



# Thesis and Dissertation Guidelines

King Abdullah University of Science and Technology

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## Introduction

This guide has been prepared by KAUST Registrar's Office to assist students in the preparation of dissertations or theses. The requirements in this guide apply to all dissertations or theses to facilitate their preparation and distribution, and to assure archival copy preservation. Individual Divisions may determine and dictate more specific requirements. Queries not addressed in this guide should be directed to the appropriate degree program personnel.

The Doctoral and Masters (MS) with thesis degrees are conferred by KAUST in recognition of high scholarly achievement, including the completion of approved courses of study, examinations, and the submission of a dissertation or thesis. Moreover, candidates pursue original work in a dissertation or thesis and for some programs graduate students are required to defend it in an oral examination with a Thesis Examination Committee (comprised of the student's advisor and other faculty members).

These procedures will enable the Doctoral and MS candidates to fulfill the requirements of KAUST, including the handover of the final approved and signed dissertation or thesis in the KAUST digital archive pursuant to the following policy:

As a condition of graduation, KAUST requires MS students who complete a thesis as well as Doctoral students to submit an electronic copy of their thesis or dissertation, as approved by the Thesis Checker, to the KAUST digital archive.

KAUST makes no claim of ownership of student dissertations or theses. However, the university retains a non-exclusive license to make copies of dissertations or theses as needed for the academic or archival purposes of the institution. This includes providing open access to the work on the Internet. If necessary to protect legitimate proprietary interests (such as patent rights), students may opt to delay temporarily the public display of their dissertation or thesis.

The dissertation or thesis must be prepared as per the instructions and guidelines stated in this document. Rewriting and recommended amendments will be required if the terms are not met. The University will not officially award the thesis or dissertation degree until the dissertation or thesis is presented and deemed to be satisfactory by the examination committee, and deposited in the KAUST digital archive.

A dissertation or thesis may be organized as a single individual document or as a document with a series of comparatively independent chapters or sections combined by an introduction and summary section. This series of chapters or sections may be articles that have been published or are in the process of being

submitted to scientific journals in the student's field of study. In cases where the student is not the sole author, the obligation rests with the student to establish his/her major contribution to the work. This is typically achieved through the inclusion of an introductory chapter which generally describes the "overall theme or subject of the dissertation or thesis."

Additionally, there may be specific requirements (this will vary from degree program to degree program), mainly in the preparation, presentation, and submission of draft copies required for the examining committee. Candidates should also consult their Thesis Advisors for degree program specific information (format, and bibliographical form, etc.) and any other additional requirements.

Any queries on the preparation and submission of final copies should be discussed with Thesis/Dissertation advisors.

## Process for Thesis or Dissertation Submission

1. The student forms the MS Thesis or Ph.D. Dissertation Committee (for examination of the thesis/dissertation).
2. The student writes the thesis/dissertation, gets editorial assistance as needed from Skills Lab, and runs a self-check through Turnitin. PLEASE USE THE FORMAT CHECK LIST PROVIDED, ON PAGE 26.
3. The student and faculty supervisor agree that the thesis/dissertation is ready to be examined.
4. The student submits Word processing file or LaTeX-generated PDF to the Thesis Checker.
5. The Thesis Checker checks the thesis/dissertation for conformance with KAUST Thesis Guidelines. If the thesis/dissertation complies with format requirements, the Thesis Checker will sign the Thesis/Dissertation Approval Form. However:
6. If the formatting needs to be corrected, the Thesis Checker responds to the student with the list of required corrections. Once the revisions have been made, the Thesis Checker will sign the Thesis/Dissertation Approval Form. The student then informs the GPC and the GPC will generate a Turnitin report and sends this to the faculty supervisor.
7. If citation corrections need to be made, the faculty supervisor will inform the student of these revisions. Once the revisions have been made, the thesis/dissertation must be resubmitted to Turnitin by the student. The student informs the GPC and the GPC will generate a new Turnitin report and sends this to the faculty supervisor.
8. Once the faculty supervisor is satisfied with the Turnitin report, s/he sends it to the Thesis/Dissertation Committee for review/examination.
9. After examination, the student will receive one of the following outcomes:
  - a. Pass
  - b. Pass with corrections
  - c. Fail with retake (return to Step 2.)
  - d. Fail (\*please see your GPC in this instance\*)
10. If the outcome is Pass, or once the post-examination corrections are made, the student must submit the final PDF version to Turnitin, inform their GPC that it has been submitted, and provide the GPC with the completed and signed Thesis/Dissertation Copyright and Availability Form (available on <http://libguides.kaust.edu.sa/theses/>) and the signed Final Approval (please check with GPCs for a copy of this).
11. The GPC generates a Turnitin report and asks the faculty supervisor to confirm that a) this is the final version and b) the document contains no plagiarism.
12. Once the GPC has this confirmation, s/he archives the following documents with the library on the student's behalf. Changes may not be made after the thesis/dissertation has been digitally archived.
  - a. The final version of the thesis/dissertation
  - b. The Thesis/Dissertation Copyright and Availability Form
  - c. The signed Final Approval Form
13. The original signed Final Approval Form is submitted to the Registrar by the GPC.
14. The Registrar verifies that the student has met their degree requirements, including archiving of their thesis or dissertation and associated documentation (item 12, above).
15. Student graduates.

