THESIS AND DISSERTATION GUIDE

GRADUATE SCHOOL

EAST TENNESSEE STATE UNIVERSITY

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The Electronic Submission

Since spring semester of 2001, all theses and dissertations are submitted online and are referred to as ETDs (Electronic Theses and Dissertations). ETDs are available from the catalog of the Sherrod Library, accessible online and on Digital Commons. In addition, they are archived and included in ProQuest's database. Theses and dissertations submitted prior to spring semester 2001 are available in print in Sherrod Library.

Students and their faculty mentors determine whether their manuscripts are unrestricted, restricted to the ETSU campus, or embargoed as a part of the submission process. The embargo option is a popular choice that allows the ETD process not to interfere with the students' publication efforts.

The thesis and dissertation electronic submission process requires that all students prepare their manuscript as a single comprehensive word processing file including all required figures, tables, or other material imported into the file. Help with Microsoft 365 and Word for desktop can be found here.

After the oral examination and approval of all faculty members on students' advisory committees, students convert their manuscript to PDF and submit this PDF file through the Digital Commons website. A Turnitin report will be required as part of the paperwork students need to turn in to complete the Graduate School review process. This report will be generated and reviewed by the committee Chair to ensure it meets best practice for citations, turned in by the deadline listed in the Academic Calendar. The full Turnitin report ("current view") should be e-mailed to Emily Redd for filing. Concurrently, the student will fill out the Manuscript Review form and ETSU's ProQuest agreement. Students will submit additional documents specific to them as listed on the Submission checklist.

Departments and students wishing to have bound copies of a thesis or dissertation can arrange for professional binding through ProQuest or other sources listed under Resources on the ETD website, under the Binding tab.

Introduction to Thesis and Dissertation Preparation

Institutions granting graduate degrees are committed to assisting graduate students and faculty members in meeting the goals of consistency, logical organization, correctness, and attractiveness in theses and dissertations. Manuscript development is one of the most comprehensive tasks graduate students must face. This manual is designed to assist students in achieving these goals by providing guidance in meeting the requirements for manuscript preparation established by the Graduate School at East Tennessee State University (ETSU). Parts of the guide have been taken with permission from the TCGS Guide to the Preparation of Theses and Dissertations written by Ann L. Lacava of the University of Tennessee, Knoxville, published by the Tennessee Conference of Graduate Schools in 1992. The ETSU *Guide for Preparation of Theses and Dissertations* shall be referred to as the *Guide*, and the term *manuscript* shall include theses and dissertations. It is our goal to assist you in the final stages of preparing a near perfect document that will reflect well on you, your committee, your department, and ETSU in future decades. Your main resource in the early stages of preparation is your advisory committee and this guide. More specific details are presented below.

If you are reviewing this document early in your manuscript stages, the material in the next few paragraphs may be helpful. If you are at the manuscript preparation stage, you should already have completed the steps suggested in these paragraphs.

The amount of time necessary for completing the work involved in creating a manuscript will vary depending upon the nature of the project. Several semesters may be required to do the research that forms its basis. Additionally, writing a manuscript takes time and cannot be completed quickly, so organize and schedule accordingly.

The input and review of your Chairperson and advisory committee is one of the most important parts of the process leading to completion of the degree. Each committee member must be a member of the graduate faculty and approved to serve on graduate committees by the department chair and by the Graduate School.

Prior to beginning work on your manuscript, you must secure a faculty

member to act as the Chair for your committee and, with their guidance, develop an advisory committee according to the policies of the Graduate School and the established procedures of your program.

The committee has the following duties: Approve the proposed thesis or dissertation project, monitor the project, approve the final written manuscript, conduct a comprehensive examination of the manuscript, review revisions to the manuscript, suggest corrections, and approve the manuscript for submission to the Graduate School.

In addition, the Chair of your committee has the following responsibilities:

- Provide primary oversight for the process,
- Inform the Graduate School of the defense by the date specified in the Academic Calendar,
- Monitor the corrections of the manuscript,
- Confirm that the student and the committee Chair have proofread and approved the final version of the manuscript before electronic submission,
- Run a Turnitin report and examine the results to make sure the citations meet best practice,
- Sign the Manuscript Review form, and guide the student in making revisions if the manuscript is returned for major revisions and corrections.

