

State University of New York Institute of Technology



Thesis Preparation Handbook Version 2.0

Approved by
The Graduate Council
[Enter Date]

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We thank Gretchen Schabert, BS, for excellent research assistance.

Preface

This thesis handbook is a supplement to the material that is published by UMI. The document published by UMI can be found in each department's main office.

SUNY Institute of Technology at Utica/Rome (SUNYIT) subscribes to the highest standards of ethical conduct by its faculty and students in all aspects of scholarly endeavor. Teaching, research, and service should be characterized by a participant's search for truth and a willingness to promote knowledge and assure the advancement of that truth. Academic investigation carries the obligation to insure that credit is given to all sources of information utilized in conducting research or in writing.

A thesis is an important scholarly achievement; its completion in the best possible form should be a matter of substantial pride to a candidate. Since it is a contribution to the College, the document should reflect credit on the College, and the candidate's own department. The College, in turn, takes pride in the scholarly documents it receives. To assure the quality and high standards demanded of graduate institutions, graduate documents at SUNYIT must be as uniform in format as possible.

The *Handbook* presents the requirements for all theses submitted to the students' department's office. In addition, Appendix A consists of sample pages to be followed, and Appendix B presents some documentation problems, which are frequently troublesome. Appendix C outlines the necessary procedures for the candidate to progress toward an advanced degree.

Department chairpersons, thesis directors, and committee members will find that the information in this handbook is consistent with their regular procedures. This guide attempts to simplify, to clarify, and above all to achieve consistency in the theses written in support of advanced degrees.

Note: The leading lines in any listing, such as this Table of Contents, are composed of spaced periods; i.e., every other one. Ellipsis points, used to show omissions from quoted material, are also spaced periods. A period never follows immediately after a letter in a line of spaced periods in the Table of Contents, List of Tables, or List of Figures.

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Chapter 1: The Front Matter

The front matter consists of all the preliminaries needed prior the actual presentation of the text. These introductory pages will be examined in the order in which they appear.

Title Page

A title page must be prepared according to Sample A or Sample B. (All referenced sample pages are located in Appendix A.) The numbers in the right margins of the sample pages identify the lines (single spaces from the top of the page) on which the various elements of the title page are typed. To achieve the most pleasing format (especially with a long title), some variation is allowed, but the top and bottom limits must be observed.

Points to be noted:

1. The title is centered on a line, 10 single spaces from the top of the page and typed in initial capital letters.
2. If a title must be carried over to a second line, a logical configuration should be followed.
3. No title should require more than three lines; if longer, it is recommended that the title be shortened.
4. Since titles are the basis for computer retrieval, make sure that the key words for classification are included in the title. Use of such terminology as "a study of" or "an investigation of" should be avoided.
5. If dividing lines are used, they should be centered and presented as a solid two-inch line.
6. The date represents the month and year in which the degree will be awarded, not the completion date of the paper. Degrees are awarded in May, August, and December.
7. The copyright notice is the last entry on the title page (Sample B). If there is no copyright notice, adjust the spacing to be more nearly that of Sample A.

Approval Sheet

An approval sheet must be prepared according to Sample C. Approval sheets are prepared for all copies of the paper. Copies, other than the original typescript, may be photocopied or duplicated by whatever process is used for the rest of the thesis. However, all signatures must be originals on the three copies to be turned in to the Registrar's Office; further copies may be duplicated if the candidate so desires.

Abstract

An abstract of not more than 150 words must be prepared. The abstract should be a concise statement of the thesis and (1) present the problem of the investigation, (2) discuss the materials and methods employed, and (3) state the conclusions reached (Sample D).

Preface and/or Acknowledgments

A Preface and/or Acknowledgments may be included in the thesis, but *neither is required*.

Preface

The Preface should contain a brief statement of the author's goal, scope, or purpose in writing the thesis. It may also explain the author's choice of subject and belief in its importance. However, a Preface should not contain material covered anywhere else in the thesis--in the Abstract, the Introduction, or the Summary and Conclusions.