# 1. Dissertation or Thesis Manuscript Preparation

## 1.1 Pagination of Manuscript

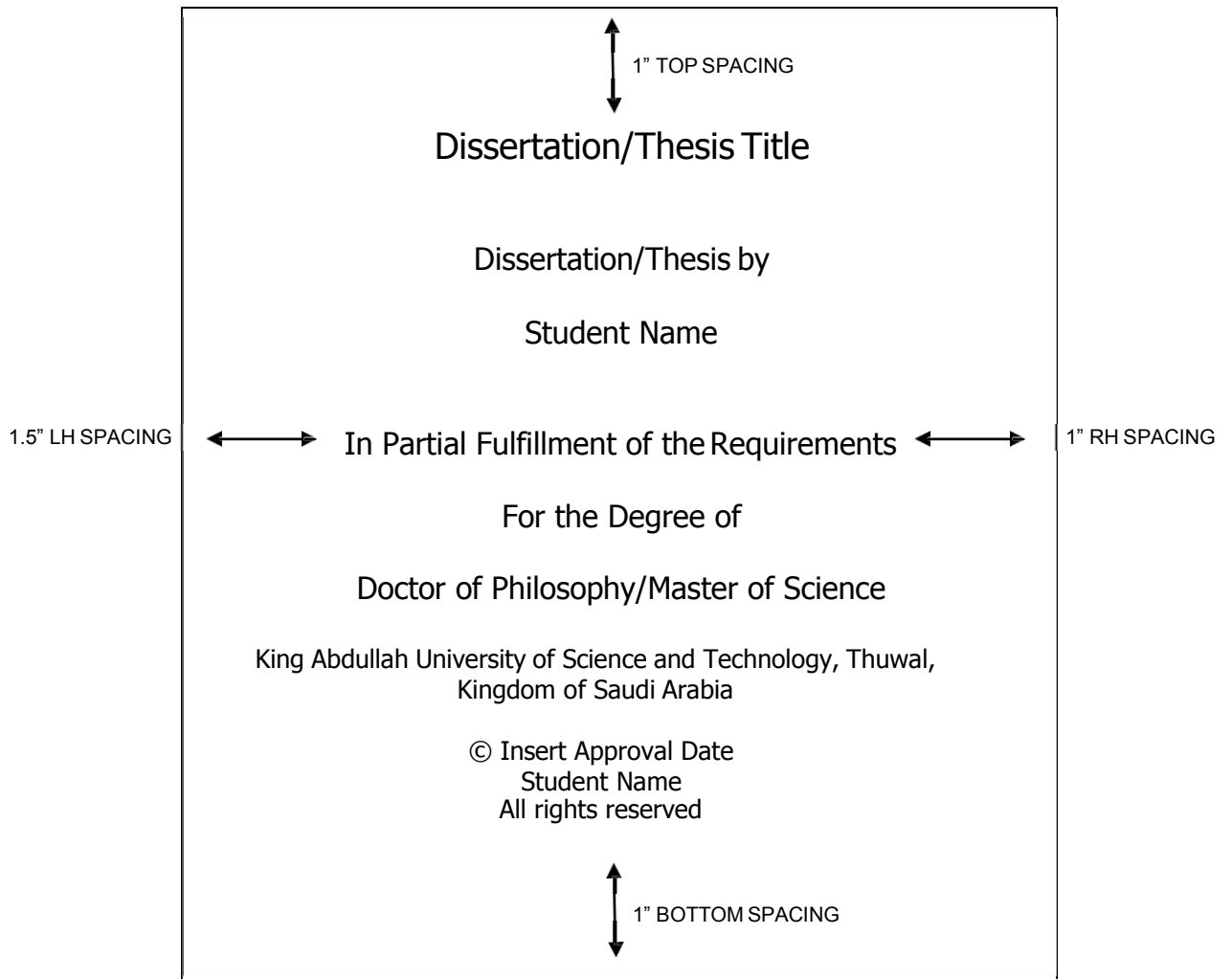
Paginate the different sections of the dissertation or thesis in the following order:

- |   |                |
|---|----------------|
| 1. Title page                                   | (not numbered) |
| 2. Examination Committee Page                   | 2              |
| 3. Copyright (Alternatively Title page bottom)  | 3              |
| 4. Abstract (Page 3 if no Copyright page added) | 4              |
| 5. Acknowledgments (Optional)                   | 5              |
| 6. Table of Contents                            | 6              |
| 7. List of Abbreviations                        | 7              |
| 8. List of Symbols (Optional)                   | 8              |
| 9. List of Illustrations or Figures             | 9              |
| 10. List of Tables                              | 10             |
11. The main content/ text of thesis or dissertation, including any Introduction or Summary section.
  12. All other content such as references, appendices, graphs, and other research data. However, if required such information may be included at the end of each chapter, thereby, making each chapter a complete and self-contained section or paper, nonetheless with pagination in sequence with the remainder of the thesis or dissertation.

