



**Northern Illinois
University**

Guidelines for Preparing a
Dissertation at NIU

The Graduate School

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INTRODUCTION

This document focuses on the preparation of a doctoral dissertation for degree completion at NIU. A “dissertation” is the research paper required for all doctoral degree programs. Doctoral dissertation students work under the direction of a faculty member in their discipline; this faculty member is called the student’s dissertation “director.”

The Dissertation

The dissertation should be a significant contribution to knowledge in which the student exhibits original scholarship and the ability to conduct worthwhile research. The dissertation should demonstrate professional competencies relevant to the student’s field of study, including effective communication skills (whether written, graphical, digital, or multimedia). The research must be in a subject area of the student’s major, approved and completed under the supervision of a senior member of the graduate faculty from the student’s major department.

Acceptable Formats

The dissertation may be presented in any form that reflects the professional standards of publication and ethics in its discipline, subject to departmental policies and approval of the advisory faculty. Document components of the dissertation must be in PDF; all other media components (if any) must be durable and accessible.

Postdefense dissertations must be submitted electronically to the Thesis Office via the link provided on the Thesis Office website. The maximum size for a submission is 1000 MB, inclusive of the PDF document component (required) and all supplemental files (if any).

Wholly nonmonographic dissertations must also include a document component in PDF, at minimum an abstract and title page. Document components must meet all of the format specifications for traditional monographic dissertations detailed in this guide.

Multimedia Files

Digital preservation best practices typically recommend including multimedia content as supplemental files, rather than embedding multimedia in PDFs. ProQuest will accept multimedia of all file types. Files listed below will be migrated by ProQuest. File types other than those listed below are not guaranteed to be migrated.

Images: GIF (.gif), JPEG (.jpeg), TIFF (.tif)

Video: Apple Quick Time (.mov), Microsoft Audio Video Interleaved (.avi), MPEG (.mpeg)

Audio: AIF (.aif), CD-DA, CD-ROM/XA, MIDI (.midi), MPEG-2, SND (.snd), WAV (.wav)

Supplemental Materials

Audio, video, and multimedia material (if any) must be uploaded separately as supplementary files to accompany the PDF document component. A description of each file (or set of files, if more appropriate) must be presented in the abstract. The maximum size for a submission is 1000 MB, inclusive of the required PDF document component and all supplemental files (if any).

Students undertaking a wholly nonmonographic or hybrid dissertation should contact the Thesis Office for additional specifications and assistance.

Policy on Previously Published Material

Previously published work and manuscripts submitted for publication may be included in a dissertation fulfilling the requirements for graduate degree programs, subject to individual department and faculty approval. These may include chapters, sections of chapters, data, or the entire document authored by the degree candidate; however, the research, writing, and publication of the work must be wholly undertaken and completed while at NIU during the course of graduate study for the degree to which the dissertation is submitted. The research, writing, and publication must have been performed under the supervision of a senior member of the graduate faculty from the major department.

Previously published material is subject to copyright restrictions. Students are responsible for understanding the copyright law and securing written permission to reproduce previously published work in the dissertation and must upload these permissions during submission or include them as appendices in the document. In addition, acknowledgement of the previously published material must be included in the front matter or in footnotes where appropriate in the text. Previously published material must be reformatted to conform to the requirements of the Graduate School and ProQuest and be stylistically and organizationally coherent with the dissertation as a whole.

Such a dissertation must contain a single overarching abstract, a single integrative introduction, and a single unifying conclusion.

In addition, the student must:

- Be the principal author of the published work.
- Obtain both advisory committee and Thesis Office approval to include published work in the dissertation in advance of submitting the work for Graduate School review.
- Obtain written permission from the publisher to use the material in the specific context of a dissertation.

- Include that permission (a scanned letter or email) at the time of upload or in an appendix to the dissertation.

Acknowledge the material in a footnote on the first page of the previously published chapter or section or on a special page in the front matter. Sometimes the exact language of the note will be stipulated in the permission from the publisher.

Otherwise, use a statement similar to the following: “This [or ‘Parts of this . . . ,’ as appropriate] chapter [or section, as appropriate] was [or ‘were,’ as appropriate] previously published as [full citation as per the APA, 7th edition]. It is reprinted by permission of [copyright holder’s name as stipulated in the permission letter].”

