

**Preparation and Submission
of the Dissertation**

The Graduate School/Northwestern University

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This pamphlet contains requirements and suggestions for the preparation and submission of doctoral dissertations. The dissertation must satisfy *all* of the requirements that have been established by The Graduate School as well as those of the specific academic department of the degree candidate. If a student fails to fulfill any of these requirements, The Graduate School will not accept the dissertation. If a question is unanswered in this pamphlet, in particular one that relates to a dissertation that has a unique character, the student should seek the advice of The Graduate School prior to submission. Please do not use earlier dissertations from your department or the library as models.

General Instructions

Each dissertation *must* be acceptable in substance and content to the dissertation examining committee, and in format and style to The Graduate School. To achieve this objective, this booklet has been prepared to instruct students and their advisers of Graduate School requirements.

Titling the Dissertation

Dissertations are a valuable source for other scholars only if they can be easily located. Modern retrieval systems generally use the words in the title to locate a dissertation. Therefore, it is essential that the title accurately reflect the content and that obscure reference be avoided. Word substitutes should be used in place of formulas, symbols, superscripts, Greek letters, and the like.

Quoting Copyrighted Material

The author of a dissertation is expected to conform to the provisions of the copyright law with regard to quoting copyrighted material. University Microfilms International requires the author of the dissertation to sign an agreement form certifying that the use of any copyrighted material in the manuscript beyond brief excerpts is with the written permission of the copyright owner, and that the author will save and hold harmless University Microfilms International from any damages which may arise from copyright violations.

Attesting to this statement does not mean that the author of a dissertation must ask permission from the copyright owners for every quotation or excerpt of reasonable length. In ordinary practice it is generally assumed that the quotation of a prose passage of approximately 150 words or the quotation of a few lines of verse in a work of scholarship or criticism does not call for permission. However, the area of "fair use" can be defined only by court action, and the existing precedents are insufficient to make possible an exact or strict definition of its limits.

These general considerations do not absolve the author of a dissertation from all responsibility regarding copyrighted materials. If the dissertation includes continuous or extensive quotes from a particular author, or includes maps, charts, statistical tables and other similar materials which have been copyrighted, the author of the dissertation must write to the copyright owners describing the use that he or she is making of the material and request permission to incorporate it in the dissertation. Such quotations or excerpts must be listed separately among the prefatory statements of the dissertation, indicating that permission for their use has been granted and naming the sources.

Written permission must also be secured to quote from or otherwise reproduce unique items, such as manuscript texts or letters, whether these are in libraries or in private collections. Acknowledgment of such permission must appear either in footnotes or in the prefatory material.

The filing of a dissertation in a library is generally presumed to constitute publication in a legal sense. The reproduction of such a dissertation through University Microfilms International is similarly regarded as publication.

The completed dissertation has four main parts: preliminaries, text, documentation and vita. The Graduate School enforces strict requirements affecting each part. The clue to these enforced requirements is the use of the word must, underlined and italicized.

Preliminaries

The preliminaries are to be arranged in the following order:

1. Title Page. It must conform exactly to the sample that appears on page 4. The field on the title page must be selected from the official list, which is available at The Graduate School Office.
2. Copyright Page. If a statutory copyright is to be claimed for the dissertation, the notice must appear on a separate page following the title page, numbered small Roman numeral ii. It should read:

© Copyright by John Arthur Brown 19 _____
All Rights Reserved

For more detailed information on copyrighting, the author of the dissertation should consult page 11 of these instructions.

3. Abstract. (See page 10 of these instructions.)
4. Preface. If included, a preface may serve as a general introduction to the text and as the place to insert acknowledgments.
5. Table of Contents. It must include page references to reflect the organization and character of the dissertation. Whether the table of contents should be topical or analytical should be determined with the student's adviser.
6. List of Tables. If tables are included in the dissertation, the list must refer to the appropriate titles and pages within the text.
7. List of illustrations. If illustrations are included, the list must refer to specific titles and pages in the text.

Text

1. Introduction. This section should provide the reader with an overview of the dissertation and the research problem that is being addressed.

2. Main Body. The main body of the text should strive for organizational consistency, with a clear distinction between chapters, main heads within chapters, and subordinate heads within the main heads.

3. Typing Style. The text must be typed double-spaced.

Arrangement of Contents

NORTHWESTERN UNIVERSITY

(Title of Dissertation)

A DISSERTATION

SUBMITTED TO THE GRADUATE SCHOOL
IN PARTIAL FULFILLMENT OF THE REQUIREMENTS

for the degree

DOCTOR OF PHILOSOPHY

Field of _____

By

(Full Name)

EVANSTON, ILLINOIS

June 198_____

or

August 198_____

Documentation

1. References. Each dissertation must include references to document the text. These references must be located either at the bottom of the page or at the end of the text, not at the end of each chapter. In contrast to the text, references must be single-spaced.

