

GUIDE

TO

THE

PREPARATION AND SUBMISSION

OF

THESES AND DISSERTATIONS

2007-2008

NORTHEASTERN UNIVERSITY
COLLEGE OF CRIMINAL JUSTICE

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INTRODUCTION

This manual should help you as you prepare your thesis or dissertation¹ for the Graduate School of Criminal Justice. This manual has been adapted from the manual of the College of Arts and Sciences at Northeastern. The most important aspects of a thesis or dissertation are, of course, the content substance, depth, and accuracy. Neatness and correctness in form, however, are also important. Reading this manual *before* you write your thesis or dissertation will increase the likelihood of routine acceptance of your manuscript, thereby saving you both time and expense.

Northeastern University has a policy of complete honesty in all academic work. This means that ideas or data of others must be acknowledged. All research requires the incorporation of the work of others to compare and contrast, contradict or support one's own conclusions. Appropriate documentation of these sources will protect one from the charge of plagiarism. The Council of Writing Program Administrators document "Defining and Avoiding Plagiarism: The WPA Statement on Best Practices" (2003) has a clear description of *plagiarism*:

*"In an instructional setting, plagiarism occurs when a writer deliberately uses someone else's language, ideas, or other original (not common-knowledge) material without acknowledging its source."*²

For further informational, please refer to The Council of Writing Program Administrators website at www.wpacouncil.org/positions/plagiarism.html

The mission of the Division of Research Integrity is to educate members of the university community about federal, state, and university research regulations and provide assistance to students, faculty and staff in obtaining approval for teaching and research activities under those guidelines. The Division delivers support services for the Northeastern University Institutional Review Board (IRB) and the Animal Care and Use Committee. Part of its responsibility is to ensure university-wide compliance with federal, state and university statutes and regulations relating to the protection of human subjects, to the care and use of animal subjects in research and teaching, and to research and scholarly integrity. The Division collaborates with the university units responsible for health and safety, particularly with the University Environmental Health and Safety and Radiation Safety Committees.

For further information, please refer to the Division's website at www.research.neu.edu or contact the appropriate office as noted below.

Office of Human Subjects Protection

617-373-7570

¹In this manual, the document produced for a Master's degree will be referred to as a thesis, the document for a Ph.D. degree will be referred to as a dissertation. Much of the material in this document was adapted with permission from the Manual of Northeastern University's College of Arts and Sciences.

²Council of Writing Program Administrators, "Defining and Avoiding Plagiarism" (2005).

GENERAL REGULATIONS OF THE GRADUATE SCHOOL

I. SUBMISSION PROCEDURE FOR THESES AND DISSERTATIONS

Handing in the thesis or dissertation is your responsibility. You should not expect an advisor or staff member to do this for you. Please note: It is recommended that you have someone from the College of Criminal Justice Faculty review the formatting of your document prior to printing the final version. To do so, please contact your Committee Chair to make an appointment.

Deadlines for submission of theses and dissertations are discussed in Section XIII. Make sure to allow enough time to complete the final steps of the submission process before leaving the state or the county. If unexpected problems are uncovered in the final stages of the submission process, your graduation could be delayed.

When you are ready to submit your final thesis or dissertation, you must call the Graduate School Office in the College of Criminal Justice to make an appointment with the Director of the Graduate Program or their representative. Bring your original thesis or dissertation, accompanied by originals of the Graduate School Approval Record to your appointment. The manuscript that the Director or his representative reviews will ultimately reside in the University library. For this reason it must be an original. During your appointment, the Director or their representative will review your manuscript's style and format and will also check your academic record to assure all program requirements have been met.

Your thesis or dissertation must be brought to the Graduate School in a sturdy container, e.g., the box in which the manuscript paper was purchased. **Do not** purchase a black binder at the Northeastern University Bookstore to use as a container for submitting your thesis or dissertation as the University Library does not accept documents in these binders. Simply submit your document in the box that contained the paper you purchased. Under no circumstances should holes be punched in the original manuscript. This also means that the original must not be spiral-bound.

Assuming that the manuscript conforms to the guidelines presented in this publication, every effort will be made to have the Dean sign the thesis or dissertation at the time of your appointment with the Director or his representative. If for some reason the Dean is unable to sign the manuscript at that time, a mutually-arranged time will be determined for the student to return to the Graduate School to pick up the signed thesis or dissertation. The student will then deposit the signed manuscript at the Reference Desk on the first floor of Snell Library. The librarian will sign the Graduate School Approval Record (see Appendix, p.13) where it indicates "Copy Deposited in Library." The library assumes the binding cost of the deposited copy. For information on costs associated with a copyrighted dissertation, please refer to Section IV. Doctoral students planning to microfilm the dissertation should also complete the microfilming agreement form (available from the library) and submit an additional copy of the dissertation at this time (see Section II).