## 1.2 Title Page

### 1.2.1 Title Page Sample

Utilize the layout below, and allow a left margin of 1½ inches. The date demonstrated (month and year only) should reflect when the dissertation or thesis was approved. This will safeguard the candidate in the event an intellectual property issue related to presentation of information or date of submission should arise. With the exception of the main title (up to size 14), all other text must be size 12. Only the main title can be in bold.





## 1.2.2 Thesis Title Guidelines

Dissertations or Theses are valuable resources for scholars that should be easily retrievable. Computerized retrieval systems generally use the words in the title to locate a document and search engines use the words in the title, and sometimes other descriptive words, to locate works. It is essential that the title be an accurate and meaningful description of the content. Ambiguous or unclear titles/references should be avoided. Please use these guidelines when preparing a dissertation or thesis title:

### Case

Capitalize the first letter of words and all nouns, pronouns, adjectives, verbs and adverbs. Articles (a, an, the), coordinating conjunctions (and, but, or, for, nor), and prepositions (during, beneath, on, against, over) should be lowercased, unless they are the first or last word of the title or subtitle. Acronyms should be written in full capitals and used sparingly throughout the thesis or dissertation title.

Examples:

Solar and Wind Power

Engineering Technology for Developing Countries: Best Practices As Predictors of Success.

A Comparison of Scientific Methodologies in Graduate University Research.

### Hyphenation

Consult an appropriate dictionary on whether a word is hyphenated or not. Words starting with prefixes such as co, non, post, or re are generally not hyphenated unless there is a possibility of misunderstanding (co-op, post-master's) or the root word begins with a capital letter (post-Renaissance). Words beginning with the prefix self should always be hyphenated. Likewise, hyphenate compounds that are used as adjectives (decision-making), but not those that are used as nouns (decision maker). Always hyphenate the word part-time.

Examples:

Important Advances in Nonlinear Equations in the Twentieth Century  
(Instead of: Important Advances in Non-linear Equations in the 20<sup>th</sup> Century)

Spelling and Grammar

Dissertation or thesis titles should be spell-checked before submission. Use the word 'and' rather than the ampersand symbol (&). Spell out names of numbers (e.g. Eleven not 11) and centuries.

Example:

The Twentieth Century Scientific Method in Perspective.

Special Characters

Special characters should not be included in the title of the dissertation or thesis. Terms or phrases that include special characters should, if possible be written out. Word substitutes for formulas, symbols, superscripts, Greek letters, etc., (i.e. not available on computer keyboards) should be utilized, otherwise their inclusion may make the work unsearchable by search engines.

Example:

Hybrid MPI-CUDA Strategies for GPU-based Computational Science and Engineering Applications on Millions of Cores (instead of Hybrid MPI-CUDA Strategies for GPU-based CS&E Applications on 10\*\*6 Cores).

Italicization

Italics should only be used in dissertation or thesis titles when referring to the title of a published work, and for foreign language words, gene names, scientific terms, theorems, mathematical statements, or other words that are usually italicized. Italics cannot be used for emphasis.

Example:

... .. two exploited coral reef groupers (*Plectropomus maculatus* and *Plectropomus leopardus*)

Apostrophes

Do not use apostrophes to form plurals (1980s, not 1980's) unless it would cause confusion (A's B's, not As and Bs; p's, not ps). Possessives of singular nouns which are ending in 's' are formed by adding an s such as Harris's cat.

Bolding

Bold text can only be used for chapter headings, main titles and subtitles, figure/table/illustration headers, scientific formulas, theorems and mathematical statements. Bolding can also be used for scientific formulas. Bolding cannot be used for emphasis.

### 1.3 Examination Committee Page

The EXAMINATION COMMITTEE PAGE is used in your thesis or dissertation document. Please fill in the names of your committee members, this is page 2 of your thesis or dissertation.

#### **EXAMINATION COMMITTEE PAGE**

The dissertation/thesis of [Student Name] is approved by the examination committee.

Committee Chairperson: [insert name]

Committee Co-Chair (*if appropriate*): [insert name]

Committee Members: First Name, Second Name, Third Name [External]

The committee members list must be single-spaced. Multiple names must be separated by commas. Do not list Committee Members individually as separate lines.

Example:

Committee Chairperson: Prof. Vladimir Bajic

Committee Members: Prof. Panos Kalnis, Prof. Stefan Arold, Prof. Takashi Gojobori,  
Prof. George Brown [External]

## 1.4 Abstract Information

An abstract of the dissertation or thesis is mandatory and will be used by abstracting and indexing services to provide access to your complete work. The page heading of the abstract is the word 'ABSTRACT'. It is written in capital letters at the top of the page and should be centered. The abstract would be numbered four (4) at the top, if a copyright page is included, otherwise it would be page three (3).

