

DRAFT

Organization for a Thesis or Dissertation Containing Journal Papers

Proper arrangement and construction of the parts of a thesis or dissertation containing journal papers will likely vary according to the styles adopted by different disciplines. Consider the following suggestions when organizing your thesis or dissertation; deviations may be made under the guidance of your advisor or committee.

Journal Papers in a Thesis or Dissertation

With the approval of your adviser and Graduate Advisory Committee, you may include manuscripts published in, accepted by, submitted to, and/or prepared for submission to scholarly journals and proceedings (or modified from those versions) as chapters in your thesis or dissertation. If you choose this option, you must:

1. Be a primary author—i.e., lead author—of the articles (i.e., a person principally involved in the data selection or collection, the data analysis or interpretation, and the writing of the papers).
2. Obtain the needed copyright clearance—i.e., a letter granting permission to include the journal article in your thesis or dissertation. See the section on Copyright, below.

The content and format of each paper included may be similar to or the same as what you submit to the journal/proceedings, except the margins. These must be set as specified in the Graduate School Thesis Manual. The rest of your document will follow all of the Graduate School requirements for style, margins, font, text spacing, page numbers, etc., also as specified in the Graduate School Thesis Manual.

Preliminary pages. This part will follow the style of a traditional thesis, and may be organized as shown below:

- Title page
- Copyright page (optional, but highly recommended)
- Signature page
- Abstract
- Acknowledgments (optional)
- Preface (optional)
- Vita (optional)
- Dedication (optional)
- Table of Contents
- List of Tables (optional)
- List of Figures (optional)
- List of Plates (optional)
- List of Symbols (optional)
- List of Multimedia objects or files (optional)
- List of Keywords (optional)
- Other Preliminaries (optional)

Text. This part of the thesis will incorporate the journal papers and should be organized as follows:

Introduction. Since each thesis or dissertation at Colorado State University must be organized as a complete and cohesive document, you must begin the textual portion of your document with a general introduction in which you state the research problem and address the background and significance of your research topic. Then follow the style used in your respective discipline. For example, some disciplines require an extensive discussion of previous work—i.e., literature review— on the subject and others do not. For the general introduction:

- Format the main heading of this chapter exactly like other top level (chapter) headings of the thesis.
- Within the general introduction, include a subsection, entitled “Thesis (or Dissertation) Organization,” which contains an explanation about the inclusion of papers, your major contribution where you are not the only or first author, and specific information about the organization of your work.
- List any references cited in this chapter either at the end of this chapter or at the end of the document.

Body. Each paper will appear as a separate chapter in the thesis or dissertation. Additional chapters and an overall reference section may also be included. See Figure 1 for a sample Table of Contents showing a typical organization of a thesis containing journal papers.

CSU faculty recognize that formatting styles for theses and dissertations vary widely by discipline. Two common formatting styles for this section include:

1. The traditional single column, double-spaced style using margins, fonts, and type sizes as specified in section XX of the Graduate School Thesis Manual.
2. Chapters formatted similarly to articles in leading journals in their disciplines— i.e., one, two, or three columns using fonts, type sizes, etc.

In the latter case, the chapters often appear similar to published journal articles. If a department opts for the journal formatting style, the chapter should follow the original submission format guidelines for the respective journal, except for margins, which must conform to the Graduate School Thesis Manual. However, page proofs, galleys, or reprints of a published journal article are not acceptable as a chapter. Instead, the student should format the article without the journal’s original page headers, page numbers, or footnoted information, such as reprint charges.

If the chapter is a published article, or has been accepted for publication, the student must obtain a signed letter from the journal editor granting permission to include the article as a chapter in the thesis or dissertation. The letter must be inserted immediately before the journal article.

Conclusion(s). Again, follow the guidelines in your respective discipline. Some disciplines require authors to summarize the results that apply to the research problem detailed in the general introduction and to provide suggestions for future research.

Others do not. Insert your conclusion(s) at the end of the textual part of the document (preceding any overall supplementaries that may be included).

Supplementaries (optional). This part will follow the style of a traditional thesis or dissertation, and may be organized as shown below:

- References or bibliography
- Appendices (optional)
- Glossary (optional)
- List of Abbreviations (optional)

You may include additional details on background, methods, and procedures used in the journal article as an appendix to the journal paper to which it applies; or, if it is of a more general nature, as a separate chapter within your thesis; or as an appendix to the thesis.

References. Consult your departmental or discipline guidelines for the standard forms for citation appropriate to your discipline.

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Figure 1. Sample table of contents for a thesis containing papers

Copyright

Most academic journals are copyrighted. If you are inserting a journal article in your thesis or dissertation, you will need to familiarize yourself with copyright issues and obtain the required permission from the journal publisher.

For further information and guidance about copyright and electronic theses and dissertations (ETDs) please consult the following PDF: [CSU ETDs and the US Copyright Law](#) [link to PDF]

DEB:2//20/08; r:8/21/08 (dez:8/21/08); r:8/24/08 (deb/dez)