

UAH Graduate School Thesis, Dissertation, and DNP Project Manual

Website:

<https://www.uah.edu/graduate/resources/thesis-manual>

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GRADUATE SCHOOL

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE

TABLE OF CONTENTS

TABLE OF CONTENTS.....	ii
INTRODUCTION.....	1
APPROVAL PROCESS	1
UPLOADING TO PROQUEST	2
TEMPLATE AND TUTORIAL LINKS.....	2
ORDER AND COMPONENTS	3
Front Matter	3
Title Page (Required).....	3
Abstract (Required).....	4
Copyright (Required).....	4
Acknowledgements (Optional)	5
Table of Contents (Required).....	5
List of Figures (Required, if applicable).....	5
List of Tables (Required, if applicable).....	6
List of Symbols (Optional)	6
List of Schemas (Optional)	6
List of Abbreviations / Acronyms (Optional).....	6
Glossary (Optional)	6
Epigraph (Optional).....	7
Body	7
Back Matter.....	7
Endnotes (Required, if applicable).....	7
References (Required)	7
Bibliography (Optional).....	7
Appendices (Optional)	8
FORMATTING GUIDELINES.....	9
Margins	9
Font Type and Size	9
Headings and Subheadings	9
Spacing and Indentation	10
Pagination	10
Footnotes and Endnotes.....	10

Figures, Tables, Equations, and Schemas	11
COMMON ERRORS.....	12
LEGAL AND ETHICAL ISSUES.....	13
Plagiarism.....	13
Copyright.....	13
Patents	13
Publication Agreement	14
Protection of Human and Other Animal Subjects.....	14
Human Subjects	14
Other Animal Subjects	15
Classified Material.....	15

INTRODUCTION

Welcome to the UAH thesis /dissertation/DNP project manual. This manual, in conjunction with the templates and videos provided, will serve as your guide to submitting your master's thesis, PhD dissertation, or DNP project. These projects are capstone works completed toward the end of a graduate degree program. A master's thesis is the capstone project associated with a master's degree, a doctoral dissertation is the original, creative project associated with a doctoral degree, and a DNP project is the final project submitted as part of a Doctor of Nursing Practice degree. Theses, dissertations, and DNP projects are typically in the form of books written by students on behalf of the university. They thus typically follow rules and guidelines established by the university and the associated academic discipline, following best practices with regards to writing, presentation, and citation. Academic guidelines and high standards are set to ensure that the best representation of yourself, your research advisor, your academic program, and the University of Alabama in Huntsville is provided. When your thesis / dissertation / DNP project has been approved and published, it will be one of your outstanding achievements.

APPROVAL PROCESS

The following procedure will be used to submit your thesis or dissertation:

- 1) Student applies for graduation
- 2) Research advisor accepts a thesis / dissertation / DNP project draft
- 3) Student schedules defense with at least two weeks' notice
- 4) Student gives accepted draft to committee members for review
- 5) Student defends thesis / dissertation / DNP project on scheduled defense date
- 6) Department routes the thesis / dissertation / DNP project [signature form](#) internally to collect the signatures listed on the form with the exception of the Graduate Dean. The form should be signed in order by the research advisor, committee chair (if different from research advisor), committee members, chair or program director, and college dean. After obtaining the signatures, the department administrative assistant will submit the signature form only (not the full thesis/dissertation/DNP project) to the Graduate School via the Google forms process.
 - a. If student passes, student uploads thesis / dissertation / DNP project to ProQuest ETD
 - b. If student passes provisionally, student registers for a subsequent semester and continues work on thesis / dissertation / DNP project
 - c. If student fails, student consults with research advisor, committee chair, department chair, and college dean
- 7) Student copyedits thesis / dissertation / DNP project in ProQuest with feedback from the UAH Graduate School copyeditor
 - a. Student graduates in current semester if copyedits have been completed by the registrar's deadline before the published graduation date
 - b. If copyedits have not been completed by the registrar's deadline before the published graduation date, the student applies for 0-3 credits of thesis / dissertation / DNP project and graduates in the subsequent semester.

UPLOADING TO PROQUEST

Theses, dissertations, and DNP projects are to be submitted through ProQuest ETD.