Acknowledgments

Acknowledge only real indebtedness. It is not necessary (although permissible) to thank family, friends, or committee members. Acknowledgment *must* be made of any grants or other aid (especially financial) received in support of the investigation. This section should be brief and in good taste.

If both are brief, the Preface and Acknowledgments may be combined under either heading. The choice of heading is determined by the relative length or importance of each of the sections.

Table of Contents

Every thesis must have a Table of Contents. The Table should be concise and functional. A convenient system is to include all major headings and all first-level subheadings; other levels may be included if of sufficient importance.

If a department has adopted a style manual, such as Turabian¹, Slade², or MLA³, the Table of Contents may be formatted along its guidelines. Some manuals (e.g., the CBE⁴ used in biological sciences or the APA⁵ for psychology and allied disciplines) which are designed for the preparation of journal manuscripts either ignore the Table of Contents or fail to give samples; in which case either Sample E or Sample F may be followed. The Table of Contents of this handbook may be used as a model, also.

¹ Turabian, Kate L. *A Manual for Writers of Term Papers, Theses, and Dissertations*, 6th ed. (Chicago: The University of Chicago Press, 1996).

² Slade, Carole. *Form and Style: Thesis, Reports, Term Papers*, 12th ed. (Boston: Houghton Mifflin, 2002).

³ Gabaldi, Joseph. *MLA Handbook for Writers of Research Papers*, 5th ed. (New York: The Modern Language Association of America, 1999).

⁴ Huth, Edward J. and CBE Style Manual Committee. *Scientific Style and Format: the CBE Manual for Authors, Editors and Publishers*, 6th ed. (New York: Cambridge UP, 1994).

⁵ American Psychological Association, Council of Editors, *Publication Manual of the American Psychological Association*, 5th ed. (Washington: American Psychological Association, 2001).

There must be *exact* correspondence between the Table of Contents and the text of the paper. Candidates often err in not consistently following their manuals. If “Chapter” is used in the Table of Contents, one may not use “CHAPTER” in the text; if Arabic numerals are used in the Table, one may not use Roman numerals in the text. In like manner, if a Table of Contents using only divisions is employed (such as that given in Sample F), the text itself cannot bear chapter headings.

If tables or figures are included in the paper, a List of Tables and/or a List of Figures immediately follows the Table of Contents; therefore, these headings appear in the Table of Contents *before* the chapter headings (Sample E and Sample F).

The Bibliography and Appendices are parts of the thesis’ text, but are not chapters. They are listed in the Table of Contents as major divisions, set flush with the left-margin and typed in capital letters (Sample E and Sample F).

Tables, Figures, and/or Illustrations

The tables and figures used in the thesis must be listed immediately following the Table of Contents; moreover, tables precede figures. Tables are data presented in tabular form; figures and illustrations are materials presented in graphic form, including maps, charts, graphs, photographs, computer printouts, music script, etc. Illustrations should be placed in the text as close as possible after the point of reference. If there are large numbers of one type of illustration, these may properly be separated and listed by themselves; e.g., List of Maps, List of Graphs.

Normally, photographs and many maps are referred to as Plates. A thesis may contain a List of Tables, a List of Figures and a List of Plates if each listing is of adequate length.

If only one type of illustration is used, only one List is required. If illustrations of any type are infrequent (if any list takes less than one third of a page), lists may be combined as List of Tables and Figures, or a List of Illustrations. (A table may properly be called an illustration; it cannot properly be called a figure.)

Chapter 2: The Text

The text, or content, of the thesis is basically the concern of the candidate and candidate's committee; however, there are certain considerations to be kept in mind.

Chapters or Divisions

All papers must be organized into sections, which can be specified in the Table of Contents. There must be exact correspondence between entries in the Table of Contents and the text, including page numbers. For this reason, it is wise to construct the Table of Contents *after* the text is complete.

The candidate and candidate's committee assume responsibility for presenting the textual material in a comprehensive and logical flow of ideas and concepts. However, the thesis should contain an introductory statement, a review of the candidate's related research, an explanation of the methodology used in the research, an analysis of the research, generalizations resulting from the investigation, and a concluding statement.

