



Doctor of Philosophy Dissertation and Master's Thesis Submission Requirements

Contents

Doctor of Philosophy Dissertation and Master's Thesis Submission Requirements.....	1
Introduction	2
Part 1: Ph.D. Dissertation Submission Requirements.....	2
General Requirements	2
Title Page.....	2
Copyright Page	2
Abstract	3
Paper.....	3
Typeface	3
Margins.....	4
Pagination	4
Spacing and Single-Sided Copying	4
Widows/Orphans	4
Binding	5
Electronic Copy	5
Number of Copies.....	5
ILLUSTRATIONS	6
Part 2: THE COMPLETED DISSERTATION	8
Digital Distribution.....	8
Embargoes	8
Submission of the Dissertation to the Library	9
Part 3: Master's Thesis Requirements	9
Appendix A	10

Introduction

The University Archives assumes responsibility for the format and physical form of the dissertation or thesis in order to ensure an enduring product that will be retained by the Library. In addition, we uphold the requirements of ProQuest/UMI which stores and distributes university dissertations.

Part 1: Ph.D. Dissertation Submission Requirements

General Requirements

The general requirements for the doctoral dissertation and the master's thesis are set forth in the *Graduate School Announcement*. The University Archives does not specify the contents or order of the dissertation/thesis. For requirements regarding the elements to be included in the dissertation/thesis and matters such as the location of footnotes, please consult your department or the Dean of the Graduate School.

The following sections provide general guidance for page composition of the dissertation/thesis. If in doubt about any matter discussed in this section, please contact the University Archives at (609) 258-6345 or mudd@princeton.edu.

Do not rely on the form or format of dissertations or theses that may be found in the Princeton University Library; requirements have changed over the years and older practice should not be used as a precedent.

Title Page

We require that the unnumbered title page be prepared as shown in the example in [Appendix A](#). **This title page must have the date on which your degree is conferred, not when you complete your dissertation.** Degrees are conferred at Board of Trustee meetings five times per year. Please observe that *usually* the only acceptable months for the title page are January, April, June, September and November, however this varies occasionally. No other date should appear on the title page. The dates should be formatted as such “January 2011.” If in doubt, consult the University Archives or the Office of the Graduate School. *Also note that your cover page must include your adviser’s name as shown in the example in [Appendix A](#).*

Copyright Page

A second, unnumbered copyright page should follow the title page. Essential components of the copyright notice are the copyright symbol, full legal name of author, year in which the copyright is secured by publication of the dissertation/thesis. A correct example is:

The copyright notice should be centered in the top third of the page. [Click here](#) for a fuller discussion of copyright.

Abstract

An abstract should be placed after the copyright page, its pages numbered as part of the dissertation/thesis and included in the Table of Contents. There is no longer a word limit on abstracts. Candidates whose dissertations are written in a foreign language are required to include an English language version of their abstract.

Paper

The dissertation or thesis should be typed, offset printed, electrostatically copied or laser printed on acid-free, archival quality bond, 8 1/2 x 11 inches in size, using only one side of the sheet. The paper chosen must be selected for its permanence and durability (20 to 24 pound substance). Smith-Shattuck Bookbinding recommends using paper made of 25% cotton. A list of possible sources of paper is provided in [Appendix C](#). Please note that many bond papers, such as the Princeton University Bond, are not archival and will not be accepted for final copies of dissertations or theses.

Typeface

We recommend using standard fonts such as Times New Roman or Arial. (If using unusual fonts, be sure to use embeddable Type 1 or TrueType fonts.) Legible fonts (except script, italic, or ornamental fonts) equivalent in scale to 10 point Arial or 12 point Times New Roman accepted. Italicized font may be used for non-English words and quotations. This applies to all text including captions, footnotes/endnotes, citations, etc. Exceptions are made only for tables and figures produced by different technology or by a graphic artist. To determine the characters per inch, put a rule under a line of text and count the average number of characters in an inch. The number may vary if you use right justification or a printer that produces proportional spacing.

