PUBLICATION GUIDE FOR GRADUATE STUDENTS

UTAH STATE UNIVERSITY

Updated Fall 2020
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Introduction

This publication guide is designed to assist you in the preparation of theses and dissertations. The purpose of the guide is to achieve a consistent look and feel to all documents representing Utah State University (USU).

The first decision that impacts the format and style of a thesis or dissertation is whether the document will be written in the monograph or multi-paper format.

- Monograph format: This, the traditional format, consists of a multi-section document that uses the same style throughout. A single chapter is not acceptable for a thesis or dissertation.

- Multiple-paper format: A thesis or dissertation using this format consists of at least two chapters, typically written as independent papers, preceded by an introductory chapter that sets the context for the research and is followed by a summary and conclusions chapter that integrates all of the studies.

The style defines the way that text is presented on the page (e.g., fonts, font sizes, margins, indents, line spacing, page numbering). For a document in the monograph format, the style should be consistent throughout the document. For a document in the multiple-paper format, the style may differ for chapters that are targeted for publication in different journals; however, the style selected for each individual chapter should be consistent within that chapter.

The *USU Publication Guide* will guide the style of the front matter and some back matter for all theses or dissertations. The style in which the body and references of a thesis/dissertation are written is dependent upon your departmental guidelines. The terms journal style or manual style refer only to the style guide you follow for citations, a reference list, headings/subheadings, table titles, figure captions, mathematical symbols, and other stylistic elements not specified by the *USU Publication Guide*. 
A journal style or a conventional style manual may be used as a guide for either a multiple-paper or a monograph format.

The *USU Publication Guide* and department-approved style manuals are the final authority for format and style. Do not use previously approved theses or dissertations as models. Handling of special problems/materials not covered by this guide or by the departmental style manual should be discussed with and approved by Erika Beckstrand, the thesis and dissertation reviewer in the School of Graduate Studies.

**Front Matter**

The front matter consists of the title page, copyright notice, abstract, public abstract, table of contents, list of tables, and list of figures, and may also include a dedication, frontispiece, acknowledgments, preface or forward, and list of symbols, notations, and definitions. These pages must comply with the *USU Publication Guide*, whether the document is in the monograph or multiple-paper format.

**Multiple-Paper Format**

A multiple-paper thesis/dissertation must contain reports (a minimum of two) of research that have conceptual coherence. The thesis/dissertation must have (a) an inclusive abstract, (b) an introductory chapter that sets the context for the thematic research, and (c) a summary and conclusions chapter that integrates all of the studies.

The content of a thesis/dissertation must be approved by your supervisory committee. Publications or manuscripts of which you are a coauthor may be included if the committee determines that you made a *substantial* intellectual contribution to the work. Permission to include a publication or manuscript in a thesis/dissertation does not depend on the order of
authorship. Any included publication or manuscript must be a logical component of the overarching theme or themes addressed by the entire thesis/dissertation, which, as a whole, must represent your individual and original effort. You are responsible for investigating the requirements for permission and/or attribution of the copyright holder and obtaining permission as necessary. If any questions of authorship arise, please seek out help from the Copyright Librarian at the Merrill-Cazier library.

When preparing a thesis or dissertation composed of multiple papers, you have the following options:

1. Include a separate abstract or summary for each paper (chapter), in addition to the always-required general thesis abstract
2. Include separate reference lists for each paper (chapter) rather than a single reference list for the entire thesis/dissertation

When you prepare a multiple-paper thesis or dissertation, reference citations in text and reference lists for each paper (chapter) are prepared according to the journal style for that paper (chapter). A style manual for the journal, a copy of the journal being used, or an off-print of an article from the journal (the article must include examples of all pertinent style components) must be submitted with the thesis/dissertation. If the paper (chapter) has been published, it may be necessary to request permission to reuse the paper from the journal holding the copyright. In some cases, you will receive a signed permission letter or license which must be included in an appendix.