The student's responsibilities are as follows:

- Meet all deadlines established by the Graduate School and your graduate program,
- Be continuously enrolled (every semester, including summer) after enrolling for thesis or dissertation until your manuscript is approved by the Graduate School,
- Be responsible for the content and format of your manuscript.

Because conferral of a graduate degree implies personal integrity and knowledge of scholarly methods, there are several areas in which graduate students should be particularly cautious.

Proper Acknowledgement of Cited Works

A manuscript represents original scholarly activity. Any material taken from another source must be documented, and in no case should one present

another person's work as one's own. East Tennessee State University uses the definition of plagiarism given in *Black's Law Dictionary* (Black, H. C., West Publishing Co., St. Paul, MN, 1968, p. 1308): "The act of appropriating the literary composition of another, or parts or passages of his/her writings, or the *ideas or language* [italics added] of the same, and passing them off as the product of one's own mind."

It must be understood that plagiarism may occur without exact duplication of another's written work. If in doubt, students should check with their Chair and the Graduate School about the use of appropriate citations. Plagiarism will be treated according to ETSU's Academic Misconduct Policy.

Use of Copyrighted Material

If extensive material from any previously copyrighted work is used in your manuscript beyond the "fair use" allowance, you alone are responsible for obtaining written permission from its copyright owners. The publisher usually has the authority to grant permission to quote large excerpts from the copyrighted work (see next paragraph for details), to use a figure or table from a copyrighted work, or can refer requests to the copyright owner or designated representative. The copyright owner may charge for permission to quote, and the source should appear in your bibliography or reference list. Copies of these permission letters must be kept by the student in their personal files.

In determining the extent of a written work that may be used without permission, consider the proportion of the material to be quoted in relation to the substance of the entire work. See The Chicago Manual of Style (2003) pages 135-139 for a discussion of fair use. In general, use of any work in its entirety is hardly ever acceptable (p. 136, section 4.27). In no case should a standardized test or similar material be copied and included in a manuscript without written permission. According to Circular 21 (Reproduction of Copyrighted Works by Educators and Librarians, p. 11), "there shall be no copying of or from works intended to be 'consumable' in the course of study or of teaching." These include workbooks, exercises, standardized tests and test booklets, and answer sheets and like consumable material.

For images, it is common in many areas of study for a manuscript to include illustrations such as reproductions of works of art, line drawings, infographics, facsimiles of manuscript pages, maps, photographs, color slides, chemical formulas, computer printouts, videos, or musical scores. In determining whether an image or illustration may be used without permission, visit the University of Illinois' website on Copyright for Graduate Students. Use of

works that are not student's own original creation or use of copyrighted materials must include proper citations and documented permissions kept on file by the student.

Approval from Research Compliance Reviews

Compliance with federal regulations governing the use of human subjects, animal care, radiation, legend (proprietary) drugs, recombinant DNA, and the handling of hazardous materials in research is monitored by a number of federal agencies. Because of these regulations, research compliance is an area of importance to graduate students. If the thesis or dissertation research involves activity in any of these areas, students must comply with the appropriate approval procedures prior to the initiation of the research related to the manuscript. Information concerning procedures for the use of human subjects may be obtained from the Institutional Review Board. Information regarding procedures for obtaining permission to use animals in research may be obtained from Division of Laboratory Animal Resources. Information regarding use of radioactive materials may be obtained from the University Governance committee on Radiation Safety, and information regarding use of recombinant DNA may be obtained from the University BioSafety and Biochemical Safety Committee. Other issues related to compliance should be addressed to the office of the Vice Provost for Research in the Office of Sponsored Programs. The review is made in order to protect the rights of the human subjects, the welfare of the animals, and the safety of the investigators and the university community.

Accessibility

All Graduate School electronic theses and dissertations (ETDs) must meet federal accessibility requirements (WCAG 2.1AA). These works are published online through ProQuest and Digital Commons. Authors are responsible for ensuring their initial and final submissions meet current accessibility standards before posting.

Purpose of this Guide

This Guide is designed to be a basic source of information for manuscript preparation. It establishes the technical parameters within which all students must work. Because many graduate students will publish during and after their graduate education, it is necessary for students to understand the various elements of a manuscript and the general publication formatting

requirements in academic publishing.