- Inclusion of the abstract is mandatory.
- It needs to provide a concise and informative summary or synopsis of the work, including: a brief background or introduction; the research area and purpose; the processes or methods used; the findings/ results; and the conclusions.
- Do not exceed 350 words.
- Graphs, charts, mathematical formulas, tables, diagrams or illustrations should be excluded from this section.
- It should be printed on one side of the paper only, and be double-spaced with margins that are consistent with the guidelines.
- Where possible exclude the use of abbreviations and acronyms.

Example:

<p>ABSTRACT</p> <p>Title of Dissertation/Thesis</p> <p>Author's Name</p>
--

## 1.5 Acknowledgments

Use 'ACKNOWLEDGMENTS' as a page heading, all in capital letters and centered on the page. The "Acknowledgements" page is optional, it should be brief, professional, spell checked, and not more than one page long. Moreover the formatting and style should be consistent with the manuscript.

## 1.6 Table of Contents

Use 'TABLE OF CONTENTS' as a page heading, all in capital letters and centered on the page. The format of the table should conform to the pagination guidelines and should precisely reflect the outline and organization of the thesis or dissertation. List the sections/chapters of the body of the dissertation or thesis; also list preliminary sections starting with the EXAMINATION COMMITTEE PAGE. Include supplementary sections such as Bibliographies (References) and Appendices. The table of contents section may be single-spaced.

Notes:

- Page header titles (e.g. COPYRIGHT, ABSTRACT, ACKNOWLEDGEMENTS, BIBLIOGRAPHY, APPENDICES) should be listed in all capital letters in the Table of Contents (TOC). Bolding is optional but preferred.
- Chapter titles should not be in all capital letters. Bolding is optional.
- Subtitles must be listed in sub-numerical sequencing (e.g. 1.2, 1.2.1) and not bolded. There is no need to list 4<sup>th</sup> level subtitles & beyond in the TOC.
- First-level subtitles should be left bold in the Table of Contents. Second and third-level subtitles are not bold ONLY in the Table of Contents. But in the body of the text ALL the subtitles must be in bold.

Example:

### TABLE OF CONTENTS

	Page
<b>EXAMINATION COMMITTEE PAGE .....</b>	<b>2</b>
<b>COPYRIGHT PAGE (IF APPLICABLE) .....</b>	<b>3</b>
<b>ABSTRACT.....</b>	<b>4</b>
<b>ACKNOWLEDGEMENTS (OPTIONAL).....</b>	<b>5</b>
<b>TABLE OF CONTENTS.....</b>	<b>6</b>
<b>LIST OF ABBREVIATIONS.....</b>	<b>7</b>
<b>LIST OF SYMBOLS (OPTIONAL) .....</b>	<b>8</b>
<b>LIST OF ILLUSTRATIONS.....</b>	<b>9</b>
<b>LIST OF TABLES .....</b>	<b>10</b>
<b>Chapter 1: Introduction .....</b>	<b>14</b>
1.1 Objectives and Contributions .....	16
1.2 Testing the Bibliography .....	16
<b>Chapter 2: Dissertation or Thesis Manuscript Preparation .....</b>	<b>17</b>
2.1 Sample Title Page .....	17
2.2 Thesis Title Guidelines .....	18
2.2.1 Case .....	19
2.2.2 Hyphenation .....	19
2.2.3 Spelling and Grammar .....	20
2.2.4 Special Characters .....	20
2.2.5 Italicization .....	20

## 1.7 List of Abbreviations

Use 'LIST OF ABBREVIATIONS' as a page heading, all in capital letters and centered on the page. Please use the same format used for the Table of Contents. The list must be single-spaced.

### LIST OF ABBREVIATIONS

CA	Conditioned avoidance
CS	Conditioned stimulus
CVC	Consonant-vowel-consonant

## 1.8 List of Symbols (optional)

Use 'LIST OF SYMBOLS' as a page heading, all in capital letters and centered on the page. Please use the same format used for the Table of Contents. The list must be single-spaced.

### LIST OF SYMBOLS

$\lambda$	Lambda indicates usually an eigenvalue in linear algebra
$\phi$	An angle
$\pi$	A mathematical constant whose value is the ratio of any circle's circumference to its diameter

## 1.9 List of Illustrations/Figures

Use 'LIST OF FIGURES' as a page heading, all in capital letters and centered on the page. Please use the same format used for the Table of Contents. Include a title for each illustration/figure. The list must be single-spaced.

### LIST OF ILLUSTRATIONS

Figure 1.1	Photo of University.....	17
Figure 1.2	Photo of University.....	22
Figure 1.3	Photo of University.....	24

## 1.10 List of Tables

Use 'LIST OF TABLE' as a page heading, all in capital letters and centered on the page. Please use the same format used for the Table of Contents. The list must be single-spaced.