All students must then return the signed Graduate School Approval Record to the Graduate School Office. **Please note that no student will be cleared for commencement if the signed Graduate School Approval Record is not received in the Graduate School Office by the final deadline for turning in theses and dissertations (see Section XIII).**

II. SPECIAL PROCEDURES FOR DOCTORAL DISSERTATIONS

If you wish to have your dissertation and abstract microfilmed and stored in the vaults of University Microfilms in Ann Arbor, Michigan, you must complete appropriate forms (available from the library) and submit them to the library along with two (2) copies of your dissertation. Note that the second copy may be on non-watermarked, plain paper. The library will cover the cost of submitting the dissertation to UMI. However, if you would like your dissertation to be copyrighted, you must pay a fee to UMI to cover the cost of the copyright. Checks made out to PQIL (ProQuest Information and Learning) can be submitted to the library (also see Section IV).

III. DISTRIBUTION PROCEDURES

You should consult the Graduate School of Criminal Justice concerning the number of additional copies of your manuscript that will be required for College distribution. Normally, the student is expected to provide a copy for the College, the advisor, and all other readers on the student's committee. With College approval, the copies may be made on paper of lesser quality than that required for the original (see Section V).

You are responsible for binding personal copies of your thesis or dissertation. The library has information regarding the bindery that it has used in the past. If you are interested in receiving more information, you can ask at the Reference Desk when you turn in your dissertation or thesis or see www.lib.neu.edu/archives/collections/theses_dissertations/

IV. COPYRIGHTING (optional)

A. Policy

Copyright ownership of a thesis or dissertation shall reside with the student expect in the following instances:

- those generated by research performed in whole or in part in the course of, or pursuant to, an agreement for sponsored research or other written agreement,
- those utilizing substantial University resources.

However, the student, as a condition of an awarded degree, must grant the University the royalty, or free right to reproduce and publicly distribute copies of the thesis for limited and noncommercial purposes. The University's policy may be found at <http://www.facultysenate.neu.edu/documents/facultyhandbook.pdf>. For additional information please refer to <http://tls.il.proquest.com>. The UMI site is cited as an example of general copyright information available on the web. Where these guidelines conflict with University copyright regulations, the University guidelines are the ones to be followed. The University in no way endorses the services offered by UMI.

B. Using Copyrighted Materials in Theses or Dissertations

You must assume full responsibility for the use of any copyrighted material in your dissertation. Written permission of the copyright owner must be obtained when more than brief excerpts (those

that meet the “fair use” tests of brevity and purpose) are made from copyrighted material, and a copy of the release must be filed with the Graduate School Office. You must cover the cost associated with acquiring such permission. If you choose to copyright your dissertation, a copy of the release must be appended to the copyright application. You must honor any demand for acknowledgement of use of materials in the thesis or dissertation.

C. Procedures

Copyrighting Masters Theses

A copyright page should be included in your thesis, following the title page, with the information below (see Appendix, p.15). To obtain a legal registration of copyright you should write directly to: The Copyright Office, Library of Congress, Washington D.C. 20559.

Copyrighting Dissertations

You have the option to register your dissertation for copyright. If you are unsure about registering for copyright at the time you submit your dissertation to the Graduate School, it is advisable to include a copyright page (note that this page is not numbered) indicating your intent to register at a later date. Putting the copyright page in your dissertation notifies the public about your claim for copyright and protects it for a limited time. However, you do need the legal registration in Washington, D.C., in order to litigate if there is ever a case of infringement. There is not a “common law” copyright. If it is your intent to have University Microfilms act as your agent, you must sign the **Dissertation Agreement Form** (available from the library) to indicate such and pay the fee (\$45). They will file the application for copyright on your behalf. Each copy of your dissertation should include a copyright page, following the title page, with the following information noted below centered on the bottom half of the page:

@Year
Full Legal Name
ALL RIGHTS RESERVED

Please see the sample of a copyright page in the Appendix, p. 15.

As the author, you must certify (by signing the University Microfilms International (UMI) agreement form available at the library) that any previously copyrighted materials used in your work, beyond brief excerpts, are used with the written permission of the copyright owner and that you will save and hold harmless University Microfilms International from any damages which may arise from copyright violations. The release letters should indicate that permission extends to microfilming and publication by University Microfilms and the copyright owners are aware that UMI may sell single copies of your dissertation, including their materials, on demand for scholarly purposes.