“Three-Paper” Dissertation

The dissertation may be presented in any form that reflects the professional standards of publication and ethics in its discipline (subject to departmental policies and approval of the advisory faculty), including as a collection of publication-quality articles related by a central subject-matter theme or research problem. This type of dissertation is called a “three-paper” dissertation. The individual papers are considered to be chapter divisions of the dissertation as a whole and must be formatted according to the Graduate School Guidelines.

Additionally, the three-paper dissertation must include a single overarching abstract, a single integrative introduction, and a single unifying conclusion. The individual manuscripts may be previously published or under review for publication but are not required to be so. For content previously published or under review, see the Policy on Previously Published Material (above) for specifications.

The bibliography or reference list of a three-paper dissertation may be treated as sections of the individual chapters or combined in a single list at the end of the text. The decision should be based on the similarity among the lists. If every chapter has many of the same references, then a single combined list would make sense. If the individual chapters are not very similar in documentation, then the reference lists may appear at the end of each chapter. A single, consistent documentation style (APA, MLA, etc.) should be applied throughout the dissertation in either case.

Academic Integrity

Student papers are to be prepared with integrity. Plagiarism is the attempt to present another’s work as one’s own. Plagiarism includes copying or paraphrasing material from books, periodicals, or other sources without identifying and acknowledging these sources.

Plagiarism, falsification of data, or other research misconduct may result in a dissertation being declared unacceptable. Further, the student may be subject to

suspension or dismissal from the university, revocation of the degree, or other sanctions if they are found to have plagiarized any part of their dissertation.

Research Involving Human Subjects, Live Vertebrate Animals, and Recombinant DNA

Any graduate student who proposes to undertake research involving human subjects, live vertebrate animals, or recombinant DNA must obtain approval for the project from NIU's Institutional Review Board (IRB) **before the data collection phase begins**. Research using questionnaires, evaluations, surveys (mailed or otherwise conducted), or personal interviews is included in the category of human subjects research.

Forms requesting approval for such research may be obtained from most departmental offices or from the Office of Research Compliance, Integrity and Safety. The ORCIS also offers specific training, resources, and guidance for researchers.

Style

All papers are to be written with spelling, grammar, syntax, and punctuation consistent with Standard American Edited English for academic audiences, except for foreign-language citations and quotations.

Style Manuals

The default documentation style of the Graduate School is American Psychological Association (APA), 7th ed., but the Graduate School does not specify a particular manual of style because different disciplines follow different practices. A department may designate a style appropriate to its scholarly literature, for example:

- American Society of Mechanical Engineers (ASME)
- American Chemical Society
- American Dietetics Association (ADA)
- American Mathematical Society
- American Medical Association (AMA)
- Chicago or Turabian
- Modern Language Association (MLA)

In cases where the department's preferred style differs in its format requirements (i.e., margins, pagination, line spacing) from the Graduate School guidelines presented here, **Graduate School requirements take precedence**.

In any case, the student is required to be consistent in the use of the style adopted. The student must also follow the most current edition of any style manual. Contact the Thesis Office with any questions regarding style manuals or documentation.

Copyright and Permissions

Under federal law, the author of a dissertation automatically has ownership rights and copyright protection for that paper. A student who wishes to declare this should insert a copyright notice on the title page, for example:

© 2019 Chris Student

Additional legal protection may be secured by registering the dissertation with the U.S. Copyright Office of the Library of Congress, but the Graduate School does not require copyright registration.

If your dissertation includes materials that are themselves protected by copyright, for example, artworks, graphics, musical scores, lyrics, test instruments, etc., you must obtain permission to include them in your dissertation. Each copyright holder will need to be contacted for permission and the subsequent permission must be granted in writing, although it may be an e-mail or other electronic medium. **Permissions must be in hand before the paper is defended.**

Copyright is a complex body of law and may be difficult for students to understand. Contact the Thesis Office if you have any questions.

Freelance Formatters and Editors

As a courtesy to students, the Graduate School maintains a list of freelancers who have indicated their availability and interest in formatting dissertations for a fee. This list is found on the Thesis Office website. Hiring a professional freelancer does not absolve students of the responsibility to ensure the paper meets the standards and requirements of the Graduate School. Likewise, the Graduate School cannot assume responsibility for the quality of work done by a freelancer.