The style manual listed for your department or program must be followed consistently in the preparation of manuscripts, except where its instructions conflict with the guidelines in this Guide. Style manuals undergo revision; be sure you are using the latest edition of the selected manual. If you have any questions regarding the format of your manuscript, consult your committee Chair or contact the Publications and Special Projects Coordinator at the Graduate School (Emily Redd: redd@etsu.edu). Rapidly changing technology makes it impossible for this Guide to accurately reflect all appropriate processes for presentation. If you wish to use an existing or new process, technology, or procedure that is not covered in the Guide, please obtain approval from the Graduate School prior to the submission of your manuscript.

Format Specifications

General Preparation Information

If you hire a manuscript preparer or an editor, be sure to provide them with a copy of these guidelines. You are still responsible for the accuracy and format of the paper.

Consult your departmental style manual concerning long quotations. Any easily readable standard type style and line spacing is acceptable, with the expectation that it must look good, be consistent with your other quotations, and be consistent with the disciplinary style guide (script, for example, is not considered standard type). Times New Roman, Arial, or Calibri are recommended. In the case of figures or tables, type size may be reduced, if necessary, within the figure or table, but must remain large enough to be easily legible. Figure and table titles, however, must be in the same size font as the rest of the text.

Headers and Footers

With the exception of page numbers, do not use page headers, page footers, running headers, or running footers in your manuscript.

Margins

One-inch margins on all sides are preferred. Do not go under one inch or over 1.5 inches. All information including titles and footnotes must conform to these margins and centered headings should be centered relative to the edges of the page.

Justification

Left justification is required unless your format guides specifically restrict the document to have full justification. All notations or writing must be large and clear enough to be read with ease. The print quality in the notations must be equal to the print quality in the text. Titles and notes added by the student must be in a font size and style consistent with the body of the manuscript.

Pagination

With the exception of the Title Page, all pages of the manuscript are to be numbered in ascending order. The title page has no page number but is considered page 1. Remaining pages are numbered in Arabic numerals: 2, 3, etc., beginning with the second page and should be centered at the bottom.

Divisions of Text

The manuscript should be divided into logical chapters and numbered consecutively with Arabic numerals. The text may be subdivided in a variety of ways, depending on the style manuals chosen by the departments, but the scheme must be consistent throughout a manuscript. The appearance of the headings must vary for each level of subdivision, unless a numbering system is used to indicate levels. Headings must conform to the template provided for you on the ETD Website.

Illustrations

Illustrations must be high quality, clear, legible, have good color contrast, and able to be scaled larger for viewing on all electronic media. Care should be taken to center illustrations between the margins as previously specified. Do not wrap text around images.

Format Options

The Graduate School recognizes two format options for electronic theses and dissertations; the Standard Format and the Alternate Format. Please be sure to check with your program, department, and committee Chair to determine which of the formats you should follow when writing your thesis or dissertation. Different programs may have different requirements, and you want to be sure you are following the correct format before you start writing.

The Standard Format has been in use for many years, and all theses and dissertations approved prior to spring 2006 follow that format. This format organizes the manuscript into one integrated body of work with distinct chapters that may include: Introduction, Literature Review, Methods, Results, and Discussion, followed by References and Appendices. Information on specific style guides to be used for the Standard Format can be found in this guide, under the section “Standard Format.”

The ETSU Graduate Council approved the Alternate Format for use in spring 2006. It is designed as an option for programs whose students will either be submitting for review or have already published their work as an article in a peer-reviewed journal or a peer-reviewed conference proceeding. In the Alternate Format, the thesis or dissertation can consist of a paper or a collection of papers of which the student is an author or co-author. This format has some of the same requirements as the Standard Format; however, one or more chapters of the thesis or dissertation take the form of an article. It is expected that a master’s thesis will have one journal article or a peer-reviewed conference paper where the student is first-author; and that a doctoral dissertation will have two or more journal articles or a peer-reviewed conference papers included and that the student will be first-author on at least one of these articles. Please note that journal articles and conference papers should be inserted in the format in which they will be published or accepted, not in the submission format, so tables and figures should be included with the text immediately after they have been introduced. The advisory committee may permit inclusion of multi-authored articles in a dissertation as long as the student’s contribution to those articles and the relationship of the research described in those articles to the dissertation is made clear in the Introduction. Students need to check with their program coordinator and advisory committee to determine the requisite number of journal or conference-style papers expected to meet degree requirements.