V. PAPER

The thesis or dissertation must be printed on paper that weighs a minimum of 20 lb. (please note: this means that 24 lb is acceptable) and that is 8 ½ x 11 inches in size. In the case of the original that is presented to the Graduate School for approval, the paper must be chosen for its permanence and durability.

All pages, including signature pages, *MUST HAVE A WATERMARK* that confirms that the paper is EITHER acid-neutral OR 100% rag content OR 100% cotton content.

If there are any questions about the acceptability of paper, please view the University Archives web site at www.lib.neu.edu/archives/collections/theses_dissertations/ or contact them by telephone at (617) 373-2351.

The Graduate School suggests that you arrive at the defense with your signature sheets, printed on the watermarked paper, in hand. In this case, all committee members will be able to sign the sheets at the time of the defense.

VI. STYLE

Style may vary by discipline, but general references such as *A Manual for Writers of Term Papers, Theses, and Dissertations* by Kate I. Turabian; *A Manual of Style* from the University of Chicago; or *The Thesis Writer's Handbook* by Joan I. Miller and Bruce J. Taylor can be helpful to everyone. The latest editions of, for instance, *The MLA Style Manual* or *American Psychological Association (APA) Style Manual* can provide more detailed disciplinary information.

The regulations set forth in this Graduate School manual take precedence over other style manuals.

When presenting the final manuscript to the Graduate School, you are responsible for having all the pages in the proper form (samples are shown in the Appendix), completely signed, and in the proper order. Please note that the signature pages are prepared by the student and they must be laser printed on the watermarked paper. The order follows:

- Graduate School Approval Record*
- Blank sheet of paper
- Title page* title is to start a few single spaces from the 1" top margin
- Copyright page, if applicable
- Abstract (required)
 - Title Page of Abstract*
 - Body of Abstract (separate from Title Page of Abstract) headed ABSTRACT, centered on top line. If the dissertation is to be microfilmed, the abstract may be no longer than 350 words.
- Acknowledgments
- Table of Contents, with page references
- Lists of Abbreviations, Lists of Figures, Lists of Tables, Lists of Symbols, if applicable

Text

- Text with references and/or footnotes

Closing Pages:

- Appendices, if applicable
- Index, if applicable
- Bibliography, if applicable (please follow the style of your discipline)
- Biographical Data or Resume (optional, but preferred)

***Note:** The following substitutions should be made in your appendices as appropriate: Master's degree students should substitute the word "Thesis" for the word "Dissertation." The phrase "Master of Science" should be substituted for the phrase "Doctor of Philosophy."

VII. TYPE

It is important to choose a system to produce your thesis or dissertation that will produce a letter quality print with black characters that are consistently clear and provide sufficient contrast to ensure quality reproduction. A laser printer must be used for all pages, including the signature pages. Not all printers are supported by any given word processing program. The University has several groupings of public microcomputers (both Macintoshes and IBM PC-compatible systems) and laser printers that you may want to use. Please keep in mind that many of these computer facilities do not allow you to use watermarked paper in their laser printers. For a complete list and hours of operation of on-campus computer facilities, please visit <http://infoservices.neu.edu>.

Choose a font that produces distinct letters and is no smaller than 10 point. Use of more than one typeface (i.e. Times New Roman, Arial) in the body of the text is not acceptable. The manuscript may not include material that has a different typeface by virtue of having been photo-reproduced. An exception exists where, for instance, tables, equations, or graphs may have to be produced with a different typeface for technical reasons. These must, however, also be legible. In addition, the thesis or dissertation must be double-spaced, including the abstract and the acknowledgements. Please note: the only exception to this rule is that quotes may be single-spaced if they are accepted as such by the discipline.

If you any questions about the font, typeface, or printed copy you are planning to use, contact the Graduate School Office to make an appointment. The Director or his representative will review and evaluate your sample pages before you prepare your manuscript on the watermarked paper.

VIII. PHOTOGRAPHY AND ILLUSTRATIONS

Microfilming is a photographic process, so colored patterns and lines appear in varying shades of gray. Thus, if you are going to have your dissertation microfilmed, you should use no more than two colors in any illustration, and these colors should display notable differences in light values.

Materials should be printed on one side of the paper only; however, one printed page may face another.

Materials larger than the standard page size (8 1/2 X 11 inches), e.g. maps or charts, that cannot be reduced to fit the standard size are acceptable provided that they do not exceed the dimensions of 17 x 22 inches. They should be folded carefully into the manuscript, allowing the appropriate margin for binding.

