
[Support Form for Late Drops and Withdrawals](#)

[Late Drop/Withdrawal Procedure](#)

[Leave of Absence Form](#)

[Out-of-State Tuition Waiver](#) - For students enrolled in thesis/dissertation credit only and who currently live out of the state of Tennessee

[Termination Procedures Form](#)

[UT Reciprocal Agreement Form](#)

Graduate School Candidacy Forms

- If you have not already reviewed the instructions for completing a candidacy form, please go to the following:
 - [Instructions for Master's Degree Candidacy](#)
 - [Instructions for Doctoral Degree Candidacy](#)
- Before starting on your candidacy form, log into MyMemphis and obtain an unofficial copy of your transcript. This will help with completing your list of courses.

Using DocuSign to Complete the Candidacy Form

The candidacy forms are routed to your department electronically using DocuSign. Instead of getting signatures in person or over email, DocuSign will route your form to the individuals you select in the department. Before clicking the link to the appropriate candidacy form below, review these instructions:

- Complete steps 1 through 3 (there are 2 steps to complete for the certificate candidacy form). **MAKE SURE TO ENTER THE CORRECT INDIVIDUALS.** If not, this can cause your graduation to be delayed.
- Click "Continue."
- Fill out the candidacy form according to the instructions in the above link. **All fields, including the course listing, are required.**
- Check your email. You should have received a validation access code. **KEEP THIS CODE.** You will use it to log in to check the status of your form and/or to make corrections to your form, if needed.
- If you need to leave the form, choose "Finish Later" option under the "Other Actions" menu. DocuSign will send you a link to your form that you can use to log back in and finish your form later.
- When you are finished, click the "Finish" button. This will route your form to the first recipient you listed which is your advisor or major professor (Certificate Coordinator for the certificate candidacy form). Once your advisor signs, the form will automatically go

to the Graduate Studies Coordinator and then to the College Director of Graduate Studies and finally to the Graduation Analyst.

- You will receive an email when the candidacy form has been completed.
- **REMEMBER**: if you are receiving more than one degree, you must submit a candidacy form for each degree. (Example: If you are receiving both a master's degree and a graduate certificate, then you would need to submit both the master's degree candidacy form and the graduate certificate candidacy form.)
- **CHECK ON THE STATUS OF YOUR FORM. YOU WILL NOT BE APPROVED FOR GRADUATION UNTIL THE FORM HAS ALL SIGNATURES.**

GRADUATION DEADLINE

A concise list of graduation deadlines for degree candidates is available on the [Graduate School website](#).

Graduation Deadlines for Degree Candidates

Find your commencement date in the first row below. Each of your deadlines fall under that column.

| Commencement Date | 12.15.2019 | 5.09.2020 | 8.08.2020 |
|--|------------|-----------|-----------|
| Last day to "Apply to Graduate" in MyMemphis Portal | 9.10.2019 | 2.04.2020 | 6.05.2020 |
| Last day to submit Master's, Doctoral, and/or Graduate Certificate Candidacy Form to the Graduation Analyst | 9.10.2019 | 2.04.2020 | 6.05.2020 |
| Last day to upload defended and corrected thesis or dissertation PDF to ETD (thesis) or ProQuest (dissertation) for review along with required documents to the Graduation Analyst | 11.08.2019 | 4.08.2020 | 7.09.2020 |
| Last day for all academic departments to submit comprehensive exam results. Doctoral exams are due one week after grading. | 11.13.2019 | 4.15.2020 | 7.10.2020 |
| Last day to submit final PDF version of thesis to ETD or dissertation to ProQuest (after Graduation Analyst review) | 11.29.2019 | 4.30.2020 | 8.04.2020 |

Visit the [Graduation Information](#) page for specific information regarding graduation requirements.

Thesis/Dissertation Preparation Guide - Electronic Method

This guide is constantly updated. Please check back frequently.

Last revised on 17 July 2018

[Deadlines](#)

[Continuous Enrollment Policy](#)

[Plagiarism](#)

[Defense Paperwork Submission](#)

[Dissertation Final Submission Process](#)

[Thesis Final Submission Process](#)

[Binding Fee for Personal Copy](#)

[Checklists](#)

[Formatting Guidelines](#)

[Pagination and Sequencing Table](#)

[Preliminary Materials](#)

[Sample Pages](#)

[Manuscript Text](#)

1. INTRODUCTION

This preparation guide specifies Graduate School requirements pertaining to style, organization, and formatting for electronic theses and dissertations. Students should become familiar with this guide at the time they begin the first draft of their thesis or dissertation.

Students are encouraged to use publications within their discipline (i.e., refereed journals) for help with formatting author reference citations, setting up bibliographic form and content, tables and figures, the use of numbers and mathematical equations, etc. In addition, academic departments may have additional formatting requirements or may require use of a specific style manual other than a refereed journal. Students using Graduate School style are encouraged to refer to recently submitted examples (i.e., within the previous two years) in the university's electronic thesis and dissertation repository at <https://umwa.memphis.edu/etd/>.

Requirements set forth in this guide take precedence over certain requirements in style manuals or refereed journals.

2. POLICIES

2.1 Continuous Enrollment

The continuous enrollment policy applies to all students writing a master's thesis or a doctoral dissertation. Students must be enrolled in thesis or dissertation credit for each Fall and Spring semester until the document is completed and submitted to the Graduate School for review. Once students have enrolled in the maximum number of hours allowed, they may continue to enroll in one additional hour. Students planning to defend during the summer semester must also be

enrolled in thesis or dissertation credit. Failure to register will result in the student being charged tuition for each semester he/she did not enroll, along with applicable late registration fees.

The only exception to this policy is if the student's major professor is on leave or otherwise unavailable. In such cases, the approval of the appropriate college director of graduate studies and the Dean of the Graduate School is required. In case of serious medical circumstances, students may request a leave of absence, subject to the approval of the program graduate studies coordinator, the college director of graduate studies, and the Dean of the Graduate School. Retroactive approval will not be granted. A leave of absence does not extend the time limitations for a degree program.

2.2 Thesis/Dissertation Faculty Committees

Before undertaking any work on your thesis/dissertation, a graduate faculty committee must be formed, and the Graduate School must be notified of this committee. A minimum of three members for a master's thesis committee and a minimum of four members for a doctoral dissertation committee are required.

NOTE: The Thesis/Dissertation Faculty Committee form must NOT be submitted to the Graduate School at the time your thesis/dissertation is submitted for the review process.

It will be the student's responsibility to ensure that all committee members are current members of the graduate faculty. **Students should not defend their final document until all faculty members, whether on campus or outside the university, have been granted graduate faculty status** ([Click here for a current listing of all graduate faculty members](#)).

The University of Memphis maintains six levels of graduate faculty: full, associate, affiliate, adjunct, research co-mentor, and teaching adjunct.

- Only full graduate faculty members may chair doctoral committees. Full or associate graduate faculty may chair master's committees.
 - **NOTE: If the chair of a student's committee leaves the University of Memphis, that person can no longer serve as chair and must be replaced by another graduate faculty member.**
- Associate members may direct theses in a department/school other than their own at the discretion of the graduate coordinator and/or the chair of that department.
- Affiliate or adjunct graduate faculty may be members of doctoral and master's committees in their areas of expertise, but may not serve as chair.
 - **Faculty members employed outside the University of Memphis must apply for Adjunct Graduate Faculty Status.**
- No more than one adjunct or affiliate graduate faculty member may serve as a voting member of a student's committee.
 - If a student has two adjuncts, two affiliates, or one adjunct and one affiliate member serving as readers on their committee, both members may participate in the final defense meeting and sign the Thesis/Dissertation Final Defense Results form, but only **one of the two** may sign the Faculty Committee Appointment form and the final thesis/dissertation approval page for electronic submission.

- Teaching adjuncts members may **not** serve on committees.

2.3 Institutional Review Board

2.3.1 Human Subjects

All University of Memphis faculty, staff, or students who propose to engage in any research activity involving the use of human subjects must have prior approval from the Institutional Review Board (IRB). The IRB is responsible for safeguarding rights and welfare of all persons participating in research projects, whether funded or non-funded.

Human subjects means a living individual about whom an investigator (whether a professional in the field or a student) conducting research obtains (1) data through intervention or interaction with the individual or (2) identifiable private information. Research means a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalized knowledge.

Students who fail to comply with University policy may jeopardize the awarding of the degree they seek.

The appropriate IRB or IACUC approval form must accompany an approved Thesis/Dissertation Proposal form. In addition, a copy of the IRB or IACUC approval form and examples of informed consent forms must be submitted with your thesis or dissertation. For further information, contact the IRB coordinator in the Office of Research Support Services at 901.678.2533.

2.3.2 Vertebrate Animals

All uses of vertebrate animals must receive prior approval from the Institutional Animal Care and Use Committee (IACUC).

2.3.4 Biohazards

Research involving recombinant DNA, radioisotopes, or other hazardous material must receive prior approval by the Institutional Biosafety Committee.