Subdivisions

No subdivisions of chapters or sections may be needed; nevertheless, in a lengthy or detailed paper, clearly specified topics may be helpful to a reader. The writer should consult committee members and the chosen style manual for assistance.

The Reference Materials

Bibliography

All theses must be documented. The documentation format varies according to the particular style manual adopted by a department. It must be remembered that if a manual gives alternate forms for documentation, the one selected must be used *consistently* throughout the paper.

Further instructions on the organization of the Bibliography (References Cited, Sources Consulted, Literature Reviewed, etc.) are given in Appendix B: Documentation.

Appendix (Appendices)

An appendix contains material supportive of the integral part of the paper. It includes textual material, which would encumber the smooth reading of the thesis. Some style manuals permit the placement of tables and figures into Appendices; however, SUNYIT discourages this practice. Illustrations should be placed in the text near the point of reference.

If there is more than one appendix, the center heading is Appendices. Separate Appendices are usually identified by capital letters; e.g., APPENDIX A, APPENDIX B, etc.

The candidate should realize that it is wise to include ancillary materials, such as computer programs written by the candidate for data analysis, in the Appendices. Copyright of the thesis then offers protection of original ideas found in such materials.

In many style manuals, the order of Bibliography and Appendix is reversed; the Bibliography may follow rather than precede the Appendix. There is perhaps only one instance when the order makes any difference. If the Appendix itself contains bibliographic references, then the Bibliography should follow the Appendix or Appendices.

Vita

A concise vita (preferably one page) must be included with a thesis. It should mention the candidate's place and date of birth; post high school education, naming all colleges/universities attended, the degrees and dates awarded; and positions held since attaining the bachelor's degree. It may also include bibliographic information on major works published; academic honors received; and fellowships, scholarships, and memberships in scholarly or professional organizations. This vita is a *professional* rather than a personal biography. This page is not numbered, nor is there reference to it in the Table of Contents.

Chapter 3: The Format

General Instructions

Paper

Twenty-pound bond paper from 25 percent to 100 percent rag or cotton content is required. Erasable bond, or similar “easy erasing” paper, is not acceptable; likewise, continuous feed paper cannot be used unless it can be connected to cut sheet quality. The entire paper, including all copies, should be the same brand, and the same degree of whiteness. Be sure to purchase a sufficient stock to complete the paper, including all copies required by the Institute, as a repurchase of the same brand at a later date may vary in whiteness. Allow an ample amount for wastage. Bond paper is watermarked and should be arranged so that the watermark is both right side and topside up.

The candidate should consider using quality-bonded paper for personal copies of the thesis. Inexpensive non-bond paper becomes yellow and brittle within a few years, and a thesis is an important scholarly and personal achievement, which will be a source of life-long pride.

Word Processing

All candidates must use a word processing program to prepare their theses. It is expected that both spell checking and style-checking programs will be utilized. The final draft must be printed on a laser quality printer (300 dots/inch).

Illustrations and figures, which are computer generated, should be printed, on a laser quality printer (300 dots/inch). A sample figure should be submitted to the department’s main office for approval before continuing to print all illustrations and/or figures.

Type

Approved font type must be used: Times New Roman 12 point. The thesis coordinator and the dean of the department may approve other type fonts.

Erasures and Corrections

It should be a matter of pride for the candidate to present this major piece of work in a perfect form. No discernible erasures or corrections are permitted. Strikeovers, penciled or inked corrections, correction tapes or fluids or any other methods of cover-up are *not acceptable*. Pages that require corrections must be reprinted.

Margins and Spacing

Note: The following specifications are intended for those candidates using a style manual directed toward journal publication; candidates using *Slade* or *Turabian* should follow their manual.

The body of the paper should be double spaced (on one side of the paper only), while footnotes, bibliography, and lengthy quoted materials are usually single-spaced though the author should apply the requirements of the chosen style manual. All pages bear a 1½-inch margin on the left side and 1 inch margin on the right side and bottom of the paper. The top margin is ordinarily one inch, but it will be more on pages with chapter or other major headings. On such pages, the heading is centered between the margins on the fifth doubled-spaced line. The first line of text begins three single spaces below the last line of the heading. Each division or subdivision (if heading is used) is preceded by a triple space and followed by a double space.