The thesis or dissertation must be more than a collection of manuscripts; all components must be integrated into a cohesive unit. The work must represent research conducted while the student was enrolled in the graduate program, must be a product of the thesis or dissertation study, and must not have been used to obtain another degree. More specific information is presented below in the section "Alternate Format: Style Guides." NOTE: when previously published copyrighted papers are presented in a thesis or dissertation, the student must include signed waivers from the copyright holder and submit these to Emily Redd, the Publications and Special Projects Coordinator at the Graduate School (redd@etsu.edu) with the final submission, if not submitted previously.

Writing and Confidentiality

When writing your thesis or dissertation the most important principle to maintain confidentiality is to abide by the terms of your agreement with the participant in the informed consent process. You must also make sure that you abide by the terms of your IRB approval. For more details on what to do and what not to do, please consult the student's guide to confidentiality provided by the IRB.

Standard Format

Style Manuals

This Guide is not meant to provide you with information specific to the style manual(s) used in your discipline. If you have any questions concerning details of the preparation of a manuscript that are not covered in this Guide, consult the style manual appropriate for your department. The following list reflects current style guides, and thesis and dissertation programs using the listed guide. If you use electronic documents, your manuscript must include proper citations. If your style guide does not have an electronic citation section, many publishers maintain a website with such information. Listings of URL's must show all standard biographic information available to accompany the URL.

ACS: *The ACS Style Guide: A Manual for Authors*. Washington, DC: American Chemical Society: Chemistry

APA: *Publication Manual of the American Psychological Association*. Washington, DC: American Psychological Association: Allied Health,

Brand and Media Strategy, Clinical Nutrition, Communication and Storytelling Studies, Counseling, Criminal Justice, Engineering Technology, Global Sport Leadership, Early Childhood Education, Educational Leadership, Nursing, Psychology, Public Health, Reading, Social Work, Special Education, Speech-Language Pathology, Sport Management, Sport Physiology and Performance, and Sport Science and Coach Education.

CSE: Council of Science Editors, Committee of Form and Style. *CSE Style Manual*. Washington DC: American Institute of Biological Sciences: Biology, Biomedical Sciences, Environmental Health, Geosciences, and Health Sciences.

IEEE option: Computer Science, Information Systems, Mathematical Sciences

LaTeX option: Computer Science, Information Systems, Mathematical Sciences

MLA: Gibaldi, J., & Achert, W. S. *MLA Handbook for Writers of Research Papers, Theses, and Dissertations*. New York: Modern Language Association: Studio Art and English.

Turabian (used in conjunction with the Chicago Manual of Style): Turabian, K. L. *A Manual for Writers of Term Papers, Theses, and Dissertations*. Chicago: University of Chicago Press: Appalachian Studies, Interdisciplinary Studies, and History.

Organization of the Manuscript

Arrange the manuscript in the following order:

1. Title page
2. Plain Language Abstract
3. Abstract
4. (optional) Copyright page
5. (optional) Generative Artificial Intelligence Disclosure
6. (optional) Dedication page
7. (optional) Acknowledgments
8. Table of Contents
9. List of Tables (required only when there are more than five)
10. List of Figures (required only when there are more than five)
11. Body of Manuscript
12. Bibliography / References / Works Cited

13. Appendix / Appendices
14. Vita

DOWNLOAD YOUR TEMPLATE HERE

Title Page

The format of the title page must be followed as provided in the template. The title should be no longer than 150 characters, including letters, punctuation, and spaces. The names of the thesis committee and keywords are included on the title page. The date must be the month and year of graduation, not the month in which the manuscript is completed. Degrees are awarded in May, August, and December; only one of these three months may appear on your title page. This page is considered page 1 though it bears no number. Subsequent pages should be numbered accordingly. The titles of theses and dissertations will be entered into electronic storage. To facilitate easy retrieval by future users, you are encouraged to: Select title words that will represent the subject of your manuscript in clear, specific, descriptive, and unambiguous terms; include all appropriate accents or diacritical marks; and use word substitutes for formulas, symbols, superscripts, Greek letters, or other non-alphabetical symbols.