ProQuest requires that all fonts used in the document be embedded in the PDF file. Recent versions of Adobe Acrobat automatically embed fonts, so instructing Acrobat to do so from Microsoft Word may not be necessary. Nonetheless, instructions for embedding fonts are available from ProQuest at <http://www.etdadmin.com/cgi-bin/main/createpdf>.

ProQuest's Support and Training Department (<http://www.etdadmin.com/cgi-bin/main/support?siteId=408> or 1-877-408-5027) can assist with issues related to creating and uploading PDFs and any questions regarding technical issues with the online submission site.

Margins

For the bound copy of your dissertation, the margins detailed below are those acceptable after printing or photocopying:

Left Margin – 1½ inches
Top, Bottom, Right Margins – 1 inch
Page numbers – ¾ inch from edge

These margins must be observed so that the work may be reproduced and bound. We recommend that you start with larger margins than stipulated if you will be photocopying since that process may enlarge a document by as much as 2%. The text should be justified left in order to avoid large gaps in text which sometimes occur with full justification.

For the PDF copy of your dissertation, ProQuest requires 1” margins on all sides, see http://www.etdadmin.com/UMI_PreparingYourManuscriptGuide.pdf. This applies to all material except page numbers, including figures, headers/footers, footnotes/endnotes, and full-page images. Page numbers: at least ¾" from edge of page.

Pagination

The title page and copyright page should be unpaginated. All pages before the beginning of the body text of the dissertation or thesis (abstract, table of contents, lists of tables, acknowledgements, etc.) should be paginated with lower case roman numerals, beginning with iii. All pages of the text, including drawings, illustrations, figures, bibliography, appendices, etc. should be numbered in Arabic numbers, beginning with 1 and running consecutively to the end of the manuscript. Numbers should be located in the bottom center or bottom right margin or top right margin, and should be no closer than ¾ inch from the edge. Do not use letter suffixes (10a, 10b). AGAIN, ALL PAGES OF TEXT ARE TO BE NUMBERED.

Spacing and Single-Sided Copying

The University Archives now accepts dissertations with single-spacing throughout the bound volumes. However, **ProQuest requires that the PDF version be double-spaced for online legibility.** With the bound copies, double-sided copying is NOT permitted. Only single-sided printed pages are acceptable.

Widows/Orphans

Avoid "widows" (short lines ending a paragraph at the top of a page) as much as possible. A heading, subheading or single line of a paragraph at the bottom of a page is called an "orphan." These too should be avoided. Most computer programs now will automatically suppress widows and orphans within paragraphs, but check also for headings and subheadings.

Binding

The dissertation/thesis must be bound in a Class A cloth or buckram library binding, using machine over sewing that is available through most commercial binders. (It should NOT be an adhesive or "perfect" binding, nor is cleat-sewn binding acceptable.) The dissertation/thesis should not be more than two inches thick after binding (approximately 300 pages). If it exceeds this thickness, it should be separated and bound in two or more volumes. A title page indicating volume number should be bound into each volume when there is more than one volume. The spine lettering on each volume should include the volume number. The author's last name should also be included on the spine, preferably horizontally, along with the year in which the dissertation is published. Please leave the bottom two inches of the spine blank to allow for the call number to be added.

In Princeton, many candidates elect to use the services of Smith-Shattuck Bookbinding, 759 State Road, Rte. 206 North, Princeton, NJ 08540, (609) 497-1445, shattuckbook@att.net, <http://www.thesisbookbinding.com>. Students have the option of taking their unbound pages to Triangle Reprocenter at 150 Nassau Street, Princeton, NJ 08542, (609) 924-4630 for pickup by Smith-Shattuck. Binding usually takes 3-4 days; work may be done next-day for an extra fee. As of 2009, the price for binding the dissertation/thesis runs \$28 - \$37 per volume depending on the number of pages. Another nearby option is Bethel Bindery, 1500 Route 539, Tuckerton, NJ 08087, (609) 296-5043, <http://www.bethelbindery.com/>, but you may choose any binder that meets the requirements specified above.