Three styles of referencing are acceptable to The Graduate School. Each style has its own internal coherence and must be followed exclusively. Styles cannot be combined. Any departure from these three styles must be approved *in advance* by The Graduate School. The three styles are described as follows:

a. In the text, numbers denote references. These numbers must follow a numerical order by chapter, except that second and later references to a work may carry the same number as the first citation. The numbers may be superscript or enclosed in brackets or parentheses. A numbered list of all references must be placed at the end of the text, or, alternatively, at the bottom of the page on which the reference is made. If placed at the end of the text, the list should be entitled "Notes and References." This style of referencing assumes that no differentiation is made between content notes and references.

b. In the text, the author's full last name and date of publication are enclosed in parentheses or brackets to denote references, with page number if appropriate. A single unnumbered alphabetic list, containing full bibliographic reference for each work cited, must be placed at the end of the text. This list is to be entitled "References."

If special content notes are used separate from reference notes, the point of reference for the content notes should be indicated in the text by an asterisk. The content note itself must be placed at the bottom of the page. The point of reference of a second or third content note on the same page of the text would be indicated by double or triple asterisks. Some departments discourage content notes.

c. In the text, numbers may be used to denote references without adhering to a numerical order but corresponding to the numbered reference list. The numbers in the text may be superscript or enclosed in brackets or parentheses. A single alphabetic list containing full bibliographic reference to each work must be placed at the end of the text. The list is numbered, and these numbers are used in the text to denote the references. The list is entitled "References."

If special content notes are used separate from reference notes, the point of reference for the content notes should be indicated in the text by an asterisk. The content note itself must be placed at the bottom of the page. The point of reference of a second or third content note on the same page of the text would be indicated by double or triple asterisks. Some departments discourage content notes.

Reference styles acceptable to The Graduate School are limited to the three identified above. The student should consult with his/her dissertation supervisor or The Graduate School to determine which one of these is preferred in the department, and whether a separate bibliography is required by the department. Any variations in the three described reference styles must be approved in advance by the Assistant Dean of The Graduate School.

In all three styles, reference entries must conform to the standard used by premier publications in the field.

2. Appendices: Any appendices the author wishes to include must conform to the standard and format of the dissertation. Any exception must have the specific approval of The Graduate School. The appendices must be placed after the references.

3. Bibliography. A dissertation may or may not include a separate bibliography. If included, a bibliography should contain the full bibliographic listing for cited works as well as for those materials used as general background but not cited directly. Bibliographic entries must conform to the standard used by the premier publications in the field.

A bibliography can take differing forms depending upon the subject and field. It can be a strict alphabetic list. It can differentiate between original and secondary sources, between journal articles and books, between printed and manuscript sources, or some other logical arrangement. An annotated bibliography is also acceptable.

Individual bibliographic entries should be single-spaced with double spacing between entries. An exception would be an annotated bibliography which is written in the same form and style as the text of the dissertation. In this special case, the bibliography should be double-spaced.

Vita

Each copy of the dissertation must include a brief vita containing the following information: name, place and date of birth; colleges attended and degrees earned; and any publications. The vita page must be numbered.

Preparing the Manuscript

Once a dissertation is accepted by The Graduate School, it is neither edited nor retyped. The dissertation is bound and then distributed to the University Library and to the department of the degree candidate, in both instances to be available to other scholars. For this reason, the manuscript must be free of errors. The dissertation is also microfilmed by University Microfilms International exactly as it is received so that scholars may order microfilm, microfiche, or xerographic copies.

All dissertations must be uniform in size and must conform to the specifications stated in this section.

Paper

The page size must be 8½ x 11 inches. The paper must be suitable for use as a bound book, free from punched holes. Since the dissertation is to be microfilmed as well as bound, the page must be clear and wholly free of distracting corrections. It is important for microfilming that the paper be of adequate opacity so that type will not show through. Twenty pound weight paper is acceptable. The paper on which The Graduate School's official list of fields is printed is sufficiently opaque.

Ribbon

A new black ribbon must be used and changed as often as necessary to maintain clear, dense letters. Carbon ribbon is ideal.

Type

Typing must be on only one side of the paper. The typeface used must be consistent throughout the dissertation. If a student wishes to use computer copy, a sample must receive prior approval from The Graduate School because of variability in print quality. Dot matrix print is not acceptable.

Text

The text must be double-spaced. Under certain conditions, quotations may be single-spaced, as recommended by standard manuals of style. In contrast to the text, references must be single spaced, with a double space between entries.