Plain Language Abstract

All manuscripts are required to have a plain language abstract in addition to the regular abstract. A plain language abstract is a short, simple explanation of your research. It should not use jargon or technical terms. It should be understandable by an average member of the public. It should simply explain why the research was done, how it was done, and the key findings. The purpose is to make your research more accessible to more people. This is especially important for reaching a broader audience, including policymakers, journalists, and the public.

The plain language abstract for a thesis is strictly limited to 150 words or less, 350 words or less for a dissertation.

For additional help, go to the first link under the Writing Help tab on the Resources page.

Abstract

An abstract is a brief summary of the content and purpose of the manuscript. It should be self-contained, fully intelligible without reference to the body of

the paper, and suitable for publication by abstracting services without rewriting. The abstract must not exceed 150 words for a thesis or 350 words for a dissertation and the first sentence of each paragraph in the abstract is not indented. The abstract should include: A concise statement of the problem or area of investigation, a brief discussion of methods and procedures used in gathering data or obtaining the information used to create the manuscript, a condensed summary of the findings, the conclusions reached in the study, a succinct statement of the significance of the work, full names of places and persons, as well as all pertinent proper nouns that will assist automated retrieval, clear and accurate display of symbols, accents, and diacritical marks, and transliterations for characters other than Roman or Greek letters and Arabic numerals.

Copyright Page

(optional). You have the option to copyright your manuscript. Revisions in the federal copyrighting statutes now guarantee the rights of copyright to the author of any thesis, dissertation, or other scholarly work from its original transcription to the time of publication, whether registered with the Library of Congress or not. Your ownership continues to exist even if you make the work public without including a copyright notice. Adding such a notice, however, alerts others that copyright is claimed and tells them who owns it, if they want to use your work. To give a copyright notice, insert this page after the abstract. Within the required margins, center the phrase: Copyright [year] by [your name]. This step protects your work in over fifty countries that have ratified the Universal Copyright Convention. If you want to seek protection in the Latin American countries that did not sign that convention, but that abide by the Buenos Aires Convention, then add the additional line: All Rights Reserved. For example:

Copyright 1987 by John J. Knowall

All Rights Reserved

Registering Your Copyright

In contrast to the Universal Copyright protection, this notice provides statutory protection by registering your work under the U.S. Copyright Act of 1978. This offers some advantages. A lawsuit for copyright infringement may be filed only if the copyright notice was registered. It also establishes an irrefutable date for the manuscript's creation. To register your copyright notice, you may obtain a form for copyright registration directly from the Government

(http://www.copyright.gov).

Generative Artificial Intelligence Disclosure

Only include this page if Generative Artificial Intelligence (GAI) tools were utilized, otherwise delete. For more information and written guidance, please visit this site.

Dedication Page

(optional). A numbered page should be included at this point if the student wishes to dedicate the manuscript. Please use standard indented paragraph format.

Acknowledgments

(optional). This page contains expressions of appreciation to those who have assisted in the preparation of the manuscript. Acknowledgments should be brief and refer to those individuals who have assisted the student in obtaining the graduate degree. Permissions to quote copyrighted material and acknowledgments of support from grants or special funding can also be placed in this section. Please use standard indented paragraph format.

Table of Contents

The arrangement of the Table of Contents (TOC) should follow the order and level of headings and subheadings throughout the manuscript. Titles listed in the TOC must be worded exactly as they appear in the text and headings and subheadings contained in the body of the manuscript must be included in the TOC, along with front and end page headings (excluding the Copyright and TOC pages: see template for the example). Do not include bold or italics in the TOC, except for Latin terms.

Lists of Tables and Figures

The inclusion in the preliminary pages of a list of figures or a list of tables shall depend on the number of figures or tables (a list is required if you have more than 5 tables or 5 figures). If a list is needed, the list of tables will come before the list of figures. When included, titles in the lists must match the titles in the body of your manuscript verbatim. Use the provided template for your department for the correct formatting for this list.

Headings and Subheadings

Headings must conform to the template provided for you on the ETD Website.

Tables and Figures

For electronic theses and dissertations, the Graduate School requires that tables and figures be included with the text immediately after they have been introduced as long as the length does not interfere with readability. If a table or figure is too lengthy it can be moved to an appendix. When designing and presenting tables and figures, follow the format given in the style manual approved by your department, and ensure the content is clear and legible when scaled larger.