To upload the manuscript to ProQuest ETD and begin the copyediting process, the student must:

1. Go to this link: <https://www.etdadmin.com/main/home?siteId=445>
2. Set up an account.
3. Enter the required information.
4. Upload the manuscript only (not the signature form), and submit it for publication.

Please remember to convert your manuscript to PDF format before uploading it to ProQuest; ProQuest will only accept PDF format. It is essential to review the PDF for potential formatting issues before uploading it to ProQuest.

ProQuest will guide you through submission in a step by step, user-friendly process. If you have simple questions, ProQuest's "Resources and Guidelines" tab contains helpful FAQ regarding both submission and technical support. More technical issues can be resolved by contacting ProQuest's customer service from the online submission webpage.

The following link provides answers to frequently asked questions about uploading to ProQuest ETD: https://support.proquest.com/s/article/ETD-Administrator-Frequently-Asked-Questions?language=en_US

Students should be sure to check their ProQuest account and the email address associated with it for updates and requests for revisions from the UAH Graduate School copyeditor. If copyedits are not finished by the registrar's deadline before the published graduation date, the student will not graduate in that term.

TEMPLATE AND TUTORIAL LINKS

To access easy-to-use templates that meet the formatting requirements explained in this guide, please double-click the appropriate link below. These templates also serve as an example of what your thesis/dissertation/DNP project should look like.

If you will produce a technical document, we recommend that you use the LaTeX template.

If you require greater formatting flexibility, we recommend that you use the Word template.

[Microsoft Word Template](#) – After opening the document, select File→Download→Microsoft Word (.docx). **Do not try to edit or save as a Google Doc.**

[LaTeX Template](#) – If you do not currently have an account with Overleaf, you will need to register for a free account after clicking on the link in order to view, edit, and download the LaTeX file.

[LaTeX Tutorial](#) -- If you are unfamiliar with navigating LaTeX, click the link below to view a short tutorial video that will help you to get started.

ORDER AND COMPONENTS

Front Matter

Title Page (Required)

The title page should be the same font type as the rest of the dissertation. Although it is counted as page i, its page number should not appear at the bottom of the page. The title page must contain the following in this order:

1. **Title:** This should be centered, in boldface, and in all capital letters with a one-inch top margin. If the title extends to two or more lines, single-space between the lines of the title.
Exception: You should use appropriate formatting if required by the text such as a chemical formula or scientific name (*e.g.*, **THE HEALTH BENEFITS OF SODIUM BICARBONATE – NaHCO₃**).
2. **Your name:** Your name should appear two double-spaces below the title, centered, and in boldface.
3. **Document Type:** “**A THESIS,**” “**A DISSERTATION,**” or “**A DNP PROJECT**” should be one double-space below your name, centered, in boldface, and in all capital letters.
4. **Statement and Degree:** One double-space below the document type, write the following statement on two lines, centered, and in boldface:
Line one: “**Submitted in partial fulfillment of the requirements**”
Line two: “**for the degree of**” This statement should be followed immediately on the same line with the name of your degree (*e.g.*, **Master of Science**).
5. **In:** The word “**in**” should be below the degree, centered, in boldface, and in all lower-case letters.
6. **Department/Program:** The name of your department/program should be below “**in,**” centered, and in boldface with appropriate capitalization (*e.g.*, **The Department of Electrical and Chemical Engineering**).
7. **To:** The word “**to**” should be below the department, centered, in boldface, and in all lower-case letters.
8. **The Graduate School:** The words “**The Graduate School**” should be below “**to,**” centered and in boldface. If you are earning a joint degree with another university or other universities, add an “**s**” to School to make it plural (*e.g.*, **The Graduate Schools**).
9. **Of:** The word “**of**” should be below the Graduate School, centered, in boldface, and in all lower-case letters.
10. **University: The University of Alabama in Huntsville** should be below “**of,**” centered and in boldface. If you are earning a joint degree with another university or other universities, list the additional universities as well.
11. **Graduation Month and Year:** Your graduation month and four-digit year should be below the university name, centered and in boldface (*e.g.*, **May 2022**). Please fully spell out the month.
12. **Approved by:** The words “**Approved by:**” should be below the university name, in boldface, and left-aligned 1.5 inches from the left page edge. It should be followed by a colon. It should begin with a capital “**A**” followed by all lower-case letters. The approval section should appear at the bottom of the title page. Adjust the spacing between the graduation month and year and this line so that the last approval name is at the bottom of the page.