2.4 Use of Copyright Materials

Excerpts to be reprinted from other sources, such as maps, figures, tables, or text, must meet the same paper and margin requirements for the thesis or dissertation. Students must obtain permission from the author or publisher of copyrighted materials used beyond the limits of the "Fair Use" doctrine. The general fair use practice states that quotations of a brief prose passage or several lines of verse do not require permission. However, fair use nowhere is spelled out exactly. Check the U.S. Copyright Office for further information. In any case, the student must quote accurately and credit the source. An explanation of copyright law and fair use, along with a guide to obtaining written permission from copyright owners, may be found in *The Chicago Manual of Style*, 16th ed. Chicago: The University of Chicago Press.

For doctoral dissertations, University Microfilms International (ProQuest) requires the author to sign a certificate that use of copyrighted material beyond brief excerpts has the written permission of copyright owners and that the student is responsible for any copyright violations. A copy of all letters of permission for use of copyrighted materials must be submitted along with the microfilming/copyright agreement form (which will be given to the student **AFTER** the defended, corrected copy has been reviewed by the Graduate School).

Master's students may write to the Information Section, U.S. Copyright Office, Library of Congress, Washington, DC 20559 to request forms. Telephone: (202) 707-3000 or the forms may be downloaded and printed for use in registering or renewing a claim to copyright. The forms and the information may also be accessed and downloaded through the Copyright Office web site.

2.5 Plagiarism

The term plagiarism includes, but is not limited to, the use, by paraphrase or direct quotation, of the published or unpublished work of another person without full or clear acknowledgment. It also includes the unacknowledged use of materials prepared by another person or agency engaged in the selling of term papers or other academic materials. Published or unpublished work might include art, graphics, computer programs, raw data, web sites, music and any other type of creative expression. The most obvious form of plagiarism is copying word-for-word without enclosing the copied work in quotation marks and without citing the original source in the text. For University of Memphis's plagiarism policy, visit [Office of Student Accountability](#)

2.5.1 Guidelines for Avoiding Plagiarism

- Use Your Own Words and Ideas.
- Give Credit for Copied, Adapted, or Paraphrased Material. If you repeat another author's exact words, you **MUST** use quotation marks **AND** cite the source. If you adapt a chart or paraphrase a sentence, you must still cite the source. Paraphrase means that you restate the author's ideas, meaning, and information in your own words.
- Avoid Using Others' Work with Minor Cosmetic Changes. Examples: using "less" for "fewer", reversing the order of a sentence, changing terms in a computer code, or altering a spreadsheet layout. If the work is essentially the same, you must give credit.
- There Are No Freebies. **ALWAYS** cite words, information, and ideas you use if they are new to you (learned in your research). No matter where you find it--even in an encyclopedia or on the Internet -- you must cite it. Beware of Common Knowledge. You don't have to cite "common knowledge," but the fact must be commonly known.
- Source: Student Judicial Affairs, October 1999-2001. The University of California, Davis.

3. REFERENCE GUIDE FOR FORMATTING

Students are encouraged to refer to recently submitted theses or dissertations (i.e., within the previous two years) in the university's Electronic Thesis and Dissertation repository at: <https://umwa.memphis.edu/etd/>

In cases where a journal-ready style is not employed, or formal style guide is not used, the standard Graduate School style (below) should be used.

Click on the "Search Submission" tab to find all electronic submissions.

3.1 Font Type and Size

- Times New Roman (Including page numbers and footnote numbers) is preferred.
- 12-point font size, but a smaller type size may be used if student's committee members agree to this.
- Specialized fonts appropriate for typesetting needs (such as formulas and equations in Mathematical Sciences and other departments) may be used if approved by student's committee

3.2 Margins

- 1.0" top, right, left and bottom
- A 1.50" left margin may be used only if a student wishes to produce bound copies for their advisor, department, etc.

3.3 Justification and Hyphenation

- Align all text with the left-hand margin, except centered headings, paragraph indentations (at least 5 spaces required, although most styles require 10 spaces or .5" indentations for paragraphs), or block quotations (indent 5 spaces only, not 10).
- Full justification of margins is **NOT** acceptable; the right-hand margin must be jagged.
- Hyphenation at the right-hand margin is allowed as long as it does not cause difficulty in reading.

3.4 Spacing

- Double space all text unless your department specifies otherwise, or if stated differently in a particular style guide or refereed journal. This requirement includes only one double spaced line between all paragraphs, not triple.
- Double space between all paragraphs within centered/and or subheadings.
- No extra spacing will be required before or after tables, figures, or equations. Single spacing may be used for quotations, footnotes, tables, and references. Individual references should have at least one space between them.
- Double space before and after all tables and figures within the text.
- Single space footnote entries, but double space between each separate entry.
- Single space bibliography/references/works cited entries, but double space between each separate entry.

3.5 Page Numbers

- All page numbers should stand alone without any form of punctuation and should be 1/2" from the bottom of a page. The last line of text must be 1" from the bottom.
- There **MUST** be no page number displayed on the document title page.
- Preliminary pages, such as the Copyright, Dedication, Acknowledgement, Abstract, Preface, Table of Contents, List of Tables, List of Figures, or List of Abbreviations, etc. must be numbered in lowercase (small) Roman numerals beginning with "ii" and MUST be centered on the page.
- Pages in the body of text must be numbered using Arabic numerals beginning with "1" and must also be centered at the bottom of each page.

3.5.1 Pagination and Sequencing Table

Pages must appear in the following order:

| Page Order | Pagination | Page Number Placement | Listed in Table of Contents |
|--|-------------------------------------|------------------------------|------------------------------------|
| Preliminary Pages | Small Roman Numerals | Location | Yes/No |
| Title Page | Count/Do not Number | None | No |
| Copyright Notice (optional) | Count/Number | Center Bottom | No |
| Dedication (optional) | Count/Number | Center Bottom | No |
| Acknowledgments (optional) | Count/Number | Center Bottom | No |
| Preface (optional) | Count/Number | Center Bottom | No |
| Abstract | Count/Number | Center Bottom | No |
| Table of Contents | Count/Number | Center Bottom | No |
| List of Tables (for 5 or more only) | Count/Number | Center Bottom | Yes |
| List of Figures (for 5 or more only) | Count/Number | Center Bottom | Yes |
| Key to Symbols or Abbreviations (optional) | Count/Number | Center Bottom | Yes |
| Text | Arabic Numbers Starting at 1 | Location | Yes/No |
| Introduction | Count/Number | Center Bottom | Yes |
| Thesis or Dissertation Text | Count/Number | Center Bottom | Yes |
| Summary or Conclusions | Count/Number | Center Bottom | Yes |
| Recommendations | Count/Number | Center Bottom | Yes |
| Reference Pages | | Location | Yes/No |
| Glossary (optional) | Count/Number | Center Bottom | Yes |
| Bibliography/References | Count/Number | Center Bottom | Yes |
| Appendix or Appendices | Count/Number | Center Bottom | Yes |

3.6 Subheadings

- Placement of chapters and/or section heads should be consistent throughout the entire document.
- Preliminary page titles (i.e., Abstract, Table of Contents, etc.) should each be treated as chapter titles in terms of formatting.
- Do **NOT** begin any subheading or other divisions on separate pages.
- If a subheading falls at the end of a page without any accompanying text, move it to the top of the next page.
- Do **NOT** include any extra lines between section heads, unless otherwise specified by your department or by a refereed journal.
- Do **NOT** use a numbering system for title and subheadings (e.g., 1.1, 1.1.1) unless required by style manual, refereed journal or approved by student's committee. If they are numbered, please send justification with review copy.

3.7 Running Headers, Footnotes, and Endnotes

- Running headers and endnotes are **NOT** allowed.
- If footnotes are used, they must conform to margin requirements. They must also begin on the page they are cited.
- Footnotes must be in size 10 font (whereas all other text must be size 12) unless specified required differently by student's committee.
- Single space each footnote entry and double space between each separate entry.
- Footnotes are **NOT** to be numbered consecutively throughout the text. At the beginning of each new chapter, begin each footnote number with the Arabic number "1."

4. PRELIMINARY PAGES & MATERIALS

4.1 Final Committee Approval Form for Electronic Thesis/Dissertation Submission

The [Final Committee Approval Form for Electronic Thesis/Dissertation Submission](#) serves as the official approval page for an electronic thesis or dissertation. This form must have original signatures of all committee members and must be submitted to the Graduate School with the defended and corrected document for review. Please do **NOT** submit this form to the Graduate School prior to review copy submission. The approval form must also not be included in the electronic submission document.

4.2 Checklist for Submission of Defended and Corrected Thesis/Dissertation

This [Thesis/Dissertation Checklist](#) must accompany all defended and corrected theses or dissertations submitted for review.

4.3 Title Page

The title page must exactly match the wording, spacing, and formatting of this [example title page](#).

4.4 Copyright Page (optional)

The copyright page (if included) must exactly match the wording, spacing, and formatting of this [example copyright page](#).

