GUIDELINES

THESES, FINAL PROJECTS, DISSERTATIONS

Published by

The Office of Graduate Education

Northern Kentucky University

Summer 2010

TABLE OF CONTENTS

NORTHERN KENTUCKY UNIVERSITY

**INSTRUCTIONS FOR THE PREPARATION OF
THESES, FINAL PROJECTS, DISSERTATIONS**

INTRODUCTION

Many advanced degrees awarded at Northern Kentucky University require the completion of a thesis, final project or dissertation (all referred to as "document" from here on). This work reflects the quality of both the program that supervises the student and the university that awards the degree. The university sets criteria and standards for the format of the written work, which is available not only for the immediate campus population, but also to a wider scholarly public through our partnership with ProQuest/UMI which is the organization where your document will be housed in additional to a microfiche copy in Steely Library. The university no longer accepts paper documents.

This manual has two sections. The first contains general information that you will need to write your document. Requirements for formatting, page order, page examples and such – what can be called the mechanics - are part of this. We expect your document to follow the guidelines set forth in them. Any deviation from these without express approval of your program director will not be allowed.

The second section of this manual gives you the information you need to submit your document electronically. NKU no longer accepts printed/paper copies of the final document. The process is easy as long as all the steps are followed.

You are directed to the Graduate Catalog and your program director for complete information on academic requirements and your individual program's document guidelines.

SECTION ONE
GENERAL INSTRUCTIONS

STYLE MANUAL

Your program has selected the style manual most consistent with the scholarly practice in your discipline. You should consult with your committee chair concerning the manual to be used.

USE OF COPYRIGHTED MATERIAL

Copyright is a form of protection provided by the laws of the United States (Title 17, U.S. Code) to the authors of "original works of authorship," including literary, dramatic, musical, artistic, and certain other intellectual works. This protection is available to both published and unpublished works. Examples of copyrighted works include websites, articles, questionnaires, tables and pictures. No specific statement that the materials are copyrighted is necessary for the copyright to apply.

The reprinting of copyrighted materials from another source within your document is discouraged. We suggest you refer to and cite the copyrighted material rather than duplicate it in your document. For example, you can cite an author's flow chart rather than reprinting it. If you insist, however, you must have a written release from the copyright owner. This release must be included in the appendices of your document. The owner is not necessarily the author; it could be the journal in which an article was published or an organization that publishes a scale or survey instrument. It is your responsibility to find the copyright owner and get written permission prior to using the work in your research and including it in your manuscript. Be aware there may be a charge for use of copyrighted materials.

You can find copyright information at the ProQuest/UMI web site. You should also discuss this with your document advisor or committee.

FORMATTING

Below are the guidelines you should follow when setting up your document. They can be accomplished fairly easily with any standard word processing software. Complete instructions on how to do these requirements are available through the Atomic Learning[SM] page that can be found at this site: http://www.atomiclearning.com/highed/en/browse At this site you will find instruction guidelines for Microsoft products and others.

Margins   The margins for your document must not be smaller than one inch (1") all around. If you decide to have a hardcopy of your document bound, you will need to have the left margin at one and one-half inches (1½") to allow for the binding on the left margin.

Page Size   All parts of your document, including text, charts, graphs, and footnotes, should be able to be reproduced on the standard paper size (8 ½" x 11") within the approved one inch margins. This may require resizing photographs, tables and such to meet the requirements. Any item resized must still be readable and printable.

If you have tables that are too wide for the letter format, you can orient those specific pages as landscape instead. The title and top of the table or object should be parallel to the left margin in letter orientation. The page number must be consistent with all other pagination in the document, meaning the page number should not be on what will be the right margin.

Fonts   Arial is the suggested font to be used in your document because it is clearly readable in a PDF document. The same font is to be used throughout the initial pages (approval sheet, title page, document release, etc.) and the body. In some cases, with the approval of your committee, it is acceptable to have a different font on a chart or graph. Though 12 point is the recommended text size for the body of your document, you may use any size or attribute of the font (i.e., italics, bolding) as necessary as long as it is clearly readable. Usually, any passages or sections that are not formatted using Arial should be placed in the appendices unless approved otherwise.