**Back Matter**

The back matter consists of all sections after the body (the references, the appendices, and the vita). The format and style of your references is dependent upon your departmental
guidelines. The format and style of the appendices and vita should follow the *USU Publication Guide*

**Style and Format Requirements**

**Departmental Requirements**

Those style and format components that must conform to the style manual or journal style approved by your committee and/or department include the following:

1. Reference citations in text
2. Reference list
3. Table titles and captions
4. Figure captions
5. Format of headings/subheadings (e.g., centered, left side, title case, etc.)
6. The use of numbers, metrics, symbols, and the positioning and enumeration of equations

Tip: If you are using Microsoft Word, consider creating a custom *Style* that will allow you to quickly and consistently format the headings in the body of your document. Using the heading styles in Word also allows you to use the *Navigation Pane* to move easily around your document and to create an automatic table of contents (see the Contents section). Make sure that if you choose to do this it is compliant with the USU Publication Guide.

**School of Graduate Studies Requirements**

These requirements are universal for all theses and dissertations and overrule your citation style guide for library compliance. The final approval copy of the thesis or dissertation must use a 10-, 11-, or 12-point font or equivalent size (10 cpi) typeface; script or oversize fonts are not acceptable. The same size and typeface must be used throughout the major sections of the paper but may differ in some cases in appendices or in tables and figures. Italics or other unusual styles
of type may be used only for special purposes. Any hand-drawn components must be in black ink.

**Margins**

Exact margins must be maintained for hard-binding processes. The binding process can result in as much as ½ inch being trimmed from the top, right, and bottom edges of pages. A ragged right margin is *strongly recommended*.

- Left margin: 1 ½ inches
- Right, top, and bottom margins: 1 inch (page number is set at .75 inch from top of page—text begins on next available line)

**Spacing**

Double space the body of the paper. Single space and offset (indent on both sides) direct quotes of more than three lines and footnotes. The first line of a block quotation will not be indented.

- Triple space (two blank lines) *before* and *after* all centered headings and *before* all left margin subheadings.
- Double space (one blank line) *after* margin subheadings and *before* paragraph subheadings.

*A minimum* of a triple space must precede and follow all figures, tables, and illustrations included on a page of body. The obvious exception is for a figure or table that appears as the first or last item on a page, in which case the page margin serves as the appropriate white space at the top or bottom. The key is consistency. Leave the same amount of white space on the top and bottom of all figures, tables, and illustrations.
Tip: An extra line of white space can be added by adjusting the paragraph spacing before or after the heading. To calculate how much paragraph spacing equals a blank line, multiply the font point size by 120 percent. For instance, if your font is 12 pt., add 14.4 pt. paragraph spacing above to add an additional blank line (triple space) above a center heading. Paragraph spacing can be adjusted on the Layout tab in Word or by opening the Paragraph dialog box.

Pagination

Page numbers should be positioned in the upper right corner of the page (portrait mode), .75 inches down from the top of the page and 1 inch from the right edge of the page. Numbers appear with no periods, parentheses, hyphens, or the word “Page.” Page numbers must be the same size and typeface as the body of the text. Use lower case Roman numerals for the preliminary pages (front matter), with the title page being page “i” but not numbered as such. All other preliminary pages are numbered consecutively and carry numerals. The first page of the body (following the preliminary pages, numbers 1-12 below) is Arabic “1”, but this number should not be printed on the page. All other pages are numbered consecutively through the appendices.

Divisions

Divisions of the paper are arranged in the following order:

1. Title page
2. Copyright notice
3. Abstract
4. Public abstract
5. Dedication (optional)
6. Frontispiece (optional)
7. Acknowledgments (optional unless research is funded by a grant)
8. Preface or foreword (optional)
9. Contents
10. List of tables
11. List of figures
12. List of symbols, notation, definitions, etc. (optional)
13. Body of paper
14. References
15. Appendices
16. Vita (required only with dissertations)

Numbers 1 through 12 above are referred to as the preliminary pages or front matter. Samples of these pages are in the appendices.

**Title page.** Type the title of the paper all in capital letters, double spaced, in inverted pyramid form. Use words instead of symbols whenever possible, and do not use abbreviations.

Use capitalization and spacing as shown in the sample. Do not use boldface type. A specialization may be indicated in parentheses below the department/degree line. Type the name of the major professor, each committee member, the Vice Provost for Graduate Studies below the signature line for each name, respectively. (If you have an odd number of signatories, center the odd-numbered one.) The date indicates the year in which the paper is submitted to the School of Graduate Studies and may differ from the date of the defense. Regarding post-nominal letters after a professor’s name (ex. M.S., Ph.D., etc.), the committee/department will decide whether or not they are required on the title page. However, including the post-nominal letters after the Vice Provost’s signature is always required. The use of “Dr.” before a name is not allowed.
Copyright notice. The School of Graduate Studies will require a copyright page as the first page in any submitted document for clearance, unless one of the limitations noted below applies (see “Rights”).