13. **Approval Names:** List the names of the professors that approved your thesis/dissertation followed by a comma and their titles (*e.g.*, Dr. Jon Hakkila, Graduate Dean). Include your research advisor, committee chair (if different), all committee members, department chair, college dean, and graduate dean in that order. Single space between names.
Interdisciplinary students do not have a College Dean. If you are in an Interdisciplinary Program, the Graduate School Dean's signature will serve as the College Dean's signature for Interdisciplinary Studies.

Abstract (Required)

The abstract page(s) should be titled **Abstract**. The title should be centered with a one-inch top margin and in boldface.

Below the abstract page title, type your thesis/dissertation/DNP project title. It should be centered, in all-capital letters, and in boldface. If your title extends to two or more lines, use single-spacing within the title. Below your project title, your name should appear centered and in boldface. Below your name should appear the following statement on two single-spaced lines, centered, and in boldface:

Line one: **A thesis/dissertation/DNP project submitted in partial fulfillment of the requirements**

Line two: **for the degree of [your degree]**

Below the above statement, provide your department, centered, and in boldface with appropriate capitalization (*e.g.*, **The Department of Mathematical Sciences**). Below the department, type the name of the university centered and in boldface (*e.g.*, **The University of Alabama in Huntsville**). If you earned a joint degree, include the name of the other university or universities. Below the university name(s), type your graduation month and year, centered, and in boldface.

One double-space below the graduation month and year, begin the body of your abstract. The body of your abstract should be double-spaced and left-aligned with a 1.5 left margin. The abstract must be limited to one paragraph. Remember to indent the beginning of the paragraph.

Please Note: There is a strict word limit for abstracts. **Thesis abstracts should not exceed 150 words, and dissertation/DNP abstracts should not exceed 350 words.**

Number with the lowercase Roman numeral ii at the bottom center of the page with a ½ inch bottom margin.

Copyright (Required)

The copyright page should only be filled out if you have registered your document for a copyright. If you have not registered for a copyright, leave this page blank. Even if it is blank, it should still be numbered at the bottom of the page with a Roman numeral. If you have registered for a copyright, fill out the page as described below:

The copyright page should contain three components: 1) the copyright symbol (©), 2) your name, and 3) the text, "All Rights Reserved." Each component should be on its own line, double-spaced, and centered at the bottom of the page. Number with a lowercase Roman numeral at the bottom center of the page with a ½ inch bottom margin.

Acknowledgements (Optional)

The acknowledgements page should be titled **Acknowledgements**. The title should be centered with a one-inch top margin and in boldface.

Begin your acknowledgements one double-spaced line below the title in 12-point font. Indent the beginning of each new paragraph and use double-spacing throughout. Number with lowercase Roman numerals at the bottom center of the page(s) with a ½ inch bottom margin.

It is polite and respectful to acknowledge your scholarly debts by thanking those who have provided intellectual guidance, facilities, or financial support for your project; thus, you thank those who have been significantly involved in your work.

If you received funding or other resources from any agencies for your research, you must acknowledge their contributions. You also should cite any individual or institution who has granted you permission to reprint material.

You may conclude your acknowledgments with a dedication to thank family or friends rather than using a separate dedication page. Your acknowledgments should be brief and consistent in tone with a formal publication.

Table of Contents (Required)

The Table of Contents page(s) should be titled **Table of Contents**. The title should be centered, boldfaced, in title case and with a one-inch top margin.

Entries should begin one double-spaced line below the title and in 12-point font. Front matter headings, chapter titles, and back matter headings should be in boldface. Subheadings within chapters should not be in boldface in the table of contents (although they will be bold where they appear in the body). Use progressive indentations for the chapter titles and subheadings.

The Table of Contents should include all items in your thesis/dissertation/DNP project except the title page and copyright page. All entries should include leader dots that extend from the end of the title to the page number. Page numbers should be aligned with the far-right margin. For multi-line entries, carriage returns should be used to ensure that the titles do not extend all the way to the right margin where the page number are (*i.e.*, the titles should not overlap the page numbers). Entries that extend to two or more lines should be single-spaced, but double-spacing should be used between entries. Capitalize only the first letter of each word required by your chosen style. Use consistent capitalization for all headings, titles, and subheadings.