### LIST OF TABLES

Table 3.1	Insert Table Name .....	28
Table 3.2	Insert Table Name) .....	31
Table 3.3	Insert Table Name) .....	35

## 1.11 Conclusion

The author must provide an overall summary and discussion of the significance of the work. If the dissertation or thesis is made up of relatively independent chapters, it is important to include a unifying summary at the end or at the beginning of the dissertation or thesis. This summary/synopsis will be significantly more extensive than the abstract.

## 1.12 Appendices

Comprehensive and thorough experimental procedures and methodologies, data tables, etc. may be inserted in the appendices. If the dissertation or thesis includes several published papers then it is particularly appropriate that this information be situated in the appendices. This section should include:

1. Publications arising directly from the thesis (potentially with annotations, e.g., "This work forms the majority of the basis for Chapter 4.")
2. Publications expected to arise from the thesis, including details of status (submitted, revisions requested from X journal, etc.).
3. Other publications arising during the student's candidature (potentially including brief annotations clarifying the student's contribution when the student is not the lead author)

## 1.13 References

The page heading 'BIBLIOGRAPHY', 'REFERENCES' or 'WORKS CITED' can be used, all in capital letters. The heading should be centered on the page. Always start a new page for this section. The Bibliography page should be single-spaced but in order to avoid confusion, between each entry there must be a minimum of 12 points of space (between the individual entries). It is recommended that you follow the standard citation format, used by a major journal in your academic field. Importantly, the style used should be consistent throughout the dissertation or thesis.

It is also allowed to list separate reference sections for each chapter of the thesis or dissertation. The same above format must be used as per the overall references section but individual chapter references headers must be listed in the Table of Contents as sub-numerical titles. Chapter references headers must conform with the same format as the other subtitles. They also need to start as a new page.

This part is further developed in part 3. Bibliography (or References or Work Cited).

## 2. General Formatting Standards

The following guidelines should be adhered to:

- If required by the Thesis Advisor (for the examination committee) print final copies of your thesis or dissertation that are 8½ by 11 inches in size.
- All the written content should be double-spaced; however, lengthy quotations and footnotes may be single-spaced and indented to separate it from the main text in the document. Follow the style manual chosen by your Thesis Advisor or degree program as these guidelines vary.
- The font, including headers, page numbers, and footnotes – must be produced with the same font throughout the document. Exceptions are made only for tables, figures and computer science codes (COURIER). Font suggestions: TIMES NEW ROMAN; ARIAL; CAMBRIA Main body text must be size 12. Headers, titles and subtitles can be up to size 14 maximum.
- Font sizes smaller than 12 can only be used footnotes and tables/illustrations descriptions.
- Numbers in the main text between one and ten should be spelled out when applicable in descriptive prose. Numbers above ten can be written in Arabic numerals (digits: e.g. 11, 12, 13, etc.). This applies only to prose format. Exceptions are made for stating scientific results.

### 2.1 Language and Length

The dissertation or thesis must be written in an academic style of English. The requirement for the page length of a dissertation or thesis is dependent upon the thesis advisor and committee. Work with your Thesis Advisor to plan, outline, write, and revise the text of the thesis or dissertation. Writing a thesis or dissertation is an iterative process of written revisions.

### 2.2 Proofreading and Editing

All final versions of the theses and dissertations should be proofread prior to submission to Thesis Advisor. The accuracy of the spelling and consistency of punctuation, capitalization, and abbreviations are the sole responsibility of the



dissertation or thesis writer. During the writing process the writer should consult a dictionary or lexicon for appropriate word usage. It is also highly recommended that the writer refer to a style manual (see the Bibliography section of this guidelines, copies of these style manuals are available in the KAUST library) for writing advice and correct presentation. Students need to adopt a consistent style of writing throughout the dissertation or thesis. Students are especially encouraged to utilize their computer's spell-checking software features and also to proofread the thesis or dissertation diligently, or to recruit the support of a family member, friend, and colleague or if deemed necessary avail of professional proofreading services. The Thesis Advisor will ask the student to revise and re-submit any dissertation or thesis writing that has not been sensibly proofread and edited. Students should allow a minimum of three weeks (or as instructed by their Thesis Advisor) for proofreading before the final presentation/examination is scheduled.

The dissertation or thesis author is fully responsible for editing the style and grammar of the document and for seeking support and assistance when necessary. Specialized support delivered by English language instructors is available by appointment (email: [skillslab@kaust.edu.sa](mailto:skillslab@kaust.edu.sa)) in the Skills Lab, and by enrollment in the "Academic Writing for Scientific Purposes" classes, which are scheduled each semester.

### 2.3 Footnotes and Endnotes

Footnotes must be in the same font as the rest of the text but in smaller 10-point size, and may be single-spaced. Footnotes should be numbered with superscripted Arabic numbers. Numbering must be continuous throughout the document. Users of LaTeX may use CMR 12 font or any font that meets the above specifications. The print should be letter quality with dark black characters that are consistently clear and dense.

