Kate L. Turabian

A Manual for Writers

of Term Papers, Theses, and Dissertations

Fifth Edition

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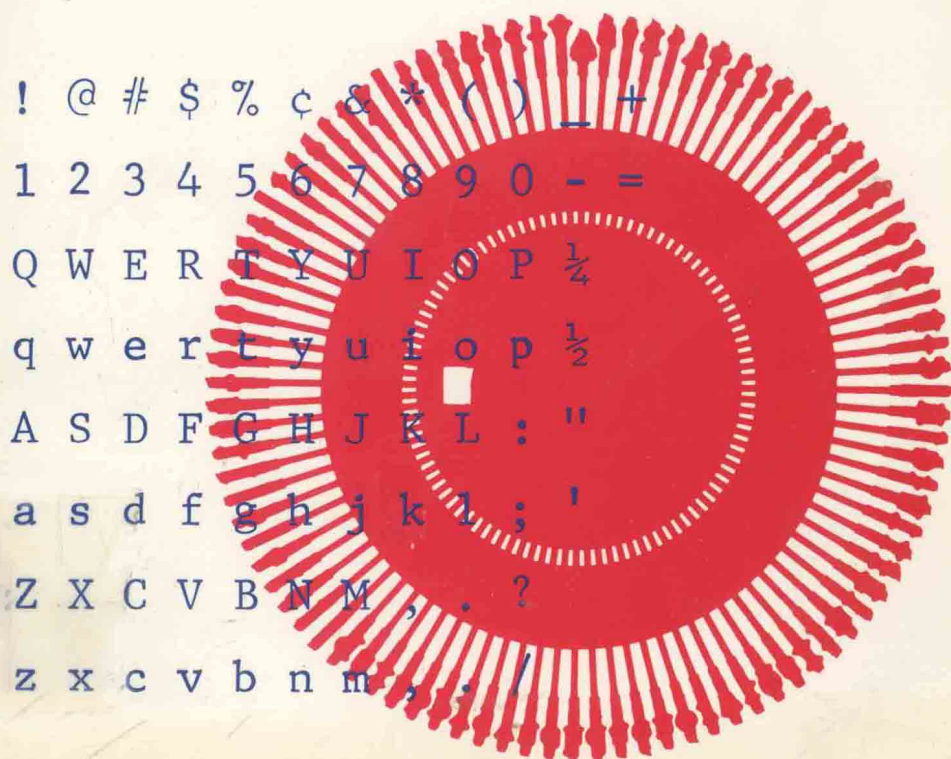
A Manual for Writers of Term Papers, Theses, and Dissertations

Kate L. Turabian

Fifth Edition
Revised and Expanded
by Bonnie Birtwistle Honigsblum

KATE L. TURABIAN was editor of official publications and
dissertation secretary at the University of Chicago for over
twenty-five years. BONNIE BIRTWISTLE HONIGSBLUM holds a
Ph.D. from the University of Chicago; she teaches English
and serves as a writing consultant to business and
professional organizations.

Preface

Kate L. Turabian designed this manual as a guide to suitable style in the presentation of term papers, theses, and dissertations in both scientific and nonscientific fields. The genesis of the manual can be traced to a sentence in the June 1929 edition of the *Handbook of the Graduate Schools* of the University of Chicago, which reads: "Samples of paper and directions concerning the form of the dissertation may be obtained at the Dissertation Desk, in Harper Library." When in 1931 the work of the Dissertation Desk was transferred to a dissertation secretary under the purview of the dean of students, the secretary inherited a one-page set of mimeographed instructions, the first paragraph stating, "In form, the dissertation should follow the style of the University of Chicago Press as exhibited in its publications and set forth in *A Manual of Style*." Students and their typists, therefore, were directed to the Press manual for detailed information needed to bring papers into conformity with accepted thesis style. But this style manual, designed as a guide for typographers, editors, and others dealing with the printed word, required some interpretation if it was to serve as a guide to producing a typescript conforming to its standards. To supplement the Press manual, the dissertation secretary furnished students with a two-page set of mimeographed instructions on such matters as spacing, indention, margins, and underlining. With the flattening of student pocketbooks in the Depression of 1930–35, the need arose to expand those instructions into a small booklet incorporating the materials in *A Manual of Style* that were relevant to the preparation of a typewritten dissertation. The title of the booklet, published in 1937, was essentially the same as the one it bears today. Thus from the beginning the thesis manual has recommended in general the style of the University of Chicago Press as shown in its publications—both books and journals—and as explained in its *Manual of Style*.