The right hand margin must be kept as even as possible. Right justification may be used on word processing so long as it is not accompanied by excessive white space. Only an excess of a single letter or a single letter plus a mark of punctuation (into the right margin) is permissible. Over hyphenation to keep a regular margin is not wise. Use of an automatic hyphenation routine is recommended. If one is not available, hyphenation of words should be checked in a dictionary. To permit completion of a footnote on one page, the bottom margin may be violated by a single line—*never more*.

Copies

Laser printing of copies is highly recommended. However, photocopying is allowed so long as copies retain laser quality (300 dots/inch). All hard copies must be submitted on the same weight bond paper as the original and be perfectly free of blemishes. Examine the copier prior to use for scratches or dust in the copier mechanism, which would affect the quality of the copies.

Multilith, lithography, or any other form of reproduction equal or superior to photocopying is also acceptable. If there is any question concerning the acceptability of the manuscript's reproduction, consult the department.

All copies of the thesis are to be submitted to the department's main office. The minimum number of copies to be submitted are: 1 for each committee member, 1 for the division dean, 2 for the library (which will be bound at the expense of the college), and 1 for the department. Programs may send a copy to University Microfilms International for microfilming/copyrighting at the expense of the candidate. Check with your program regarding this issue. One copy shall be submitted in an approved word processing format, e.g. Microsoft Word, on a disk. Additional copies may be submitted for distribution on the approval of the thesis coordinator.

Order and Pagination

The subsection “Order of a Thesis” delineates the order in which the thesis is presented though this may be changed by the program.

Beginning with the title page and continuing through the entire text, every page must be accounted for and numbered. However, a number does not appear on the title page. Pages in the front matter following the title page are numbered with lower case Roman numerals; pages of the text are numbered with Arabic numerals.

If it is necessary to put the legend for a table, figure, or other illustration on a separate page, place the legend on the front side of the page preceding the table, figure or illustration. It is preferred that all legends appear on the same page as the figure, table, or illustration. If this is not possible, then one should be consistent in producing separate legend pages. In the event of separate legend pages, the page number of the legend page should be used in the List of Tables, List of Figures, etc. The illustration number should be typed in alignment with the left margin, two lines below the illustration; for example “Figure 3,” “Graph 2,” etc. In contrast, table numbers should be aligned with the left margin, two lines above the table.

In rare instances where it is impossible to type the page number on the page (e.g., photographic stock), the numeral may be omitted; however, the page must be counted. If reproductions, rather than originals, are to be used for all copies of the paper (permissible especially for photographs and music script), attach a small square or circle of paper bearing the typed page number to its proper place in the upper right-hand corner of the page *before* the reproduction is made.

Order of a Thesis

1. Fly Leaf (Blank Page)	Unnumbered
2. Title Page (Counted As Small Roman i)	Unnumbered
3. Approval Sheet (Small Roman ii)	Numbered
4. Abstract (Small Roman iii)	Numbered
5. Preface (Small Roman Numeral)	Numbered
6. Acknowledgments (Small Roman Numeral)	Numbered
7. Table Of Contents (Small Roman Numeral)	Numbered
8. List(S) Of Tables-Figures-Illustrations	Numbered
9. Text (Arabic Numerals On Every Page)	Numbered
Chapter (Or Divisions.....Or.....) Should Reflect Introduction Analysis Generalization Summary And Conclusions (Or Other Arrangement)	Numbered
10. Half-Title Page(S)*	Numbered
11. Bibliography (Or References Or Other Heading)	Numbered
12. Appendix (May Precede Bibliography)	Numbered
13. Vita	Unnumbered
14. Fly Leaf (Blank Page)	Unnumbered

*Half-title pages may be used before the Bibliography and Appendix (Appendices). If used before one, they must be used before the other; however, half-title pages are not ordinarily used before each separate Appendix.

All page numbers, both Roman and Arabic, are placed in the upper right-hand corner of the page, five single spaces from the top of the page and aligned with the right margin.

Note: These instructions take precedence over all pagination instructions given in *Slade*, *Turabian*, *MLA*, or other manuals.

