

**THESIS AND
DISSERTATION
GUIDELINES**
2011-2012



**Graduate Education Office
Uniformed Services University
School of Medicine**

TABLE OF CONTENTS

	Page
Introduction.....	5
Guidelines for the Standard/Classic Dissertation Format.....	6
Style.....	7
Format.....	7
General.....	7
Preliminary Material.....	8
Body of Text and Appendices.....	8
Paper.....	8
Type Styles.....	8
Margins, Indentations, and Spacing.....	8
Tables and Figures.....	8
Pagination.....	8
Figure Legends.....	9
Guidelines for the Alternate Dissertation Format.....	9
Sample Heading of Abstract	
Sample Title Page of Abstract	
Appendix A	
Appendix B	

REQUIREMENTS FOR THESES AND DISSERTATIONS

INTRODUCTION

Upon completion of all academic degree requirements, a USU graduate student begins the final steps that lead to the awarding of a graduate degree. These steps represent the culmination of the graduate student's research at USU and a formal recognition by the University that the graduate student is qualified to receive a USU degree. **This process is initiated when a graduate student's major advisor and Advisory Committee have agreed that the student has completed all the requirements for graduation.** The **first step** is the submission of a memorandum (Appendix A) from the major advisor, through the Program Director, to the Associate Dean for Graduate Education (ADGE) that states that the graduate student has met all the requirements and that a formal defense of the dissertation should be scheduled. This memorandum must be submitted to the ADGE **one month prior** to the anticipated formal dissertation defense. This memorandum **must** also contain a recommendation for the Chairperson of the Final Defense Examination Committee, the names of the members of the graduate student's Thesis Committee, and the **exact** wording and punctuation of the title of the graduate student's dissertation or thesis. **Upon receipt of this formal memorandum**, the GEO will schedule a conference room for the private Final Defense Examination and a lecture room for the Public Defense Seminar. Seminar notices will be posted throughout the University and email announcements will be sent to the local academic community at the appropriate time.

At least **two weeks** before the private dissertation defense, the student must submit his/her dissertation electronically (Microsoft Word) to GEO for an originality check utilizing the "Turnitin" Anti-Plagiarism Software program. The ADGE will review the Turnitin Originality Report and ensure the student's dissertation does not include "theft or misappropriation of intellectual property or any substantial unattributed textual copying of another's work...Substantial unattributed textual copying means the unattributed verbatim or nearly verbatim copying of sentences and paragraphs which materially mislead the ordinary reader regarding the contributions of the author." (ORI Newsletter, December, 1994, 3(1), 6-7, see: http://ori.dhhs.gov/documents/newsletters/vol3_no1.pdf)

Assuming that the results of the Turnitin Originality Report are satisfactory, the Final Defense Examination may occur as scheduled (see above). A successful Final Defense Examination is indicated by the signatures of the Examining Committee on the "Final Examination Sheet" supplied by GEO to the Chairperson of the Examining Committee. Upon conclusion of the Examination, the Committee Chair submits the signed sheet indicating Pass or Fail to the ADGE through the Program Director. The Committee Chair will also submit the "Dissertation Approval Sheet" indicating acceptance of the dissertation, after necessary revisions are made by the student.

Graduating Students who wish to graduate **before** May must submit their completed Graduation Credential Packet to GEO **no later than** the dates specified on the Deadline Time Table attached as Appendix B. These dates coincide with the quarterly meetings of the Board of Regents and are set to permit adequate time for processing of the students' credential packet by GEO. This Credential Packet is available (for the most part) through the GEO and includes the following:

1. Copyright Statement
2. Graduate Program Alumni Survey

3. Doctoral Dissertation Agreement Form
4. USU Form 3210 (**only if** the student received USU funding during his/her doctoral studies)
5. Graduation Form Part I
6. Graduation Form Part II (GEO emails this form before the graduation ceremony in May)
7. Checkout Form
8. Thesis Binding Ticket
9. SED Survey of Earned Doctorates
10. Abbreviated CV (no more than 2 pages)
11. Copies of the Dissertation On CD (2)
12. Hard Copy of the Dissertation (1 for LRC, and 2 for binding)

GEO will pay for binding of two paper copies of the student's dissertation (one for the student and one for the student's major advisor). The third paper copy is sent to the LRC for their records, as well as one electronic copy, which will be made available online as part of the LRC's Dissertation Collection (<http://www.lrc.usuhs.mil>). The other electronic copy is kept in the student's file in GEO.

If graduates wish to have personal bound copies of their dissertation, they may purchase copies directly from the bindery (updated contact information for the bindery is available at GEO).

STANDARD/CLASSIC GUIDELINES FOR A THESIS/DISSERTATION PREPARATION

All doctoral candidates must submit a dissertation based on an investigation in their area of concentration. This dissertation must be based on original research, be worthy of publication, and be acceptable to their Dissertation Defense Committee.