Rights. When accepted in partial fulfillment of the degree requirements, the completed manuscript becomes the property of the USU, subject to the following limitations:

- Publication rights are reserved to the author, except when the research was sponsored and paid for by the federal government (in which case the thesis/dissertation becomes part of the public domain) or rights are subject to the provisions of research contracts, patent rights, or other agreements made by the author with USU.

- No thesis/dissertation subject may be approved that will prevent the completed manuscript from being made available for public use by the time the degree is granted.

- All copies of the completed thesis/dissertation submitted to the Merrill-Cazier Library (Library) are for public use.

Copyrights. The sources of copyright law include the U.S. Constitution, Article I, Section 8, Clause 8; the 1909 Copyright Act; the 1976 Copyright Act; the Beane Convention Implementation Act of 1988; Copyright Office rules; and court cases interpreting all of the above. Copyright protection comes into existence when a copyrightable work is fixed in a tangible medium of expression (i.e., published or fixed in print form). Formal inclusion of notice of a copyright is not legally required as a condition of copyright creation. Nevertheless, notice is recommended because that alerts third parties of the copyright claim and serves to limit the “innocent infringement” defense. Though not required as a condition of copyright creation, registration of a copyright through the U.S. Copyright Office is available. Registration of a
copyright is a prerequisite to filing an infringement action, and the certificate of registration constitutes prima facie evidence of the validity of the copyright. Once obtained, a copyright is valid for 50 years beyond the life of the author.

Copyright registration is available via the Copyright.gov Registration Portal.

Abstract. An abstract is required with all theses and dissertations. It should not exceed 350 words and should not contain subheadings, citations, drawings, diagrams, tables, or abbreviations. Be sure to include the total number of pages in the paper (including preliminary pages and appendices) in parentheses at the end of the abstract as shown in the sample.

Prepare the abstract title information per the example, following all line spacing requirements (see Appendix C). Do not use boldface type on the abstract title.

Public abstract. The one-page public abstract is written in the style of an executive summary. It explains in common language the research objectives and societal benefits and costs of the research (see the sample in Appendix D). It should not exceed 350 words and should not contain subheadings, citations, drawings, diagrams, tables, or abbreviations.

Optional sections. A dedication, frontispiece, acknowledgments1, or preface or forward are not required by the USU Publication Guide. However, your committee and/or department might have specific preference or requirements. If you chose to include any of these sections, each one should start on a new page with the title formatted as a Level 1 heading.

Contents. Contents includes all Level 1 section headings (fully capitalized, centered headings) in the paper, with the exception of “CONTENTS,” and all Level 2 and Level 3 subheadings. Additional levels of subheadings may be included in the Contents, but if a

1 The preferred spelling of acknowledgments has no “e” after the “g.”
particular level is included for one section, it must be included for all sections in which it appears.

Double space between Level 1 section headings and whenever changing levels; single space between like-level subheadings. Headings in the Contents must be worded exactly as they are in the body, without the ending punctuation. Text in the Contents must be the same font size as the body of the text, but do not underline, use boldface type, italicize, or use all cap headings in the Contents. If the heading is split on two lines in the body, combine on one line in the Contents. Page numbers should be right aligned at the right margin with dot leaders, and headings that are longer than one line should be right indented ½ inch.

Tip: Word can create a custom table of contents automatically if you format the headings in the body of your document with heading styles. Select the Table of Contents icon from the Reference ribbon; then select Custom Table of Contents from the drop down list. This will open the Table of Contents dialog box. From this box, you can Modify the style of each heading level (or TOC level). For example, you can modify the right indent of each TOC level, and you can modify the paragraph spacing before and after.

List of tables, figures, or symbols. Table titles and figure captions must be typed in the List of Tables and List of Figures exactly as they are in the body. Descriptive or explanatory material in figure captions (usually following the first sentence) does not need to be included in the List of Figures and List of Tables.