Dry mounting is the neatest and longest lasting method of placing photographs in the dissertation. Glue and rubber cement are less acceptable since their adhesive quality diminishes with age. Original photographs are preferred, however photocopies or scanned, laser printed photographs, maps, etc. will be accepted as part of the original manuscript.

IX. PAGINATION

Numbers are to be assigned to every page in the manuscript except the approval sheets and the copyright page. Numbers must appear on graphs, tables, and all other pages of the document. Lower case Roman numerals must be used for all introductory material, such as the abstract, table of contents, etc., and Arabic numerals must be used for the remainder of the thesis or dissertation. ***The title page is counted as page i, but the number does not appear. The first page number to appear is ii on the abstract title page.*** (The copyright page precedes the abstract title page: however, it is not numbered.) Avoid using paginations such as 2.1, 2.2, etc. or III.1, III.2, etc.

Arabic page numbers should appear in the **upper right-hand corner** of the page and must be one inch from the top of the page (i.e. have one inch of white space above them, just as the page numbers appear in this booklet. **Please print your document and hold a ruler to the margins to ensure the one inch requirement for the page numbers is met.**) and one and one-quarter inches from the right margin.³ For the introductory materials only, the page numbers may appear either in the upper right hand corner of the page or centered at the bottom of the page. If the centering option is chosen, there must be a one inch margin at the bottom of the page below the page number.

X. MARGINS

The left-hand margin of each page should not be less than **one and one-half inches** so that the binding will not obscure any portion of the text. The library requires that the right-hand margin not be less than **one and one-quarter inches**. The top and bottom margins must each measure one inch (or 2.54 centimeters) - note that page numbers must have one inch of white space above or below them, depending on whether or not the page numbers appear at the top or the bottom of the page. Please hold a ruler to the printed page to ensure this requirement is met. The bottom margin is measured from the bottom of the last line of footnotes or text. These margins are to be observed **throughout the thesis or dissertation** - text, appendices, graphs, tables, illustrations, etc.

XI. FOOTNOTES

Footnotes should follow the style of the discipline.

XII. APPENDICES

Materials in the appendices must be legible.

³To place a page number at the top of the page using Windows XP, format the top margin to one inch by following these steps:

“View”

“Header and footer”

Select “Insert page number” – 1st button from left

Select “Format page number” – 3rd button from left

Number format – “1, 2, 3, ...”

Page numbering – “start at 1”

“OK”

“File” – “Page set up”

“Margins”

“top” = 1” & “bottom”=1”

“OK”

With cursor on the page number, hit the enter key 4 or 5 times until the page number moves below the one inch marker

Highlight header display area
Click “right justify” icon

“Close”

XIII. DEADLINES

Theses and dissertations may be presented to the Graduate School of Criminal Justice and submitted to the library at any point during the year, upon completion of all degree requirements. However, in order to be cleared for a specific commencement date, you must meet the following deadlines:

- **January 2008 Graduation** (note: there will be no ceremony in January. Those students who are cleared in January 2008 will be welcome to participate in the commencement ceremony in May 2008) – final manuscript (approved by the Graduate School) must be submitted to the library and the signed Graduate School Approval Record returned to the Graduate School by **4:30 p.m., Friday, November 30, 2007.**
- **May 2008 Commencement** – final manuscript (approved by the Graduate School) must be submitted to the library and the signed Graduate School Approval Record returned to the Graduate School by **4:30 pm., Friday, April 18, 2008.**
- **September 2008 Commencement** – final manuscript (approved by the Graduate School) must be submitted to the library and the signed Graduate School Approval Record returned to the Graduate School by **4:30 pm., Thursday, August 8, 2008.**

If you choose to turn in your thesis or dissertation during the academic year and wish to avoid continuation charges in a subsequent semester the following deadline applies. You must submit your signed Graduate School Approval Record to the Graduate School by the following deadlines:

- *To avoid Spring 2008 continuation registration: **by 4:30 pm, Friday, January 4, 2008.***
*To avoid Summer 2008 continuation registration: **by 4:30 pm, Friday, May 2, 2008.***
- *To avoid Fall 2008 continuation registration: **by 4:30 pm, Friday, September 5, 2008.***

Deadline dates for submission of theses and dissertations are **firm**. You should allow adequate time for your committee to review your manuscript, and schedule the final defense so that there is enough time for necessary corrections to be made to the document. You should be aware that if you are planning to graduate on September 2008, it may be difficult to assemble your committee for a summer defense, so plan accordingly.