The thirteenth edition of the Press manual, *The Chicago Manual of Style*, published in 1982, gave impetus for a fifth edition of the thesis manual. The thesis manual has always followed the Press manual's guidelines for such matters as spelling, punctuation, and distinctive treat-

ment of words. The fifth edition of the thesis manual is also indebted to the thirteenth edition of *The Chicago Manual of Style* for its treatment of parenthetical references and reference lists, footnotes, endnotes, and bibliographies. Significant portions of the Press manual have been adapted here, sometimes verbatim, to chapters on abbreviations, tables, illustrations, and the layout of component parts. Whenever this manual differs from the Press manual, it reflects the needs of a different readership.

Written originally from Kate Turabian's perspective as dissertation secretary at the University of Chicago, the manual has always championed the cause of the individual producing a finished manuscript, often serving as researcher, writer, typist (or now word-processing specialist), graphic artist, proofreader, and printer or photocopier operator, all in one. Having for its model this kind of self-publication, the manual has had to serve as a guide useful in many disciplines and at the same time respond to the expectation that it should set a standard. In coming to terms with rapid, often sweeping advances in publication practices and print technologies, the manual has held its own, proving to be a formidable survivor capable of adapting to new environments. Characteristically, a paragraph from the foreword to the first edition written nearly fifty years ago still pertains:

> As an examination of this manual will reveal, some sections are of interest only to students in certain fields, while some contain information necessary to all writers of dissertations and should therefore be studied in full. Sample pages, sample footnotes, tables, and so forth are provided as supplements to the directions—illustrating and clarifying points of form. They cannot be properly interpreted or safely followed except in conjunction with the rules. It may be observed that familiarity with the requirements during the period when the dissertation is in preparation will greatly facilitate the assembling of materials and the writing of the final draft.

It is, therefore, in the spirit of past editions of the manual that the fifth remains a reference tool designed to help the writer use whatever methods, materials, or technologies may be needed to assemble the final manuscript of a research paper. In other words, the manual is still a "how to" book rather than a consumer guide. As the concept of "use" is limited here to its application in preparing special kinds of research papers, much of what might belong in a general primer to computerized word processing, for example, has been excluded in favor of emphasizing only certain aspects of computerized word processing that seem vital to the task of preparing a finished manuscript. It is not within the scope of this manual to recommend a particular brand of hardware or software, or even to explore fully the process necessary to decide what kind of equipment to bring to the task of preparing a finished manuscript. Chapter 13 does, however, offer a brief overview of the general categories of facili-

ties and materials now available, and it explains how they might be used to prepare research papers. In response to a 1984 survey of over 750 colleges and universities, this edition also introduces a new chapter on parenthetical references and reference lists (chapter 8). In chapter 14, sample pages are brought together, and detailed information on the layout of pages has been added to the samples. Finally, where other resources for the scholarly writer commend themselves, style guides and writing aids are mentioned within the text of the manual. For the writer whose department or discipline recommends an authoritative style guide within its field, a selected bibliography has also been added.