Indentation

Paragraph indentation of five spaces is recommended for the paper. SUNYIT will not fault a thesis if some other indentation is preferred as long as it is used consistently throughout the paper. A blocked quotation maintains a margin four spaces on the right of the regular page margin, with a further indentation of four spaces for the beginning of a paragraph. However, the regular right hand margin is maintained for a block quotation.

Figure, Table, and Illustration Legends

Legends should consist of the term Figure, Table, etc., followed by the appropriate illustration number and a period. A short descriptive title for the figure, table or illustration should follow the illustration's number. The major words in the descriptive title should be capitalized. A single space should be left beneath the title, and a detailed explanation of the illustration should follow. This explanation, such that a reader need not consult the manuscript to obtain an understanding, is also single-spaced. When numerous figures, tables, and illustrations are used in a manuscript, consultation of the legends (instead of constant reference to the text) enhances the readability of the paper.

The short descriptive title for the figure, table, or illustration should be in the List of Figures, List of Tables, etc. This facilitates rapid reference to the information presented in the illustrations.

Photographs

Photographs should be printed on photographic paper of the same weight and size as the bond paper on which the manuscript is typed. Such paper, termed "ad paper," is available commercially. Photographs printed on single weight glossy or resin-coated photographic paper may be dry mounted onto thesis quality paper. Resin-coated paper is preferred because this type of paper resists curling. Due to the resin coating of this type of paper, greater care must be used to prevent scorching of the paper during the dry mount process.

Adhesives, such as rubber cement or glue, must not be used. On the other hand, commercial photographic mounting spray adhesives can be used since they do not stain or release from the paper over time.

Bibliography

Note: This half title or division page is not required but is desirable if the bibliography is lengthy. While this page is numbered, the reference in the Table of Contents is to the following page-not this one. If a half-title page is used for the Bibliography, one should be used for the Appendix (Appendices) but *not* for each separate appendix.

Bibliography

- American Psychological Association Council of Editors. *Publication Manual of the American Psychological Association*, 5th ed. Washington: American Psychological Association, 2001. 439 pp.
- Gibaldi, Joseph, Ed. *The MLA Handbook for Writers of Research Papers*, 5th ed. New York: The Modern Language Association of America, 1999. 332 pp.
- Huth, Edward J. and CBE Style Manual Committee. *Scientific Style and Format: the CBE Manual for Authors, Editors and Publishers*, 6th ed. New York: Cambridge UP, 1994. 825 pp.
- Slade, Carole. *Form and Style: Theses, Reports, Term Papers*, 12th ed. Boston: Houghton Mifflin, 2002. 297 pp.
- Turabian, Kate L. *A Manual for Writers of Term Papers, Theses, and Dissertations*, 6th ed. Chicago: The University of Chicago Press, 1996. 308 pp.

Appendix A: Sample Pages

NOTE: The subtitle (“Sample Pages”) would ordinarily not appear on this page. In an instance such as this, where the appendix consists of sample pages and where the heading “Appendix” on the sample title page would be misleading, its placement here is permissible.

It should also be noted that the page numbers on these sample pages are numbers for this handbook--not for the sample pages themselves.

Various manuals handle appendices differently; whichever model is selected, you should be consistent.

Sample A: Title Page

Consequences Of Maternal	10
Cigarette Smoking	12
	16
A Master's Thesis	20
Presented to	22
School of Nursing and Health Systems	24
	28
In Partial Fulfillment	32
of the Requirements for the	34
Master of Science Degree	36
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State University of New York	45
Institute of Technology	
	47
By	51
Mary Jones	53
May 2001	55

Sample B: Title Page

Consequences Of Maternal	10
Cigarette Smoking	12
_____	17
A Master's Thesis	22
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_____	37
In Partial Fulfillment	42
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by	52
Mary Jones	54
May 2001	56
Mary J. Jones 2001	60

Sample C: Approval Page

SUNYIT

DEPARTMENT OF COMPUTER SCIENCE CERTIFICATE OF APPROVAL

Approved and recommended for acceptance as a thesis in partial fulfillment of the requirements for the degree of Master of Science in Computer and Information Science

DATE

Orlando Baiocchi
Dean of ISET

Roger Cavallo

Jorge E. Novillo

Sample D: Abstract

ABSTRACT

The study investigates the outcome of maternal cigarette smoking on pregnancy, childbirth, and infancy. Thirty females, who smoked cigarettes, were matched with thirty females who did not smoke. Variables used for matching included age, ethnicity, number of previous pregnancies, and alcohol consumption. All subjects were selected from family planning clinics in the greater Utica/Rome, New York area.