4.5 Preface

- If a Preface is included in your document, it should contain a brief statement of the scope or purpose in writing the paper. It may also explain the author's choice of subject and his/her belief in its importance.
- The Preface must not contain any material covered elsewhere in the paper, in the Abstract, the Introduction, or the Summary and Conclusions.
- If articles submitted for publication are used as sections or chapters in your manuscript, the Preface should specify which journal(s) each section or chapter have been submitted to or accepted for publication.

4.6 Abstract Page

- The abstract should be the last part to be written. It must show the reader both the context and content of the work and must include the purpose of the work, including any hypothesis to be tested or major question asked; the approach used; the main findings; and the conclusions.
- The abstract must **NOT** include internal headings or author citations.
- Mathematical formulas, diagrams, and other illustrative materials must be avoided at all costs.
- If using journal articles as chapters, do **NOT** include additional abstracts or other information that the journal might require.

4.7 Table of Contents

The Table of Contents formatting must match the [example table of contents](#).

- The Table of Contents must reflect the outline and organization of the thesis or dissertation.
- Headings included in the Table of Contents must be worded exactly as stated in your document.
- Page numbers in the Table of Contents must correspond to the page numbers in the document.
- Single space within each chapter listing, but double space between chapters.
- If you have a list of tables, list of figures, and/or list of abbreviations, these pages should be listed on your table of contents page.

4.8 List of Tables (Required for 5 or more)

The List of Tables page must exactly match the wording, spacing, and formatting of the [example list of tables page](#).

- A separate page (inserted **after** the Table of Contents) must be titled "List of Tables."
- Single space each table title more than one line in length and align the second and subsequent lines with the text on the first line.
- Double space between each title entry.

- The wording of table titles must be consistent with your document.
- Page numbers in the List of Tables must correspond to the page numbers in the document.
- List of Tables formatting should match the Table of Contents example sheet (see link above).

4.9 List of Figures (Required for 5 or more)

- A separate page (inserted after the List of Tables) must be titled "List of Figures."
- All other requirements for the List of Figures is the same as the List of Tables.

4.10 Copyright Permission Letter

This must be included if any materials in the paper are under copyright and extend beyond the Fair Use Policy.

5. MANUSCRIPT TEXT

5.1 Main Body

If appropriate to your discipline, the following format should be used; otherwise, adhere to the guidelines in the style manual or journal preferred by your department.

- **Introduction.** The introduction should contain a clear statement of the purpose or hypothesis to be tested, an overview of the problem or subject as it is known from the literature, and a broad statement summarizing the findings.
- **Literature review.** The literature review should be a comprehensive discussion. It should provide a unique and valuable reference resource for other scholars in your field.
- **Statement of research objectives** (if not explicitly stated in the introduction). This statement should consist of specific objectives to be addressed by the research published in the thesis or dissertation.
- **Body of the work** (methods and materials, results, and discussion in scientific disciplines).
- **Overall conclusion** (if not explicitly stated in the discussion). The discussion or last chapter or section should be followed by an overall conclusion. This section should include a brief restatement of your conclusions presented in the body of the text.
- **Bibliography or References section.** The bibliography or reference section should appear in one location at the end of the thesis or dissertation BEFORE any appendices (unless specified differently in a scientific discipline) and should include ALL cited references. Citations should be listed alphabetically and should conform to a single format that is accepted as standard within your discipline. Try to avoid breaking bibliographic entries onto a following page. All sources that are cited in the body of the text should appear in the references/bibliography, and all sources that are cited in the references/bibliography must also be cited in text. Separate references/bibliographies for each chapter are NOT acceptable, unless your manuscript consists of articles submitted or accepted for publication.
- **Appendices** (if needed). The majority of the materials included should represent the work of the student. The format may include individual tables and/or figures with legends, text alone, or whole chapters. The same format rules that apply to the text of the thesis or dissertation must also apply to all appendices. References included in the appendices must be included in the comprehensive bibliography or reference section.

5.2 Using Journal Articles as Chapters or Sections

- In some departments, the document may include, as chapters, articles that have been published or have been submitted to journals for publication. A thesis may include one or more articles; a dissertation may include two or more.
- The student **MUST** be the primary author of each article submitted.
- Individual manuscripts serving as chapters may not all have the same internal structure. Instead, each chapter should be presented in the style appropriate to the refereed journal.
- A Preface **MUST** be included in your manuscript and must state the name of the journal(s) to which the articles have been accepted or have been submitted for publication. The preface should also indicate which chapter each article is now listed as in the Table of Contents.
- The document must include a chapter introducing the research and a concluding chapter that ties the results together. Do **NOT** include the preliminary material (such as title page, abstract, authors' contact information, running heads, etc.) required by the journal. The Graduate School's requirements for margins, figures, tables, and other items covered in this guide will still apply and take precedence over the journal's guidelines.
 - The Introduction should contain a clear statement of the purpose or hypothesis to be tested and a brief overview of the problem or subject. The Introduction should also contain an explanation of the theme tying the articles together. The Introduction need only be 2 or 3 pages long.
 - The last chapter should be followed by an overall 1 to 2 page Conclusion. This section should include an explanation of the student's contribution to the research and a brief restatement of your conclusions presented in the body of the text.
 - The Introduction and Conclusion may be presented in the style of one of the journals in the document.
- References/bibliographies will follow the style of the journal to which the article was submitted.
- Continuous pagination is required throughout the entire manuscript.
- When submitting your document to the Graduate School for review, include sample articles for each chapter and the journal's style guide or "Instructions to Author" to serve as a guideline for formatting references and citations.

5.3 Tables and Figures

- All tables and figures, including the caption, must meet Graduate School margin, font, and format requirements.
- Double space before and after all tables and figures within the text.
- The table number and its corresponding caption must be typed **ABOVE** the table. Use Arabic numbers and single space the caption.
- The figure number and its corresponding caption must be typed **BELOW** the figure. Use Arabic numbers and single space the caption.
- The figure caption must appear on the same page as the figure; the figure may be reduced to accommodate the caption but still must be readable.
- If a table and/or figure is continued onto one or more pages, repeat both the table title and the table column header rows, e.g., Table 1 (Continued).
- All tables, figures, diagrams, drawings, illustrations, etc. must be explicitly mentioned in the text. Insert each table and/or figure as close as possible after it has been cited in the text.

- All diagrams, drawings, and figures must be clear, sharp, and large enough to be readable. Color figures, illustrations, or charts are acceptable.
- Tables and/or figures one half page or less in length must appear on the same page with text either above or below. If a table and/or figure is larger than one half page, it should be inserted on a single page.
- Two small tables or figures should be placed together on a single page, with a double space between them.
- Extra-wide tables or figures should be placed in landscape orientation (broadside). The table number and title should be closest to the left margin AND the page number should also be placed in landscape orientation.
- If supplementary tables and/or figures are placed in a separate appendix, please be sure to reference this information in the text. For example: "Please see Table 1 in Appendix A."
- Master's students may place tables and/or figures in the body of the text or in a separate appendix UNLESS several tables and/or figures are listed together and interrupt the flow of the text, then they MUST be placed in a separate appendix.
 - Due to the required microfilming of all doctoral dissertations, tables and figures MUST be incorporated within the text. Insert each table and/or figure as close as possible after it has been referenced in the text.

5.4 Images

- All images (color or grayscale) included in your document must be clearly readable both onscreen and when printed.
- The format embedded in the PDF version should be bitmaps, GIFs, or JPEG images.
- Large images, including maps, plates or charts, which require high resolution must be included in the main document.

5.5 Mathematical Equations

- Equations should be centered in the text.
- Equation numbers (typed in either parentheses or brackets) must be aligned with the right-hand margin.

5.6 Citations

All theses and dissertations must use the standard citation style guide for their respective disciplines to cite their sources. Examples of these guides include, but are not limited to, APA, ASA, MLA, Chicago, and Turabian styles. For some disciplines, the accepted style guide is one of a particular journal.

In keeping with plagiarism guidelines, any and all ideas, words, images, etc. which are obtained from another source MUST be cited according to a standard style guide. Most style guides offer citation rules for the major types of source information: books, journal articles, etc. If the style guide does not cover a particular type of source, follow the standard format for the other types of sources. Always include as much information about each source as possible so that the reader could find the source again if need be.

5.6.1 Citation Generators

Citation software can be a great time-saver when working on a major project, but they are not perfect. After your document has been completed and defended, proofread carefully to insure that **ALL** citations are included in your bibliography/works cited/reference section. This must be done **BEFORE** submission to the Graduate School.

5.6.2 Citing Electronic Sources

Some style guides have not caught up with the technology. For Internet and electronic sources, use the following list as a guide when citing:

- The author's name (if known) or screen name/alias
- The full title of the document or webpage cited as a journal article
- The title of the complete work (the entire website)
- The name of the party responsible for the website
- Version or file numbers (if applicable or known)
- The date of the document's publication or last revision (if applicable or known--the copyright date is sometimes acceptable)
- The full http address (URL)--some style manuals may require you to put the address in brackets
- The date you most recently accessed the materials

6. FINAL THESIS/DISSERTATION DEFENSE PAPERWORK SUBMISSION

After you have defended and made all corrections given to you at the time of your final defense, the following items must be emailed to the following address using your University of Memphis email account gsgraduateanalyst@memphis.edu. **DO NOT UPLOAD THESE DOCUMENTS WITH YOUR THESIS OR DISSERTATION:**

EXCEPTION: students in the Department of Architecture should email a PDF copy of their thesis to gsgraduateanalyst@memphis.edu along with the following documents:

- A completed Final Committee Approval for Electronic Thesis or Dissertation Submission form signed by ALL committee membe

A Thesis/Dissertation Defense form, if one has not been previously submitted by your department. The form must have ALL signatures including the College Director of Graduate Studies' signature.

