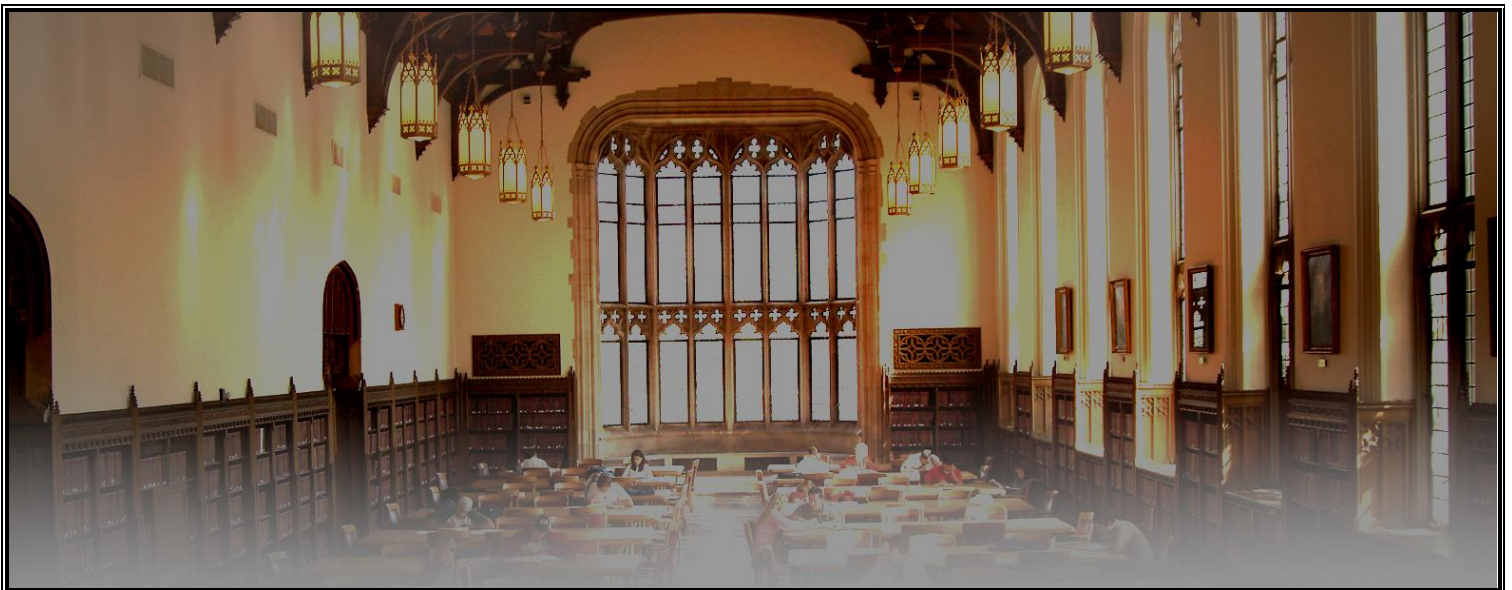




THESIS/DISSERTATION INSTRUCTION PACKET



THE UNIVERSITY OF OKLAHOMA
GRADUATE COLLEGE

Revised September 2019

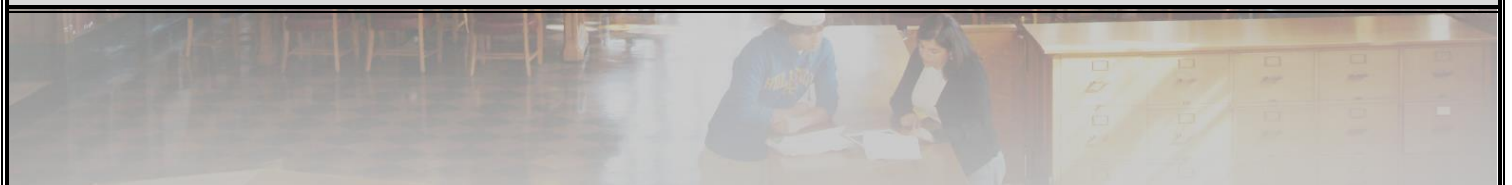


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FORMATTING *the* DOCUMENT

This packet contains important information about research-related issues and copyright. It is also a tool to help you make sure your document meets the Graduate College formatting requirements. Follow all of the instructions carefully, look closely at the sample pages, and use the checklist below. Your final document should be professional in appearance and free of errors.