In addition to demographics, data were collected on the following variables: cigarette smoking behavior, pregnancy complications, fetal condition as measured by Apgar score, and neonatal development as revealed by the Wetzel Grid.

Demographic statistics were supplemented with multi-regression analysis. The null hypothesis that there was no statistical difference between maternal smoking behavior and childbirth was reflected at $p < .005$. Other findings suggest a tendency for smokers to have more complications during pregnancy (prodromal symptoms), infants of smokers to underperform on APGAR partum and postpartum) and to underperform on infant development.

Note: This page number would not appear on the actual Abstract; it is the number of this sample page.

Sample E: Table Of Contents

TABLE OF CONTENTS		PAGE
PREFACE		iv
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1. INTRODUCTION		
Statement of the Problem		3
Significance of the Problem		4
Sources of Data		6
Limitations		6
Assumptions		7
Definition of Terms		10
2. REVIEW OF RELATED LITERATURE AND RESEARCH		15
Evaluation Components		15
Program Components		18
3. PROCEDURE		31
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Description of Instruments Used		32
Data Treatment		33
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Sample F: Table of Contents

CONTENTS

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Sources of data	
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Definition of terms	
Review of related literature and research	15
Evaluation components	
Program components	
Procedure	31
Description of sample	
Description of instruments used	
Data arrangement	
Data treatment	
Data analysis	
Results	36
Summary	64
Conclusions	
Recommendations	
Program recommendations	
Research recommendations	
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Note: This form is permitted only in certain disciplines; it is *not* an alternative form that may be chosen freely. The candidate should consult with his/her committee before adopting this format.

Appendix B: Documentation

SUNYIT permits the use of the form of documentation pertinent to each discipline, provided that proper authorization has been secured through the Graduate Council. In matter of *documentation*, however, any candidate, with the concurrence of the committee, may prepare his/her thesis following *Slade*, *MLA*, or *Turabian*. (NOTE: This statement is not to be construed as permission to deviate from the uniform *format* described in this handbook.)

Most style manuals present alternate forms for documentation. When one particular form is chosen, it must be followed consistently. There are three widely accepted forms of documentation.

Footnote-Bibliography Form (Traditional)

In the traditional form, references are placed in footnotes at the bottom of pages and also in the Bibliography following the text. All references to published materials in footnotes also appear in the Bibliography. Other references pertinent to the study may be included in the Bibliography. The Bibliography may be classified according to type of materials used.

Cautions. There must be exact correspondence between footnotes and entries in the Bibliography. Errors often result from spellings of names, confusion of dates, faulty alphabetization (Mc is correctly alphabetized as if spelled Mac), and from using a shortened form in one place and not another. Whether footnotes are numbered consecutively by the page, by the chapter, or throughout the paper is a matter of departmental preference. However, it is strongly urged that footnotes be numbered consecutively by page, since such numbering is likely to save the candidate time and money.

References Cited: Author-Year Form

In this form, citations are placed within the text by using the author's surname and year of publication (one or both in parentheses). The text is followed by an alphabetical reference list. The candidate must follow the approved style sheet for making entries in this list. All citations appearing in the text also appear in the reference list, which is headed "References," "References Cited," or some other appropriate title. Other references may be placed in a separate alphabetized list headed "Bibliography," "Other Sources Consulted," or similar appropriate selections.

Cautions. References identified by author-year in the text may not be classified by subject/topic in the “References.” The “References” listing is completely alphabetical, although the supplemental bibliography may be classified if of sufficient length to make classification desirable. If a supplemental list is used, its title must appear in the Table of Contents.