Table and Figure Titles. Because tables and figures are separate entities, they must be numbered independently. Each table or figure must have a unique title descriptive of its contents. In most style guides the table title appears at the top of the table and figure captions appear at the bottom of the figure. Consult your style guide for the appropriate formatting. Figures containing parts must be given a general title, after which the figure may be broken down into parts A and B. No two figures may have exactly the same title. The formatting of the titles must be consistent for all tables and figures.

Numbering. Tables and figures should be numbered consecutively throughout the manuscript, including the appendix, using Arabic numerals.

Placement Within the Body of the Manuscript. Text is primary in importance; tables and figures are secondary. The text, therefore, shall dictate where tables and figures are placed. Your goal for reasons of both aesthetics and the practical limitations of space should be to fill each page. Readability, however, is paramount. Each table or figure should immediately follow the paragraph in which it is first mentioned. All tables and figures must be referred to by number, for example “see Figure 1” or (Figure 1). Some style guides use (Fig. 1) so check with your manual first.

When more than one table or figure is introduced on a page of text, each follows in the order mentioned. If multiple tables or figures are placed together on a page, there should be at least one-half inch between them.

Whenever a table or figure is placed in an appendix, its location must be clearly indicated at the first mention (for example, “See Table 3, Appendix B”) and is not repeated thereafter.

Horizontal Tables and Figures. It may be necessary to place some tables or figures in a horizontal (landscape) orientation on the page. The page margins should be the same for all pages in the manuscript. The margin at the top of the page and the placement of the page number must be consistent with the rest of the manuscript. Place the table or figure, and its caption, so that it can be read when the page is in landscape view.

Formatting Tables

Typeface and Title. The font used for the manuscript must also be used for table titles. The font size may differ within a table depending on the fit of the information within the table and margins. See the template for your discipline for the correct formatting for table titles.

Components. Consult the professional style manual appropriate for your department to learn the criteria for formatting table content.

Continued Tables. Tables may be continued on as many pages as necessary unless it affects readability. Tables that span more than 3 pages should be placed in an appendix (contact the Graduate School for exceptions). Tables too large to fit within margins must be reduced.

Table Footnotes. If the table or data within the table are taken from another source, include the word Source(s) followed by a citation. If changes are made in a table taken from another source, indicate this by using the phrase “Adapted from....” All Table references and references within a table must be included in the bibliography or reference list.

Formatting Figures

Typeface and Title. Because figures are considered illustrations, regardless of the nature of their content, any text that is part of the figure can be in any typeface provided it is neat and legible. The figure title must be in the same base typeface as the rest of the manuscript because this material is considered to be part of the regular body of the manuscript. See the template for your discipline for the correct formatting for figure titles.

Components. Consult the professional style manual appropriate for your department to learn the criteria figure content. Citations, footnotes, or explanatory material for figures may be placed after the period following the title.

Continued Figures. A figure containing several related parts too large to

be included on a page may be continued onto other pages. The first page contains a designation such as “Figure 3 (continued on the next page)”; subsequent pages contain the remainder of the figure and the aforementioned designation, and the final page contains the figure number and full caption.

Bibliography / References / Works Cited

A list of works referred to in the text follows the body of the text in a separate section. Properly title this section on the first page in all CAPS, and use hanging indent format unless a numbered sequence is required by your style manual. Follow the bibliographical style outlined in your style manual for the entries. Consult style guides and publisher websites for information on electronic citations.

Appendix

An appendix contains material that is related to the text, but that is not considered suitable for inclusion in the body of the manuscript. Properly label each of the appendices on the first page with the Appendix letter and title. Typing, margins, and spacing standards required for the manuscript apply to all appendix material. Multiple appendices may be used if supplemental materials are varied and numerous (see template for heading formatting). List each appendix title in the Table of Contents, indented under the more general heading Appendices.

Vita

A vita must be included as the last page of your manuscript. This provides a brief account of one’s academic career and qualifications, and is not considered a resume or full curriculum vitae. Exclude any information that is inappropriate to job-related considerations or that you may deem an invasion of privacy. Limit your vita to one or two pages by selecting only the most relevant information for each section.