Throughout the making of this revision, Geoffrey C. M. Plampin, editor of official publications and dissertation secretary at the University of Chicago, served as spokesman for those currently committed to the writing of theses and dissertations. Joel J. Mambretti, Ph.D., lead staff analyst in information technologies and new services at the University of Chicago's Computation Center and designer of the University of Chicago's dissertation-formatting program TREATISE, contributed broad experience in academic computing. The editorial staff of the University of Chicago Press advised on matters having to do with the thirteenth edition of *The Chicago Manual of Style*. Many other experts within the University of Chicago community also contributed generously to the process of revising this manual. I should also like to thank the many dissertation secretaries and thesis advisers whose recommendations have reached the Press through personal correspondence and its 1984 survey. In revising and expanding the manual, I have endeavored to address their concerns and meet the needs of the writers they serve.

Bonnie Birtwistle Honigsblum
January 1987

Contents

1   Parts of the Paper

1.1   The word *paper* is used throughout this manual to refer alike to term papers, theses, and dissertations except in matters relating specifically to one of these. A term paper fulfills the requirements of a course or an undergraduate major. A thesis fulfills the requirements of a graduate-level course or meets the specifi-

cations set for a master's degree. A dissertation meets the requirements for a doctoral degree. Each of these kinds of research paper requires references to works cited within the text, and the manuscript of each must be submitted as finished copy rather than as copy prepared for typesetting. Such research papers must meet specifications set by the degree-granting institutions.

1.2 A paper has three main parts: the front matter, or preliminaries; the text; and the reference or back matter. In a long paper, each of these main parts may consist of several sections (see below).

1.3 With respect to pagination, there are two categories: the front matter, or preliminaries, numbered with consecutive lowercase roman numerals centered at the bottom of pages; and the rest of the work, numbered with consecutive arabic numerals centered at the bottom of pages bearing titles and centered at the top, or in the upper right-hand corner, of all other pages of the text and reference matter.

1.4 Any part of the paper that appears in textual or tabular form may be footnoted, including descriptive paragraphs preceding lists and glossaries.

1.5 Unless specified otherwise by the conventions of a department or discipline, the order given in the above table of contents for this chapter should be observed, regardless of the parts that may be omitted. Not every paper will require each of these parts. In the event that the paper is later published, the organization required by the publisher may differ from that recommended here.

THE FRONT MATTER, OR PRELIMINARIES

TITLE PAGE

1.6 Most universities and colleges have their own style of title page for theses and dissertations, and this should be followed exactly in matters of content, capitalization, centering, and spacing. For term papers, if a sample sheet is not provided, a title page might include the name of the university or college (usually centered at the top of the sheet), the exact title of the paper, the course (including its department and number), the date, and the name of the writer. See sample 14.25 for one style that may be used for theses and dissertations.

BLANK PAGE

1.7   This unnumbered sheet is recommended to prevent the text of the following page from showing through the white space on the title page.

ACKNOWLEDGMENTS

1.8   In the acknowledgments, the writer thanks mentors and colleagues, lists the individuals or institutions that supported the research, and gives credit to works cited in the text for which permission to reproduce has been granted (see 5.1). Although one would wish to acknowledge special assistance such as consultation on technical matters and aid in securing special equipment and source materials, one may with propriety omit an expression of formal thanks for the routine help given by an adviser or a thesis committee. The generic heading ACKNOWL-EDGMENTS, which appears only on the first page of the part, is in uppercase and centered over the text. The format of this page should be the same as that of the first page of a chapter that carries only a generic heading. Each page of the acknowledgments is numbered in lowercase roman numerals centered beneath the text.

PREFACE

1.9   In the preface, the writer explains the motivation for making the study, the background for the project, the scope of the research, and the purpose of the paper. The preface may also include acknowledgments if an acknowledgments section is omitted. If a writer has nothing significant to add about the study to what is covered in the main body of the paper and wishes only to acknowledge the various sorts of assistance and permissions received, these remarks should be entitled ACKNOWLEDG-MENTS rather than PREFACE. A preface appears in the same format as an acknowledgments section (see 1.8).

TABLE OF CONTENTS

1.10   The table of contents, sometimes headed simply CONTENTS, lists all the parts of the paper except the title page, blank page, dedication, and epigraph. No page numbers appear on any of

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these four, and the last three are not included in the counting of the pagination of the front matter, or preliminaries. If the chapters are grouped in parts, the generic headings (e.g., PART I) and titles (e.g., EARLY FINDINGS) of the parts also appear in the contents. Subheadings within the chapters are frequently included in one of various ways (see 14.26–27), or they may be omitted entirely from the table of contents.

