THE GRADUATE SCHOOL
NORTHWESTERN UNIVERSITY

FORMAT GUIDELINES
FOR DOCTORAL DISSERTATIONS

Northwestern University
The Graduate School
Last revised 1/23/2015

Formatting questions not addressed in this document should be directed to Student Services, The Graduate School, at gradservices@northwestern.edu

ARRANGEMENT OF THE DISSERTATION:

Each dissertation must be arranged in the following order. Specific information about each section is on the following pages. Italicized pages are optional.

- Title Page

- *Copyright Page (optional)*

- Abstract

- *Acknowledgment page (optional)*

- *Preface (optional)*

- *List of abbreviations (optional)*

- *Glossary (optional)*

- *Nomenclature (optional)*

- *Dedication (optional)*

- Table of Contents

- Lists of Tables, Illustrations, Figures, or Graphs

- *Introduction (optional)*

- Text body (divided into chapters following a logical outline)

- Tables, Illustrations, Figures, Graphs: If not incorporated into the main body of the text, these items should immediately follow the text, not at the end of chapters.

- References

- *Appendices (optional)*

- *Vita (optional)*

FORMATTING AND LAYOUT REQUIREMENTS:

PAGE SIZE
- Page size should be 8.50 x 11.00, standard US Letter size.

MARGINS
- 1 inch on all sides, including page numbers.
- Page numbers should be at least 1" from the top and right-hand edges of the page, as appears in this document.

SPACING
- The preliminary pages and text must be double spaced.
- Under certain conditions, quotations may be single spaced, if recommended by an approved style manual.
- Table of Contents and lists with lengthy entries may be single spaced with a double space between entries.
- References may be single spaced, with a double space between entries.

PAGINATION
- Every page in a dissertation is numbered, except the title page.
- Page numbering will begin on the second page with Arabic numeral 2 in the upper right-hand corner of the page, as appears in this document.
- No empty pages
- On pages of the dissertation that are formatted with landscape orientation, the page number must appear in the upper right-hand corner if the page were rotated to portrait orientation. See the tutorial and example here.
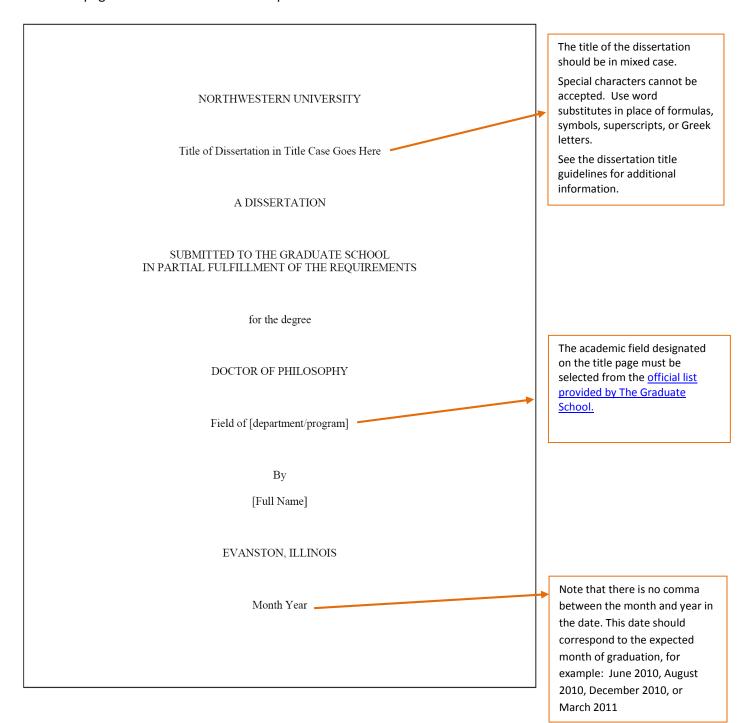
FOREIGN LANGUAGES DISSERTATIONS
- A student in a foreign language department who writes the dissertation in a language other than English is required to write a 10-20 page summary of the dissertation in English and include it as an appendix.
- The abstract must also be in English.

CONTENTS:

TITLE PAGE

The title page should conform to the sample below.