Number with lowercase Roman numerals at the bottom center of the page with a ½ inch bottom margin.

List of Figures (Required, if applicable)

The List of Figures page(s) should be titled **List of Figures**. The title should be centered and in boldface. Entries should begin one double-spaced line below the title. Only include the figure titles and not the entire figure caption. If your figure does not include a clear title, you may use the first sentence of the caption as the title. Entries should be formatted similarly to entries in the table of contents (see above).

Number with lowercase Roman numerals at the bottom center of the page with a ½ inch bottom margin.

List of Tables (Required, if applicable)

The List of Tables page(s) should be titled **List of Tables**. The title should be centered and in boldface.

Entries should begin one double-space line below the title. Only include the table titles and not the entire table caption. If your table does not include a clear title, you may use the first sentence of the caption as the title. Entries should be formatted similarly to entries in the table of contents (see above). Number with lowercase Roman numerals at the bottom center of the page with a ½ inch bottom margin.

List of Symbols (Optional)

The List of Symbols page(s) should be titled **List of Symbols**. The title should be centered and in boldface.

The list should be composed of two columns with centered titles. The first column should be titled **Symbol** in boldface. The second column should be titled **Description** in boldface. Below these two column titles, list the symbols followed by their meaning/description. When applicable, list symbols in alphabetical order.

Double-space between entries but single-space within entries that extend to two or more lines. Unlike the previous lists, do not include page numbers or leader dots. Number with lowercase Roman numerals at the bottom center of the page with a ½ inch bottom margin.

List of Schemas (Optional)

An optional section called the **List of Schemas** may be included if the thesis/dissertation/DNP project contains many schemas. If included, it should be formatted in the same manner as the **List of Figures/Tables**.

List of Abbreviations / Acronyms (Optional)

An optional section called the **List of Abbreviations** (or **Acronyms**) may be included if the thesis/dissertation/DNP project contains many abbreviations or acronyms. If included, this section should be formatted in the same manner as the **List of Symbols**, with entries in alphabetical order instead of by order of appearance.

Glossary (Optional)

An optional section called the **Glossary** may be included containing a list of technical terms along with their definitions. If included, this section should be formatted in the same manner as the **List of Symbols**. Here, the first column should be titled **Term** in boldface, and the page numbers where the terms first occur can be listed immediately after the description/definition.

Epigraph (Optional)

An optional section called the epigraph may be included containing a quotation or saying. This section has no title or heading. It should be listed in the Table of Contents as Epigraph. The quotation or saying should be centered on the page and related in some way to your thesis/dissertation/DNP project. The font of the quotation should be italicized and the lines double-spaced. Be sure to cite the author. Number with lowercase Roman numerals at the bottom center of the page with a ½ inch bottom margin.

Body

The body of your thesis/dissertation/DNP project should be organized into chapters. Each chapter should start on a separate page. **Chapter titles should have a two-inch top margin** and begin with the chapter heading, which consists of the word Chapter, the appropriate number, and a period (*e.g.*, **Chapter 1.**). This is followed on the same line by the chapter title (*e.g.*, **Introduction**). Chapter titles should be in boldface and centered. Capitalize only the first letter of each word required by your chosen style. Chapter titles that extend to two or more lines should be double-spaced.

All pages in the body should be numbered with Arabic numerals beginning with the number 1. All paragraphs should begin with a ½ inch indentation. It should be double-spaced throughout. The formatting style (*e.g.*, APA, Turabian, Chicago, MLA) should be consistent throughout. Be sure to avoid widow/orphan lines, which are single lines of text at the bottom or top of a page.

You may organize content within a chapter into sections and subsections. Similarly to chapter titles, these should include a heading (*e.g.*, 1.1, A.1, 1.1.2, A.1.2, *etc.*) followed by a title. The headings and titles should be in boldface. Capitalize only the first letter of each word required by your chosen style.

Back Matter

Endnotes (Required, if applicable)

Endnotes should be included only if the documentation style you chose requires them. The endnotes page should be titled **Endnotes**. The title should be centered with a one-inch top margin and in boldface. Double-space between entries but single space within each entry.

References (Required)

This page should be titled **References** (or whatever is required by your documentation style). The title should be centered and in boldface and title case with a one-inch top margin. The entries of your references should be formatted consistently and correctly according to the documentation style that you chose. Double-space between entries and single-space within each entry.