1.11 In preparing a table of contents for a paper containing subheadings of one or more levels (see 1.36), there is great latitude in choosing both the amount of information included and the method of presenting it. At one extreme, the contents may provide what is essentially an outline by including all the levels. At the other extreme, the contents may omit the subheadings—even though the paper may carry subheadings of one level or more than one—showing only the generic headings and titles of chapters. For many papers, both those with only one level and those with more than one level of subheading, the table of contents includes the first-level (principal) subheadings, with or without the page numbers (sample 14.26). Note that when more than one level of subheading is included in the contents, each must appear in order of its rank; that is, it is not permissible to begin with any but the first-level subheading, or to skip from the first and go to the third or fourth level (see sample 14.27).

1.12 If the subheading of any level is longer than one line, the second line of the subheading must be indented three spaces, and the page number should follow the period leaders after the last word of the subheading, as shown in sample 14.27. Double-space between items, and single-space runovers.

1.13 If more than one level of subheading is included in the contents, each level is indented three spaces below the preceding higher level (sample 14.27). If only the first level is shown, each subheading may be indented three spaces below the chapter title (sample 14.26) or, if the subheadings are short, the first one in each chapter may be indented three spaces below the chapter title and the following ones of the same level run in. Run-in subheadings may be separated by semicolons, dashes, or periods. For page numbers with subheadings, see 1.17.

1.14 Capitalization and wording of the titles of all parts, chapters, and sections should agree exactly with the way they appear in the body of the paper.

1.15   Capitalization of titles in the table of contents should be as follows: For the titles of all major divisions (acknowledgments, preface, contents, list of illustrations, list of tables, list of abbreviations, glossary, editorial method, abstract, introduction, parts, chapters, appendix, notes, bibliography, or reference list), capitalize all letters (e.g., PREFACE). In subheadings, use headline style (see 4.6–8), that is, capitalize the initial letter of the first and last words and of all words except articles, prepositions, and coordinate conjunctions (sample 14.26); or use sentence style (see 4.9), that is, capitalize only the initial letter of the first subheading under the chapter and of proper nouns and proper adjectives (see sample 14.27).

1.16   Numbers designating parts and chapters should be given as they are in the text. Part numbers may be uppercase roman numerals (PART I, PART II, etc.) or spelled-out numbers (PART ONE, PART TWO, etc.). The generic heading may precede the part title and be separated from it by a period (sample 14.26), or it may be centered above the title and thus need no punctuation (sample 14.27). Chapter numbers may be arabic or uppercase roman numerals, or spelled-out numbers. The word "Chapter" may precede or be placed over the chapter number (samples 14.26–27). Do not use the word "Chapter" in the contents if the sections of the paper are not so designated.

1.17   Page numbers in a table of contents are always justified right following a line of periods one space apart (period leaders) separating the title from the page number on which the part of the paper begins (see sample 14.27). Note that only the *beginning* page number of each chapter or other section is given. Page numbers for parts may be omitted if they are all identical with the beginning page number of the first chapter under each part. Note that if the page number is given for one part, it must be given for all of them. Page numbers for subheadings may also be omitted (see sample 14.26). When they are included with run-in subheadings, page numbers are best placed within parentheses immediately following the subheadings.

LIST OF ILLUSTRATIONS

1.18   In a list of illustrations, sometimes headed simply ILLUSTRATIONS, the figure numbers are given in arabic numerals followed by a period; the captions start two spaces after the period;

and the page numbers (in arabic) are separated from the caption by period leaders. Double-space between captions, single-space within.

1.19 The figure numbers in the list are aligned by their periods under the word "Figure," and page numbers are listed flush right under the word "Page," as in sample 14.28.