- **REMINDER:** The Graduate School is required to have a Comprehensive Exam Results form for ALL degree seeking students. If you are a master's student and have not been administered a separate oral and/or written comprehensive exam by your department, the oral defense of your thesis will satisfy this requirement; therefore, this form must be submitted to Graduate School by your department.
- A Thesis/Dissertation checklist. This checklist is **NOT** to be used as the only style guide for formatting purposes. It is to be used to ensure that you have followed specific Graduate School

requirements, in addition to what is required in your style manual, refereed journal or any additional departmental requirements. Both the student and major professor must check all applicable items and sign the form.

- If you did not use the Chicago Manual of Style, APA, ASA, MLA, or Kate Turabian manuals for formatting purposes, you must email a sample article from the refereed journal and the journal's style guide or "Instructions to Author" to serve as a guideline for formatting references and citations.
- A copy of the IRB or IACUC approval form or waiver, if human or animal subjects were used for your research.

7. DISSERTATION SUBMISSION PROCESS

7.1 Embedding Document Fonts

All document fonts must be embedded. Embedding fonts simply means that your font information used to create your document will always look the exact same way it does when stored in a PDF file. If your fonts are not embedded, Adobe Acrobat will substitute fonts available on a reader's computer. Any type of font substitution can result in significant differences between the original document and what the reader sees. Fonts can be embedded when you convert from Word to PDF. Embedding fonts will significantly increase your file size. When converting Word documents to PDF, ensure that the "scale to fit" box is NOT selected as it creates problems with the document's margins.

7.1.1 How to Embed Fonts Using Microsoft Word 2010 on a PC:

- You will need to first visit Word Options. To get there, click the File tab > Options > Save, and make sure that "Embed fonts in the file" in the textbox is checked.

7.1.2 How to Embed Fonts Using Microsoft Word 2007 on a PC:

- Create your manuscript using either Times New Roman or Ariel fonts.
- Click the circular Office Button in the upper left-hand corner of Microsoft Word. A new window will open.
- In the bottom right-hand corner is a button called Word Options. Click that button.
- Choose Save from the left sidebar.
- Check the box next to Embed Fonts in the file. Click the OK button.
- Save your document.

7.1.3 How to Embed Fonts in Earlier Versions of Microsoft Word:

- Create your manuscript using a TrueType font.
- On the Tools Menu, choose Options.
- Click the Save tab.
- Select the Embed TrueType Fonts check box.
- Save the document.

7.1.4 Using Microsoft Word on a Mac using Word 2011:

- Convert your document to PDF.
- Open the original PDF in the Preview application of your Mac.
- Select File: Print
- Click on the Preview button - a new document should be generated.
- Select File: Print again (you should be in the newly-created document when you do this).
- Click the PDF button, and then select "Save as PDF" from the pop-up menu.
- Choose a filename and save the file; the file you just saves should have all of the fonts embedded.

7.1.5 Using Microsoft Word on an Earlier Version:

- Microsoft Word for Mac does not have a feature that allows for embedding fonts. Consider using OpenOffice (which embeds fonts automatically while converting to PDF) or using a PC to embed fonts in your manuscript.

7.2 Instructions for Electronic Submission for Dissertations

After all committee corrections have been made, embed document fonts, and convert to a PDF file. Carefully review your document before submitting to the ProQuest site. Watch this [video](#) demonstration of the submission process. **These video instructions are for dissertations only.**

Do **NOT** assume that if the final Word document looks fine, the PDF will look fine. In particular, pay close attention to charts, graphs, tables, equations, special accent marks, and any graphics you imported into your Word document. If something looks incorrect, re-convert your document again to PDF. There should be no difficulty including accent marks or special characters in your abstract as long as they are the basic ASCII character set (numbers 0-9, upper and lowercase letters A-Z, and typical English punctuation).

- If you decide to use Adobe Acrobat Professional to convert your document instead of using Word, include bookmarks for all preliminary pages, for the first page of each new chapter, and for the first page of the bibliography or reference section and any appendices.

Log into the UofM ProQuest site at: <http://www.etdadmin.com/memphis>

- Click "sign up and get started today!" link at the bottom of the page
- Create a new student account by entering your email address, a password, and your first and last name
 - You MUST use your UofM e-mail account during the electronic process.
- Click create.
- You will receive an email from ProQuest to confirm your account. Click the link in the email.
- Read the instructions and click continue at the bottom of the page.
- ProQuest will guide you through all the information you need to fill out and how to submit your dissertation

The Graduate School Graduation Analyst will review your document and send any changes that need to be made by e-mail. Make these changes to the original version of your Word document. Convert once again to PDF format, connect to the ProQuest site using the same link from above, and click "Create or continue with submission." You should see your submission listed under "My Dissertation/Theses List." Click "continue submission" and then the PDF link on the left hand side. You can edit any of your contact information and/or dissertation details if you wish. Upload your new PDF and click "save and continue." The Graduate School Graduation Analyst will be notified that you have uploaded a new document and will review your dissertation again. You will receive e-mail notification when your document has been approved by the Graduation Analyst. Your document on ProQuest will be available for public viewing once it has been delivered to ProQuest, depending on your requested access level (see next section).

7.2.1 Access Restrictions and Embargoes

Access to ProQuest Electronic Dissertations is determined by the student author. Authors may choose to delay the release of their work for 6 months, a year, or two years.

Eighty to 90% of publishers of professional journals (e.g., Elsevier) have decided that theses or dissertations that are made available online do not qualify as a prior publication, and therefore do not deter future publications. However, other publishers have reached the opposite conclusion. If you have patent concerns or concerns that posting to the ProQuest site might prevent later acceptance of your work by professional journals or book publishers, consult with your committee and with possible future publishers to make an informed decision. Most professional journals publish "Instructions for Authors" on their website where this specific issue is addressed.

7.2.2 ProQuest Dissertation Non-Exclusive Publishing Agreement

ProQuest (formerly University Microfilms International, Inc.) microfilms all doctoral dissertations, which can then be distributed in whole or in part. After your manuscript has been delivered to ProQuest, your work will become available through the ProQuest dissertation database. Your dissertation will be available for public view within 8 to 10 weeks of receipt of the manuscript. Your dissertation is microfilmed exactly as it is submitted to ProQuest. The abstract (350 words or less) will appear in ProQuest's monthly publication, Dissertation Abstracts International (DAI).

7.3 Survey of Earned Doctorates

The basic purpose of this survey is to gather objective data about doctoral graduates. These data are important in improving graduate education by providing governmental and private agencies with the information necessary to make program and policy decisions. Once your dissertation has been approved, please go to: <https://sed-ncses.org> and complete the on-line survey. Send confirmation of completion to gsgraduateanalyst@memphis.edu.

The information provided on the survey questionnaire remains confidential and is safeguarded in accordance with the Federal Educational Rights and Privacy Act of 1974 (FERPA). The survey

data are reported only in aggregate form or in a manner that does not identify information about any individual.

7.4 Personal Copies for Binding

Students who wish to have bound copies of their dissertation may contact:

J & K Bindery
4602 Quince Road
Memphis, TN 38117
Phone: 901.685.0446

8. THESIS SUBMISSION PROCESS

8.1 Embedding Document Fonts

All fonts for theses must be embedded. See section 7.1 above for instructions on how to embed fonts.

8.2 Instructions for Electronic Submission for Theses

After all corrections have been made, embed document fonts, and convert to a PDF file. Carefully review your document before submitting to the ETD site.

Do NOT assume that if the Word document looks fine, the PDF will look fine. In particular, pay close attention to charts, graphs, tables, equations, special accent marks, and any graphics you imported into your Word document. If something looks incorrect, re-convert your document again to PDF. There should be no difficulty including accent marks or special characters in your abstract as long as they are the basic ASCII character set (numbers 0-9, upper and lowercase letters A-Z, and typical English punctuation).

• If you decide to use Adobe Acrobat Professional to convert your document instead of using Word, include bookmarks for all preliminary pages, for the first page of each new chapter, and for the first page of the bibliography or reference section and any appendices.

Log into the UofM ETD site at: <https://umwa.memphis.edu/etd/>

- Click on the My Submissions tab.
- Log in using your UofM UUID (Email) username and password.
 - You MUST use your UofM e-mail account during the electronic process.
- Choose the "Add New ETD" option.
- Your e-mail address and name will automatically populate (if this information is incorrect, please call 901-678-8888 or go to your account at my.memphis.edu to update your University records).
- At the top of the front matter page, you will be able to set an access level (unrestricted, restricted, or no access). (A brief summary of the restriction levels can be found at the end of this section). We recommend unrestricted access so that your research and scholarship will be

most widely distributed. However, if, upon consultation with your committee, you want to change the access level, you may do so.