The Thesis Office recommends that students confer with freelancers about rates, schedules, and details of the particular manuscript before work begins so that both parties have a firm understanding about the work to be performed and the charges to be paid. Graduate School deadlines are firm and will not be waived because the student has failed to allow sufficient time for the freelancer to complete the work.

ORGANIZATION OF THE MONOGRAPHIC DISSERTATION

Students undertaking a wholly nonmonographic or hybrid dissertation should contact the Thesis Office for specifications and requirements.

A monographic dissertation is organized as follows. Examples and templates may be found on the Thesis Office website.

- Abstract

Front Matter (paginated with lowercase Roman numerals)

- Title Page (p. i)
- Acknowledgements (optional, p. ii)
- Dedication (optional, p. iii)
- Table of Contents (p. ii, iii, or iv)
- List of Tables (if necessary)
- List of Figures (if necessary)
- List of Appendices (if necessary)
- Preface (optional)

Body (paginated with Arabic numerals)

- Main body of dissertation (begins on p. 1)

Back Matter (numbered in sequence from the last page of the body of the text)

- References/Bibliography/Works Cited/Works Consulted (**select one** as appropriate for literature in your discipline)
- Appendices (if applicable)

Abstract

There is no word limit on abstracts. The abstract is neither paginated nor counted in the front matter pagination. Abstracts may not include citations.

Title Page

The title page is the first page of the dissertation (p. i, but the page number is suppressed, i.e., hidden). All information on this page (except the copyright statement and director information) is typed in capital letters. The remaining front matter is paginated from this page forward in lowercase Roman numerals.

Acknowledgements

This optional page immediately follows the title page. Acknowledgements recognize the persons or organizations to whom the author is indebted for guidance and assistance, those to whom he or she is grateful for any special or nonroutine aid, and sources of any financial support received for the work. Acknowledgements should be expressed simply, succinctly, and tactfully.

Dedication

A dedication page is also optional and follows the acknowledgements page. The dedication is normally limited to one or two lines.

Table of Contents

The Table of Contents contains all front matter material that follows it, such as the List of Tables, List of Figures, List of Appendices, and Preface. It also lists the chapters or other main divisions of the body of the work, the bibliography, and any appendix (if included). Each item in the Table of Contents must be worded exactly as it appears in the text.

Capitalize all letters of chapter titles in the Table of Contents. Indent subheadings and list them under the chapter heading using traditional title capitalization style, i.e., uppercase and lowercase letters.

The Table of Contents must present all chapter titles. Headings and subheadings within chapters may also be listed on the Table of Contents, but if you choose to include any particular level of heading below the chapter level, all headings of that level throughout the paper must also be listed.

A page number must be specified for each listing in the Table of Contents, including chapter titles. Single-digit page numbers should be lined up with the last digit of multiple-digit page numbers.

List of Tables

This list appears after the Table of Contents. Each title must be worded exactly as it appears on the table in the document. All tables in the text and in the appendices must be included.

List of Figures

This list appears after the List of Tables. Each entry must be worded exactly as it is worded in the figure title, except that parenthetical information in the figure legend that has meaning only in reference to the figure need not appear in the figure title in this list. All figures appearing in the text and appendices must be included on this list.

When a figure is preceded by a cover page containing its number and legend, this page number is the one listed in the List of Figures.

List of Appendices

If there are two or more appendices, they must appear on a List of Appendices following the List of Figures. Each title must be worded exactly as it is worded in the appendix. Each appendix must be preceded by a title page and the number of the title page is its page number on the List of Appendices.

Preface

A preface is optional and includes explanatory remarks about the background of the study. It immediately precedes Chapter 1 and is paginated as part of the front matter (with lowercase Roman numerals).

Body

The body of the dissertation follows the front matter. A dissertation is divided into chapters, which may also be divided into sections and subsections. The body of the text is paginated with Arabic numerals, starting with p. 1.

References/Bibliography/Works Cited/Works Consulted

Different academic disciplines may prefer different terms for this list. Choose the term appropriate for your discipline. However, "References" and "Works Cited" include only those works actually cited in the text. "Bibliography" and "Works Consulted" list all works cited in the text plus other background works that may be relevant to the study but not explicitly cited in the text. No matter what you call the list, however, each entry should be single spaced with a double space between entries. Do not split an entry across a page break.

