

# Princeton University Archives

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# Purpose

The Princeton University Archives oversees the format and physical form of the dissertation or master's thesis in order to ensure an enduring resource that will be retained by the Library. In addition, we uphold the requirements of ProQuest/UMI which stores and distributes university dissertations.

The following sections provide general guidance for physical form and format of the dissertation/master's thesis. If in doubt about any matter discussed in this document, please contact the Princeton University Archives at 609.258.6345 or [mudd@princeton.edu](mailto:mudd@princeton.edu).

The general requirements for the doctoral dissertation and the master's thesis are set forth by the [Graduate School](#). The Princeton University Archives does not oversee the contents, order of elements (aside from the first three pages), citation style, or matters such as the location or style footnotes. Please consult your department, your adviser, or the Dean of the Graduate School for these questions.

PLEASE NOTE: 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.

# Format of the Bound Copy

This section applies to the bound copy of Ph.D. dissertations as well as bound copies of Master's theses.

## The Binding

The dissertation/master's thesis must be bound in a Class A cloth or buckram library binding, using machine over sewing that is available through many commercial binders. It should NOT be an adhesive or "perfect" binding, nor is cleat-sewn binding acceptable.

The binding can be of any color, though black is traditional.

The author's last name should be included on the spine, preferably horizontally, along with the year in which the dissertation is published. If there are multiple volumes, the volume number should be listed on the spine. Leave the bottom two inches of the spine blank to allow for the call number to be added.

*Important note:* The dissertation/thesis must not be more than two inches thick after binding (this typically occurs at approximately 300 pages). If the dissertation will exceed two inches in thickness when bound, it must be separated and bound in two or more volumes. See Multiple Volumes below.

## Multiple Volumes

If your dissertation/Master's thesis will be more than two inches thick after binding (this typically occurs at approximately 300 pages), it must be split into two or more volumes. A title page indicating volume number should be bound into each volume when there is more than one volume. A table of contents is required only in the first volume. The PDF submission of a multi-volume dissertation, however, only needs one title page, and references to multiple volumes should be avoided.

## Binding Services

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](mailto:shattuckbook@att.net), <http://www.thesisbookbinding.com>. Students have the option of taking their unbound pages to Princeton Printer at 150 Nassau Street, Princeton, NJ 08542, (609) 924-4630, <http://princetonprinter.com/>, [info@princetonprinter.com](mailto:info@princetonprinter.com) for pickup by Smith-Shattuck. Binding usually takes 3-4 days; work may be done next-day for an extra fee. As of 2017, the price for binding the dissertation/thesis was \$35 - \$50 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. Doctoral candidates who reside away from Princeton can work with Smith-Shattuck remotely or contact the nearest academic library and ask where they have commercial binding done.

**PLEASE NOTE:** The U-Store and Pequod do not provide appropriate bindings. None of the bindings they offer are acceptable for a Princeton University dissertation or master's thesis.

## Type of Paper

The dissertation or master's thesis should be 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 must be selected for its permanence and durability (20 to 24 pound substance). Smith-Shattuck Bookbinding recommends using paper made of 25% cotton, but this is not a university requirement.

# The First Three Pages of Your Dissertation or Master's Thesis

The first three pages of your dissertation, in order, should be the Title page, the Copyright page and the Abstract. Specific formatting instructions for each of these pages follows.

## Title Page

We require that an unnumbered title page be prepared as shown in our [Title Page Format document](#).

The title page must have the month and year **of the Board of Trustee meeting at which your degree is conferred--** *not the date on which you complete your dissertation or that your defense is held*. No other date should appear on the title page. The Graduate School lists these dates on their [Degree Deadlines webpage](#). The date should be formatted as "Month YYYY", for example, "January 2018" (without quotes).

Your title page must include your adviser's name and the spacing and capitalization must resemble that shown on the [Title Page Format document](#).

The title page for the Master's Thesis must be formatted similarly to the dissertation title page, with the modifications shown on the [Title Page Format document](#).

## Copyright Statement or Creative Commons License Page

A second, unnumbered page that provides either a copyright statement or a Creative Commons license should follow the title page. A copyright statement indicates that "all rights are reserved" while the Creative Commons licenses allow for selective additional levels of use of your work. See the [Creative Commons' guide to licenses](#).

If you choose the traditional copyright statement, the 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. The copyright notice should be centered in the top third of the page. A correct example is:

© Copyright by Jane Ellen Doe, 2019. All rights reserved.

If you opt for a Creative Commons license instead of a traditional copyright statement, you must use the title of the license, the "button" or icon that represents the license that you have chosen, and the URI or web address of the license that you have chosen. A correct example is:



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See the [Creative Commons' guide to licenses](#) for a full list of license options.

## Abstract Page

An abstract should be placed after the copyright page, its pages numbered as number three in roman numerals (e.g. iii), indicating that this is the third page in the dissertation. The abstract page should be included in the Table of Contents (see Pagination for additional information).

Although ProQuest does not impose a limit for the length of the abstract, the Princeton University Graduate School, which reviews and approves abstracts, requires that they be no longer than 350 words.

Candidates whose dissertations are written in a foreign language are required to include an English language version of their abstract.

## Pagination

As outlined above, the first three pages of your dissertation, in order, should be: the Title page, the Copyright page and the Abstract page. The title page and copyright page should be unpaginated and the abstract should be numbered with the Roman numeral iii.

All pages preceding the first chapter of the dissertation or thesis (beginning with the abstract as page iii) such as the table of contents, lists of tables, acknowledgements, etc., should be paginated with lowercase Roman numerals.