- Indicate that your manuscript is a thesis.
- To complete the remainder of the form, you will need to have the following information handy:
 - the names and e-mail addresses of your committee members;
 - the exact title of your thesis, which must be entered using BOTH uppercase and lowercase letters; i.e.; every word, except prepositions and conjunctions, should begin with a capital letter. Please do not use ALL uppercase letters;
 - up to 10 keywords that describe your document's contents for search engines (each should be entered on a separate line)
 - and the exact abstract from your document—150 words or fewer for theses.
- Please type your abstract from scratch. Do not copy and paste your Word document abstract into the text box. If you do, HTML code will appear and will most likely cut off lines mid-sentence.
- Remove the header paragraph containing your name, degree, university date degree conferred, title, etc.
- The entire abstract must be single spaced; however, indent seven spaces at the beginning of each new paragraph. The font type and font size must be Arial, 10 point.
- Complete as much of the front matter form as you wish and then select "Add."
 - If you need to access the form a second time, you will be asked to Save rather than Add. DO NOT ADD A NEW FORM TO THE SYSTEM. Work with your original submission.
- After the front matter has been completed, upload your document, which must be a single PDF file and must include all figures, graphics, and tables. Only audio/visual files may be uploaded to the Supporting file area (up to 6 files are allowed.)
- Once your document has completely uploaded, click the "Back" button built into the ETD system (not the Internet browser back button), then click the "Submit" button. **If you fail to click the Submit button, your document will appear in the In Progress queue indefinitely and the ETD manager will never receive your submission.** Your document will be sent to the ETD manager in the Graduate School for final approval. (Notification will be sent to your UofM e-mail account only).
- If your document is not approved, you will receive e-mail notification of further needed changes.
 - Make these changes in the original version of your Word document. Convert once again to PDF format, connect to the ETD web site, and log in.
 - Click "View" to get to your document; click "Edit" and then "Delete" the previously uploaded file (look for a "Trash Can" icon at the bottom of the form). "Add" your revised document; click the "Back" button in the ETD system, and then click "Submit" again. **Once again, if you do not hit the submit button, your document will appear in the In Progress queue indefinitely and the ETD manager will never receive your submission.**

You will receive e-mail notification when your document has been approved by the ETD manager. Your document on the ETD server will be available immediately for public viewing, depending on your requested access level (see next section).

8.2.1 Access Restrictions and Embargoes

Access to the University of Memphis Electronic Theses and Dissertations is determined by the student author and may fall into the following categories:

- Open Access - open to anyone with Internet access
- Embargoed - The author has chosen to prevent online access for 3 or 5 years from the date of creation to protect their creative rights.
- No Access – Due to patents included or other intellectual properties, the author has chosen not to make their work available online.

Eighty to 90% of publishers of professional journals (e.g., Elsevier) have decided that theses or dissertations that are made available online do not qualify as a prior publication, and therefore do not deter future publications. However, other publishers have reached the opposite conclusion. If you have patent concerns or concerns that posting to the ETD site might prevent later acceptance of your work by professional journals or book publishers, consult with your committee and with possible future publishers to make an informed decision. Most professional journals publish "Instructions for Authors" on their website where this specific issue is addressed.

8.3 Personal Copies for Binding

Students who wish to have bound copies of their thesis may contact:

J & K Bindery
4602 Quince Road
Memphis, TN 38117
Phone: 901.685.0446

Appendix



THESIS/DISSERTATION FACULTY COMMITTEE APPOINTMENT FORM

(Committee members listed below **MUST** have graduate faculty status at the time of form submission. Form will be returned to Committee Chair if a member has not been approved for graduate faculty status.) This form is interactive.

Student's Full Name: _____ Banner ID: U _____

Current Mailing Address: _____
Street City, State Zip Code

Email Address: _____

Degree: _____ Major: _____
(Degree Abbreviation) (Please be accurate in your listing)

Area of Concentration (if applicable): _____

FACULTY COMMITTEE APPOINTMENTS:

(Please print name)

| | |
|--|-------------------|
| Committee Chair U of M Department Affiliation: _____ | (Signature) _____ |
| Committee Member U of M Department Affiliation: _____ | (Signature) _____ |
| Committee Member U of M Department Affiliation: _____ | (Signature) _____ |
| Committee Member U of M Department Affiliation: _____ | (Signature) _____ |
| Committee Member U of M Department Affiliation: _____ | (Signature) _____ |

ADD MEMBER(S) TO COMMITTEE:

(Committee chair must notify committee, graduate coordinator, and department chair of **ALL** changes.)

(Please print name)

| | |
|--|-------------------|
| Committee Member U of M Department Affiliation: _____ | (Signature) _____ |
| Committee Member U of M Department Affiliation: _____ | (Signature) _____ |
| Committee Member U of M Department Affiliation: _____ | (Signature) _____ |
| Committee Member U of M Department Affiliation: _____ | (Signature) _____ |

Thesis/Dissertation Faculty Committee (Continued)

Student's Full Name: _____ Banner ID: U _____

REPLACE MEMBER(S) ON COMMITTEE:

(Committee chair must notify committee, graduate coordinator, and department chair of ALL changes.)

(Please print name)

| | |
|-----------------------------------|--------------------------------|
| Replace _____ Committee Member | With _____ Committee Member |
| Replace _____ Committee Member | With _____ Committee Member |
| Replace _____ Committee Member | With _____ Committee Member |

REMOVE MEMBER(S) FROM COMMITTEE:

(Committee chair must notify committee, graduate coordinator, and department chair of ALL changes.)

(Please print name)

| |
|---------------------------|
| _____ Committee Member |
| _____ Committee Member |
| _____ Committee Member |
| _____ Committee Member |

DEPARTMENTAL/COLLEGE APPROVALS:**(Please sign name)**

Graduate Coordinator: _____ Date: _____

Department Chair: _____ Date: _____

College Director of Graduate Studies: _____ Date: _____

Vice Provost for Graduate Programs: _____ Date: _____

(unintentional)

Revised: 10/27/10

| | |
|---|---|
| <p>The University of Memphis</p> <p>215 Administration Building Memphis, TN 38152 Phone: (901) 678-2531 FAX: (901) 678-0378</p> | <div style="background-color: black; color: white; text-align: center; padding: 2px 5px;">THE GRADUATE SCHOOL</div> <p style="text-align: center; margin-top: 10px;">THESIS OR DISSERTATION PROPOSAL DEFENSE</p> <p style="font-size: small;">Please type or print. When all signatures have been obtained, return original to the Graduate School and retain a copy for the student's file. If animal or human subjects will be used, approval must be obtained before ANY research is undertaken.</p> |
| <p>Student's Name: _____ Banner ID: U _____</p> <p>Current Mailing Address: _____</p> <p>E-Mail Address: _____ Telephone No. _____</p> <p>Major: _____ Concentration: _____</p> <p>Degree: _____</p> <p>Today's Date: _____</p> | |
| <p style="text-align: center;">The above student successfully defended his/her thesis/dissertation proposal on: _____</p> <p>The tentative thesis/dissertation title is: _____</p> | |
| <p>Necessary human subjects <input type="checkbox"/> or animal use <input type="checkbox"/> approval (check one) has been obtained</p> | |
| <p>Attach copy of approval letter. Protocol Number: _____</p> | |
| <p>Advisory Committee (Please print or type)</p> | <p>Signatures</p> |
| <p>_____</p> <p>Chair, Advisory Committee</p> | <p>_____</p> <p>Chair, Advisory Committee</p> |
| <p>_____</p> <p>Committee Member</p> | <p>_____</p> <p>Committee Member</p> |
| <p>_____</p> <p>Committee Member</p> | <p>_____</p> <p>Committee Member</p> |
| <p>_____</p> <p>Committee Member</p> | <p>_____</p> <p>Committee Member</p> |
| <p>_____</p> <p>Committee Member</p> | <p>_____</p> <p>Committee Member</p> |
| <p>_____</p> <p>College Director of Graduate Studies</p> | <p>_____</p> <p>College Director of Graduate Studies</p> |

Revised 11/11/09

The University of Memphis
MASTER'S DEGREE CANDIDACY

Which Graduate Catalog was used to satisfy degree requirements? (List year):

Thesis Title:

[illegible]

COMPLETE LIST OF COURSES REQUIRED IN DEGREE PROGRAM

[illegible]

Master's Degree Candidacy Form

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TOTAL NUMBER OF HOURS REQUIRED IN DEGREE PROGRAM:

Degree Program Approvals:

Major Advisor: _____ Date: _____

Graduate Studies Coordinator: _____ Date: _____

College Director of Graduate Studies: _____ Date: _____

The University of Memphis offers equal educational opportunity to all persons without regard to race, religion, sex, creed, color, national origin or disability. The university does not discriminate on these bases in recruitment and admission of students or in the operation of any of its programs and activities, as specified by federal laws and regulations. The designated coordinators for University compliance with section 504 of the Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990 are the Vice President for Student Affairs and the Equal Employment Compliance Officer. Information in this document will be provided in alternate format upon request. The University of Memphis is an Equal Opportunity/ Affirmative Action University. It is committed to education of a non-racially identifiable student body.