Bibliography (Optional)

Any work not cited in the text but sufficiently relevant to bear mentioning may be listed in a bibliography following the references. This page should be titled **Bibliography**. The title should be centered with a one-inch top margin and in boldface. The entries of your bibliography should be

formatted consistently and correctly according to the documentation style you chose. Double-space between entries and single-space within them.

Appendices (Optional)

Appendices should be the last component of your thesis/dissertation/DNP project. If you only have one appendix, it should be labeled **Appendix A**. When you have multiple appendices, each appendix begins on a new page and should be labeled alphabetically (Appendix A, Appendix B, Appendix C, *etc.*). The heading should be centered and in boldface and title case with a one-inch top margin. You may include an additional title after the heading (*e.g.*, **Appendix C. Surface Plot**). Place a period after the heading and type the title on the same line. The title should be in boldface and title case. If you include figures, tables, equations, *etc.*, in an appendix, label them according to the letter of the appendix in which they appear (*e.g.*, Figure A.1 would be the first figure in Appendix A).

FORMATTING GUIDELINES

Margins

Margin requirements apply not only to pages of text and to pages of front and back matter, but also to pages with figures, tables, and illustrations.

Left: 1.5 inch (all pages)

Right: 1 inch (all pages, no exceptions)

Top: 1 inch

Exceptions: The first page of a new chapter will have a two-inch top margin.

Bottom: 1 inch

Exceptions: Page numbers are ½ inch from the bottom. To avoid a widow/orphan line at the bottom of a page, bottom margins may be one line larger in order to move the widow/orphan line to the next page. Footnotes may extend one line below the bottom margin to complete a footnote on the page.

Within these margins, you may use a ragged or justified right edge; however, **we recommend the ragged right edge for practical reasons**. Justified right edges may adjust text so that punctuation and spacing, particularly in reference or bibliographic entries, will appear incorrect if printed.

Font Type and Size

The text of the entire document (excluding symbols or variable names) must use the same standard serif font (for example, CG Times, Times New Roman, or Courier). Size 12-point font should be used throughout with the following exceptions:

- Main section titles may have a slightly larger font size (*e.g.*, 14-point) for aesthetic purposes. Use your best judgment.
- Figure/table captions and footnotes should be in size 10-point font.
- You may include a photocopy of an original document in another font and/or size in an appendix.
- To meet margin requirements, a slightly smaller font size may be used only within tables and figures. If the font in a figure is too small to read, the figure caption should specify why.

Headings and subheadings should be in boldface. Latin terms such as *i.e.*, *e.g.*, *et al.*, *in vitro*, *in vivo*, and *in situ* should be italicized (the terms “*i.e.*” and “*e.g.*” should also always be followed by a comma). The optional epigraph should be italicized. Italicized text may be used to draw emphasis to particular phrases or sentences.

Headings and Subheadings

A hierarchy of headings and subheadings should divide chapters into sections and subsections. You may choose one of the following systems:

- Decimal system (1.1, 1.2, 1.2.1, *etc.*)
- Alphanumeric system (outline form: A.1, A.2, A.2.a)
- Heading system, which uses the placement and typography (boldface) of headline text to show hierarchy and subordination. (This system is NOT typical for a technical paper. You should speak with your research advisor before choosing this system.)

Each heading in the decimal system should be left-aligned with no indentation. Headings in the alphanumeric system should use indentations to reinforce descending groupings. Headings in the heading system should be in boldface and may be centered, indented, or left-aligned depending on the chosen style. There should be an extra space above and below all subheadings. Whichever system you choose, remain consistent throughout the entire document.

A heading should not appear alone at the bottom of a page with its text beginning on the next page. This type of “orphan” condition is one that word-processing programs may not detect. You also may not go to a subordinate level of a heading unless you have at least two subheadings at that level. For example, you cannot have section 1.1 if there is not a 1.2. This applies both to the body of the document as well as to the appendices.

Spacing and Indentation

The entire document should be double-spaced with the following exceptions:

- The title of your thesis/dissertation should be single-spaced if it extends to two or more lines on the title and abstract pages.
- Single space within entries (but double-space between them) in the table of contents, list of figures, tables, symbols, equations, schemas, and abbreviations/acronyms, glossary, endnotes, references, and bibliography
- Figure and table captions should be single-spaced
- Footnotes should be single-spaced

All paragraphs should begin with a ½-inch indentation. Decimal system subheadings should **not** be indented. Alphanumeric system subheadings should be progressively indented by ½ inch to reinforce descending groupings. Headings and subheadings in the heading system may or may not be indented depending on the chosen style.