### 2.4 Justification

The text should be left-aligned; ragged right margins are preferred. The use of justified margins is allowed but only if the computer software does this well, i.e., does not separate punctuation from characters, or leave large gaps in the text.

### 2.5 Margins

1½ inches - left margin  
1 inch - right margin  
1 inch - top and bottom

These margins apply to all pages of the document, including those containing graphs, tables, and other illustrative materials.

## 2.6 Pagination

All pages with the exception of the title page must be numbered a minimum of  $\frac{3}{4}$ " from the top of the page, in the middle. Start the page numbering with Arabic numbers on the top of the page directly following the title page. Continuous Arabic numbers starting with the EXAMINATION COMMITTEE PAGE (page 2) should be used. Continue with each page that follows regardless of whether it is text, figures, explanation for figures or photographs, tables, maps, appendices, etc. Number all the pages to the end of the document. These page numbers should follow the prescribed margins at the top of each page.

## 2.7 Numbering Chapters

Each chapter must be numbered separately, using consecutive Arabic numerals to distinguish the individual chapters throughout the dissertation or thesis. Sub-numerical sequencing must be used for chapter subsections (e.g. 1.1, 1.1.2, 1.1.3, 1.2, etc). Chapters within the text begin on new pages. There should be no page breaks between sections or before tables or figures, unless they occur naturally.

## 2.8 Equations, Formulas, Sub/Superscripts

All equations and formulas should be where possible typed. If the computer software being used cannot provide a symbol, insertions by hand are allowable. All subscripts and superscripts must be easily read.

## 2.9 Charts, Graphs, Tables, Photographs and Maps

In the final digital copy submitted to the University Library for archiving all illustrations must be of high quality and must be inserted at the appropriate place within the thesis or dissertation and not (as per journal submissions) at the end of the chapter.

Please note:

- Use labels or symbols to identify lines on a graph.
- Shaded areas will have better contrast if cross-hatching is used instead of color.
- Black and white or color electronic photographs should be of a high quality. For consistency, if color copies are used please ensure that all final copies of the dissertation or thesis have color electronic photographs included.

### 3. Bibliography (or References or Work Cited)

#### 3.1 General References Formats

All material already published must be reformatted into the guidelines specified here and pagination and bibliographic style should be consistent with the remainder of the document. For MS Word users, the EndNote citation management software can be utilized as a referencing tool. It is available for download by KAUST students via the KAUST Library website.

A variety of helpful guides to bibliographic style in various fields are available from KAUST Library, including:

The ACS Style Guide: Effective Communication of Scientific Information. Anne M. Coghil and Lorrin R. Garson, editors. 3rd ed. Washington, D.C.: American Chemical Society, 2006.

The Chicago Manual of Style. 16th ed. Chicago, IL: University of Chicago Press, 2010. (Also online: <http://www.chicagomanualofstyle.org/>)

A Manual for Writers of Research Papers, Theses, and Dissertations. Kate L. Turabian. 7th ed. / Chicago, IL: University of Chicago Press, 2007.

MLA Style Manual and Guide to Scholarly Publishing. 3rd ed. New York: Modern Language Association of America, 2008.

Scientific Style and Format: The CSE Manual for Authors, Editors, and Publishers. 7th ed. Council of Science Editors, 2006.

Style Manual: An Official Guide to the Form and Style of Federal Government Printing. Washington, D.C.: U.S.G.P.O., 2008. (Also online: <http://www.gpoaccess.gov/stylemanual/browse.html>)

In addition, many technical journals publish appropriate style rules.

For more resources on scholarly writing, visit the Library's theses and dissertations webpages at <http://libguides.kaust.edu.sa/theses>.

#### 3.2 Plagiarism Checking

All students are required to have their theses and dissertations checked by the plagiarism software Turnitin. The student is required to submit the thesis or dissertation via Blackboard. The relevant Graduate Program Coordinator (GPC) will review the originality check and compliance with the Thesis/Dissertation

Guidelines. If the originality or compliance reports (individually or jointly) indicate that revisions are required, then the student will have to complete the necessary revisions, before the thesis or dissertation is re-submitted through the GPC and Thesis Advisor to the examination committee for their review and final approval. Students should contact their relevant GPCs for specific details regarding this submission process.

This is a mandatory part of the graduation process.

### 3.3 Utilization of Copyright Material

As the author of the dissertation or thesis manuscript, you will be asked to certify that any previously copyrighted material used in your work, beyond "fair use," is with written permission of the copyright owner, and that KAUST will not be held responsible for any damages which may arise from copyright violations. When depositing your work in the KAUST digital archive, you will be required to warrant that you have obtained all necessary rights. (Please see 'sample permission letter' on page 23).