All pages of the main body of the dissertation (i.e. beginning with the first page of Chapter 1), including those with drawings, illustrations, figures, bibliography, appendices, etc., should be numbered in Arabic numbers, beginning with 1 and running consecutively to the end of the manuscript.

Page numbers should be located in the bottom center or bottom right margin or top right margin, and should be no closer than ½ inch from the edge. Do not use letter suffixes for page numbers (e.g. 10a, 10b). All pages of text with the exception of the title page and the copyright/licensing page, should be numbered with Roman numerals (front matter) or Arabic numbering (body of the text and back/end matter).

## Typeface

Standard fonts such as Times New Roman or Arial are preferred. If using other fonts, be sure to use embeddable Type 1 or TrueType fonts. Script, italic, or ornamental fonts are not acceptable. Italicized font may be used for non- English words and quotations, and for other judicious uses.

Font size should be equivalent in scale to 10 point Arial or 12 point Times New Roman. These rules apply to captions, and bibliographies. Footnotes and endnotes can be one point smaller than the body of the text. Exceptions may be made only for tables and figures produced by different technology or by a graphic artist.

## Margins

The bound copy of your dissertation must have the following margins 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 to account for space needed for the binding process.

The text should be aligned-left in order to avoid large gaps in text which sometimes occur with full justification. Some disciplines favor full justification; if large gaps are not present in the text, full justification will be accepted.

## Line Spacing and Single-Sided Copying

The University Archives accepts bound dissertations with single-spacing, 1.5-spacing or double-spacing. 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) and "orphans" (a heading, subheading or single line of a paragraph at the bottom of a page) as much as possible. Most word processing programs will automatically suppress widows and orphans within paragraphs, but check also for headings and subheadings.

## 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.

## Numbering

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.



## Use of Color

Illustrations in that require color for their analysis or interpretation should be represented in full color. High-quality laser printing is acceptable.

## Permissions

When copyrighted images are used in the dissertation and permission for such use has *not* been obtained, the copyrighted images should be retained in the bound copy of the dissertation, which is considered the copy of record and has limited circulation. However, the images can be removed from the PDF version of the dissertation. The image caption and citation should be kept intact, and a notice such as “Image removed due to copyright concerns” should be inserted in the blank area where the image was removed.

## Format of the PDF

This section applies only to Ph.D. dissertations, as Master’s theses do not have a PDF submission requirement. The PDF is to be uploaded to [Princeton’s ETD Administrator Site](#). The PDF must be uploaded to the site prior to depositing your bound dissertation to the Princeton University Archives.

Formatting of the PDF is very similar to the formatting of the bound copy of the dissertation with a few exceptions that are outlined below. ProQuest’s [Preparing Your Manuscript Guide](#) should be followed, but where there are discrepancies between ProQuest’s guide and this document, the Princeton University Archives Formatting Requirements take precedence.

The PDF that you upload to [Princeton’s ETD Administrator Site](#) will also be deposited in Princeton University digital repository, [DataSpace](#).

## Line spacing

The PDF must be double-spaced, while the bound copy can be single, 1.5 spaced, or double-spaced.

## Margins

Option 1. The PDF can have 1.5 inch margins on the left hand side with one inch margins on the right, top and bottom, as the bound copy does. This can result in the same version of your dissertation being used for the bound copy and the PDF.

Option 2. The PDF can have one-inch margins on all sides for the best possible online presentation of your work. It is the PDF version of your dissertation that will have the greatest exposure to the public. If you choose to have one-inch margins on your PDF, the bound copy and PDF will have different pagination. This is not a concern as citations of online copies must record the specific version consulted including the platform and date of retrieval of the work.

## Embedding Fonts

The fonts in your dissertation must be embedded. Embedding fonts ensures that your dissertation PDF will look the same on any computer that is used to view it. In some cases, if fonts are not embedded, text can completely disappear. See page 3 of ProQuest's [Preparing Your Manuscript Guide](#) for instructions on embedding fonts in your PDF.

Further details on formatting the PDF are available on ProQuest's [Preparing Your Manuscript Guide](#).

## Illustrations

As noted above, when copyrighted images are used in the dissertation and permission for such use has *not* been obtained, the copyrighted images should be retained in the bound copy of the dissertation, which is considered the copy of record and has limited circulation. However, the images can be removed from the PDF version of the dissertation. The image caption and citation should be kept intact, and a notice such as "Image removed due to copyright concerns" should be inserted in blank area where the image was removed.

## Supplementary Files

If supplementary materials—such as audio, video, spreadsheets, and datasets—are part of your dissertation or thesis, you can submit them as supplementary files during the online submission process. The files will be available via the ProQuest database and through DataSpace. It is recommended to include only supplementary files to which you are the copyright owner.

The University Archives no longer accepts supplementary files on optical media such as compact discs or DVDs.

ProQuest lists its preferred file formats in the [Preparing Your Manuscript guide](#).

## Support

ProQuest's [Support and Training Department](#) (1-800-521-0600) can assist with issues related to creating and uploading PDFs and any questions regarding technical issues with the online submission site.

## Changes to Your Manuscript

The dissertation that your committee reviews and that you ultimately submit to the University Archives becomes the copy of record. Any subsequent request to change the document in any way must be approved by the DeputyDean of the Graduate School, who generally declines such requests.

## Contact

Still have questions? Contact 609.258.6345 or [mudd@princeton.edu](mailto:mudd@princeton.edu).

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