Line Spacing   The preferred line spacing for the electronic document is one and one-half (1½ lines) rather than single or double line spacing. Either may be used in the body of the document but should remain consistent throughout. Unless specifically directed to by your committee, do not use single spacing. This document is in one and one-half (1½ lines) spacing.

• If using one and one-half or double space, do not use the single blank line, instead the first line of the paragraph must be indented for clarity. Long quotations (more than four lines in length) are to be single spaced and indented from both the left and right margins. Other items that should be single spaced are footnotes/bibliographic entries, chart/graph titles of more than one line, headings, end notes, and material in an appendix.   If your style manual has different instructions, you are to follow those.

• Most word processing software has the ability to control for widows and orphans – single lines of a paragraph at the top or bottom of a page. You should turn this on before starting your document. It will force at least two lines of a paragraph to be on the bottom or top of a page.

• You will still have to make sure that a section heading has a least two lines above and below it as well before a page break. If you have a section heading that has a three line paragraph coming at the end of a page, move it all to the top of the next page.

• If you have selected an option to hyphenate words in your document, you will need to make sure the last word on a page is not hyphenated. The easiest way to ensure this does not happen is to turn off the hyphenation option.

Pagination   Page numbering begins with the Acknowledgement page, or the page that would follow if you do not include an Acknowledgement page. Beginning with the Acknowledgement, all pages following until the first page of the actual text are to be numbered in small Roman numerals beginning with Roman numeral iii. These numbers are to be on the bottom center of the pages.

• No number is to be placed on the first page of text which is the first page of the first chapter. Arabic numerals should be used beginning with the second page (numbered "2") and running consecutively to the end of the document (appendices and vita included).

• The first page numbers of each subsequent chapter must be in the bottom center of the page. All other page numbers (Roman and Arabic) must be in the same position on each

page (such as top right).   If your style manual does not have a specific requirement on pagination, it is strongly suggested that you put all page numbers on the bottom center.

SUBMISSION DEADLINES

The following dates are the deadlines for turning in the completed and approved document containing all changes required by your committee to the Office of Graduate Programs. This will enable you to graduate at the end of the semester in which it is submitted to ProQuest/UMI. All fees required for processing the document must be paid directly to ProQuest/UMI.   Your document should not be uploaded before you have made all changes required by your committee.   Placing your document onto ProQuest/UMI should be the final step, not the first.

Fall	No later than November 1
Spring	No later than April 1
Summer	No later than July 1

You need to be aware that your document must be checked by the chair of your committee, the director of your graduate program, and the Director of Graduate Programs before the approval to publish is given to ProQuest/UMI. You will not be cleared for graduation until this final approval has been given. We suggest that you have your document checked by your academic program director at least four weeks prior to the deadline for final submission. That will leave you plenty of time to make any required changes before you upload to ProQuest/UMI. Once you have uploaded your document to ProQuest/UMI, the Director of Graduate Programs will read the document and reassign it to the appropriate Program Director to request any necessary changes. Please be aware that until all changes have been made, the document will not be fully approved. Only once full approval has been given will the Director of Graduate Programs certify you as cleared for graduation to the Office of the Registrar. Of course, all other graduation requirements must also be met before the Office of the Registrar will give final approval for you to graduate.

DOCUMENT CHECKLIST SHEET

To ensure that you and your committee chair are in agreement that your document is ready for final submission and that you should be cleared for graduation, a Checklist must be completed on the ProQuest/UMI website by your program director and the director of Graduate Programs. This will not be completed until you have submitted your final document, and it has been fully approved.

ORDER OF MANUSCRIPT PAGES

There are three general divisions to your document: the preliminaries; the text; the reference materials. The specific order of pages is as follows:

Preliminaries   These are the pages that come before Chapter 1 or the first page of the body of your document.