A traditional doctoral thesis at USU contains a statement of the problem, specific aims of the project, a literature review, data and research methods, analyses and results, and a discussion of the results and their implications. The final format of the thesis usually reflects the specific academic discipline or tenor of the student's program.

The thesis format will be selected after the student passes the Program Qualifying Examination. The decision should be made jointly by the student and the student's Thesis Committee.

Graduate students are urged to carefully review the material presented in the following Guidelines. Physical requirements and format are University-wide regulations established by the Graduate Education Committee and are not alterable at the option of individual Programs or graduate faculty members.

STYLE

Each Program may issue guidelines on style for use by its graduate students. Unless a Program specifies otherwise, GEO recommends three manuals which can be found in the LRC:

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

Kate L. Turabian, 7th edition

University of Chicago Press, 1996

Form and Style: Theses, Reports, Term Papers

Will G. Campbell, 7th edition

Houghton-Mifflin, 1986

The Chicago Manual of Style

15th edition. University of Chicago Press, 2003

FORMAT

A. General:

The pages of the dissertation must be arranged in the following sequence:

- Blank Page
- Dissertation Approval Sheet (i) (provided to your Examination Committee by GEO)
- Copyright Statement (ii)
- Abstract (iii)
- Title Page (iv)
- Preface or Foreword (if any) (v)
- Dedication (if any)
- Table of Contents
- List of Tables (if any)
- List of other types of materials (photos, figures, etc.)
- Body of Text (paginate using Arabic numerals beginning with 1)
- Appendices (if any)
- Bibliography
- Index (if any)
- Blank Page

B. Preliminary Material:

1. **Title page:** Theses or dissertations will be valuable sources for other scholars only if they can be located easily. Modern retrieval systems use the words in the title and sometimes a few other descriptive key words to locate research reports. At the time of submission of the document to University Microfilms, additional key words may be added. It is essential that the title be a meaningful description of the content of the thesis or dissertation. Oblique references, word substitutes for formulae, symbols, superscripts, subscripts, Greek letters, etc., should be avoided.
2. **Abstract:** The Abstract should contain, briefly: (a) a statement of the problem; (b) the procedure or methods used; (c) the results; (d) the conclusions. The Master's Thesis Abstract should be double spaced and must not exceed 150 words. The Doctoral Dissertation Abstract should be double spaced and must not exceed 350 words. University Microfilms, which publishes all doctoral abstracts in Dissertation Abstracts International, will request revision of any abstract longer than 350 words.

C. Body of Text and Appendices: The arrangements of the text should follow the style manual chosen.

D. Paper: Any good quality bond paper is acceptable, size 8 ½ x 11.

E. Styles: Black print is required. Use the same font throughout.

F. Margins, Indentations, and Spacing:

Left margin:	1 1/2 inches
Right margin:	1 inch
Top:	1 inch
Bottom:	1 inch
Body:	Double spaced, printed on one side only
Paragraph:	The first line of each paragraph is to be indented 8 spaces.

G. Tables and Figures:

All tables and figures must be presented within the margins stipulated above.

H. Pagination:

No punctuation of any kind should be used with the page numbering. Preliminary sections are numbered in the center of each page, 5/8 inch from the bottom, in small Roman numerals. The text and references are numbered continuously in a separate sequence of Arabic numerals.

The first page of any chapter or main division is numbered in the center of the page, 5/8 inch from the bottom; succeeding pages of that chapter or division are numbered in the upper right hand corner, ½ inch from the top and ½ inch from the right edge of the sheet, except for facing caption pages, which are numbered in the upper left hand corner, ½ inch from the top and ½ inch from the left edge.

All pages in the thesis or dissertation, apart from the exceptions noted on page 2, must be numbered, including figures, tables, photographs, illustrations, *etc.*, and the caption pages facing such material. Letter suffixes such as 10a, b, c, *etc.*, are not acceptable. If it is necessary to make additions to the completed thesis or dissertation, they may be added as an addendum at the end of the document.

I. Figure Legends:

Legend on same page as picture or illustration: The text should be single-spaced, at the bottom or along the right-hand margin; care should be taken that the legend is not upside down when the text is in its normal reading position. If the space is insufficient to include the legend on same page, it should appear on a page facing the figure. The text should be centered on the page, double-spaced, with the page number in the upper left-hand corner.