Revised 01/07/13

The University of Memphis
DOCTORAL DEGREE CANDIDACY

| | | |
|--|--------------|---|
| Full Legal Name: | Banner ID: U | OFFICE USE <input type="checkbox"/> Intent <input type="checkbox"/> GPA <input type="checkbox"/> Comps <input type="checkbox"/> Defense <input type="checkbox"/> Language |
| Current Address: | | |
| E-mail Address: | | |
| Home Phone: | Work Phone: | |
| Degree: ▼ | | |
| Major: ▼ | | |
| Area of Concentration: ▼ | | |
| Dissertation Title: | | CERTIFIED: |
| Dissertation Major Professor (If you have co-major professors, list both): | | |

[illegible]

Doctoral Degree Candidacy Form

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TOTAL HOURS DEPARTMENT ACCEPTED FROM PREVIOUS MASTER'S DEGREE:

TOTAL HOURS REQUIRED FOR DEGREE PROGRAM:

Save

Degree Program Approvals:

Approved:

Approved:

Major Professor _____ Date _____ College Director of Graduate Studies _____ Date _____

Graduate Studies Coordinator _____ Date _____

Revised 01/07/13

Graduate Certificate Candidacy Form

The University of Memphis

GRADUATE CERTIFICATE PROGRAM CANDIDACY FORM

Do you have transfer credit from another institution? If yes, [click here](#).
 Have you applied to graduate in your MyMemphis portal? If no, ["click here"](#) to submit electronically.

Full Legal Name:

Banner ID: U

Current Address:

E-mail Address:

Home Phone:

Work Phone:

Degree: Graduate Certificate

Major:

FOR OFFICE
USE ONLY
_____: Intent
_____: GPA

CERTIFIED: _____

LIST COURSES REQUIRED IN CERTIFICATE PROGRAM

| Dept. | Course No. | Course Title | Sem. Hrs. | Grade | Year |
|-------|------------|--------------|----------------------------------|----------------------------------|------|
| | | | <input type="button" value="▼"/> | <input type="button" value="▼"/> | |
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| | | | <input type="button" value="▼"/> | <input type="button" value="▼"/> | |

TOTAL NUMBER OF HOURS REQUIRED IN CERTIFICATE PROGRAM:

Graduate Certificate Program Approvals:

Certificate Coordinator: _____ Date: _____

Graduate Studies Coordinator: _____ Date: _____

Graduate Certificate Candidacy Form

College Director of Graduate Studies: _____

Date: _____

Save

The University of Memphis offers equal educational opportunity to all persons without regard to race, religion, sex, creed, color, national origin or disability. The university does not discriminate on these bases in recruitment and admission of students or in the operation of any of its programs and activities, as specified by federal laws and regulations. The designated coordinators for University compliance with section 504 of the Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990 are the Vice President for Student Affairs and the Equal Employment Compliance Officer. Information in this document will be provided in alternate format upon request. The University of Memphis is an Equal Opportunity/ Affirmative Action University. It is committed to education of a non-racially identifiable student body.

Revised: 01/07/13

Please keep in mind that this information will be published in the Graduate School website. All the information should be accurate, and your major professor should have reviewed your abstract before you submit this form.

This form is to be submitted at least three weeks prior to the date of the thesis/dissertation defense. **All fields are required.** (Form revised Oct. 18, 2018)

Student's First Name

Student's Last Name

Student's Email (memphis.edu address)

Please select the type of work

☐ Thesis ☐ Dissertation

Work Title (Please avoid writing in CAPITAL Letters)

Degree Obtained

College/School

Defense Date (mm/dd/yyyy)

Defense Time (h:mm am/pm)

Defense Location (Building Name - Room | please **do not use abbreviations for the building name**, e.g. type Dunn Hall instead of DH)

Committee Major Professor Name (do not include degree, e.g. PhD, use the list below to select your major professor's degree)

Committee Major Professor's Title

Committee Major Professor Email (memphis.edu address)

Please make sure that your major professor has reviewed your abstract before submitting this form. If your abstract has been approved by your professor, please check below:

☐ Yes, my major professor has reviewed and approved this abstract

Thesis/Dissertation Abstract (150-350 words). Please [remember to check the abstract guidelines](#).

Powered by Qualtrics



Graduate School
COMPREHENSIVE EXAM RESULTS FORM

A final comprehensive exam has been conducted for the following student:

Student's Full Name: _____

Student ID Number: U _____

Degree: [Click to Select](#)

Major: [Click to Select](#)

Concentration, if applicable: _____

Date Exam Administered: _____

Type of Exam Administered: [Click to Select](#)

Exam Results: ☐ Pass ☐ Fail

| Committee Approvals: (Print or type name) | Committee Signatures | Pass | Fail |
|--|--------------------------------------|------|------|
| Chair, Examining Committee | Chair, Examining Committee | | |
| Committee Member | Committee Member | | |
| Committee Member | Committee Member | | |
| Committee Member | Committee Member | | |
| Committee Member | Committee Member | | |
| Committee Member | Committee Member | | |
| Committee Member | Committee Member | | |
| College Director of Graduate Studies | College Director of Graduate Studies | | |

Revised: 11/07/2013

Thesis/Dissertation Final Defense Results Form

A final thesis/dissertation defense has been conducted for the following master's or doctoral student:

Student's Full Name:

University Banner ID: U

Major:

Area of Concentration, if applicable:

Degree:

Date Final Defense Was Held:

Final Thesis/Dissertation Title:

| Committee Approvals: | Defense Results: | Signatures: |
|--|----------------------|--|
| <input type="text"/> Chair, Examining Committee | <input type="text"/> | <input type="text"/> Chair, Examining Committee |
| <input type="text"/> Committee Member | <input type="text"/> | <input type="text"/> Committee Member |
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| <input type="text"/> Committee Member | <input type="text"/> | <input type="text"/> Committee Member |
| <input type="text"/> College Director of Graduate Studies | | <input type="text"/> College Director of Graduate Studies |

Revised: 10/13/10

Herff College of Engineering

Assessment Rubric for Comprehensive Exams

Student's Name: _____ University Banner ID: U _____
 Major: _____ Degree: MS _____ PhD _____
 Area of Concentration, if applicable: _____ Date: _____

| Criteria | I | II | III |
|-----------------------------|---|---|--|
| | Completeness and Breadth | Accuracy and Depth | Logic and Organization |
| Advanced (3) | Responses reveal an ability to apply a comprehensive knowledge of mathematics, science, and engineering/technology. | Responses demonstrate depth of knowledge and the ability to analyze and solve broadly-defined engineering/technical problems. | Responses are logical and easy to follow. |
| Intermediate (2) | Responses reveal a satisfactory breadth in applying knowledge of mathematics, science, and engineering/technology. | Responses demonstrate depth of knowledge related to the problem but have deficiencies in analyzing or solving the problem. | Responses contain all of the elements but take effort to follow. |
| Beginner (1) | Responses are brief and/or reveal a narrow knowledge of mathematics, science, and/or engineering/technology. | Responses are inaccurate and/or superficial. | Responses are poorly organized and difficult to follow. |

| Committee Approvals: (Please print name) | Signatures | Criteria | | | |
|---|-----------------------------|----------|----|-----|---------|
| | | I | II | III | Overall |
| | | | | | |
| Chair (Examining Committee) | Chair (Examining Committee) | | | | |
| Committee Member | Committee Member | | | | |
| Committee Member | Committee Member | | | | |
| Committee Member | Committee Member | | | | |
| Committee Member | Committee Member | | | | |
| Committee Member | Committee Member | | | | |
| Committee Member | Committee Member | | | | |
| Criteria Averages | | | | | |

Please complete this assessment form for each graduate student in your program upon completion of their Comprehensive Exam. Return this completed Assessment Rubric and the Comprehensive Exam Results form to your Graduate Coordinator or designee. Your graduate coordinator will collect this SACS data for MS candidates. The Graduate Coordinator will forward the rubric to the Associate Dean of Research and Graduate Studies for your PhD candidates. The Comprehensive Exam Results form will not be sent to the Graduate School until this rubric is completed.