- *Abstract*   The abstract is a page of 150 words or fewer and consists of a summary of your thesis or project. It must be single spaced. Your name and the date must be affixed to the page. See sample on page 10.
- *Approval Page*   The approval page for the document contains the name of the student, the title of the document, and the names of the committee members. Use only as many lines as you have members. See a sample on page 11.
- *Title Page*   One of the functions of a title to ensure that your document can be found by other researchers. The use of digital databases makes it more important that your title contains the emphasis of your document.   For example, if your topic is on the decline of the American automotive industry, it would not be helpful to have a title "Motown Lemons." Nowhere is it clear in this short title that the document covers the automobile industry. The only people who are going to find your document are those covering music or fruit, neither or which is a part of your document. The appropriate and searchable title could be "The Fall of the US Automotive Industry: Motown Lemons". This allows you to have a catchy subtitle if you wish (there is no limit on the number of words a title may have), just make sure your real topic is first. You will have the opportunity to select

other searchable metatags when you submit your document to UMI. See sample on page 12.

• *Copyright or Document Release*   If your document should be formally copyrighted, you may have it registered at the time you submit your thesis/project. ProQuest/UMI will handle it for you. There is an additional fee for this service, which you will pay when you request the copyright. Be certain that you have included the copyright notice in your document. The notice is a single sheet on which is centered the following.

Copyright by

(Your Name Here)

Year

If you do not wish to copyright your document formally, you are requested by Steely Library to complete the Statement of Release and include it in the document where the copyright statement would have been placed. .

• *Acknowledgments* begin Roman numerals with number iii – Optional page

• *Table of Contents*   If no Acknowledgment page, then start here with iii.

• *List of Tables*

• *List of Figures*

Text   This is the body of your document and begins with Chapter 1 or text. You will start Arabic numerals with the number "2" on page 2. There is no number at the bottom of the first page.   You will find instructions on how to change from Roman numerals to Arabic and the start numbering on page 2 in the Atomic Learning^{SM} page that can be found at this site:

http://www.atomiclearning.com/highed/en/browse

Reference Materials   These will be the final pages of your document.

• *Appendices*   Depending upon your style manual, these may be the last pages before the vita.

• ***IRB form*** All students doing research with human subjects must have this research **approved prior** to beginning the research by the NKU Institutional Review Board. You must have the approval form scanned into your final document. Without that form, your document will not be approved.

• ***Bibliography and/or References***   Your document must include a bibliography and/or list of references. Either choice is acceptable to the university and depends upon your style manual. Individual graduate programs may choose to exceed the minimum by requiring both a bibliography and a list of references. References will be understood as only those works cited in the text, including traditional footnotes and parenthetical citations. A bibliography will be understood as a comprehensive list of all sources used in preparation of the document whether or not they are cited. A complete bibliography and/or list of references must be placed at the end of the document and is in addition to any bibliography and/or list of references that may appear at the end of each chapter or section.

The university requires, at a minimum, that bibliographies be alphabetized, but you may do so within subheadings as directed by your program. References may be listed either alphabetically or sequentially in order of citation as stipulated by your committee.

• *Vita* The vita is a summary of your educational and professional background/ The following information should be included:

> o Name of student.
> o Educational institutions attended and degrees awarded and date current degree is expected to be awarded.
> o Research and professional honors.
> o Professional publications.

No personal information (such as address or date of birth) is to be included on the Vita.

Note for Nursing Students   Nursing students, because their undergraduate degrees are professional in nature, may be requested to add their degrees behind their names. For example, rather than simply putting your name on the abstract page as Polly Tishon, you should put Polly Tishon, BSN. This addition is neither requested nor required of non-nursing students.

<div align="center">**EXAMPLES OF SPECIAL PAGES**</div>

How to Set Up the Pages

The examples on the pages below will give you instructions on setting up the pages. The guidelines are given with the assumption that you have followed the appropriate margin requirements. All page position notations for page text are with the 1" top margin as a given. The positions are in italics just above the text. If a title position is given as 3", that means you will hit the enter key until you are as close to 3" from the top margin as possible, then enter the text as required. All other italicized text on the example pages is for information only.

Here is the easy trick. If you are using Word, just turn on the ruler. You will see exactly where you have to type.

Page numbers on the examples are for this manual only and are not to be used in your document. There should be **NO** page numbers on the pages when they are in your document.

(Sample Abstract Page)

(2" from top margin)

ABSTRACT OF THESIS

(3"from top margin)

HEALTH CARE REFORM IN KENTUCKY:

WHAT'S UP DOC?