Pagination

Begin numbering with the Roman numeral ii on the abstract page. Continue using lowercase Roman numerals throughout the front matter. Switch to the Arabic number 1 on the first page of the introduction (*i.e.*, Chapter 1). Continue with Arabic numbers for the rest of the document.

Page numbers should be located at the bottom center of a page and use a ½ inch margin.

Footnotes and Endnotes

You may use footnotes and/or endnotes depending on your chosen style and the standards for your discipline. Consult with your research advisor when deciding your document style.

Footnotes should use size 10-point font, while endnotes should use the same font size as the text. They should be single-spaced within entries and double-spaced between entries. Footnotes may extend one line lower than the one-inch bottom margin.

Figures, Tables, Equations, and Schemas

Figures, tables, equations, and schemas should not exceed the margins of the document. Figures and tables should begin with a heading in boldface according to their placement within the document (*e.g.*, **Figure 1.1** would be the first figure in chapter 1 and **Table A.2** would be the second table in Appendix A). Figure and table titles/captions should immediately follow the heading but not be in boldface. Table and figure headings, titles and/or captions should be in 10-point font, single-spaced, and centered.

Table headings, titles, and captions should be placed above tables.

Figure headings, titles, and captions should be placed below figures.

Equations must be labeled if your thesis/dissertation/DNP project includes a list of equations. You may still label your equations even if there is no list of equations in order to reference them in the body of the thesis/dissertation. Number equations consecutively throughout the manuscript. Place the number in parentheses and align it to the right margin either beside or directly below the equation.

COMMON ERRORS

- The terms “*i.e.*” and “*e.g.*” should be italicized and followed by a comma anywhere they appear in the document.
- The term “*et al.*” should be italicized, and a period should follow only the letters al.
- Widow/orphan lines should be avoided throughout the dissertation. This means you should never have a single line of text isolated from the rest of its paragraph at the top or bottom of a page.
- Headings should not be separated from the text they introduce (*i.e.*, no headings should be alone at the bottom of a page).
- Page numbers in the table of contents and list of figures/tables should be aligned with the far-right margin.
- Leader dots should be used for all entries in the table of contents and list of figures/tables.
- All major headings (*e.g.*, List of Figures, List of Tables, Chapters, *etc.*) should begin on a new page.
- You may not go to a subordinate level of heading unless you have at least two subheadings at that level. For example, you cannot have section 1.1 if there is not a 1.2. This applies both to the body of the document as well as to the appendices.

LEGAL AND ETHICAL ISSUES

The student is responsible for conducting research according to ethical standards and for using material in accordance with legal restrictions. The information in this chapter does not constitute legal advice. It describes the issues and alerts you to your obligations.

Plagiarism

If you do not cite the source of ideas, information, paraphrases, or direct quotations, you are plagiarizing. You are implicitly or explicitly representing someone else's ideas, work, or language as your own. **Plagiarism is intellectual dishonesty and will not be tolerated.** Universities have rescinded degrees when plagiarism has been identified.

Even if you think you have come independently to an idea, you must credit others who have already expressed it. In the case of collaborative work, someone else's writing on a project cannot stand as your own writing. Although you may have worked as part of a team, you cannot use another team member's writing as your own. If you use material already included in another student's thesis, dissertation, or DNP project, you **MUST** reference it!

Please refer to the [UAH catalog](#) for more details about academic honesty.

Copyright

The U.S. Constitution copyright law automatically applies copyright protections to your work once created. In general, any work created on or after January 1, 1978 is copyright protected during the life of the author and 70 years after the author's death. Nonetheless, it is wise to register your work with the U.S. Copyright office. ProQuest provides the option to register your work with the U.S. Copyright Office for a low fee. A list of resources and information to assist you in learning more about copyright and reasons why it is recommended to copyright your work can be found by visiting the [ProQuest ETD Resource](#) page.

Patents

The research that supports your thesis, dissertation, or DNP project may include inventions or discoveries that may be patented.