Do not try to copy the format from someone else's document, and do not rely on formatting instructions from other departments on campus. As a graduate student, you are responsible for formatting your document correctly. You have worked hard to make your document an original contribution to your academic field, and it is also important to make your document professionally presentable. Submissions will be rejected if the document contains formatting errors.

Visit <http://ou.edu/gradcollege/> to review [degree deadlines](#) and the [Graduate College Bulletin](#).

If you have any questions about defending, formatting, or submitting your document, contact the Graduate College at (405) 325-3811 or gradinfo@ou.edu.

FORMATTING CHECKLIST FOR THESIS/DISSERTATION FINAL SUBMISSION TO SHAREOK

The requirements below must be satisfied. Submission that fail to meet these requirements will not be accepted.

- ☐ Standard, professional 12-point font must be used throughout (headings may be larger).
- ☐ Page margins must be consistent throughout the document (minimum 1" and maximum 1.5").
- ☐ The first three (3) pages of the document must appear in the following order: Title Page, Committee Page, and Copyright Page. Do not include page numbers on these pages.
- ☐ The text of the Title Page, Committee Page, and Copyright Page must include all text on the sample pages of the instruction packet (format may vary).
- ☐ The Title Page must include the exact name of the degree.
- ☐ The Committee Page must include the exact name of the academic unit.
- ☐ The Committee Page must include the names of each committee member (no signatures; format may vary).
- ☐ The document title on the Title Page and Committee Page must match the title on the *Approval for Thesis/Dissertation Submission to SHAREOK* form.
- ☐ Front matter must include at minimum a Table of Contents and Abstract. Roman numeral page numbers begin with "iv" on the page directly following the Copyright Page.
- ☐ Arabic numeral page numbers beginning with "1" on the first page of the thesis/dissertation text (e.g., Chapter 1 or Introduction) and continue through the remainder of the document.
- ☐ Page numbers must be in a consistent position throughout the document on every page following the Copyright Page.
- ☐ All tables, figures, illustrations, and other visual content must be within the margins.
- ☐ Bibliography or References section(s) must be included.
- ☐ Submission must include a complete .pdf version of the entire thesis/dissertation document with the file name
Year_StudentLastName_StudentFirstName_Thesis or
Year_StudentLastName_StudentFirstName_Dissertation.pdf
- ☐ Submission must include a version in the native file format used to create the document (.docx, .zip, or .tar for LaTeX, etc.) with a file name that matches the .pdf document.

As a graduate student, you are responsible for formatting your document correctly.

If you have any questions about formatting or submitting your document,
contact the Graduate College at (405) 325-3811 or gradinfo@ou.edu.

UNIVERSITY OF OKLAHOMA

GRADUATE COLLEGE

TITLE OF YOUR THESIS

A THESIS

SUBMITTED TO THE GRADUATE FACULTY

in partial fulfillment of the requirements for the

Degree of

EXACT NAME OF YOUR DEGREE

By

YOUR NAME

Norman, Oklahoma

Year

UNIVERSITY OF OKLAHOMA

GRADUATE COLLEGE

TITLE OF YOUR DISSERTATION

A DISSERTATION

SUBMITTED TO THE GRADUATE FACULTY

in partial fulfillment of the requirements for the

Degree of

EXACT NAME OF YOUR DEGREE

By

YOUR NAME

Norman, Oklahoma

Year

TITLE OF YOUR THESIS

A THESIS APPROVED FOR THE
EXACT NAME OF YOUR ACADEMIC UNIT

BY THE COMMITTEE CONSISTING OF

Dr. John Doe, Chair

Dr. Jane Smith

Dr. Bob Jones

Dr. Sue Roberts

Dr. William Lee

TITLE OF YOUR DISSERTATION

A DISSERTATION APPROVED FOR THE
EXACT NAME OF YOUR ACADEMIC UNIT

BY THE COMMITTEE CONSISTING OF

Dr. John Doe, Chair

Dr. Jane Smith

Dr. Bob Jones

Dr. Sue Roberts

Dr. William Lee

FINAL SUBMISSION

The final document must be digitally submitted to the SHAREOK Repository at <https://shareok.org> according to the deadlines and policies explained in the [Graduate College Bulletin](#).