Candidates often err in the inclusion of page references in citations by using what seems to be a random method. If alternative methods of page reference are given, one should be selected and used consistently. Remember that quoted material of sufficient length to be blocked must be identified with page numbers. Candidates are urged to consult their respective manuals.

References Cited: Number Form

This form is similar to the author-year form except that citations are made simply by a number inserted in the text in parentheses or square brackets. These numbers refer to a list following the text. This list may be alphabetical or chronological; i.e., the citations are numbered consecutively according to their appearance in the text.

Caution. This form, although permitted, is not recommended because any last minute addition or deletion would require a renumbering of all following items. The chronological or unalphabetized form is difficult to use for someone primarily interested in the bibliographical content of the paper.

Appendix C: Cataloging Worksheet

Many SUNYIT master's theses are on advanced technical topics. These topics often do not have established Library of Congress Subject Headings, which are required to catalog your thesis and to help others find your work. Please suggest keywords you feel other library users will use when looking for theses like yours.

Please word process this form and include one copy of it with your thesis when you submit your final approved thesis to your thesis director.

This worksheet is available online at: <http://www.sunyit.edu/library/worksheet.doc>

Author _____

Title _____

Keywords _____

Appendix D: Proposal for Research Involving Human Subjects

PROPOSAL FOR RESEARCH INVOLVING HUMAN SUBJECTS

SUNY Institute of Technology
Marcy Campus, P.O. Box 3050
Utica, New York 13504-3050

Title and Number of Research:

Submitted by:

Date:

COMMITTEE ON INVESTIGATIONS INVOLVING HUMAN SUBJECTS

Please complete the following and return this form to the above address, along with eight (8) copies of the proposal. Use additional sheets, in necessary. N.B. Grant proposals for research involving human subjects must be reviewed and approved by the committee before submission to the funding agency.

TITLE OF PROPOSAL:

1. Objectives of Research Study

A. A summary statement of the proposal including the generic problem or question to which the study is addressed (not specific hypothesis or procedures) written in language understandable to a layperson.

SUMMARY STATEMENT:

B. For training grant proposals, indicate who (other than the trainees) will be responsible for contacting and informing subjects.

Response:

2. Subjects

Describe the requirements for a subject population, including age range, sex, and number. Explain the rationale for using in this population any special groups such as prisoners, children, the mentally disabled, or groups whose ability to give voluntary informed consent may be in question. It should also be understood that investigators must indicate what measure they will take to protect the right of minors, (persons who are 17 or younger), e.g. parental consent, approval by school administrators, etc.

- A. Response:
 - B. Rationale for using this population:
 - C. Measures to be taken to protect human rights of subject:
3. Describe Procedures.
- A. A general description of the procedures of the proposal including the experimental tests or manipulations to be used.
 - B. A statement of what happens to subjects during participation in the experiment, including instructions given to subjects, the nature of the tasks they are required to perform, informational or interpersonal feedback that subjects receive, the total time required for participation and the locale of the experiment.
 - (1) What happens to subject during participation in the experiment:
 - (2) Instructions given to subjects:
 - (3) The nature of the tasks they are required to perform:
 - (4) Informational or interpersonal feedback which subjects receive:
 - (5) Total time required for participation:
 - (6) Locale of the experiment:
 - C. This section should also include an explicit description of the procedures for maintaining confidentiality and debriefing procedures [*].
- (* Note: The committee operates under the assumption that NO research involving ANY risk to the welfare of subjects can be performed by student researchers. Research involving risks to subjects may be performed by faculty, but only when the committee is convinced that the benefits warrant the level of risk involved.)
- D. Describe necessary procedures for protecting against or minimizing potential risks to subjects with an assessment of their likely effectiveness.

4. Consent

- A. Describe consent procedures to be followed, including how and where informed consent will be obtained.

(1) Informed consent procedure to be followed:

(2) How and where informed consent will be obtained:

B. Consent form. A copy of the consent form given to each subject must be attached. The consent form must contain the following pieces of information.

(1) Name and number of the experiment:

(2) Objectives of experiment. This section may resemble #3 above, but need not reveal information, which would undermine the validity or obviate the effectiveness of the experimental procedures.