There must be a reference entry for every citation in the text, with spelling, dates, publishing information, etc., that are correct and presented consistently. Accuracy is very important. **Check the reference list against the textual citations before submitting the postdefense version for review.**

Appendices

Appendices are placed after the reference list. An appendix is the appropriate location for various types of materials that are germane to the research being reported but are considered somewhat tangential to the text itself. Examples are raw data, questionnaires, letters of transmittal, etc. Sometimes material is placed in an appendix because its length would make it too intrusive if it appeared in the text. The appendices must conform to all pagination and margin guidelines but may be single or double spaced.

Each appendix should be provided with a title. When more than one appendix is included, each of the appendices must be designated by a letter (APPENDIX A, APPENDIX B, etc.) as well as by title. The appendix letter and title should be placed on a separate cover page preceding the material, centered in all capitals halfway down the page. If the title is longer than two lines, it should be arranged in inverted pyramid style and double spaced. The page number is not printed on the cover page, but this page is counted in the pagination.

A List of Appendices in the front matter is required if the paper contains two or more appendices. Because the appendix cover page is considered the first page of the appendix, it is the number that appears in the List of Appendices, even though the page number is suppressed on the cover page itself.

If the paper contains only one appendix, no List of Appendices is needed; in that case, the appendix would be indicated at the end of the Table of Contents.

DOCUMENT FORMAT

Fonts

A standard font (such as Times New Roman) of either 10- or 12-point size should be used. The same font must be used throughout the dissertation, with the exception of material contained within tables or figures. Italics and boldface are acceptable only for occasional, appropriate use.

All fonts must be embedded. Manuscripts without embedded fonts may cause all punctuation and formatting to disappear when the document is printed from the digital file. To avoid this problem, create your manuscript using a TrueType font—not a scalable font. Select one of the following:

- *Arial 10pt
- Garamond 12pt
- *Georgia 12pt
- Microsoft Sans Serif 10 or 12pt
- Tahoma 10 or 12pt
- *Times New Roman 12pt (preferred)
- *Trebuchet MS 10 or 12pt
- *Verdana 10pt

* A web font designed for easy screen readability. Because many readers are likely to view your dissertation on a screen, you may wish to improve the readability of your text by using one of these fonts.

Color

Digital manuscripts will appear in color when viewed electronically. Microfilm and print reproductions may **not** preserve color. Take into consideration that data and information that are color coded or based on color shading may not be interpretable in some cases. However, printed copies ordered through ProQuest's binding service will retain original color.

Paper Size and Margins

The paper size selected must be **Letter** (8.5" x 11"). The margins on each page must be

1 inch all around (essentially forming a 1-inch frame of white space), except on pages that begin with a first-level heading (for example, the first page of each chapter). On those pages, the top margin above the heading must be 2 to 2.25 inches. **All text, including page numbers, footnotes, tables, and figures, must be fully within the specified margins.**

Line Spacing

All text in the main body of a dissertation must be double spaced, with the exception of block quotations, table and figure titles, notes, and some tabular material, which should be single spaced.

References/Bibliography entries should be single spaced with a double space between entries.

Pagination

Except for the abstract, every page must have a number, though on certain pages the number is suppressed (i.e., hidden). Page numbers are placed in the upper right corner within the required 1-inch top and right margins (i.e., a minimum of 1 inch of white space above the number and 1 inch of white space to the right of the number). Numbers may not be embellished with periods, dashes, hyphens, or letters (e.g., "43a"). **Running heads should not be used.**

Pages in the front matter are numbered with lowercase Roman numerals. Body pages are numbered with Arabic numerals. The title page is always page i, and the first page of the body is always page 1. Back matter (i.e., references and appendices) are numbered in sequence from the last page of the text. The abstract is an independent document and is neither paginated nor counted in the front matter pagination.

Suppress (or remove/hide) the page numbers on the following pages: all abstract pages (no page number at all, not even suppressed), title page, figure legend cover pages (if used), appendix cover pages, and any page with a 2-inch top margin, such as the first page of chapters, front matter sections (Table of Contents, List of Tables, etc.), and References or Bibliography. Subsequent pages of these sections are numbered.

Headings

A consistent system of headings must be used throughout the dissertation. Headings break a large, densely packed document into smaller units of material based on their relationship to the material above and below them. A clear, sensible system of headings aids readers in understanding complex documents.