Before you submit your final document to SHAREOK, you must submit a paper copy of the *Approval for Thesis/Dissertation Submission to SHAREOK* form with the original signatures of your committee members to the Graduate College.

Committee members have the option to sign this form at the defense, or wait until they have reviewed and approved all revisions. SHAREOK submissions completed before the Graduate College has received the *Approval for Thesis/Dissertation Submission to SHAREOK* form will be rejected.

You will need to follow the document submission instructions posted on the [SHAREOK website](#). You are responsible for ensuring your document is correctly formatted and complete. The submission will be rejected if the document contains formatting errors. The document should not include committee signatures.

Important tips:

- Two files are required:
 - One complete .pdf copy of the entire thesis/dissertation document
 - One copy in the “native format” you used to create the document. This may be a Word .doc or .docx, or a .zip or .tar of LaTeX files.
- Before uploading, rename your files as follows: Year_LastName_FirstName_Thesis/Dissertation.
- When listing subject keywords, add one at a time.
- The embargo date field for each file should only be completed if the Graduate College has approved an embargo of your document. If the Graduate College has not approved an embargo, leave this blank.

If you experience any technical problems with the SHAREOK submission process, please email shareok@ou.edu.

The following information about keyword selection, abstract composition, and copyright has been provided by University Libraries.

MAXIMIZING YOUR KEYWORDS *and* ABSTRACT

Selecting good keywords will improve the likelihood that your work will be discovered in search engines, which in turn improves the likelihood that your work will be viewed and cited. Here are some tips to maximize the potential discoverability and use of your work:

1. Choose clear, accurate, descriptive *keywords*. Think about the search term(s) you would use to find material related to your document topic, and include these in your keywords.
2. Some redundancy is good. Within your *abstract*, repeat key words or phrases from your document title, reuse relevant keywords, and include other keywords or phrases you would use to find material related to your thesis/dissertation topic.
3. Try not to be too general. “Chemistry” is too broad; “green chemistry” is better.
4. Focus on 3-4 keyword phrases in your abstract; too many may decrease the likelihood that your work will be discovered, viewed and cited.
5. Make sure your abstract reads well; a search engine may find your work, but a human being will use your abstract to decide whether to read and/or cite your work.

ACKNOWLEDGING *the* WORK OF OTHERS: PRIOR *or* PLANNED PUBLICATIONS WITH MULTIPLE AUTHORS *or* COLLABORATORS

The major substance of the thesis/dissertation must be the original work of the student submitting it.

The Graduate College recognizes that graduate students frequently undertake collaborative research with a mentor and others. This collaborative research may result in material that is published, in-press, or in preparation for submission for publication. These materials may also be included or referenced in a student's final thesis/dissertation.

Students are responsible for recognizing collaborators and co-authors in prior or planned publications on the Acknowledgements page of the thesis/dissertation. A student who incorporates co-authored material in the thesis/dissertation should clearly indicate the student's contribution to the material. Any material included in the thesis/dissertation that has been produced by or in collaboration with others should be cited as such.

Students should direct questions regarding proper citation to the [OU Writing Center](#).

COPYRIGHT

The initial owner of the copyright is the person who created the work. If you wrote or created it, you own it. Submitting your document to the SHAREOK repository does not transfer your copyright ownership.

It is possible that an outside entity, such as an employer or funder, can consider your creation as a "work made for hire." For more detailed information about this topic, see Circular 9 of the U.S. Copyright Office (<http://www.copyright.gov/circs/circ09.pdf>).

You may choose to register your copyright with the U.S. Copyright Office; this is not required for your original work to be protected (see also [Copyright Legislation](#), p. 10). Registering your copyright does provide evidence of your claim of copyright. For information on registering your copyright through the Copyright Office, see <https://www.copyright.gov/registration/>.

PERSONAL BOUND COPIES

Students who would like bound copies of their document may wish to contact the following local bindery services, which may produce bound theses/dissertations similar to those housed in the Great Reading Room of Bizzell Memorial Library.