(At least two blank lines from last line of title to beginning of abstract)
(Text of abstract begins here. Not to be more than 150 words single spaced – do not center the text of the abstract on the page.)

(8" from top margin)

Polly Tishon

April 1, 2007

(3" from top margin)

HEALTH CARE REFORM IN KENTUCKY:

WHAT'S UP DOC?

By

Polly Tishon

7" from top margin)

George Bellows, Ph.D. Committee Chair

I. M. Picky, Ph.D., Committee Member

Minnie Changes, Ph.D. Committee Member

Nota Chance, Ph.D. Committee Member

(2" from top margin)

HEALTH CARE REFORM IN KENTUCKY:

WHAT'S UP DOC?

(3" from top margin)

_____

Place the document type here such as the word Dissertation or Thesis

_____

A (document type) submitted in partial fulfillment of the

requirements for the degree of Master of Public Administration

at Northern Kentucky University

(6" from top margin)

By

Polly Tishon

Highland Heights, Kentucky

Director: Dr. George Bellows

Associate Professor of Public Administration

Highland Heights, Kentucky

2007

(Sample Document Release Page)

(3" from top margin)

DOCUMENT RELEASE

_____ I authorize Steely Library to reproduce this document in whole or in part for purposes of research.

(Mark an X on the appropriate line)

_____ I do not authorize Steely Library to reproduce this document in whole or in part for purposes of research.

Signed: Type your name here

Date: Type the date here

<center>**SECTION TWO**</center>

<center>**SUBMITTING YOUR DOCUMENT ELECTRONICALLY**</center>

THE FIRST STEP - KNOWING THE ELECTRONIC PROCESS

All documents will be submitted electronically in Adobe Acrobat Professional format. The Office of Graduate Programs is notified by ProQuest/UMI that your document has been uploaded. After an initial review, the document will be assigned with comments to your program director who will contact the chair of your document. If any problems have been noted, the chair will contact you directly.

HOW TO CREATE A PDF FILE

It is strongly suggested that before you begin the submission process you look at the FAQ web page on the ProQuest/UMI site. This is the link to that site: http://www.etdadmin.com/cgi-bin/main/support?siteId=34. You will find answers to most of the questions you have regarding electronic submission as well as contact information for ProQuest/UMI for help in answering questions not in the FAQ list. The technicians are very helpful and answer in a very timely manner.

Creating a PDF document is not difficult. Complete instructions can be found at the ProQuest/UMI website under the Support and Training tab. There also is a helpful tutorial at the same site. Here is the url: http://www.etdadmin.com/cgi-bin/main/support?siteId=34 There are instructions to tell you exactly how to get the Adobe software for your computer and then translate your Work or RTF document into the PDF: http://www.etdadmin.com/cgi-bin/main/support?siteId=34#PDF5

ENSURING PROPER FONTS

When you use fonts other than Arial, problems may arise if those fonts do not meet certain standards. Here is a list of fonts that will not cause trouble once the document has been saved to

the PDF format: Arial, Courier, Helvetica, and Times (all may be Bold, Oblique, or Bold Oblique); Symbol; ZapfDingbats. If these are the only ones used, you won't have a problem. You should check your fonts when you have saved your document to PDF to make certain everything has translated to PDF correctly. This is what you need to do.

     a. Open your Adobe7 document.

     b. Go to File>Document Info>Fonts

A box will appear that lists all the fonts used in your document. Each should read as embedded or Type 1 or TrueType. If any other than the list of fonts in the above paragraph does not have either of these designations, we strongly suggest you reformat your document. You can check a link to Adobe that will help with problems: www.adobe.com/support/products/acrobat.html It is your responsibility to make sure your fonts are appropriate.

If you have used anything not listed above, another way to check is with the document opened in PDF, click on "Advanced" on the menu bar. If "Use Local Fonts" is checked, uncheck it. Then look at each page of your document. You may see letters running together or something else that may not look as it should. If this is the case, you need to go back to your original document to correct any inconsistent fonts therein. When you have reformatted, save once again in PDF and recheck the document.   Additional information is available on the ProQuest/UMI site.

