



POLICY & GUIDELINES REGARDING 3-ARTICLE DISSERTATIONS

From current revised CSUS handbook (12/8/20):

One common alternative to a conventional dissertation format is a set of related papers written in a format and style that is acceptable for publication in peer-reviewed journals and that is consistent with the scholarly foundations and research approved during the proposal defense. For the dissertation itself, the papers should be combined in one volume, with an introduction and conclusion that highlight the papers' common research focus and principal findings as related to the approved dissertation proposal. Papers that the student has co-authored while in the doctoral program may be included as long as the **student is the first author and the articles have been certified by the major professor as being substantially the work of the student.**

For a dissertation consisting of one or more chapters that are already published or submitted papers:

- a) These **chapters** must each be introduced with the chapter title and a summary of the article (that might include broad statements about the purpose, primary method[s] used, and key results) followed by "For a full text of this work, go to <https://sssweee/123123.123123>" (whatever the link is to the article).
If the chapter is not yet reviewed, accepted, and published by the journal, the direct web link cannot be provided, but you should identify the journal and submission date. If the chapter will not be submitted to a journal, or the journal permits full publication within a dissertation, you should provide the entire text.
- b) If multiple articles make up the dissertation document, they must be "tied together" with a required general **Introduction** (that describes the research and your general approach for the "collection of the papers/chapters") and **Conclusion** (concluding section that ties together all the articles, and highlights the key findings, recommendations, whatever else is relevant to your "dissertation").
- c) If all chapters are published/submitted articles, it is helpful for the dissertation to include a **Preface** section, between Acknowledgements and the Introduction, that states something like "The three main chapters of this dissertation have been published in or submitted to peer-reviewed journals, and have co-authors. Due to copyrights (or copyright policies), these chapters could not be reprinted here.* Thus, these chapters are briefly summarized in the main body of this document (chapters 2-4), followed by a link to each online article. The citations for these chapters are below." Then list the chapter numbers/titles, followed by a complete citation for each.

** Check the policy of each journal, and adapt the language for consistency with the journals' policies. (In some cases, it may be possible to publish the full chapter in the dissertation; in most cases, however, this is probably not the case. If an article has been submitted but not yet accepted or published, of course you cannot include a direct link to the published article.)*

See an example on the next page.

EXAMPLE OF STRUCTURE for DISSERTATION

- **Title page**
- **Abstract**
- **Dedication** (if you want one)
- **Acknowledgements**
- **Preface** (that describes what is in the “3 chapters” and how they are presented); see “C” above: EXAMPLE (for “D” for which all three chapters have been published; I’ve changed the chapter titles to protect the student) Also remember that you should be the lead author. Use full APA citation style guide for formatting the citations. Note that, in the example below, articles for chapters 1 & 2 are already published, but only submitted for chapter 3.

Chapter 1: Author1, A., Author2, B., & Author3, C. (year pub). Title of the journal article for the first chapter. *Journal of Xxxxxx, Yyyyyy and Zzzzzz*, 10(1), 1-20.

Chapter 2: Author1, A., Author4, D., Author5, E., and Author6, F. (year pub). Title of the journal article for the second chapter. *Journal of Aaaaaaaa Bbbbbbbb*, 12(2), 10-25.

Chapter 3: Author1, A., and Author7, G. (submitted date, or in press date). Title of the journal article for the third chapter. *Journal of Aaaaaaaa Bbbbbbbb* (journal to which submitted).

- **Table of Contents** -- to include, for example:
 - List of Figures (if included in intro or conclusion chapters),
 - List of Tables (if included in intro or conclusion chapters),
 - Chapter 1: Introduction (*actual chapter will provide overview that describes the research and your general approach for the “collection of the papers/chapters”*)
 - Chapter 2: Title of the chapter (or article)
 - Chapter 3: Title of the chapter (or article)
 - Chapter 4: Title of the chapter (or article)
 - Chapter 5: Conclusion (*actual chapter will include a concluding section that ties together all the articles, and highlights the key findings, recommendations, and whatever else is relevant to the specific “dissertation”*)
 - References
- **Core Content of the Dissertation:** Then follow up with each of the chapters, as outlined in the Table of Contents. For each of the three article Chapters, include the Chapter Title, followed by a summary of the article (that might include broad statements about the purpose, primary method(s) used, and key results), and then followed by a statement (as relevant to each of your chapters) such as:
“For a full text of this work, go to <https://sssweee/123123.123123>” (whatever the link is to the article)

The dissertation/guidance committee chair will decide any further requirements, as relevant to a specific dissertation, based on conversation with committee members.