Sooner Bindery, Inc.
4335 SE 28th Street, Suite A
Del City, OK 73115
(405) 232-4764

Ace Bookbinding Co.
825 N Classen Blvd
Oklahoma City, OK 73106
(405) 525-8888

Disclaimer: This contact information is provided for informational purposes only. Bindery services listed here are neither affiliated with nor endorsed by the University of Oklahoma.

Students who may look for bindery services online are strongly advised to read the vendor's terms very carefully, as some vendors may engage in unscrupulous practices (for example, making bound copies available for sale without the author's foreknowledge).

RESEARCH ISSUES

The following information has been compiled from a variety of sources and covers human subjects research; general copyright legislation; embargoes of theses and dissertations; disclosure of patentable inventions; and procedures for research holds and intellectual property (IP) holds.

INSTITUTIONAL REVIEW BOARD

For information on human subjects research (HSR), visit the [Institutional Review Board website](#). If you need clarification on whether or not your research requires IRB approval, please contact the IRB office.

In order for a student involved in an active IRB study to be eligible to submit the final dissertation or thesis, the student must submit documentation to the Graduate College from the IRB indicating that the student's involvement as a graduate student in the research project is officially terminated. To obtain this documentation, the student will need to contact the IRB Office directly.

COPYRIGHT LEGISLATION

Under the present U.S. copyright law, copyright protection begins when the copyrightable material is created – that is, when the author has fixed the work in a tangible medium of expression. In other words, when a thesis or dissertation is reduced to tangible form, it automatically becomes protected by copyright, and the copyright in the work **immediately** becomes the property of the author. No publication, registration, or other action is required to secure copyright protection.

When a thesis or dissertation is published or otherwise made available to the public, a copyright notice should be prominently displayed on the material. The copyright notice consists of the international copyright symbol "©" (or the word "Copyright," the abbreviation "Copr.," a small letter "c" or any combination of these), plus the creator's name and the year in which the material was created. For example: © Copyright by John Jones 1992. The copyright notice should be displayed on the third page of the thesis or dissertation, following the cover sheet and signature page (see sample copyright page in Part II).

Finally, at the author's option, the copyright may be registered with the U.S. Copyright Office. Whether an author chooses to do this will depend on the author's own circumstances. The law provides several inducements or advantages to encourage copyright owners to make registration, including:

- Registration establishes a public record of a copyright claim.
- Registration is necessary before an infringement suit may be filed in court.
- If made before or within five years of publication, registration provides *prima facie* evidence in court of the validity of the copyright and of the facts stated in the registration certificate.
- If registered within three months after publication or prior to an infringement of the work, an author may be able to collect statutory damages and attorneys' fees in court actions. Otherwise, relief to a copyright owner may be limited to actual damages and profits.

In general, if the author chooses to register the work, he/she must submit to the Copyright Office a properly completed application form, any fees that are applicable, and two copies of the best edition of the work.

This information is provided as a general guide for theses/dissertations and may not be applicable for other media. If you have any questions, you should consult with the University Legal Counsel, the Office of Research Services, or the Graduate College.

(Effective - 1991)

GRADUATE COLLEGE POLICY REGARDING EMBARGOES of THESES and DISSERTATIONS

The Graduate College is committed to making research available to the broadest possible community. Open access to research supports the values of learning, teaching, and peer review essential to our academic standing and integrity; it allows scholars to disseminate their work to the widest audience; and it supports the discovery and advancement of knowledge for all. Therefore, University of Oklahoma theses and dissertations are presented at open oral defenses and made globally accessible in digital form in the [SHAREOK Repository](#).

However, in some situations and some disciplines, it may be advisable to delay immediate access to a thesis or dissertation. Upon request, the Graduate College will approve embargo of a thesis or dissertation for a limited period, provided good cause is demonstrated. An embargo postpones the date on which a thesis or dissertation will become broadly accessible. However, an embargo does not waive the final submission requirement—a student who receives approval for an embargo will still need to submit the final thesis or dissertation in order to fulfill graduate degree requirements, in accordance with the policies in the [Graduate College Bulletin](#). An embargo applies only to the work itself; **the title, abstract, and subject categories provided by the student will be publicly available.**

A student should discuss any potential need for an embargo with his or her committee as early as possible in the research process. Alternatives should be considered, such as embargoing only those portions of the work that may be published elsewhere. Theses and dissertations may not contain material that requires permanent restriction.