NOTE: When you save your document into PDF format, sometimes page breaks will change. So, after you have saved your document in PDF, look at each page. It may take a few tries going into the original document and inserting page breaks to get the page breaks as they should be in PDF. It is better to do this at the early stage, than after the document has been submitted.

GRAPHIC MATERIALS and OTHER SPECIAL OBJECTS

For specific information on including video, audio or other special objects in your document, you should go directly to the UMI website at the following link: http://www.etdadmin.com/cgi-bin/main/faq?siteId=34#general This site will give you general information on audio, video, and other media you may want to put into your document. A contact number for more specific help from ProQuest/UMI is also available.

Oversized Materials   You may have materials that will not fit the standard paper size. This is a complicated issue. Every effort must be made to resize the material to have it fit the standard size so that it can be printed.

Quality of Graphics & Scanning   All images must be of good quality. When enlarged for printing or reading in PDF format, they must be legible. Poor quality image scans are unacceptable.

Form Signatures   Signatures on materials you scan into your document should be obscured for protection of the signatories. You can do this in two ways. The first is to cover the signature before scanning. The second is to use the pencil tool in the Adobe PDF file once the document has been scanned. This is probably the easier method.

Color vs. Black and White   You may use either color or black and white materials in your document. Be aware, however, that microfilmed documents are more legible if the original is in black and white. If you have color graphs, print them off in gray scale to see if you can perceive the differences in tone. If you can, you should be fine. If not, consider changing the colors in the graph to be more distinguishable from one another. Images and illustrative text may be in black and white or color. Remember that maximum clarity for microfilming and duplicating is attained when there is good black and white or color palette contrast.

MANNER OF SUBMISSION OF MANUSCRIPT

Posting to ProQuest/UMI   Once your committee has approved your final manuscript, you will post it to the ProQuest/UMI web page and notify your committee chair. The web site for submission is http://www.etdadmin.com/cgi-bin/main/home?siteId=34. When satisfied that the document is complete, the committee chair will notify the director of your graduate program. At this point your document must be in Adobe Acrobat format. Once the document is accepted by the director of your graduate program, the Director of Graduate Programs will be notified so

the final check of the document can be made. If your document is approved and you have paid the appropriate fees to ProQuest/UMI, you will be cleared for graduation.

Abstract   As you submit your document to ProQuest/UMI, you will be asked to upload a separate abstract of only 150 words. You will be required to select a subject area of your document. For those of you in an area such as Computer Science, this should be no problem: that area is named specifically in the list provided on the website. Those of you in an area such as Master of Arts in Liberal Studies may have a more difficult time. One suggestion would be to look at the focus of the document for the subject, selecting literature or music, for example. Your committee chair should be able to help you with this. You can select up to three subject areas.

Metatags   You will have the option of including up to six metatags for ease of searching the database. Your committee chair should be able to help you to decide upon the best ones.

Payment   You also will need to have your credit card ready to pay the fee for submitting your document, copyrighting, and purchasing copies of your manuscript. Fees for processing and storing your document are set by ProQuest/UMI and must be paid directly to them by credit card. The only mandatory university fee is for the submission of your document. Your program may require you to purchase a hard copy for their files. All copies of your document are to be purchased directly from ProQuest/UMI. As you submit your document to ProQuest/UMI, you will find the list of charges. There is a mandatory basic fee for the document.

Embargo   Although the general regulation is for a document to be published immediately upon approval, there are some instances (proprietary information, awaiting journal publication) when a document must be withheld from publication for time. The university allows this in general for a one year time period.   Additional years must be approved by your program director. Approval of the embargo should be obtained from the Office of Graduate Programs prior to beginning the document and must be obtained before submission and delivery of the document to ProQuest/UMI.

Open Access/Traditional Publishing You will be asked to check off whether you want your document to be published by ProQuest/UMI.   Open access means that your document will be available for viewing by everyone who has access to ProQuest/UMI and a search engine. Traditional publishing refers to documents that may eventually be published with royalties accruing. Additional information of these two methods can be found on the ProQuest/UMI site at http://www.etdadmin.com/UMI_PublishingOptionsGuide.pdf . You should discuss these two option with your program director before making a selection.