Herff College of Engineering

Assessment Rubric for Thesis/Dissertation Final Defense Results

Student's Name:

University Banner ID: U

Major:

Degree: MS _____ PhD _____

Area of Concentration, if applicable:

Date:

Final Thesis/Dissertation Title:

| Criteria | | Advanced (3) | Intermediate (2) | Beginner (1) |
|----------|---------------------------|---|--|---|
| 1 | Research Question/Problem | Communicates a high level of sophistication in presenting and situating research question. | Clearly presents research question. | Research question unsophisticated or not clearly presented. |
| 2 | Literature Review | Demonstrates depth of knowledge and thorough preparation in review of literature. | A adequate literature review. | Literature review is incomplete, inaccurate and superficial. |
| 3 | Methods | Describes and competently implements appropriate methods. | Uses appropriate methods. | Methods not appropriate to research question. |
| 4 | Results and Implications | Presents results thoroughly, with full discussion of their implications for the research question. | Presents results with some discussion of their implications. | Presents results incompletely or inaccurately. |
| 5 | Format and Organization | Document is well organized and logical. Guides the reader through the chain of reasoning or progression of ideas. | Document is adequately organized and logical. | Document is poorly organized. |
| 6 | Citations and References | Uses appropriate references with proper citations. | Uses some references with citations. | No references or citation used. |
| 7 | Verbal Communication | Oral defense presented clearly; questions answered directly and succinctly. | Oral defense presented clearly; questions answered adequately. | Oral defense disorganized; questions not answered adequately. |

| Committee Approvals: (Please print) | Signatures | Criteria | | | | | | | |
|--|----------------------------|----------|---|---|---|---|---|---|---------|
| | | 1 | 2 | 3 | 4 | 5 | 6 | 7 | Overall |
| | | | | | | | | | |
| Chair (Examining Committee) | Chair, Examining Committee | | | | | | | | |
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| Committee Member | Committee Member | | | | | | | | |
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| Committee Member | Committee Member | | | | | | | | |
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| Criteria Averages | | | | | | | | | |

Please complete this assessment form for each graduate student in your program upon completion of their Thesis or Dissertation Defense. Return this completed Assessment Rubric and the Thesis/Dissertation Final Defense Results form to your Graduate Coordinator or designee. Please note this Assessment Rubric form will be used to assess the graduate student's 1) research abilities especially writing skills and 2) oral presentation/communication/organizational skills (shaded areas). Your graduate coordinator will collect this SACS data for your MS candidates and will forward this rubric to the Associate Dean of Research and Graduate Studies for your PhD candidates. The Thesis/Dissertation Final Defense Results form will not be sent to the Graduate School until the graduate student's committee members complete this rubric.

MEMPHIS
Graduate School

**Final Committee Approval Form for
Electronic Thesis or Dissertation
Submission**

This form serves as the official approval of an electronic thesis or dissertation by the student's faculty committee and must be submitted to the Graduate School with the defended and corrected copy for review. This form *must not* be included in the electronic document. This form *must* have original signatures of all committee members.

Degree Candidate's Name: _____

Degree (e.g., Ph.D): _____ **Date of Defense:** _____

Major (e.g., Health & Sport Science): _____

Thesis/Dissertation Title: _____

We, hereby, certify that this document has been reviewed for form and content; and therefore, recommend that it be accepted for degree conferral.

Thesis or Dissertation Committee Names:
(Please Print Name)

Signatures:

| | |
|-------|-------|
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |

I have reviewed the final version of the above-mentioned document and verify that it has been reviewed and accepted by the committee and is ready for electronic submission.

(Signature of Thesis/Dissertation Major Professor)

(Print Name and Date)

Graduate School
The University of Memphis
201 FedEx Institute of Technology Building, 365 Innovation Drive

Thesis/Dissertation Checklist

Listed below is a summary of the Graduate School on-line Thesis/Dissertation requirements. This checklist **must** be used in addition to what is specified by your committee/department. If your department required formatting changes different than the style manual or refereed journal, the Graduate School must be notified of these additional changes. This information must be included with your review document. Review Item 6 in the [Thesis/Dissertation Preparation Guide](#) for submission requirements of defended and corrected theses or dissertations.

This checklist must be submitted with your final document along with the Final Committee Approval Form for Electronic Thesis or Dissertation Submission. Both you and your major professor **must** check all applicable items followed for formatting purposes and each must sign. Please indicate the style guide used for formatting purposes: ☐ APA; ☐ ASA; ☐ Turabian; ☐ Chicago Manual; ☐ MLA; ☐ LaTeX. If a journal was used, provide a sample article with your submission and indicate the name of the journal here: _____

MARGINS REQUIREMENTS:

☐ 1.00" left, top, right, and bottom margins for all pages. If you wish to eventually have bound copies, you may set your left margin for 1.50".

ORGANIZATION OF THESIS/DISSERTATION:

- ☐ 1. Title Page
- ☐ 2. Copyright page (Optional)
- ☐ 3. Dedication Page (Optional)
- ☐ 4. Acknowledgments (Optional)
- ☐ 5. Preface (Only when journal article formatting is used)
- ☐ 6. Abstract (**350 words for dissertations, 150 words for theses**)
- ☐ 7. Table of Contents
- ☐ 8. List of Tables (only used for 5 or more), with page numbers
- ☐ 9. List of Figures (only used for 5 or more), with page numbers
- ☐ 10. List of Plates (only if needed), with page numbers
- ☐ 11. List of Symbols and/or Abbreviations (only if needed)
- ☐ 12. Body of Thesis/Dissertation
- ☐ 13. Bibliography/References/Works Cited
- ☐ 14. Appendix or Appendices
- ☐ 15. Permission letter(s) for any copyrighted materials used in text
- ☐ 16. IRB or IACUC Approval or waiver (if human or animal subjects were used – no signatures please)

FONT SIZE:

☐ 12 point is preferred; however, 10 point may be used, if approved by student's committee.

FONT TYPE:

☐ Times New Roman is preferred; however specialized fonts appropriate for specific typesetting needs (such as formulas and equations in Mathematical Sciences and other departments) may be used, if approved by student's committee.

SPACING:

☐ Double spacing will be the default for the entire document including before and after all centered headings and subheadings; this requirement may vary by department preference and/or by the style guide or refereed journal used for formatting.

PAGINATION:

- ___ Every page must be assigned a number and page numbers should stand alone without any form of punctuation.
- ___ All page numbers must be centered 1/2" from the bottom of the page (last line of text must be 1" from bottom).
- ___ The title page is assumed to be numbered lowercase Roman numeral "i"; the actual number should NOT be displayed on this page. (Use a section break to solve this issue).
- ___ All other preliminary pages (e.g., Copyright, Dedication, Acknowledgement, Abstract, Table of Contents, etc.) must be numbered in lowercase Roman numerals beginning with "ii"
- ___ Pages in the body of text must be numbered using Arabic numerals beginning with "1".
- ___ All page numbers in the Table of Contents and the List of Tables and List of Figures MUST correspond with actual page numbers in the text.

RUNNING HEADERS, FOOTNOTES AND ENDNOTES

- ___ If footnotes are used, they must conform to margin requirements and must begin on the page they are cited.
- ___ Footnotes must be two font sizes smaller than document text (10 pt).
- ___ Single space footnote entries and double space between each.
- ___ Footnotes are to be renumbered beginning with Arabic number "1" for each chapter or section.
- ___ Running headers and endnotes are NOT allowed.

CENTERED HEADINGS AND SECTION HEADS

- ___ Chapter headings MUST be centered; unless otherwise specified by student's committee. If they are not centered, please send justification with review copy.
- ___ Section headings should be consistent throughout entire document.
- ___ Preliminary page titles (i.e., Abstract, Table of Contents, etc.) and all chapter or section headings MUST be centered unless otherwise specified by student's committee.
- ___ If a subheading falls at the end of a page without any accompanying text, move subheading to the next page.
- ___ Do NOT use a numbering system for title and subheadings (e.g., 1.1, 1.1.1), unless required by style manual, refereed journal or by approval of student's committee. If they are numbered, please send justification with review copy.

TABLES/FIGURES:

- ___ Format all tables/figures, including the caption, according to required style manual or refereed journal.
- ___ All tables/figures must conform to required margin requirements.
- ___ There must be a line before and after column headers and at the end of each table; however this may vary according to the style guide or journal used for formatting purposes.
- ___ When a table is continued to another page(s), repeat table number and column headers; label table title as such - Table 1 (Continued)
- ___ Tables/figures must be identified in the text by a number (e.g., Table 1, do not label as Table 1.1, Table 2.1, etc., unless specified otherwise by student's committee)
- ___ Table numbers and titles must be typed above the table.
- ___ Figure numbers and captions must be typed below the figure.
- ___ Table/figure captions must appear on the same page as the table/figure.
- ___ If a table/figure is taken directly from another source, the entire source must be cited below the table/figure.
- ___ Tables/figures may follow the page on which they are first referenced, or they may be included in a separate appendix. EXCEPTION: All tables/figures must be incorporated within the text for dissertations only.
- ___ Tables/figures must be numbered consecutively throughout the text, unless specified otherwise by student's committee.

MISCELLANEOUS:

- ___ Left align text (full justification of the right-hand margin is not allowed; margins must be jagged).
- ___ If mathematical equations are used within the text, double space before AND after each equation.
- ___ Always spell out a number if it begins a sentence or paragraph.
- ___ Color figures, illustrations or charts are acceptable.

I have checked the manuscript for all of the above items.