Single space within entries and double space between entries. Carryover lines for table titles and figure captions are typed flush left under the first line. The page number for each entry should be right aligned at the right margin with dot leaders, and each entry should be right indented ½ inch. The word “Page” should be right aligned above the page numbers with a blank line between it and the first entry. Table titles, figure captions, and page numbers must be the

2 Tip: use a soft return [Shift] + [Enter] to separate the two lines of the heading in the body, yet keep the lines together in the Contents.
same font size as the body of the text, but do not underline, use boldface type, italicize, or use all cap headings (see samples in Appendix G).

**Appendices.** If used, an appendix follows the references of the completed thesis/dissertation. An appendix contains supplementary materials such as forms used for collecting information, letters, case studies, and questionnaires. If you have more than one topic, you should use multiple appendices. The appendix section should start with a face page that is formatted as a Level 1 section heading, either “appendix” or “appendices,” (see the Appendix H for format of the Appendix Face Page). The heading should be centered vertically on the page. Appendices are paginated with the body of the dissertation.

**Multiple appendices.** If you have more than one appendix, your face page should say “Appendices” without an extended title. Each appendix should then be titled Appendix A, Appendix B, etc. at the top of the first page of that appendix. Each must then bear an extended title and should be treated as a Level 2 heading with capitalization the same as that found in similar subheadings in the body. The complete appendix titles should be listed in the Contents.

**One appendix.** Use no letter designation if only one appendix is used, and include the extended title on the face page as part of the Level 1 section heading. Do not repeat the heading at the top of the appendix page. The complete appendix title should be listed in the Contents.

**Tables and figures.** Tables and figures in an appendix may be numbered consecutively with tables and figures in the body. An acceptable alternative method of numbering is to start the numbering sequence over in the appendix, using the appendix letter, A, B, C, etc., as part of the numbering sequence, e.g., Table A.1., Table A.2., etc. Every table and/or figure in an appendix must be separately numbered, called out in the body of the thesis/dissertation, and included in the List of Tables or List of Figures as appropriate.
Vita. A vita (also called curriculum vitae) is required with all dissertations. It should include the full name of the author, educational background, degrees and honors, titles of publications, and professional experience. It may be a job resume, but it should not include a photograph (see sample in Appendix I). The vita is paginated with the rest of the dissertation.

Submission of Thesis/Dissertation to the School of Graduate Studies

The first submission of the thesis/dissertation to the School of Graduate Studies should be done electronically, in PDF format, by the department graduate program coordinator or reviewer. The title page must be signed by the advisor and by all members of the supervisory committee. Once the paper has reached the point where no further corrections are necessary (which often takes more than one series of corrections), the USU theses and dissertation reviewer will submit your title page to the Vice Provost for signing.

Note: Theses and dissertations are reviewed in the order in which they are received. Do not ask for your paper to be read sooner than its normal place in line.

Paper vs. Electronic Submission of Title Pages

Review of theses and dissertations by the School of Graduate Studies is done using an electronic copy of the document uploaded to Box.com by the graduate program coordinator (GPC) or department reviewer. After the graduate school reviewer has approved the document, it will be signed by the Vice Provost. You have two options for getting the Vice Provost signature on the cover page: 1) The Vice Provost will sign the title page electronically, via AdobeSign, or 2) The Vice Provost will sign a paper copy of the title page with a real ink pen.

If signing the title page electronically, the Vice Provost will use the electronic copy of the title page that was uploaded as part of the graduate school review process. If you want the Vice
Provost to sign a paper copy of the title page, you must bring a paper copy of the full thesis or dissertation to the graduate school.

Submission of a bound copy of a thesis/dissertation to the Library is only required if the full thesis or dissertation is not made available in an electronic format (i.e., the thesis or dissertation is embargoed). This policy ensures that academic research conducted at Utah State University remains accessible to the public even if the thesis or dissertation is embargoed from electronic distribution.

Once your document is approved by the Graduate School and signed by the Vice Provost, the Library will be given access to the approved electronic copy of the document (with an unsigned title page). That is the version that will be uploaded to Digital Commons and ProQuest. If your thesis/dissertation is not embargoed and the Library does not require a bound copy of the document, your document is considered fully approved and completed at that time.