***PLEASE NOTE:** Despite repeated conversations with the U-Store and Pequod, they do not provide appropriate bindings. None of the bindings they offer are acceptable for a Princeton University dissertation or thesis.*

Doctoral candidates away from Princeton should probably contact the nearest academic library and ask where they get commercial binding done.

Electronic Copy

A copy of the dissertation must be saved in **one** Adobe Portable Document Format (PDF) file and uploaded to Princeton's UMI ETD Administrator site (www.etdadmin.com/princeton.edu). ProQuest requires that all fonts used in the document be embedded in the PDF file. For instructions on embedding fonts and for other PDF requirements, please see the Proquest UMI Submission Guide (http://www.etdadmin.com/UMI_PreparingYourManuscriptGuide.pdf).

Students should contact ProQuest's Support and Training Department (<http://www.etdadmin.com/cgi-bin/main/support?siteId=408> or 1-877-408-5027) if they have trouble creating or uploading their PDFs.

Number of Copies

One bound copy of each Ph. D. dissertation must be submitted to the University Archives. This *non-circulating*, bound copy is held in the collection of the University Archives as a permanent archival record of your work.

One electronic copy (PDF) is published and distributed through ProQuest. Members of the Princeton University community can access dissertations through the [ProQuest Dissertations and](#)

[Theses](#) subscription database, which is made available through the Princeton University Library. For students that choose Open Access publishing, their dissertations are available freely on the Web via ProQuest's Open Access database, [PQDT Open](#). Dissertations are available for purchase through [ProQuest Dissertation Express](#).

Beginning in the fall of 2011, an electronic copy (PDF) of each dissertation will be placed in Princeton's digital repository, [DataSpace](#). **Please note, this is essentially an open access copy of the dissertation that is provided at no added expense to the student.** Students should take this into consideration when choosing ProQuest publishing options.

ILLUSTRATIONS

The term 'illustrations' covers all non-text elements of a dissertation/ thesis such as line drawings, graphs, maps, photographs, facsimiles of manuscript pages, works of art, musical scores and so forth. Each illustration should be numbered consecutively. Large illustrations are normally placed on separate pages with the identifying illustration number and page number. All illustrations must meet the margin requirements set out in the general format section above.

Please note that the guidelines that follow below are for illustrations that are inserted separately by hand into the text. For those items imported into the body of the document electronically (for example, digital photographs), the rules above are the most relevant.

Drawings/Equations/Formulas

Line drawings that are to be used directly in the bound copy of the dissertation/thesis without photographic, offset or electrostatic reproduction, must be prepared directly on the same high-quality, long-lived and durable paper described previously ([click here](#)), drafted and lettered in black India or other non-water-soluble ink. If copies of figures are to be used, they must be prepared and printed in such a way as to meet the same paper and reproduction standards required for the text of the dissertation/thesis.

All subscripts and superscripts must be large enough to be read online. To test for readability, photocopy such a page using a 25% reduction. If the sub- or superscripts are still readable, then the text is probably large enough. Another rule of thumb is that no letter or symbol should be less than 2 mm. in size.

Labels on figures can be lettered with the help of a guide or template to promote neatness and uniformity. Transfer letters are fragile, and figures or pages of text prepared with transfer lettering cannot themselves be part of the dissertation/thesis, but must be presented in electrostatically reproduced form.

Photographs (Paper prints)

All photographs included in the dissertation/thesis should undergo "archival" or "optimum" processing to ensure reasonable permanency. Color photographs should not be used since they are impermanent. If color photographs are included, they should be accompanied by a black and white copy. Ideally there should be a wide range of contrast within each photograph from true black to pure white. In consideration of the cost involved when many photographs are used, high quality photocopies or scans may be used for the second copy of the dissertation.