The patent statute provides that an invention or discovery involving "any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvements thereof" may be patented. The intent of this broad definition is to include a device or material that an individual might be able to produce and the processes used to produce it.

Under University of Alabama Board of Trustees policy (supplemented by UAH policies), the institution owns all inventions conceived or developed by a researcher in the course of his/her employment at the university. In accordance with Board guidelines, the university determines whether ownership of an invention is assigned to the university. If it is, the university determines whether it wishes to pursue patenting. The university and the inventor in accordance with the Board's formula share any income from licensing or sale of an invention patented by the

university. The university (or other funding agency) may decide whether it wishes to retain ownership. Thus, even if the institution has first rights, it may choose to release the invention to the inventor to patent it or not as the individual desires. Similar rights to ownership may apply when an outside agency funds work.

You must consult the UAH patent administrator as soon as you believe you may have an invention, material, or process suitable for patent. Patent law requires strict record keeping, and it is especially stringent about timelines dating discovery or invention of an item or process suitable for patent, disclosing information about it, and applying for patent protection.

Publication Agreement

If faculty conducted private research, then there may be certain publishing restrictions and time delays often referred to as an “embargo” in academic publishing. Depending on the type of publishing permissions granted, you may experience limitations or delays while publishing your thesis, dissertation, or other scholarly work on ProQuest. These delays may impact access to your published scholarly work. For more information, please check with your advisor, your department, and/or the Graduate School.

If an embargo is required in ProQuest, the student must notify the Graduate School in writing of this request and the reason for it no later than the thesis/dissertation/DNP project submission deadline.

Protection of Human and Other Animal Subjects

Research involving either human subjects or other animal subjects must comply with legal requirements and institutional policies. Authorized university bodies must approve your research plan and testing or survey instruments.

Human Subjects

If your research requires any testing or surveying of human subjects, including anonymous surveys through professional organizations, you must demonstrate that your research design complies with the guidelines of the UAH Institutional Review Board (IRB).

All research involving human subjects must be approved by an Institutional Review Board (IRB). The Federal Government establishes special regulations (Title 45 of the Code of Federal Regulations, Part 46) to assure the safety of all human subjects involved in research. UAH and its IRB maintain a strong commitment to treating human subjects ethically and to following all federal regulations. IRB approval constitutes assurance that research involving human subjects meets these regulations and is designed to treat participants fairly and ethically.

You must begin by consulting the UAH IRB to confirm and document the level of review your research will require. The UAH IRB will determine, depending upon the nature of your research, whether your proposal requires a full review, an expedited review, or is exempt from review. A review is based on your research protocol included in a draft informed-consent document with supporting forms, such as survey instruments. **This initial review must be done for ALL research involving human subjects even if the research only uses anonymous surveys.** The UAH IRB

review evaluates your proposal against federal guidelines for protecting the rights and welfare of a subject group, including issues of equitable selection, risk, safety, privacy, and informed consent.

You may obtain from the UAH Office of Counsel a document describing more fully the issues in using human subjects, essential elements for proposals and research designs, federal guidelines, and the criteria of the UAH IRB.

You **must** include, as appendices in your manuscript, a copy of survey or testing instruments **as well as the UAB IRB form** granting permission to conduct your research.

For more information, please review UAH's IRB webpage at <https://www.uah.edu/irb>.

Other Animal Subjects

If your experimental research involves using any animals, you must submit your research plan (or grant proposal) for review and approval to the UAH Institutional Animal Care and Use Committee (IACUC) before you use any animal subjects. Contact the Office of the Vice President for Research for the name of the current chair of the IACUC.

You should begin by consulting the Chair of the IACUC and obtaining an application form. In developing the research plan, you should work closely with your advisor (who may be listed as principal investigator). The IACUC can also provide you with government publications outlining your responsibilities in using animals.

You must conduct research in accordance with your approved proposal. If you change methods or procedures during the course of the project, you must submit a revised proposal. Throughout the project you are responsible for the care and well-being of the animals in your study.

You **must** include a **copy of the IACUC form** granting permission in your manuscript as an appendix.

Classified Material

All thesis, dissertation, or DNP project material must be accessible to the general public. Hence, the student is responsible for ensuring that no classified material appears in a thesis, dissertation, or DNP project. For special cases concerning proprietary information, please consult with the Graduate School.