1.20 Figures must not be numbered "1a," "1b," etc. A figure may, however, have lettered parts to which its legend, or descriptive statement, may refer:

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Fig. 1. Digitalis. (a) cross-section of stem, (b)
enlargement of a seed.
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Do not, however, refer to the lettered parts in the list of illustrations.

1.21 The captions in the list of illustrations should agree with those given beneath illustrations, unless the latter are long (more properly, then, called *legends*), in which case it is best to give them in shortened form in the list. For a thesis or dissertation, however, consult the dissertation office. Even if a descriptive or explanatory statement follows the caption under an illustration, do not include such a statement in the list of illustrations (see sample 14.28).

1.22 In this list, captions are capitalized headline style, as in sample 14.28.

LIST OF TABLES

1.23 In a list of tables, the table numbers (in arabic, followed by a period) are placed in a column flush left under the heading "Table," and the page numbers are listed flush right under the heading "Page." The table titles should begin two spaces after the period following the table number and should agree exactly with the wording of the titles as they appear above the tables themselves. The titles are capitalized in either sentence or headline style (see 6.27–28), as in sample 14.31, and runover lines are indented three spaces. Double-space between items, single-space within.

LIST OF ABBREVIATIONS

1.24 A list of abbreviations is desirable only if the writer has devised abbreviations instead of using those that are commonly accepted,

such as standard abbreviations of titles of professional journals within a given field. A list of abbreviations should be arranged alphabetically by the abbreviation itself, not the spelled-out term. Under the centered generic heading in uppercase, list abbreviations on the left in alphabetical order and leave two to four spaces between the longest abbreviation and its spelled-out term. Align the first letter of all other spelled-out terms and any runover lines with the first letter of the spelled-out term following the *longest* abbreviation, and use the longest line in the column to center the list on the page(s). Double-space between items, single-space within, as in sample 14.39. A list of abbreviations should help the reader who wishes to read only a portion of the whole paper instead of reading it from beginning to end. Even when a paper includes a list of abbreviations, the spelled-out version of a term should be given the first time the term appears within the paper, and it should be followed by the abbreviation in parentheses.

GLOSSARY

1.25   A paper that contains many foreign words or technical terms and phrases not likely to be familiar to the reader should include a list of these words, followed by their translations or definitions. The words should be arranged alphabetically. Each word should be typed flush left and followed by a period, a dash, or a colon. The translation or definition follows, with its first word capitalized and with a terminal period, unless all definitions consist only of words or phrases, in which case no final punctuation should be used. If a definition extends to more than one line, the runover lines should be indented five spaces from the left margin. Double-space between items, single-space within, as in sample 14.40.

1.26   If there is more than one glossary, each should start on a new page.

1.27   A glossary placed in the reference matter rather than in the front matter may precede an appendix, if any, and the bibliography or reference list.

EDITORIAL METHOD

1.28   Following the same format as do the acknowledgments and preface (see 1.8), a section devoted to editorial method may be in-

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cluded in the preliminaries to explain the writer's editorial practice or to discuss variant texts, particularly if the paper is a scholarly edition. In practice, however, this discussion is usually a part of the introduction. Short, uncomplicated remarks about editorial method—such as a note that capitalization and punctuation have been modernized—may be included in the preface or placed in a note after the first quotation drawn from the edited work.

ABSTRACT

1.29 An abstract, which may or may not be required, briefly summarizes the thesis and contents of the paper. Like the title of the paper, it may be used by information services to create lists of papers, organized by subject matter. Since each department or discipline has its own requirements, the thesis adviser or dissertation secretary should be consulted regarding the content, style, and format of the abstract.

DEDICATION

1.30 Dedications are usually brief and need not include the word *dedicated*. *To* is sufficient:

To Gerald

It is not necessary to identify (or even give the whole name of) the person to whom the work is dedicated or to give such other information as life dates, though both are permissible. Extravagant dedications are things of the past, and humorous dedications rarely stand the test of time. The dedication, typed in uppercase and lowercase, should be centered on the width of a line three inches from the top of the page. There should be no final punctuation. If *To* is used to introduce the dedication, it should begin with a capital. A dedication is not listed in the table of contents. No number appears on its page, and the page is not counted in the pagination of the preliminaries.