Alternate Format

In the Alternate Format, the thesis or dissertation will consist of a paper or a collection of papers of which the student is an author or co-author. This format has some of the same requirements as the Standard Format; however, one or more chapters of the thesis or dissertation take the form of an article. So, students using the Alternate Format are to follow the formatting

guidelines of this Thesis/Dissertation Guide and the style guide adopted by their department (APA, CSE etc., see the list on pages 14-15) for the front pages, chapter 1, conclusion chapter (if required), and the vita. The middle chapters are to be articles formatted as though they have been or will be published or accepted in a journal or conference. This includes integrating tables and figures into the text of the article as well as including a title page, abstract, keywords, authors, and references for each article. This Guide is not meant to provide you with information specific to the style required by peer-reviewed journals or conferences in your discipline. If you have any questions concerning details of the preparation of the journal article chapter(s) that are not covered in this Guide, consult the "Guide to Authors" of the journal where your manuscript(s) will be published. If you have any questions concerning details of the preparation of the peer-reviewed conference paper(s) that are not covered in this Guide, consult the preparation guidelines for the conference you are attending. It is the responsibility of the student and their advisory committee to assure that the journal style or conference style is followed.

Organization for Alternate Format

Arrange the manuscript in the following order:

1. Title page
2. Plain Language Abstract
3. Abstract
4. (optional) Copyright page
5. (optional) Generative Artificial Intelligence Disclosure
6. (optional) Dedication page
7. (optional) Acknowledgments
8. Table of Contents
9. List of Tables (required only when there are more than five)
10. List of Figures (required only when there are more than five)
11. Body of Manuscript

    Chapter 1 – Introduction/comprehensive review of the topic and literature, including statement of hypotheses under investigation by the student. This chapter is to be formatted in the style adopted by your department (see pages 12-13 of this guide).

    Chapter 2 – One journal article or conference paper for a thesis, including the abstract; or a series of journal articles or conference papers, including abstracts, presented as separate numbered chapters for a dissertation. These articles should be restyled, if

necessary, to conform to margin and formatting required by the Graduate School as presented in this guide.

Chapter – Dissertations must have a final chapter that integrates and discusses the material presented in the journal articles or conference papers, and addresses directions for future study. A thesis advisory committee may require a similar chapter. This chapter is to be formatted in the style adopted by your department (see pages 12-13 of this guide).

12. Comprehensive Bibliography / References / Works Cited (To be formatted in the style adopted by your department (see pages 11-12 of this guide).
13. Appendix /Appendixes
14. Vita

DOWNLOAD THE ALTERNATE FORMAT TEMPLATE HERE (toward the bottom of the page)

Lists of Tables and Figures

The inclusion in the preliminary pages of a list of figures or a list of tables shall depend on the number of figures or tables (a list is required if you have more than 5 tables or 5 figures). When included, titles in the lists must match the titles in the body of your manuscript verbatim. Tables and Figures should be consecutively numbered if a thesis includes a single article. For a dissertation or when a thesis contains more than one article, then a chapter-by-chapter numbering system should be used (see below).

Alternate Format Table and Figure Numbering

Tables and Figures should be consecutively numbered if a thesis includes a single article. For a dissertation or when a thesis contains more than one article, then a chapter-by-chapter numbering system should be used (1.1, 1.2, 2.1, 3.1 etc.).

Bibliography / References / Works Cited

In addition to the reference section within the chapter(s) containing each journal style article, a comprehensive list of works referred to in the text follows the body of the text in a separate section. Properly title this section on the first page. Students will follow a standard style guide adopted by your department for the comprehensive references (see list on pages 12-13).

Thesis/Dissertation Submission and Review

Authorization for Release of Your Manuscript: Standard and Alternate Format

Before you can submit your manuscript to the Graduate School for approval, your committee must authorize its release as a finished account of your graduate research. This typically takes two steps: You successfully defend your research and manuscript with your committee in an oral presentation; and you correct any issues raised during that defense.

Contacting the Graduate School

After your committee is of the opinion that your manuscript is in its final form, you are ready to begin the submission and review process. There are several documents that need to be filed before your manuscript will be reviewed and/or approved. These are listed in the submission checklist.

Submitting Your Manuscript

Once your manuscript has been approved by your committee, you may go to the ETD website and set up your account in Digital Commons (the repository for scholarly works at ETSU). You do not have to be on campus to connect to the site, set up your account, or submit your manuscript. Once your account is set up, you can login to it and begin filling out your online profile.