In general, photographs should be printed on an 8 1/2 x 11 inch sheet of single weight polyfiber photographic paper with a glossy finish and included in the dissertation/thesis without further mounting (i.e., bound into the dissertation/thesis). You may need to have the item printed as a 9 x 12 inch print that will be trimmed to size. Please remember that photographs must meet the margin requirements for binding the dissertation/thesis.

If photographs must be mounted, they should be dry mounted on heavier weight, archival quality paper (80 pound). Please do not use paste, rubber cement, spray mount, glue stick, gummed or cellophane tape or any other such materials to mount your photographs since these do not provide a permanent mount. Photographic corners and acetate pockets are also unacceptable as mounting. The best solution for mounting is a low temperature, dry mount product like Archival Mount or Fusion 4000 from University Products or Light Impressions. Scotch brand No. 568 adhesive sheets provide one acceptable, repositionable mounting solution. See [Appendix B](#) for a list of suppliers.

Printed Sources

Excerpts from other publications or sources, such as manuscript pages, maps, autographs, passages of script, formulas or mathematical symbols - whether text or illustration, letter-size or over-sized, high contrast or continuous tone - can be reproduced in black and white by the various methods developed for other illustrative materials. Items to be included in the dissertation/thesis should be photographically reproduced or offset or electrostatically printed. Such copies should have high contrast. Copies should be made on the same long-lived and durable paper as required for the text of the dissertation/thesis.

When material copyrighted by someone other than the author appears in a dissertation, and when the author has failed to obtain permission from the copyright holder for ProQuest to film and sell such material, ProQuest cannot make the complete dissertation available for sale to anyone other than the author. However, with the permission of the Graduate School Dean, the author may request that ProQuest delete the material in question, thereby creating copies which would be available for sale to the public.

Oversized Material/Plates

If reduction would make a figure too small to be easily understood, these may be placed in an acid-free, alkaline-buffered envelope and stored in the back of the dissertation/thesis. The binder should allow room for the packet to be inserted into the dissertation/thesis by sewing in stubs to thicken the body. The packet materials should be designated as "plates" and all other illustrations should be termed "figures" and so listed in the Table of Illustrations.

Part 2: THE COMPLETED DISSERTATION

Registration and Copyright

Copyright is often confused with copyright registration. Copyright protection automatically is conferred on your work from the time it is created in fixed form and the copyright immediately becomes the property of the author. Registration with the U.S. Copyright Office is not required to secure copyright; it is a legal formality to place on public record the basic facts of a particular copyright.

Although not a condition of copyright protection itself, registering your copyright has certain advantages. Specifically, registration establishes a public record of the copyright claim. Registration is ordinarily necessary before any infringement suits may be filed in court. If made before or within five years of publication, registration will establish prima facie evidence in court of the validity of the copyright and of the facts stated in the certificate. You may register your copyright directly with the U. S. Copyright Office, Library of Congress, Washington, DC 20559 or you may complete ProQuest's "Copyright Registration Form."

If registration is made prior to an infringement of the work, or if registration is made within three months after publication of the work, the copyright owner will qualify in court for an award of statutory damages and attorney fees. Otherwise only an award of actual damages and profits is available to the copyright owner.

Digital Distribution

You are required to publish your dissertation through ProQuest. To do so, you must complete the online submission of your dissertation on the ProQuest UMI ETD Administrator website (www.etsadmin.com/princeton). The process takes roughly 20-25 minutes to complete. Students are required to upload a PDF of their dissertation, choose a publishing option, enter subject categories and keywords, and make payment (fees apply only if you have chosen the Open Access publishing option or copyright registration, or if you wish to order additional bound copies of your work).

Please note the agreement that you enter into with ProQuest is a legal contract which provides for royalties to be paid to you should ProQuest sell a large number of copies of your dissertation (Traditional Publishing option only). Note that this seldom happens. As with any legal contract, please read the provisions carefully and call ProQuest at (800) 521-0600 x. 7020 if you have any questions. At the time of the defense, the Dean of the Graduate School may waive this requirement for a student having a contract in hand for publication of the dissertation.