Student's Name (please print): _____

Signature: _____ Date: _____

E-mail Address: _____

*** I have checked the manuscript for all of the above items and represent committee approval of the selected style guide.**

Thesis/Dissertation Chair's Name (please
print): _____

Signature: _____

Date: _____

Request to Submit a Late Dissertation or Thesis

Graduate School, The University of Memphis, 201 FedEx Institute
Phone: 901-678-4212 / Fax: 901-678-0378

A student wishing to submit their thesis or dissertation for processing after the submission deadline can request a late review of their work up until two weeks after the published deadline. The student must fill out this form, submit it to the Graduate School for signature then take this form, along with late fee payment, to the Bursar's Office.

To be completed by student:

| | | | |
|-----------------------------|------------|---|----------------|
| Student's Last Name | First Name | Middle Name | UID Number |
| Mailing Address | | City | State Zip Code |
| Email Address | | Telephone Number | |
| Academic Department / Major | | <input type="checkbox"/> Thesis <input type="checkbox"/> Dissertation | |

Student Acknowledgement:

I hereby request the late processing of my dissertation or thesis to enable my graduation in the term and year noted below. I understand that I will be assessed a \$500 late fee. The University reserves the right to correct errors in my fee assessment and charges that are discovered subsequent to the processing of this form. I also understand that my dissertation or thesis will be reviewed to support the graduation term noted below only after this request has been reviewed and signed off by the Graduate School.

Term / Year

Student Signature Date

To be completed by The Graduate School:

This request has been ☐ approved OR ☐ denied Reason:

Graduate School Dean/Designee Name (Please Print) Graduate School Dean/Designee Signature Date

Please deliver this form, along with your payment, to the Bursar's Office, 115 Wilder Tower, Memphis, TN 38152.

| Bursar's Office | | | |
|------------------------|------------|-------|----------|
| Detail Code MOT3-\$500 | Receipt #: | Date: | Cashier: |



Graduate School

Evaluation of Transfer Credit for Graduate Certificate Programs

(Do Not Use This Form For Master's Transfer Credit)

Three semester or 2 quarter hours with a grade of B or better may be transferred if the course work was earned at an institution accredited at the graduate level. This course: 1) must not have been used for a previous graduate degree; 2) must relate to the content of a graduate certificate program and/or be comparable to those offered at the U of M; and 3) must not have been completed more than 6 years before anticipated date of graduation. This course must have met for a minimum of 750 contact minutes for each semester hour credit (2250 minutes for a 3-hour course). An official transcript must be on file at the U of M at the time of this request. The transfer grade will not be computed in the U of M cumulative GPA. Upon completion of this form, return to the Graduate School (FIT 201) with the appropriate signature for processing.

| | |
|--------------------------------|----------------------|
| Student's Name | <input type="text"/> |
| Banner ID | <input type="text"/> |
| Current Address | <input type="text"/> |
| E-Mail Address | <input type="text"/> |
| Phone Number | <input type="text"/> |
| Anticipated Date of Completion | <input type="text"/> |

| Transfer Course Title | Transfer Course Number | U of M Equivalent Course | For Office Use Only (U of M Course Title) |
|---------------------------------------|------------------------|--------------------------|---|
| <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Credit Earned At <input type="text"/> | | | |

APPROVAL :

Departmental Advisor/Graduate Coordinator: _____ Date: _____

TO BE COMPLETED BY GRADUATION ANALYST

Accredited graduate institution ☐ yes ☐ no Hours Accepted

Approved: _____ Date: _____

The University of Memphis
TRANSFER CREDIT EVALUATION (Masters Program)

Please see http://www.memphis.edu/gradcatalog/degree_planning/masters.php and http://www.memphis.edu/gradcatalog/academic_regulations/transfer_credit.php for transfer credit limitations.

These courses: 1) must relate to the content of a degree program and/or be comparable to those offered at the U of M; 2) must not have been completed beyond the time limit set for completing the current degree; and 3) must have been earned with a grade of B or better from an accredited institution at the graduate level. These course(s) must have met for a minimum of 750 contact minutes for each semester hour credit (2250 minutes for a 3-hour course). **An official transcript must be on file at the U of M at the time of this request.** Transfer grades will not be computed in the U of M cumulative GPA. Upon completion of this form, return to the Graduate School (FIT 201) with the appropriate signature for processing.

Student's Name: _____ Banner ID: U _____

Current Address: _____

E-Mail Address: _____ Phone: _____

Anticipated Date of Graduation from the U of M: _____

| Transfer Course Title | Transfer Course Number | UM Equiv. Course | For Graduate School Office Use Only (UofM Course Title) |
|--------------------------|------------------------------|------------------------|--|
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| | | | |

Credit Earned from: _____

Approval:

Departmental Advisor/Graduate Coordinator: _____

Date Approved: _____

Department: _____

To be Completed by Graduation Analyst

Accredited graduate institution: ____ Yes ____ No Hours Accepted: _____

Approved: _____ Date: _____

The University of Memphis
TRANSFER CREDIT EVALUATION (Doctoral Program)

Please see http://www.memphis.edu/gradcatalog/degree_planning/doctoral.php and http://www.memphis.edu/gradcatalog/academic_regulations/transfer_credit.php for transfer credit limitations.

Transfer courses: 1) must relate to the content of a degree program and/or be comparable to those offered at the U of M; 2) must not have been completed beyond the time limit set aside for completing the current degree, (excludes those entering a post-baccalaureate degree program); and 3) must have been earned with a grade of B or better from an accredited institution at the graduate level. An official transcript must be on file at the U of M at the time of this request. Transfer grades will not be computed in the U of M cumulative GPA. Return to the Graduate School (FIT 201) when completed.

Student's Full Legal Name: _____ Banner ID: U _____

Current Mailing Address: _____

E-Mail Address: _____ Daytime Phone: _____

Anticipated Date of Graduation from the U of M: _____

Are you admitted to a post-baccalaureate degree program? _____ Yes _____ No

| Transfer Course Title | Transfer Course Number | U of M Equiv. Course | For Office Use Only (U of M) Course Title |
|-----------------------|------------------------|----------------------|---|
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Credit Earned from: _____

Approval of Advisor/Graduate Coordinator: _____ Date: _____

Academic Department: _____

For Graduate School Office Use Only

Accredited graduate institution: _____ Yes _____ No Total Hours Accepted: _____

Approved by: _____ Date: _____

Student Evaluation of Teaching Assistant

| Your understanding of the TA's responsibilities: (Please check the appropriate column) | | Yes | No | Don't know | | | |
|---|--|-----|----|------------|---|----|-----|
| 1 | Did assignment grading (homework, lab report, etc.) | | | | | | |
| 2 | Graded quizzes | | | | | | |
| 3 | Held office hours and/or is available for consultation | | | | | | |
| 4 | Conducted recitation and/or lab sessions | | | | | | |
| 5 | Other duties (not previously mentioned & please specify): _____ | | | | | | |
| | | | | | | | |
| Your evaluation of the TA's qualities: (Please check the appropriate column) | | SA | A | N | D | SD | N/A |
| 1 | Communication skills (clarity, relaying info., effective speech) | | | | | | |
| 2 | Knowledge of material | | | | | | |
| 3 | Grading accuracy & consistency | | | | | | |
| 4 | Kept office hours (if applicable) | | | | | | |
| 5 | Promptness (general, return papers, starting/ending class) | | | | | | |
| 6 | Maintained a positive attitude | | | | | | |
| 7 | Provide helpful information (handouts, feedback, class supplement) | | | | | | |
| 8 | Was approachable | | | | | | |
| 9 | Enhanced my knowledge of the course and material | | | | | | |
| 10 | Overall, the TA was an excellent instructor | | | | | | |
| Comments: | | | | | | | |

Faculty Evaluation of Teaching Assistant

Course Instructor: _____

Course Number: _____

Teaching Assistant: _____

Semester/Year: _____

Type of Assignment (Please provide approximate time for the items below):

Grading Homework: _____

Grading Examinations: _____

Recitation – hours/week: _____

Laboratory – hours/week: _____

Others, specify: _____

Evaluation (Please check appropriate box):

5 – Excellent; 4 – Good; 3 – Adequate; 2 – Marginal
1 – Inadequate; N/A – Not Applicable

| | 5 | 4 | 3 | 2 | 1 | N/A |
|---|---|---|---|---|---|-----|
| 1. Promptness (general, return of papers, etc.) | | | | | | |
| 2. Knowledge of Material | | | | | | |
| 3. Communication Skills* | | | | | | |
| 4. Quality of Grading | | | | | | |
| 5. Keeps Assigned Office Hours | | | | | | |
| 6. Overall Evaluation | | | | | | |

*This is an important item – comments on assignment limitations due to communication problems and possible corrective action.
If this rating is less than 4, please explain in comments area below.

Comments:

Faculty Signature: _____

Date: _____

Progress Meeting with Advisory Committee

Name of student: _____ ☐ - MS ☐ - PhD DATE: _____

Title of Thesis/Dissertation:

Student's support is from: ☐ Dept ☐ Herff ☐ External Grant ☐ Other _____

Progress of student:

☐ - poor

☐ - good

☐ - excellent

On track to graduate in ☐ Fall ☐ Spring ☐ Summer 20____

Remarks:

Committee Members:

Name: Chair

Signature

Name: Member

Signature

Name: Member

Signature

Name: Member

Signature

Name: Member

Signature