EPIGRAPH

1.31 An epigraph, a pertinent quotation, is not underlined, and it does not appear in quotation marks. When an epigraph heads a whole paper, its format is like that of a dedication (see 1.30). For treatment of epigraphs at the beginning of chapters or sections of a

paper, see 5.9. The name of the author of the epigraph (sometimes only the last name of a well-known author) appears below the epigraph, flush right in uppercase and lowercase roman, often followed by the title of the work cited, underlined or enclosed in quotation marks in accordance with the guidelines set forth in chapter 4. The location of a quotation should not appear, and an epigraph should not be footnoted. Epigraphs are usually self-explanatory. The explanation of an epigraph, if needed, should be included in the preface or other introductory matter. An epigraph is not listed in the table of contents. No number appears on its page, and the page is not counted in the pagination of the preliminaries.

THE TEXT

1.32 The main body of the paper is usually separated into well-defined divisions, such as parts, chapters, sections, and subsections. The text may also include parenthetical references, footnotes, or superscript numbers keyed to a reference list or list of endnotes.

INTRODUCTION

1.33 The text usually begins with an introduction, which may be called chapter 1. If it is short, the writer may prefer to head it simply INTRODUCTION and reserve the more formal generic heading CHAPTER for the longer sections of which the main body of the paper is composed. Whether it is called chapter 1 or not, the introduction is equivalent to the first chapter and not part of the preliminaries. Thus the first page of the introduction is page 1 (arabic numeral) of the paper.

PART

1.34 A part-title page is a page containing only the generic heading and title of a part. Part-title pages (sometimes referred to as half-title pages) are required if the chapters are grouped under "parts," the part-title page being placed immediately before the first chapter of the group composing the part. Since the introduction is to the *entire* paper, whether the introduction is titled CHAPTER 1 or not, it is not included in PART I. The first part-title page therefore follows rather than precedes the introduction.

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CHAPTER

1.35   The main body of the paper is divided into chapters. Each chap-
ter begins on a new page. Each chapter has a generic heading
and a title, both centered in uppercase above the text. In a short
paper, some writers prefer to omit the word CHAPTER and to
use merely numerals—roman or arabic—in sequence before the
headings of the several main divisions. The generic heading of
a chapter consists of the word CHAPTER followed by a number.
The number may either be spelled out, in capital letters, or given
in the form of a numeral (arabic or uppercase roman). The entire
heading should be centered. The form in which the chapter num-
ber is expressed should be different from the form in which the
part number is expressed (e.g., PART TWO, CHAPTER I). The
title, which describes the content of the chapter, is centered in
uppercase below the generic heading (see samples 14.41, 14.43,
and 14.51).

SECTION AND SUBSECTION

1.36   In some papers the chapters or their equivalents are divided into
sections, which may in turn be divided into subsections, and
these into subsubsections, and so on. Such divisions are custom-
arily given titles, called *subheadings,* which are differentiated
and designated respectively *first-, second-,* and *third-level* sub-
headings. The principal, or first-level, subdivision should have
greater attention value than the lower (second, third, etc.) levels.
Centered headings have greater attention value than side head-
ings, and underlined or boldface headings, centered or side,
have greater attention value than those not underlined or in bold-
face. (Throughout this manual, *underlined* may also be taken to
mean *italicized* for those using typewriters and computer systems
that can perform this function. In subheadings, however, under-
lining may be preferable to italicization, even though italiciza-
tion may be used consistently—for book titles, for example—
throughout the text, notes, and bibliography or reference list.)
Each subhead should have two blank lines above if it follows
text (see sample 14.42) or three blank lines above if it follows a
table or a figure (see sample 14.38). A blank line should go
beneath each subhead that is not run in. A plan for the display
of five levels of subheadings in a typed paper follows:

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