GUIDES FOR ALTERNATE DISSERTATION FORMAT

An alternative to the traditional (standard/classic) dissertation is a manuscript-based thesis, which may differ little from the standard/ classic format. The standards of quality, the content, and much of the format would remain the same. In particular, the extensive, unifying introduction, background, and discussion sections, in which the student puts the work in perspective, would remain largely unchanged. Major changes in format are the Materials and Methods section and the Results section which will appear in the form of acceptable peer-reviewed publications. These publications will take the place of the standard/ classic format chapters. The thesis will still have to form a unified whole and will still have to be primarily the original work of the student.

The choice of a dissertation format will be selected after the student passes the Program Qualifying Examination. The decision should be made jointly by the student and the student's Thesis Committee. Since the manuscript-based dissertation is only an alternative format, and in no way represents any change in either content or quality, the student and the Thesis Committee should be able to opt for either format at any time before the dissertation is submitted to GEO for review by the Turnitin program.

The manuscript-based thesis includes the following sections:

1. An introductory chapter providing a comprehensive critical literature review.
2. The body of the thesis consisting of a series of two or more manuscripts linked by the common theme of the dissertation topic. These manuscripts will comply with the format and guidelines of the journals to which the manuscripts have been submitted. **Manuscripts must be submitted** for publication in order to qualify for the Alternate Thesis format. Copies of the manuscripts will be provided to the Thesis Committee concurrently with the thesis.
3. A chapter that integrates and discusses the findings reported in the manuscripts. This chapter will include a discussion of the findings, the implications of the research, and recommendations for future studies.

4. If more detail is required for the dissertation than is provided in the manuscripts, an appendix that provides detailed study methods and provides relevant data tables to allow the reader to fully understand the research project should be provided.

The manuscript-based thesis must meet the following criteria:

1. Graduate students will be first authors on the two manuscripts submitted for this dissertation format. However, at the discretion of the student's Thesis Committee, non-first author papers may be included. In all cases, the majority of the work, taken as a whole, must be completed by the student, and the student's contribution to each article must be clearly identified.
2. Thesis Committee members may be co-authors on any of the manuscripts submitted as part of the student's thesis. Authorship will be determined by standard guidelines published by the relevant journals.
3. The dissertation must meet all other Program and USU criteria.

Like the traditional doctoral dissertations, the manuscript-based dissertation will be judged as Acceptable, Acceptable with Revisions, or Unacceptable. The major advisor and the dissertation committee will provide guidance to the student who must rework the dissertation until all components are acceptable.

If the manuscript-dissertation option is selected, co-authors should be determined early in the thesis process to avoid any conflicts of interest. If the major advisor is a co-author on any manuscripts, a traditional advising role must be maintained to ensure that the manuscripts fulfill the dissertation requirements, with publication being a secondary goal. Neither the advisor nor any other co-author who is a member of the student's Thesis Committee may compose any portion of the first dissertation of the thesis or any of its component manuscripts for which the student is the first author.

(Sample heading of thesis/dissertation abstract)

ABSTRACT

Title of Thesis/Dissertation:

Name, degree, year

Thesis directed by: (Give name of supervising professor,
academic title, and name of department
or program)

(Body of abstract)

(Double-spaced)

(Sample Title Page of Thesis/Dissertation)

CENTRAL NERVOUS SYSTEM
CONTROL OF THE
CARDIOVASCULAR SYSTEM

by
Mary Jane Doe

Thesis/dissertation submitted to the Faculty of the
Neuroscience Graduate Program
Uniformed Services University of the Health Sciences
in partial fulfillment of the requirements for the degree of
Master of Science 1998 or
Doctor of Philosophy 1998



June 16, 2011

MEMORANDUM FOR ASSOCIATE DEAN OF GRADUATE EDUCATION

SUBJECT: Doctor of Philosophy Defense

1. **Student Name**, a Program Name student, has submitted his/her Dissertation to his/her Committee Members and is ready to defend. Therefore, I would like to schedule his/her Doctoral Defense.

2. Committee members:

Name, Title, Department of Department Name
(Committee Chair)

Name, Title, Department of Department Name
(Dissertation Advisor)

Name, Title, Department of Department Name

Name, Title, Outside Location (*outside member - where, i.e., NIH, FDA. If not at USU, provide email address*)

3. Date and time of Private Defense:

Day, Date at Time in Room Room Number (*if room reserved by student*)

4. Date and time of Public Defense:

Day, Date at Time in Room Room Number (*if room reserved by student*)

5. Title of Dissertation: "Title"

Printed Name and Signature
Program Director

Deadline Time Table for the Board of Regents Meetings

CREDENTIAL PACKET DUE TO GEO	CREDENTIAL PACKET SENT TO BOR EXECUTIVE ADMINISTRATOR	BOR MEETING
June 16, 2010	June 28, 2010	August 2, 2010
September 27, 2010	October 4, 2010	November 1, 2010
January 3, 2011	January 10, 2011	January 31, 2011
April 15, 2011	April 22, 2011	May 20, 2011