EMBARGO RATIONALES

1. The student's thesis or dissertation research contains information that is protected from dissemination by applicable law or by contract, or contains intellectual property that may potentially be patentable. As soon as this is recognized, the student and committee chair should consult the following sections in this packet on [Disclosure of Patentable Inventions](#) and [Procedures for Research Holds and IP Holds](#). In either case, the student and committee chair should inform the Graduate College counselor of the potential need for an embargo. The Graduate College will seek the advice of other offices as necessary to inform the student how to proceed.
2. The student's thesis or dissertation research contains intellectual or creative property whose value will be diminished by immediate open access digital publication.

If it is determined that an embargo is necessary, the committee chair should prepare a request (see [Requesting an Individual Embargo](#) below).

EMBARGO PERIODS

An initial request for embargo may be approved for any length of time up to three (3) years. An approved embargo will begin on the date that the student first submits the final thesis or dissertation to SHAREOK.

REQUESTING a DEPARTMENTAL EMBARGO

In some disciplines, open access publication is not yet the norm. Many or most of the graduate students in these disciplines may require an embargo. Therefore, the chair or director of an academic unit may request that the Graduate College pre-approve a specified embargo period for theses or dissertations produced within that academic unit. A current list of pre-approved departmental embargoes is available in the [Graduate College Bulletin](#).

REQUESTING an INDIVIDUAL EMBARGO

A written request for an embargo should be prepared by the committee chair, endorsed by the student and graduate liaison, and submitted to the Graduate College with the *Request for Authority to Defend* form. The request should specify the length of embargo being requested and the justification for the embargo. Relevant supporting documentation may be attached. The Graduate College will notify the student and academic unit via OU email once a decision has been made concerning the embargo request.

EXTENDING an EMBARGO

Previously approved embargoes may be extended for good cause. An author who wishes to extend an approved embargo will be responsible for contacting the graduate liaison of the academic unit through which their degree was conferred to initiate the request for extension. Approximately three (3) months prior to the embargo expiration date, the author should request that the graduate liaison submit a written request to the Graduate College. The request should specify the length of extension being requested and the justification. Relevant supporting documentation may be attached. The Graduate College will notify the author and academic unit via email once a decision has been made concerning the extension request.

Because the landscape of open access publication is rapidly changing, the Graduate College will revisit its embargo policy periodically.

Revised June 2018

DISCLOSURE of PATENTABLE INVENTIONS

The purpose of this section is to remind you of the University of Oklahoma's policy concerning ownership of certain inventions and the patent rights thereto, and to make you aware of the University procedures to prevent inadvertent enabling disclosures of patentable inventions during the thesis/dissertation publication process.

The basic University Intellectual Property Policy provides, among other things, that all discoveries or inventions, whether patentable or unpatentable, including all patents (domestic and foreign) and patent applications based thereon, which are made or conceived by any member of the faculty, staff, or student body of the University of Oklahoma, either in the course of employment by the University of Oklahoma or substantially through the use of facilities or funds provided by or through the University are the property of the University.

It is required under the Intellectual Property Policy that all inventions or discoveries falling within the purview of the policy must be disclosed in writing to the Office of Technology Development as soon as possible after the discovery or invention. The Intellectual Property Policy also affords substantial benefits and protection to inventors. The full policy may be found in various University publications, and copies of it and the implementing directives may be obtained from the Office of Technology Development, Three Partners Place, 201 David L. Boren Blvd, Suite 120, or <https://www.ou.edu/otd>.

When a thesis or dissertation is based wholly or in part on research from which an invention or discovery has resulted or may result, the thesis or dissertation may require special handling to prevent enabling disclosures which could damage or eliminate U.S. or international patent rights, or both. These special procedures will in no way impede progress toward the degree, affect acceptance of the thesis/dissertation, create a restriction on the publication of the thesis/dissertation, or delay the granting of the degree. They are aimed solely at protecting the rights of the University and the inventor.

The key to these protections is the student inventor. The student must provide both timely disclosure of the invention itself, and timely notification to the Graduate College of the requirement for handling of the thesis or dissertation. If you have any questions concerning either disclosure or the protection of your thesis or dissertation, please see your major professor and the Technology Transfer Administrator, Regina McNabb (rmcnabb@ou.edu) or OTD Administrative Assistant, Ruth Ann Shaffer (rashaffer@ou.edu) at 405.325.3800.