Margins

The left margin must be an inch and one-half wide, the right hand margin one inch wide, the bottom margin one and one-quarter inches wide, and the top margin one inch wide. Every page of the dissertation, including charts, graphs, illustrations, appendices and the like, must conform to these specifications. See illustration on page 8 for the placement of page numbers.

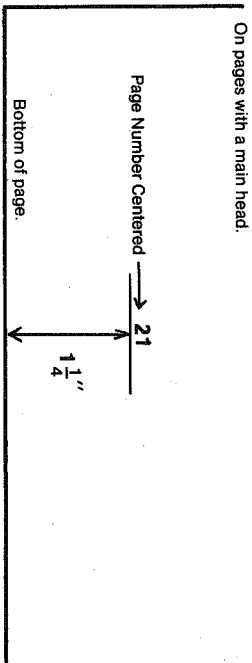
Pageination

Every page in a dissertation must be numbered, except the title page. The following plan of page numbering is required:

1. For the front matter (discussed under "Preliminaries," page 3) small Roman numerals—that is, ii, iii, iv, etc.—are placed at the center bottom of the page, one and one-quarter inch from the edge of the paper. The numbering begins with ii because the title page counts as page i. However, the numeral, i, is *not* to appear on the title page.

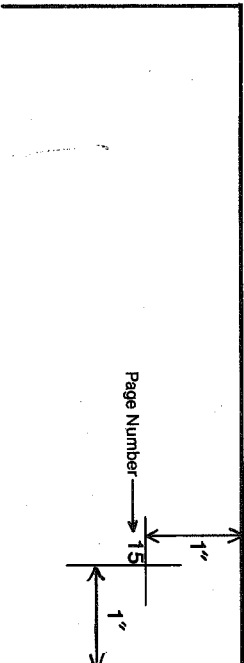
2. For the remainder of the dissertation, including the text, illustrations, appendices, bibliography and vita, Arabic numerals—that is, 1, 2, 3, 4, etc.—*must* be used. Every page *must* be numbered. The use of letter suffixes such as 10a, 10b and the like is unacceptable. The numbering begins with 1 and runs consecutively to the end of the dissertation. The page number *must* appear on the upper right-hand corner, one inch from the top and one inch from the right-hand edge of the paper. On pages carrying a major heading, the page number *must* be placed at the center bottom, one and one-quarter inch from the edge of the paper. If the description of an illustration is too long to be placed on the same page, it *must* be placed on a separate numbered page preceding the illustration.

On pages with a main head.



On pages of text.

Top of page.



3. If the dissertation is more than one volume, each volume *must* contain a title page duplicating the title page of the first volume. The title pages *must* be identified as Volume I, II, etc., to be placed below the date. The pagination *must* follow consecutively from one volume to another.

Corrections

The manuscript *must* be clear and uniformly legible. Corrections *must* be made neatly on a typewriter.

Manuscripts that are badly typed or contain pages with any unsightly evidences of correction will be rejected. No white-out or correction tape may be used on the copies submitted to The Graduate School.

Charts, Graphs, Tables

Certain precautions *must* be taken regarding charts, graphs, and tables. Because microfilming is a black-and-white photographic process, colors appear as slightly varying shades of gray. Lines on a graph should be identified by labels or symbols rather than colors. The same standard applies to maps. Margin requirements *must* be met on all pages that contain charts, graphs or tables.

Photographs

Certain precautions *must* be taken regarding photographs. Each photograph should have a full range of contrast from black to white. Photos with limited contrast will reproduce satisfactorily on positive microfilm, but they will be unclear in xerographic copies made from microfilm.

Black and white photos should be used unless special permission has been obtained in advance by the department from The Graduate School. Rubber cement and glue are acceptable methods of affixing photos, but dry-mounting tissue provides the neatest and most permanent result.

Oversize Pages

If charts, graphs, maps and tables that are larger than the standard page size need be used, they should be carefully folded into the manuscript. However, oversize pages complicate microfilming of the dissertation, and it is recommended that such pages be avoided unless absolutely necessary. A different layout for the chart or table or a photographic reduction may enable a standard 8 1/2 by 11 page to be used. If an oversize page is mandatory, as few folds as possible should be made.

Foreign Language Dissertation

A student in a foreign language department who writes the dissertation in a language other than English *must* write a 10- to 20-page summary in English, and include it as an appendix.

Reproductive Methods

Certain reproductive methods are acceptable. Multilith or Xerox reproduction, for example, is acceptable provided the paper used is of the quality required for typewritten manuscripts as described under "Paper." In contrast, mimeograph or ditto reproduction is not acceptable. Second copies of the dissertation *must* be of the same quality as the first copy.