In most cases no problem will arise if your evaluation of the circumstances suggests the use is fair. Your evaluation should weigh four factors:

1. Purpose and character: Because your use is for non-profit educational purposes, this is a factor favoring fair use. But if you are to derive payment from use of the dissertation or thesis, this would weigh against fair use.
2. Nature of copyrighted work: Is the work fact based, published, or out-of-print? These factors weigh in favor of fair use.
3. Amount used: Using a small portion of a whole work would weigh toward fairness.
4. Market effect: A use is more likely to be fair if it does not harm the potential market for or value of the copyrighted work. But if it does, this could weigh more heavily against fair use than the other factors.

Consider each of these factors, but all of them do not have to be favorable to make your use a fair one. When the factors in the aggregate weigh toward fairness, your use is better justified. When the factors tip the scales in the other direction, your need to obtain permission from the copyright holder increases. Don't worry that the answer is not crystal clear. Just decide whether the factors weigh enough toward fairness so that you are comfortable not seeking permission.

### 3.4 Utilization of Published Material

With due regard to copyright regulations (see previous section) and in relation to any published articles that the candidate is a sole or joint author of, it is permissible to include such articles in the dissertation or thesis, providing the work is cited correctly and such pages follow the same requirements as outlined in this guide (retaining proper margins, type size, page number sequencing, etc.)

## Appendices

### A. *Instructions for Permission Letters*

- Include the correct return address, telephone numbers and email address.
- Confirm the exact name and address of the addressee. Contact the person to confirm (and to receive in writing) copyright ownership.
- Clearly state KAUST's name (written in full, not abbreviated) and the thesis or dissertation title.
- Outline concisely and clearly the proposed use of the copyrighted material. If necessary or appropriate attach a copy of the extract and quotations you propose using, diagrams, pictures, and any other relevant materials for their review. If the proposed use is extensive, describe it in comprehensive and expansive terms. The goal is to eliminate any ambiguities and to ensure that the requested permission incorporates the full range of requirements.
- The sample signature form at the end of the sample letter is suitable for use when an individual owner grants the permission. However, when a company, such as a publishing house, is granting permission, the following permission/signature form is more appropriate.

PERMISSION GRANTED FOR THE ABOVE REQUESTED USE:

[Type name of company]

By: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

*B. Sample Permission Letter*

<p>[Personal information name, return address, phone numbers, etc.]</p> <p>[Date]</p> <p>[Name, title and recipient address]</p>
<p>Dear _____</p> <p>[Optional introductory sentence - This letter aims to confirm our recent correspondence/ conversation.] I am completing a MS Thesis at the King Abdullah University of Science and Technology on [insert Thesis Dissertation title] and I kindly request your permission to reprint in my thesis/dissertation extracts from the following:</p> <p>[Insert full citation and description of the original work]</p> <p>The excerpts to be reproduced are: [insert detailed explanation or attach a copy]</p> <p>The requested permission extends to any future revisions and editions of my thesis/dissertation, including non-exclusive world rights in all languages, and to the prospective publication of my thesis/dissertation. These rights will in no way restrict republication of the material in any other form by you or by others authorized by you.</p> <p>By signing this letter you (or your company) confirm that you own the copyright to the above-described material. If these arrangements meet with your approval, please sign this letter where indicated below, and return it to me by an email attachment (or if appropriate in the enclosed return envelope).</p> <p>Thank you. [Your name and signature]</p> <p>PERMISSION GRANTED FOR THE ABOVE REQUESTED USE:</p> <p>_____</p> <p>[Type name of addressee below signatureline]</p> <p>Date: _____</p>

### *C. Common Errors*

- Pages without numbers or out of sequence, especially those pages that contain figures or captions to figures, etc.
- Authors' names that have different spellings in the text and in the bibliography; authors mentioned in the text but omitted from the bibliography or reference section.
- Dates or reference numbers in the text that are inconsistent with or are absent in the bibliography or reference data.
- Inconsistent presentation of bibliographic information.
- Incorrect punctuation of abbreviations such as the Latin abbreviation for 'and others' contains only one period 'et al.' The abbreviations 'i.e.' and 'e.g.' are punctuated with two periods and set off by commas from the sentences in which they appear, unless a specific style manual required by your Thesis Advisor and or degree program recommends differently.
- Inconsistent hyphenation of compound words.
- Inconsistent capitalization of proper nouns used as adjectives.
- The page size should be 8½ x 11 inches (regular US letter size).
- Incorrectly sized margins – the left margin should be 1½" inches and all other margins 1 inch.
- All pages should be numbered consecutively (except for the title page) and the numbers should be correctly placed on the page – at least ¾ inches from the top of the page, in the middle.
- Pages should be ordered properly, with the title page first, followed by the signature approvals, copyright, and then the abstract pages. Check for missing pages.
- The abstract should be 350 words or less.