NORTHWESTERN UNIVERSITY

Title of Dissertation in Title Case Goes Here

A DISSERTATION

SUBMITTED TO THE GRADUATE SCHOOL
IN PARTIAL FULFILLMENT OF THE REQUIREMENTS

for the degree

DOCTOR OF PHILOSOPHY

Field of [department/program]

By

[Full Name]

EVANSTON, ILLINOIS

Month Year

The title of the dissertation should be in mixed case.

Special characters cannot be accepted. Use word substitutes in place of formulas, symbols, superscripts, or Greek letters.

See the dissertation title guidelines for additional information.

The academic field designated on the title page must be selected from the official list provided by The Graduate School.

Note that there is no comma between the month and year in the date. This date should correspond to the expected month of graduation, for example: June 2010, August 2010, December 2010, or March 2011

DISSERTATION TITLE GUIDELINES: Dissertations are a valuable resource for other scholars only if they can be easily located. Modern retrieval systems generally use the words in the title to locate a document. It is essential that the title be an accurate and meaningful description of the content and that obscure references be avoided. Please use these guidelines when formulating a dissertation title:

CASE: The first and last words and all nouns, pronouns, adjectives, verbs, and adverbs (if, because, as, that, etc.) are capitalized. Articles (a, an, the), coordinating conjunctions (and, but, or, for, nor), and prepositions, regardless of length, are lowercased unless they are the first or last word of the title or subtitle. Only acronyms should be set in full capitals.
> Examples:
> Power and Consumer Behavior
> Outpatient Treatment for Children: Organizational Practices as Predictors of Recovery
> A Comparison of the Methodologies for Determining Achievement in High School

HYPHENATION: Consult the dictionary as to whether a word is hyphenated. In general, do not hyphenate words beginning with the prefixes co, non, pre, post, or re unless there is a possibility of confusion (co-op, post-master's) or the root word begins with a capital letter (post-Renaissance). Hyphenate words beginning with the prefix self. Hyphenate compounds used as adjectives (decision-making) but not as nouns (decision maker). Part-timeis always hyphenated. When more than one prefix is joined to a base word, hyphenate the prefixes standing alone (micro- and macroeconomics). Do not hyphenate fundraising, freelance, yearlong, health care, African American, Asian American.
> Examples:
> Great Nonfiction Works of the Nineteenth Century (Instead of: Great Non-fiction Works of the 19th Century)

SPELLING AND GRAMMAR: Dissertation titles should be spell-checked and dictionary spelling of words should be used. Use "and" rather than "&," and spell out names of centuries and other numbers usually spelled out in text.
> Example:
> The Labour Party in Perspective and Twelve Years Later

SPECIAL CHARACTERS: No special characters should appear in the dissertation title (SES/CAESAR cannot accommodate special characters). Terms or phrases that include special characters should instead be written out.
> Examples:
> Evaluation of DNA Hybridization and Cleavage Capabilities of Peptide Nucleic Acid-Titanium Dioxide (instead of: Evaluation of DNA Hybridization and Cleavage Capabilities of PNA-TiO2)
> The Role of TGF-beta Variants in Cancer (instead of: The Role of TGF-β Variants in Cancer)

ITALICIZATION: Italics should only be used in dissertation titles when referring to the title of a published work, foreign language words, gene names, scientific names as appropriate, or other words that are usually italicized.
> Examples:
> Techniques in Drosophila Circadian Biology
> Mechanisms of Differentiated Cell Function in vitro

APOSTROPHES: Do not use to form plurals (it should be 1940s, not 1940's) unless it would be confusing without (thus A's and B's, not As and Bs; p's, not ps). Possessives of singular nouns ending in s are formed by adding 's (e.g., Russ's dog).
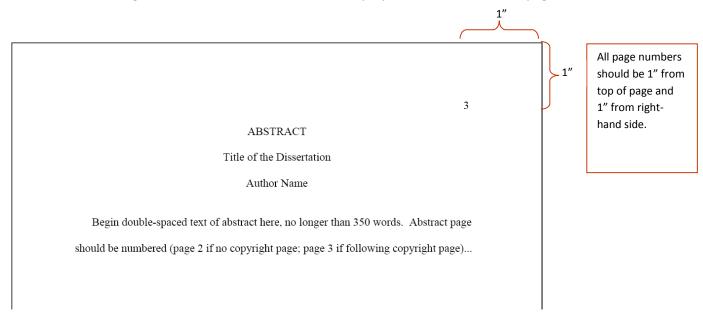
COPYRIGHT PAGE