**Duplication and Binding**

If a thesis/dissertation is embargoed, a full paper copy of the thesis/dissertation must be submitted to the Library for binding; this copy will remain archived in the Special Collections Department of the Library, even after your graduation. The title page should not have any signatures. Pages should be single-sided. You are responsible for printing your thesis/dissertation and the cost of binding ($20.00 per copy); additional copies may be brought for binding, also at your expense. An appointment must be made with the Library to submit your physical copy (embargoes only). You will receive an email from digitalcommons@usu.edu to make an appointment. The full copy of the approved thesis/dissertation may be taken to the Library by you or by someone acting on your behalf. Email digitalcommons@usu.edu if you have additional questions about this requirement, or about binding.
Personal bound copies may be printed and the physical copy submitted to the Circulation Desk on the first floor of the Library. The cost of binding is $20.00 per copy; cover pockets are available for $4 each.

*Note:* Title pages with cut-and-paste corrections of any kind will not be bound. Those corrections are acceptable for signature purposes, but are not permanent for archival purposes and may not be bound into a thesis or dissertation. You must provide a copy of the corrected title page.
Use of Copyrighted Material

You must obtain (and include in an appendix) written permission from the author or publisher to quote any extensive portion from copyrighted materials. Such permission is usually granted on the condition that appropriate acknowledgment is made. You are responsible for any fees or payment that may be required. Use of copyrighted materials without permission may be regarded as copyright infringement, and the use subject to damages in an infringement suit.

Use of one table, figure, photograph, or other illustration from a copyrighted source is considered “extensive” and permission must be sought to reprint. For prose quotations, a general guideline is that 300 to 500 words may be directly quoted without requesting permission (“fair use”). However, Thomas Hemnes and Alexander Pyle, in a publication entitled “A Guide to Copyright Issues in Higher Education,” stated:

The Copyright Act of 1976 does not set a numerical or percentage limit for copying; in fact the extent of permissible copying is often obscure. The Supreme Court has in one instance held the copying of 300 words from a book to be an infringement and in another instance held the copying of an entire work to be fair use. Even a small portion of a work may be deemed substantial, however, if the portion constitutes a central or critical part of the original work. Note that substantiality is measured relative to the original work, not the infringing work.3

Extensive quotation of poems, musical compositions, words or music of songs, questionnaires or other instruments, recordings, etc. should be done only with permission from the copyright owners.

In some cases material may be substantially adapted, and copyright permission is not necessary (such as a table or figure that has been used from a copyright source). In the case of

adaptations, a statement such as “Adapted from Jones, 1986” must be typed on the table or figure.

Obtaining permission to quote copyrighted material is a federal law, as well as a professional courtesy. You should be aware that obtaining permission can rarely be accomplished in less than a month’s time and will often take much longer. Authors may specify the “credit line” they require to be placed on reprinted materials, and you must comply exactly.

If you make a good faith effort and receive no communication from the copyright holder and there is no explicit notice in the publication that lack of a response is not permission, the quotation may be used. You should retain copies of all requests and include them in an appendix to the completed thesis/dissertation in place of a signed permission form.
APPENDICES
Appendix A. Sample Title Pages
This is a sample of a three-member committee title page. Your title will be in all caps. If the title is longer than one line, then the title should be formatted in an inverted pyramid.

by

Your name

A thesis submitted in partial fulfillment of the requirements for the degree of

MASTER OF SCIENCE

in

English

Approved:

Type name of major professor, degree
Major Professor

Type name, degree
Committee Member

Type name, degree
Committee Member

D. Richard Cutler, Ph.D.
Interim Vice Provost
of Graduate Studies

Utah State University
Logan, Utah

2020
THIS IS A SAMPLE OF A SIX-MEMBER COMMITTEE TITLE PAGE. YOUR TITLE WILL BE IN ALL CAPS. IF THE TITLE IS LONGER THAN ON LINE, THEN THE TITLE SHOULD BE FORMATTED IN AN INVERTED PYRAMID

by

Your name

A dissertation submitted in partial fulfillment of the requirements for the degree of

DOCTOR OF PHILOSOPHY

in

Psychology

Approved:

<table>
<thead>
<tr>
<th>type name of major professor, degree</th>
<th>type name, degree</th>
</tr>
</thead>
<tbody>
<tr>
<td>Major Professor</td>
<td>Committee Member</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>type name, degree</th>
</tr>
</thead>
<tbody>
<tr>
<td>Committee Member</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>type name, degree</th>
</tr>
</thead>
<tbody>
<tr>
<td>Committee Member</td>
</tr>
</tbody>
</table>

D. Richard Cutler, Ph.D.
Interim Vice Provost of Graduate Studies

UTAH STATE UNIVERSITY
Logan, Utah

2020
Appendix B. Sample Copyright Notice

(Please note that the copyright is centered and moved down to the middle of the page)

Copyright © John Doe 2020

All Rights Reserved
Appendix C. Sample Abstract
ABSTRACT

The Influence of Social Support on the Stress Level of Parents with Disabled Children

by

Jane Doe, Master of Science

Utah State University, 2020

Major Professor: Dr. Robert L. Roberts
Department: Psychology

The example above shows the correct arrangement of the abstract display area. Triple space between ABSTRACT and the title. Double space between multiple lines of the title, which should be typed in inverted pyramid form. Triple space before and after the word by. Double space between the line for the author and degree, and the line for the university; triple space after the latter. Single space between the line for the major professor and the line for the department, then triple space before beginning to type the text of the abstract. Center all lines except the major professor line and the department line. Capitalization must follow the example shown here. Program may be substituted for Department if the degree is from an interdepartmental program.

An abstract is a summary, not an introduction. It should give a complete overview of the thesis/dissertation and should be written principally in the past tense. It may not exceed 350 words.

Type the total number of pages for the thesis/dissertation (including all preliminary pages) flush with the right margin.

(123 pages)
Appendix D. Sample Public Abstract
The Influence of Social Support on the Stress Level

of Parents with Disabled Children

Jane Doe

The Public Abstract should be a description of the research that is written in terms that can be understood by someone who does not have special expertise in your field. The purpose of the Public Abstract is because we are a land-grant institution and are required to have our materials available for public consumption.
Appendix E. Sample Acknowledgements
Please note that USU uses the Americanized spelling of acknowledgments that does not include the extra “e” between the “g” and the “m”. This is the section where you can give thanks to all of the people who have helped you throughout your graduate career. Remember to include your name justified right at the end of your acknowledgments.

I give special thanks to my family, friends, and colleagues for their encouragement, moral support, and patience as I worked my way from the initial proposal writing to this final document. I could not have done it without all of you.

Jane Doe
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(Please note that the heading is centered and moved down to the middle of the page. This occurs before the beginning of the entire Appendices)
Appendix I. Sample Vita
CURRICULUM VITAE
Lane Brown

CAREER OBJECTIVE:
To obtain a position in an economically competitive high-tech corporation which requires technical expertise, leadership, and communication skills. Special areas of interest: satellites, space science, energy applications, and communication systems.

EDUCATION:
BS in Physics, Utah State University, Logan, Utah. (6/85) GPA: 3.74 (4.0=A) Emphasis in Electrical Engineering courses, Honors Curriculum, Graduate Cum Laude. PhD in Physics, Utah State University, Logan, Utah. (expected 3/92). Grad GPA: 3.90. Dissertation research conducted at Max-Planck-Institute in Germany 1988-1990.

EXPERIENCE:
PROGRAM COORDINATOR, Utah State University Get-Away Special (GAS) microgravity experiment program, Logan, Utah (two occasions: 9/85-9/86, 6/91-Present).

Management and Organization: Coordinated in weekly meetings multiple experimental teams preparing zero gravity experiments; served as advisor to students designing and building electronic controllers; leader in the construction of “Distillation Experiment.”

Systems Engineering: Organized structural and electrical integration of six independent microgravity experiments; guided the “factor of safety” investigations and safety analysis of space canister.

Administration: Served as liaison between Utah State University and NASA; wrote “Payload Accommodations Report” and “Safety Review” for Goddard Space Center.

Theory of Magnetic Holes: Investigated the phenomenon of large magnetic holes found at the border of the earth’s magnetic field in its plasma and wave characteristics; proposed theoretical explanation for its existence (dissertation).

Instrumentation: Worked closely with the AMPTE/IRM (Active Magnetospheric Particle Tracer Explorers/Ion Release Module) satellite data; carried through studies of plasma and wave instruments on board the satellite; wrote data access routines.