(3) Procedures: a general description of the types of tasks and experiences the person can expect during his or her participation in the experiment.

(4) Risks and Benefits: a statement of the level and nature of positive and negative incentives associated with participation in the experiment.

(5) Withdrawal Option: a statement to the effect that the subject is free to withdraw his or her consent and to discontinue participation in the experiment at any time.

(6) Date and signature of the subject:

5. Assess the potential benefits to be gained by the individual subject, as well as benefits, which may accrue to society in general, as a result of the planned research.

6. Describe and assess any potential risks -- physical, psychological, social, legal or other -- and assess the likelihood and seriousness of such risk. If methods of research create potential risks, describe other methods, if any, that were considered and why they will not be used.

Potential physical risk:

Potential psychological risk:

Potential social risk:

Potential legal risk:

Other potential risks:

7. Analyze the risk-benefit ratio.

8. Anticipate report to the committee. An indication of the expected nature of a brief report of the outcome of the experiment (e.g., abstract from a standard research report) to be submitted to the committee upon completion of the research.

Appendix E: Procedures and Approvals

Detailed procedures for processing toward an advanced degree are given in the *Graduate Catalog*. Careful reading of the *Graduate Catalog*, along with continuous contact with the student's department and committee is necessary to insure the proper actions are taken at the proper times.

Following the approval of the thesis, a candidate is required to consult with the thesis advisor. If the research involves the use of human subjects you need to get approval of the Committee On Investigations Involving Human Subjects. The advisor can give the candidate valuable information about thesis formats. It is wise to work within the boundaries of an acceptable thesis format from the onset for easier preparation of the final copy.

One function of the thesis advisor is to facilitate the candidate's progress through the rigors of conducting the research and preparing the thesis. The advisor will endeavor to help with matters of format or technique, and to resolve difficulties seemingly not covered by the *Handbook* and/or the candidate's chosen style manual.

Ideally, the candidate will submit to the advisor a preliminary draft, which incorporates changes and corrections, requested by his/her committee. This draft should be as free of errors as possible. The advisor checks the draft for adherence to style and form. The advisor is not a proofreader; excessive typographic errors will severely delay approval of the draft.

After the paper has been defended and given tentative approval, dependent upon completion of requested changes, the candidate proceeds to the preparation of the final typescript. The thesis advisor and the dean of the department must once again approve this final copy.

The completed thesis and two duplicate copies, along with the signed approval sheets and the Cataloging Worksheet, are delivered to the thesis advisor. The advisor will check the copies, and, if they are acceptable, will sign the approval sheets. Once this approval is secured, the thesis should be delivered to the department's main office.

Thesis Checklist

The following is a generalized checklist to review when developing your thesis.
Check with your program director for specifics.

- Develop a thesis concept in consultation with your advisor
- Request advisor approval
- Develop a methodology and problem statement
- Develop a thesis committee, including your thesis advisor
- Request initial approval of your thesis committee
- If using human subjects, have study approved by the Committee On Investigations Involving Human Subjects
- Complete a literature review
- Run a pilot study, completing initial surveys or interviews
- Write up initial results and review with advisor
- Complete a full scale study
- Write up first draft
- Work with your thesis committee on edits, rewrites, additional surveys, interviews, observations
- Defend your thesis before the university community
- Based on comments and concerns complete final version
- Receive approvals of your committee
- Submit to thesis advisor: three copies of thesis, completed UMI booklet (if required), signed cover sheets, and Cataloging Worksheet
- Thesis advisor delivers completed project to the department secretary

Handbook Edit History

Version 2: February 2006 by Russell Kahn and Ronald Foster

Added version number.

Set up table of contents to generate page numbers automatically. Set styles for all headings. Removed ALL CAPS headings in favor of Title Case.

Overall edits for grammar, consistency, and structure.

Added requirement for approval of Human Subjects review committee.

Added to Procedures Appendix checklist for completion of thesis

Chapter titles include number and the title of the chapter.

Updated the logo to the current version.

Added Appendix: Cataloging Worksheet

Added Appendix: Proposal for Research Involving Human Subjects