If you choose to copyright your manuscript, a copyright notice must appear on a separate page following the title page. It should read as follows:

ABSTRACT
- Inclusion of the abstract within the preliminary pages of the dissertation is required.
- The abstract should provide an accurate summary of the contents of the dissertation, including a statement of the problem, the procedures or methods used, the results, and the conclusions.
- Mathematical formulas, photographs, diagrams, and other illustrative materials are not recommended for inclusion in the abstract.
- The format given below should be followed in the preparation of the abstract page.

1"

1"

3

ABSTRACT

Title of the Dissertation

Author Name

Begin double-spaced text of abstract here, no longer than 350 words. Abstract page

should be numbered (page 2 if no copyright page; page 3 if following copyright page)...

All page numbers should be 1" from top of page and 1" from right-hand side.

OPTIONAL PREFATORY PAGES
- Acknowledgment page
- Preface
- List of abbreviations
- Glossary
- Nomenclature
- Dedication

TABLE OF CONTENTS
- The format of the table of contents should conform to the guidelines in an approved style manual.
- It is important that the table of contents accurately reflect the outline and organization of the manuscript.

LISTS OF TABLES, ILLUSTRATIONS, FIGURES, OR GRAPHS
- These lists should reproduce the specific titles and page locations of all illustrative materials.

INTRODUCTION (optional)
- This optional section should provide an overview of the dissertation and the research problem that is being addressed. It should also indicate how the research and argument presented will contribute to scholarship in the field.

BODY OF THE TEXT
- Chapters should follow a logical outline, with a clear distinction between chapters, main heads within chapters, and subordinate heads within the main heads.
- The outline and organization of the main body of the text should be accurately reflected in the table of contents.
- All non-textual elements (e.g., tables, graphs, and images) must be described in the text.

TABLES, ILLUSTRATIONS, FIGURES, GRAPHS
- If not incorporated into the main body of the text, these items should immediately follow the text, not at the end of chapters.
- Margin requirements must be met on all pages that contain charts, graphs, tables, or illustrations. If the title, legend, or description of an illustration is too long to be placed on the same page with the illustration, it must be placed on a separate numbered page preceding the illustration.

REFERENCES
- Each dissertation must include references to document the text.
- These references may be included at the bottom of the page or at the end of the text, but cannot be placed at the end of each chapter.
- The format for references must conform to the guidelines in an approved style manual.

APPENDICES (optional)
- The format for the appendices must conform to the guidelines in an approved style manual.

VITA (optional)
- It is recommended that each copy of the dissertation include a brief vita containing the author's name, place of birth, education, relevant professional experience, and publications. The vita page is numbered.

COMMON DISSERTATION FORMATTING PITFALLS CHECKLIST:

There are several common formatting problems that require resubmission and re-review of the dissertation. Please check this list to ensure your dissertation is correctly formatted:

- Are your margins correctly sized (including page numbers) such that there is 1 inch on all sides?

- Are your pages numbered starting on the 2nd page with the number 2 (NOT roman numeral) in the upper right-hand corner of the page?

- Are your page numbers properly placed in the upper right-hand corner of the page, 1 inch from the top and 1 inch from the right edge of the page?

- Are all of your pages numbered, except for the title page?

- On pages with landscape formatting, does the page number appear in the upper right-hand corner if the page were rotated to portrait orientation?

- Is your page size 8.50 x 11.00 (regular US letter size)?

- Does your title page include the correct location – EVANSTON, ILLINOIS (not CHICAGO, ILLINOIS)?

- Does your title page include the correct date? The date should be the month and year you will receive the degree, for example: December 2009

- Are your pages ordered properly, with the title page first, followed by the copyright page (if you are including one), then the abstract page?