At minimum, all dissertations must have chapter headings; additional headings/subheadings are optional but often advisable. The chapter number and title must be typed in the same manner for all chapters. If chapters are further subdivided, all second-

level headings within chapters must be typographically alike, and so on. Five levels of headings are allowable, but not all papers will need all five levels. Except for fifth-level headings, spacing above and below headings should be triple spaced consistently throughout the paper to clearly distinguish the headings from the text.

A heading near the bottom of a page must be followed by at least one line of text on the same page. If there is not sufficient space within the required margins to accommodate a line of text, bump the heading to the top of the next page.

Underlining

Certain elements require underlining, but underlining should not be confused with italicization (see Italics below). **Heading levels 3-5 should be underlined rather than italicized, contra APA.** Underlining must be done with a solid line (spaces between underlined words must also be underlined). Do not underline terminal punctuation.

Italics

Italics should be used for titles of books and journals in the References/Bibliography and in the body of the text. Italics should also be used for variables and statistical symbols (e.g., *t*, *p*, etc.). Other applications of italic type are acceptable only for occasional, appropriate use. Nonitalic or “ordinary” type is called “Roman.”

Leader Dots

Leader dots should be used in the Table of Contents, List of Tables, List of Figures, and List of Appendices. They should follow the last word of the heading or title, should be lined up under one another, and should not run directly up to the page number.

Block Quotations

Block quotations are single spaced (contra MLA), set off from the text without quotation marks, and indented by one tab. The terminal punctuation of a block quotation follows the last word of the quoted passage, then the citation is placed after without additional punctuation. For example:

... end of quotation. (citation)

Footnotes

Notes (if any) should be positioned as footnotes, placed at the bottom of the page on which the note is “called out” by a superscript numeral. Entries should be single spaced with a double space between entries. The numbering of footnotes begins anew with each chapter.

Mathematical and Chemical Notations

Symbols other than letters of the Roman alphabet and Arabic numerals should match the type style used for the rest of the dissertation whenever possible and ideally should be selected from the fonts in the program used to prepare the body of the text. Fonts must be embedded; select a font from the recommended fonts listed in the Fonts section above.

There should be spacing above, below, and between lines of mathematical or chemical notation presented on separate lines to ensure visual clarity. There should be at least two lines of space between the subscripts of one line and the superscripts of the line below.

Tables and Figures

Tables, including those in the appendices, are to be numbered consecutively throughout the dissertation in order of appearance. The same is true for figures and other types of illustrations. Place the number and title of a table above the table. Place the number and title of a figure below the figure or on a cover page as described below. The typeface of table and figure titles must match that of the text.

All tables and figures must be referenced explicitly in the text immediately preceding their placement. If a table or figure is no more than half a page in size, it should be inserted at the paragraph break following its reference, if space permits. Do not interrupt a paragraph on a given page with the placement of a table or figure. Finish the paragraph before positioning the table or figure. **If there is not sufficient space on the page to place the table or figure, continue text to the normal bottom margin and place the table or figure on the next page.**

If a table or figure is more than half a page in size, it should be placed by itself on the page immediately following the page on which it is first mentioned. **In this case, continue text to the normal bottom margin on the preceding page and resume the text normally across the page break,** continuing on the page following the full-page table or figure.

If a table is longer than one page, it should begin at the top of a page and continue on succeeding pages as necessary, with the notation "Continued on following page" (in parentheses) at the bottom of the page and a notation such as "Table 1 (continued)" at the top of succeeding pages.

If two or more small tables or figures are included on a single page, do not combine them with text. **In all cases, tables or figures should be separated from the text and from each other by at least four lines of space.**

Tables and figures must fit within the prescribed margins. Tables and figures may be positioned horizontally on the page (called “landscape”). The top of a landscaped table or figure must run along the left margin when the page is viewed vertically (“portrait” orientation), but the **page number must still be in portrait orientation** and in the same upper right location as required on ordinary text pages.

When a table or figure is referred to in the text, the reference should be to the table number, not to “the table below.” If a figure legend appears on a cover page, the page number **is not** printed on the cover page, but a number **is** printed on the page on which the figure appears. However, the page number of the cover page is the number that appears on the List of Figures. If a cover page is used for any figure, **all** figures in the paper must have cover pages. Notes for a table should be placed directly below the table, not at the foot of the page.