Connect to the ETD web site and click on “Get Account” which will take you to the Digital Commons website. After you have created and confirmed your account you can log in and begin filling out the profile. Once you log in, click on “Submit Research” on the left side of the page. Then, under “Graduate School,” click on “Electronic Theses and Dissertations.” This profile will be used to assist in cataloging your ETD in ETSU’s Digital Commons and Sherrod Library’s database. The Graduate School also uses it to identify and track your thesis, so please be accurate.

When you do this step, you will need on-hand the following information: The exact names of your committee Chair and committee members; the exact title

of your manuscript; the exact abstract from your manuscript; your choice from the Manuscript Review form (unrestricted, restricted, or embargo). You will need to finish the profile in one sitting, so have your final manuscript ready in PDF format. Your manuscript should be in a single file—including figures, graphics, and tables. However, the submission site does allow for the exception where additional files are needed. Contact the Graduate School Publications and Special Projects Coordinator (Emily Redd: redd@etsu.edu) if you think your manuscript needs several files.

The Review Process

The Graduate School holds its own review of all graduate research manuscripts before they are given the approval of the university. This process ensures manuscripts are of high quality and are uniform across departments. The Graduate School views its review as an aid to students in creating a document that meets the standards of their discipline. Therefore, the content and clarity of a manuscript are the responsibility of its author and the advisory committee, and the accessibility of the document is the responsibility of the author.

The Dean of the Graduate School ultimately decides when to approve each manuscript. Before that decision, the Publications and Special Projects Coordinator will check your manuscript for its adherence to the style guides of both your department and the Graduate School. Your manuscript will be returned to you via email, along with the format comments and questions. Typically, manuscripts are submitted for review, returned, and resubmitted several times before they are approved. Plan accordingly. The number of these “submission cycles” is largely under your control if you diligently follow the formatting requirements shown in the style guides. It is your responsibility, however, to meet all deadlines. Regardless of how many cycles your manuscript goes through, it must be approved before the final approval deadline in order to graduate in a particular term. Therefore, you should promptly revise and resubmit your manuscript each time it is returned to allow enough time for further review.

Resubmitting your ETD

If your manuscript is returned, it will be in the PDF format in which you submitted it. It will have notes visible where corrections are called for. You are responsible for making these corrections in your original manuscript file, converting that file into the PDF format, and resubmitting the new PDF file for

further review.

To resubmit your revised manuscript, connect the ETD website and follow the "Get Account" link to log back in. Click on the title of your thesis, and then click on "Revise thesis/dissertation." Scroll down to the bottom of your profile and browse to upload the new file. If at any time this does not work, email your PDF file to Emily Redd, the Publications and Special Projects Coordinator at redd@etsu.edu to expedite the process.

If your manuscript requires extensive revisions, the PDF will be sent back immediately requesting that you consult your departmental style guide and the Thesis and Dissertation Guide for further edits.

Approval

When the Dean approves your manuscript, you will be notified by email, and your manuscript and profile will be moved away from your activity account and sent to the library for cataloging. At this point, no more changes can be made to your manuscript or profile. It is your responsibility to have an accurate profile and to submit the manuscript you wish to archive.

Access to your ETD

The library system will file your ETD on two of its servers and create an entry in its library catalog. The time required to complete the library cataloging varies. When cataloging is complete, your ETD is treated by the library like a book: its basic bibliographic information—author, title, abstract, etc.—can be reached by anyone searching the library catalog or the Digital Commons website, whether from a campus computer or via the Internet. However, you have some control over who can access your ETD itself. A full-text version will be available for viewing, printing, or downloading at any ETSU computer. This is in accordance with longstanding library policy that graduate research documents are public record and should be made available. You can, however, disallow access by off-campus computers or withhold release for 1 year if needed per the restricted and embargo options. You establish the restricted or embargo option in your online profile and also on the Manuscript Review form.

Deadlines and Requirements

There are two important dates in the Graduate School review process: The

initial submission deadline and the final approval deadline. Both dates are listed in the Academic Dates Calendar.

You must initially submit your manuscript for review by the initial submission deadline for the semester you intend to graduate. Otherwise, it will not be considered for review that semester. Then resubmit as many times as necessary to complete all edits, but for you to be eligible to graduate, the manuscript must receive final approval from the Graduate School by the final approval deadline for that semester.

You must meet all the requirements of the Graduate School before ETSU will clear you for graduation. These are summarized in the submission checklist.