As mentioned earlier, you may want to use University facilities for the printing of your final manuscript. These facilities, as might be anticipated, can become very busy particularly near the end of the semester. Specifically, the laser printers incur very heavy usage. Plan well ahead and allow much more time than you think is necessary for the printing component of your thesis or dissertation preparation.

XIV. COMMENCEMENT LIST

Do not wait until after you have defended your thesis or dissertation to put your name on the commencement list, since the clearance process for graduation begins several months prior to commencement. Students planning to graduate at the end of spring of any given year should

register for commencement by the end of the fall semester preceding spring commencement. For fall commencement, names should be on the list no later than the *July 1st 2008* preceding fall graduation.

Your name will not automatically appear on the commencement list. You **must** initiate the commencement process by registering for graduation via your myNEU account. You should register even if there is a chance that all your requirements will not be completed in time to graduate on a specific commencement date. The Graduate School can easily take your name off the list at the last minute. Even if you do register for graduation just prior to commencement, you will not graduate if the Graduate School of Criminal Justice has not had sufficient time to complete the full clearance process.

Please note: For students planning to graduate on January 2008, all requests for missing or incomplete grade changes, transfer credits, and any other types of petitions must be turned in by the Graduate School Office with appropriate documentation by November 30, 2007. In addition, any missing **Thesis Continuation, Dissertation** and **Dissertation Continuation registrations** must be submitted by the November 30, 2007 deadline. *To ensure that your academic record is complete, you should review your transcript.* Unofficial transcripts can be obtained at www.myneu.neu.edu. To allow time for College review, please submit all necessary paperwork to you're the Graduate Director or his representative well in advance of the Graduate School deadline. We will be unable to guarantee the graduation of a student whose paperwork does not meet the deadline. The comparable deadline, for students planning to graduate on May 2008, is March 28, 2008. **To ensure that your graduation is not delayed, you should check with your Graduate School to verify that your paperwork is submitted on time.**

We gratefully acknowledge the use of information published in A Guide to the Preparation and Submission of Theses and Dissertations to the Graduate School at the University of North Carolina, Chapel Hill. We also acknowledge the use of the information published in Graduate School of Arts & Sciences Northeastern University Graduate Student Handbook.

APPENDIX
to
A Guide to the Preparation and Submission of Theses and Dissertations 2007-2008

Note: The following substitutions should be made in your appendices as appropriate: Master's degree students should substitute the word "Theses" for "Dissertation." The phrase "Master of Science" should be substituted for the phrase "Doctor of Philosophy."

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SAMPLE

GRADUATE SCHOOL APPROVAL RECORD

NORTHEASTERN UNIVERSITY
Graduate School of Criminal Justice

Dissertation Title: The Role of Social Control in Offender Re-Entry
Author: Debra Ross

Approved for Dissertation Requirements of the Doctor of Philosophy Degree:

Dissertation Committee

Chair Date

Robert Kane Date

Natasha Frost Date

Ni He Date

Director of Graduate School

Jack McDevitt Date

Graduate School Notified of Acceptance

Director of the Graduate School Date

Copy Deposited in Library

Signed Date

THE ROLE OF SOCIAL CONTROL IN OFFENDER RE-ENTRY

A dissertation presented

by

Debra Ross

to

The Graduate School of Criminal Justice

in partial fulfillment of the requirements for the degree of
Doctor of Philosophy

in the field of

Criminal Justice

Northeastern University
Boston, Massachusetts
May 7, 2007

SAMPLE

(Notes: to insert the © symbol, if using Word, simply go to “Insert” select “Symbol” and choose “normal text” which is the first choice. No page number is to appear on the copyrighted page.)

SAMPLE

THE ROLE OF SOCIAL CONTROL IN OFFENDER RE-ENTRY

by

Debra Ross

ABSTRACT OF DISSERTATION

Submitted in partial fulfillment of the requirements
for the degree of Doctor of Philosophy in Criminal Justice
in the Graduate School of Criminal Justice of
Northeastern University, May 2007

SAMPLE

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SAMPLE

BIOGRAPHICAL DATA

Name: Debra Ross

Place of Birth: Boston, Massachusetts

Education: University of Massachusetts
Bachelor of Science, 2002

Northeastern University, Boston, MA
Master of Science , 2004
Ph.D. anticipated, 2007

Professional Experience: Instructor, 2005 - 2006
Northeastern University

Consultant, 2003-2004
Vera Institute, New York, NY

Research Assistant, 2001-2002
University of Massachusetts

Professional Organizations: American Society of Criminologists
Academy of Criminal Justice Scientists