Embargoes

Delays in publishing of dissertations through ProQuest are occasionally approved by the Dean of the Graduate School if a publishing contract is in hand, or if a patent is pending. This arrangement must be made with the Dean of the Graduate School prior to submission at the Mudd Manuscript Library. Contact Dean Redman in the Office of Academic Affairs at dnredman@princeton.edu for additional information.

Submission of the Dissertation to the Library

The following materials must be carried by the student or (a proxy) following the Final Public Oral Examination:

- 1 print out of the email confirming submission to the ProQuest UMI ETD Administrator site
- 1 bound copy of dissertation
- 1 dissertation maintenance fee of \$15 (payable by exact cash or check made out to “Princeton University Library”)
- 1 FPO form, signed to indicated successful completion of the Final Public Oral Examination

Mudd Manuscript Library staff will review the materials to ensure that they meet the requirements outlined above. **Dissertations and accompanying materials may not be mailed to the library.** If all of the materials are acceptable, the staff member will sign the Final Public Oral Examination Report, indicating that the dissertation has been deposited in the library. The signed FPO form must be carried by the student (or the proxy) to the Office of the Graduate School in Clio Hall after it is signed.

Part 3: Master’s Thesis Requirements

Master’s degree students are required to submit two bound copies of their thesis to the Princeton University Archives at the Mudd Manuscript Library. For formatting guidelines, follow the instructions for the bound volumes in the above for Ph.D. dissertations. Master's degree students are not required to submit to the ProQuest UMI ETD Administrator website. No paperwork is required.

One *non-circulating*, bound copy of each thesis is held in the collection of the University Archives. One *circulating*, bound copy of each thesis may also be available. Information about theses can be found in Princeton University Library's [main catalog](#).

For additional information, contact the Mudd Manuscript Library at 609-258-6345, or mudd@princeton.edu

Acknowledgements

Sections of this guide have been adapted from similar guides prepared by the American Library Association, the Cornell University Graduate School, the Johns Hopkins University Archives, and the Harvard University Archives. Used with permission.

Appendix A

TITLE OF DOCTORAL DISSERTATION [OR MASTER'S THESIS]

Volume (if more than one bound volume)

Legal Name of Author

A DISSERTATION [OR THESIS]

PRESENTED TO THE FACULTY

OF PRINCETON UNIVERSITY

IN CANDIDACY FOR THE DEGREE

OF DOCTOR OF PHILOSOPHY [OR MASTER OF ARTS]

RECOMMENDED FOR ACCEPTANCE

BY THE DEPARTMENT OF [OR PROGRAM IN]

[NAME OF DEPARTMENT OR PROGRAM]

[Adviser: John Doe]

Month* Year

*(The month must be the one when the degree will be granted by the Board of Trustees. Usually, the only acceptable months are January, April, June, September and November)

Appendix B

SUPPLY SOURCES

Acid Free Paper: a typical 500-sheet ream should cost between \$12 and \$30

Conservation Resources, International, LLC.

www.conservationresources.com

5532 Port Royal Road
Springfield, VA 22151
(800) 634-6932

Gaylord

www.gaylord.com

Box 4901
Syracuse, NY 13221
(800) 448-6160

Hollinger Corporation

www.hollingercorp.com

P. O. Box 8360
Fredericksburg, VA 22404-8360
(800) 634-0491

International Paper

<http://www.internationalpaper.com>

University Products, Inc.

www.universityproducts.com

517 Main Street
Holyoke, MA 01040
(800) 628-1912

Photographic Preservation Supplies/Dry Mounting:

3M Company

Commercial Office Supply Division

(800) 258-1013

Product: Scotch Brand No. 568

University Products, Inc.
www.universityproducts.com
P. O. Box 101
Holyoke, MA 01040
(800) 628-1912
Product: Archival Mount, Fusion 4000

Light Impressions
www.lightimpressionsdirect.com
P. O. Box 940
Rochester, NY 14603-0940
(800) 828-6216
Product: Archival Mount, Fusion 4000

Updated September 27, 2010

© 2008 Princeton University Library