

**THESIS AND
DISSERTATION
GUIDELINES**
2013-2014



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

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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) by 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 **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 the 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 on the Deadline Time Table attached as Appendix B. The dates indicate when the packets are due to GEO in order to get Board of Regents approval for your degree at the quarterly meetings. 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 submit copies directly to the bindery (updated contact information for the bindery is available at GEO).

GUIDELINES FOR A STANDARD THESIS/DISSERTATION

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 findings 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

Follow the format instructions provided here and in the format template. A Word template may be downloaded from <http://www.lrc.usuhs.mil/lrcguides/?q=node/40>. This template contains all of the necessary formatting and pages required by GEO.

FORMAT

A. General:

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

- Title Page (first page, but not numbered)
- Dissertation Approval Sheet (provided to your Examination Committee by GEO)
- Acknowledgments (if any, page iii)
- Dedication (if any, continue numbering in roman numerals to Chapter 1)
- Copyright Statement
- Abstract
- Table of Contents
- List of Tables
- List of Figures
- List of Abbreviations (optional)
- Body of Text (paginate using Arabic numerals beginning with 1)
- Appendices (if any)
- References

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. It is essential that the title be a meaningful description of the content of the thesis or dissertation. Oblique references, symbols, superscripts, subscripts, Greek letters, etc., should not be used.
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.

C. Body of Text and Appendices:

The text arrangement should follow the Word template. Chapter subheadings are up to the discretion of the student and committee.

D. Typing Paper:

Any high quality bond paper is acceptable, size 8 ½ x 11.

E. Type Styles:

Black print is required. Use a standard serif typeface throughout, such as Times or Times New Roman.

F. Margins, Indentations, and Spacing:

Left margin:	1 ½ 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 ½ inch.

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 parts are numbered in the center of each page, 5/8 (0.63) inches from the bottom, in small Roman numerals beginning with the Acknowledgements on page iii. The title page and the dissertation approval sheet (provided to your Examination Committee by GEO) do not have page numbers, but are counted as page i and ii respectively.

The pages of any chapter or main division are numbered in the center of the page, 5/8 inches from the bottom. The text and reference material are numbered in Arabic numerals and begin at 1 for the first page of the main body of text. All chapters and succeeding pages (including references and appendices) must be continuously numbered without restarting.

All pages in the thesis or dissertation, including figures, tables, photographs, illustrations, and the caption pages facing such material must be numbered. Letter suffixes such as, 10a, b, c, etc., are not acceptable. If it is necessary to make additions to the completed manuscript, these additions may be put in the form of an addendum at the end of the thesis or dissertation.

No headers are allowed on any page.

I. Figure Legends:

Place the legend on same page as the picture or illustration whenever possible. The text should be single-spaced, below the figure or to the right of the figure in landscape orientation. Ensure that the legend is not upside down when the text is in its normal reading position. If the space below a figure is insufficient to include the legend on same page, the text should appear on a page facing the figure. This caption should be centered on the page and double-spaced.

J. References:

All theses and dissertations are required to follow the reference style guidelines of the journal Annual Review of Genetics. The references in this style are numbered in alphabetical order. Guidelines are available at: <http://www.annualreviews.org/page/authors/author-instructions/preparing/handbooks>

This reference style is built into EndNote, and the citations can be directly inserted into Word from Endnote. Endnote is a reference management application available for free to all students, and is recommended to format citations. Classes on EndNote are offered in the LRC.

OTHER SOURCES

For other stylistic issues, such as grammar and punctuation, consult:

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

Kate L. Turabian, 7th edition

University of Chicago Press, 2007: Z 253 T929m 2007

This guide can be found in the Learning Resource Center (LRC), and has been updated to include advice on research and writing. Another style guide available in the LRC is:

Form and Style: research papers, reports, theses

13th edition Houghton-Mifflin, 2007:

Z 253 C192f 2007

Two additional sources for information on writing a thesis or dissertation are:

1. *Writing the doctoral dissertation: a systematic approach*

Gordon B. Davis, 2012: Z 253 D261w 2012

2. *How to Write a Successful Science Thesis*

William E. Russey, 2006: Z 253 R86h 2006

GUIDES FOR ALTERNATE DISSERTATION FORMAT

An alternative to the traditional (standard/classic) dissertation is a manuscript-based thesis, which may differ little from the current USU standard. The standards of quality, content, and much of the format 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. Instead of separate Materials and Methods and Results chapters, the middle chapters will be the manuscripts of submitted, peer-reviewed publications. These publications will take the place of the currently authorized chapters. The dissertation will still need to form a unified whole, and must be primarily the original work of the student.

The format of the dissertation may be selected after the student passes the Program Qualifying Examination. The manuscript-based dissertation is an alternative format, and in no way represents any change in either content or quality. Therefore, the student and the Thesis Committee should be able to opt for either format at any time before the defense. The student and the student's committee should make the decision on format jointly.

The manuscript-based thesis follows the same layout sequence as a traditional thesis, but includes the following sections in the body of the text:

1. An introductory chapter providing a comprehensive critical literature review.
2. A series of two or more manuscripts linked by the common theme of the dissertation topic. These chapters in the dissertation are formatted following the standard dissertation guidelines presented here and in the Word template. 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 and implications of the research, and recommendations for future studies.
4. If more detail is required for the thesis than is provided in the manuscripts, an appendix that provides detailed study methods and relevant data tables. This additional material should allow the reader to fully understand the research project. The manuscript itself should not be included in the dissertation except as a chapter.

The manuscript-based thesis must meet the following criteria:

1. Graduate students must be first authors on the two manuscripts submitted for the dissertation. However, at the discretion of the student's advisory committee, non-first author papers may be included. In all cases, the student must do the majority of the work, taken as a whole, 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 thesis must meet all other Program and USU criteria.

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

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

Appendix A



UNIFORMED SERVICES UNIVERSITY, SCHOOL OF MEDICINE GRADUATE PROGRAMS
Graduate Education Office (A 1045), 4301 Jones Bridge Road, Bethesda, MD 20814



July 19, 2012

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

Appendix B

Deadline Time Table for the Board of Regents Meetings

CREDENTIAL PACKET DUE TO GEO	BOR MEETING
September 12, 2013	October 24, 2013
December 24, 2013	February 4, 2014
April 4, 2014	May 16, 2014
June 24, 2014	August 5, 2014
September 23, 2014	November 4, 2014
December 23, 2014	February 3, 2015
April 3, 2015	May 15, 2015