- The title page should include the correct date – the date should be the month and year of your successful defense, (for example December, 2018).
- You must have copyright permission to use previously published material.
- Oversized text – Headers, titles and subtitles must not exceed size 14.
- Bolding – Bolding cannot be used for emphasis and can only be used for headers, titles, subtitles, figure/table headers, scientific formulas, theorems and mathematical statements.
- Inconsistent font – The same font must be used throughout the document.
- Incomplete Table of Contents – All titles and subtitles used in the body text of the thesis/dissertation must appear in the Table of Contents.
- Inconsistent usage of UK vs US English. The preferred format at KAUST is US English. The most important is to be consistent.
- All Figures, Tables, Charts, etc., should be numbered with the chapter number and then a number indicating a sequence within a chapter. The first figure in Chapter 2 should be Figure 2.1, the third figure in Chapter 4 is Figure 4.3, etc.
- Do not use Roman numerals at the beginning of thesis/dissertation. Arabic numerals only must be used from the beginning to the end of the document. Page number on the title page must be hidden.

## D. Thesis or Dissertation Format Check

### 1. Dissertation or Thesis Manuscript Preparation

CHECK:

#### TITLE PAGE:

- Title, Name, "in partial fulfillment", for degree, etc. – as per sample (page 8)
- Approval Date (**added after examination and committee approval**) – ONLY month, year
- Do not use the KAUST logo!

#### TITLE:

- First letter of words, nouns, pronouns, adjectives, verbs, adverbs capitalized
- Articles, conjunctions, prepositions – lower case (except if 1<sup>st</sup> or last word of title or subtitle)
- Acronyms – full capitals
- Hyphenation – check dictionary
- Spelling and grammar ("and" not "&", etc.)
- No special characters
- Italicization – only for title, foreign works, scientific terms, etc.
- Apostrophes (eg.1980s not 1980's, etc.)
- Numbers written out in full

#### EXAMINATION COMMITTEE PAGE:

- As per sample (page 11), must be page 2 of the manuscript

#### ABSTRACT:

- MANDATORY:** see example (page 12); Page heading – ABSTRACT (capitalized); centered
- No more than 350 words
- No graphs, mathematical formulas, diagrams, charts, tables or illustrations
- Print on one side of page only, double-spaced, margins maintained
- Avoid abbreviations and acronyms

#### LANGUAGE AND LENGTH:

- Language – English
- Length as per supervisor's instructions

#### ACKNOWLEDGEMENTS (OPTIONAL):

- Brief, professional, no more than one page

#### TABLE OF CONTENTS:

- Page heading – TABLE OF CONTENTS (capitalized), centered
- Conform to pagination guidelines, accurate reflection of outline/organization of document
- List all sections/chapters, including preliminary and supplementary sections
- May be single-spaced

#### LISTS OF TABLES/FIGURES/ABBREVIATIONS (OPTIONAL):

- Consistent style (similar to TABLE OF CONTENTS)
- Single spacing

**PROOFREADING AND EDITING:**

- Spelling and grammar check
- Consistent style (e.g. hyphenation of compound words, capitalization of proper nouns, etc.)
- Edited

**SUMMARY/CONCLUSION:**

- Included

**APPENDICES (OPTIONAL):**

- Included

**REFERENCES:**

(See References section below)

**2. General Formatting Standards****WHOLE DOCUMENT:**

- If you decide to print – copies must be high quality paper (20 lb. weight), 8.5 by 11 inches
- Double-spaced, except for long quotations/footnotes (single, indented)
- Typeface/font – same throughout document (except for tables/figures)
- Numbers from one to ten to be written out in full; numbers greater than ten can be in digits

**FOOTNOTES AND ENDNOTES:**

- Single-spaced, 10-point size font, but same as rest of document
- Numbered with superscripted Arabic numbers, continuous throughout document

**JUSTIFICATION:**

- Left-aligned, ragged right margins are preferred

**MARGINS:**

- Left margin – 1.5 inches
- Right margin – 1 inch
- Top/Bottom margins – 1 inch

**PAGINATION:**

- Numbered at least  $\frac{3}{4}$ " from top of page, in the middle
- Begin numbering with Arabic numbers, after title page
- Each chapter numbered separately, Arabic numerals
- Chapters within text begin on new pages

**EQUATIONS, FORMULAS, SUB/SUPERSCRIPTS:**

- Typeset in most cases (insertions by hand are acceptable)
- Subscripts/superscripts must be large enough to be clearly read

**CHARTS, GRAPHS, TABLES, PHOTOGRAPHS, AND OVERSIZED MAPS:**

- High quality illustrations
- Labels or symbols (rather than colors) for lines on graphs
- Cross-hatching instead of shading
- Professional quality photographs
- Oversized charts, graphs and/or maps – folded in or rolled into mailing tube

### 3. References

**BIBLIOGRAPHY / REFERENCES / WORK CITED:**

- Page heading – use either “BIBLIOGRAPHY” or “REFERENCES” or “WORKS CITED”
- Capitalized, centered, new page
- May be single-spaced, but must include 12 points of space between entries
- Reference style consistent (see examples page 19)

**PLAGIARISM CHECK:**

- Submit manuscript to Turnitin for self-check

**USE OF COPYRIGHTED / PUBLISHED MATERIAL:**

- Any necessary permission letters (see sample permission letter, page 23)