Revised July 16, 2002

PROCEDURES for RESEARCH HOLDS and IP HOLDS

If the student/advisor signs or the University signs on behalf of the student/advisor a contract or similar type of legally binding document with a company, educational institution or individual person involved in the research to withhold the publishing of the thesis/dissertation for a specified amount of time, a Research Hold may be placed on the thesis/dissertation. A determination of research hold shall be made by the Office of Research Services based upon review of the research agreement. The student/advisor should contact the Executive Director, Andrea Deaton (adeaton@ou.edu), regarding research holds.

If the student/advisor composes a thesis/dissertation which contains new inventions/discoveries, it may become property of the University of Oklahoma in accordance with the University's Intellectual Property Policy. Since the copyright law only protects the written portion of the document, formal patent applications may need to be filed to protect the intellectual property. Therefore, an Intellectual Property Hold may be placed on theses or dissertations which contain intellectual property, i.e., patentable information.

The student should contact the Office of Technology Development (OTD) at (405) 325-3800 to speak with the Technology Transfer Administrator, Regina McNabb, or the OTD Administrative Assistant, Ruth Ann Shaffer. OTD will need a copy of the thesis/dissertation or the title pages.

The student will be asked to answer the following questions:

- Does the dissertation or thesis contain intellectual property that was obtained in the course and/or scope of employment from the University of Oklahoma or substantially through the use of facilities or funds provided by or through the University?
- Who is the faculty advisor?
- What is the name of the research that the dissertation or thesis is related to?
- Is the information contained in the dissertation or thesis directly related to an invention disclosure that has been filed with the Office of Technology Development previously?
- To which invention disclosure is it related?
- If no current disclosure exists, will an invention disclosure be filed with the OTD? Will it include the advisor or other OU faculty, staff or students?
- Who is the sponsor and is there a research agreement to which the publication is subject?

The *Request for Authority to Defend* form is due at least five (5) business days prior to the defense for master's degree students, and is due at least ten (10) business days before the defense date for doctoral degree students. On this form, the student/advisor should indicate whether the thesis/dissertation contains information that is protected from dissemination by applicable law or by contract, or contains intellectual property that may potentially be patentable. If that is the case, the student should immediately inform their Graduate College academic counselor that an embargo may be necessary and work with their advisor and graduate liaison to formally request the embargo. If a closed or partially closed defense may be necessary, the student and advisor must immediately seek the recommendation of the Office of Technology Development. The Graduate College will require input from OTD before authorizing the defense.

OFFICE OF TECHNOLOGY DEVELOPMENT
Three Partners Place, Suite 120, 201 David L. Boren Boulevard
Norman, OK 73019
(405) 325-3800

GRADUATION INFORMATION

Providing all degree requirements have been met by the appropriate date, you will graduate in the semester in which your final thesis/dissertation is submitted. Please see the academic calendar for exact deadlines.

DIPLOMAS *and* LETTERS of COMPLETION

Degrees are posted to the transcript record approximately six weeks after the close of each semester. [The Office of Academic Records](#) mails diplomas to students approximately 120 days after the close of each semester.

If you need proof of graduation prior to the delivery of the diploma or posting of the degree, you may request a letter of completion. The letter of completion is an official University of Oklahoma document, bearing the University seal and can be used as proof of graduation for purposes of potential employment, updating current personnel records, etc.

If you need a letter of completion, please complete a [Request for Letter of Completion](#) and submit it to the Graduate College at your convenience. The Office of Records will mail the letter(s) to the address you specify as soon as possible after all degree requirements—including resolution of all tuition/fee payments—have been satisfied.

If you owe fees or tuition, you will be cleared for graduation, but you will not receive your diploma until all such fees/tuition payments have been resolved through the Office of the Bursar. In addition, your degree will not be posted to your transcript if you have any outstanding financial obligations.

COMMENCEMENT EXERCISES

The OU Graduation Commencement Ceremony is held only once a year in the spring. All summer graduates, fall graduates and spring graduation candidates participate in this ceremony. Please contact the Main Bookstore by April 1 to purchase a cap and gown for the ceremonies.

Please visit the [Graduation Office](#) for additional information.