Abstract

The abstract should provide an accurate account of the contents of the dissertation and should be conceived as a guide to the whole work rather than as a reduced substitute for it. Abstracts *must* be no longer than 350 words. Should there be a question about the word count, please consult The Graduate School. Mathematical formulas, diagrams, and other illustrative materials are not recommended for the abstract.

An abstract should contain:

1. A statement of the problem
2. The procedures or methods used
3. The results
4. Conclusions

Please follow the format given below in typing the abstract.

ABSTRACT
Title of Dissertation
Author's Name

Beginning of 350-word abstract

The abstract should be prepared carefully since it will be published, without editing or revision, in *Dissertation Abstracts International*. The abstract copy *must* be typed on one side of the paper only and *must* be double-spaced. Two copies of the abstract *must* be included when the dissertation is submitted to The Graduate School, each copy bearing the title of the dissertation and the name of the author. One copy of the abstract *must* bear the written approval and signature of the faculty member who directed the dissertation. If the student wishes to include a copy of the abstract in the dissertation, it *must* be inserted and numbered after the title page or after the copyright page, if copyright is secured.

Submission Requirements

When a dissertation is submitted, The Graduate School strictly enforces the following requirements.

Number of copies

Two copies of the dissertation *must* be presented to The Graduate School by the candidate after the final examination.

The first copy, after collation and binding, will be cataloged and available in the University Library. The second copy, subject to the same process, will be forwarded to the academic department.

Deadline Dates

The dissertation and all accompanying documents *must* be submitted to The Graduate School by the last Friday in May for June

degree candidates and the second Friday in August for August degree candidates.

In most cases, departments set much earlier deadlines to enable the Final Examination Committee, appointed by the Dean of The Graduate School, ample time to read the dissertation and to allow students a sufficient interval to revise it, based on the comments and suggestions of the Committee. Because of the time required for revision, the candidate should arrange for the final examination with his or her adviser and the head of the department well in advance of the deadlines established by The Graduate School.

Containers

Each copy of the dissertation *must* be submitted unbound, enclosed in a strong expandable fibre envelope with either a tie or an elastic band, or a snap-binder of rigid construction.

If in doubt, the student should go to The Graduate School to examine samples.

Each dissertation is reproduced on microfilm by University Microfilms International, who will keep on deposit the master microfilm at Ann Arbor, and will respond to all requests by individuals and libraries for copies. The microfilm reproduction will be based on the library copy of the dissertation. For this purpose, the student is required to complete the agreement form that is sent to him or her at the time the Final Examination Committee is established by the Dean of The Graduate School. This completed agreement form *must* be returned to the Office of The Graduate School with the two official copies of the dissertation.

Microfilm Agreement

The charges for microfilming, for publication of the abstract, and for binding of the two copies of the dissertation are included in the dissertation fee. This fee can be paid at The Graduate School Office when the dissertation is submitted, or at the Student Finance Office when the student is billed.

Charges

Copyright

To obtain a copyright is generally in the student's interest, because it protects his or her rights to the contents of the dissertation. The following considerations are pertinent in making a decision: (1) a copy of the dissertation placed on the library shelves is, in a legal sense, published, (2) reproduction by microfilm also constitutes

publication, and (3) written work which is not copyrighted at the time of its first publication cannot be copyrighted at a later date for the purpose of appearing in another form, unless the original has been thoroughly and completely revised so as to result in a substantially new work.

Securing a Copyright

University Microfilms International will secure a copyright of the dissertation in the name of the author upon payment of the prevailing fee. If University Microfilms International is to act as the agent in securing the copyright, this *must* be indicated on the agreement form. The copyright fee can be paid when the dissertation is submitted to The Graduate School. The amount includes the copyright registration fee plus the cost of two positive microfilm copies required by the Copyright Office.

Checklist for Authors

1. Is every page of the dissertation present and numbered correctly and consecutively? Does every page conform to the margin requirements?
2. Is the author's name, in full, on the title page of the dissertation, the abstract, and the Microfilm Agreement Form? Is the name identical on all three?
3. Is the title on the abstract and on the Microfilm Agreement Form the same, word-for-word, as it is on the dissertation?
4. Is the subject classification indicated on the Microfilm Agreement Form? Is the field on the title page listed in the official list of fields?
5. Are all charts, graphs, and other special illustrative material legible? Are they in the order and position in which they are to be microfilmed? Do they conform to the margin requirements?
6. If the dissertation is to be copyrighted, has this been indicated on the Microfilm Agreement Form? Has the copyright notice page been inserted in each copy of the dissertation?
7. Is the vita included at the end of the dissertation?
8. Are references included, either at the bottom of the page or the end of the dissertation?
9. Is the abstract limited to 350 words?