

ELECTRONIC DOCTORAL DISSERTATION **Guide for Preparation and Upload** (rev. 8.9.16)

Electronic Submission of Dissertations

Your dissertation must be converted to a PDF file, or preferably a PDF/A file, and then uploaded online to RUetd, the Rutgers University Libraries' Electronic Theses and Dissertations website for permanent archiving. Once archived, access to your dissertation will be via the [RUcore](#) repository.

For instructions on how to prepare your document in PDF/A format, [click here](#).

To upload your dissertation to RUetd, go to the website: <http://etd.libraries.rutgers.edu>.

The **title page** of your dissertation with the **original signatures in black ink** of all your dissertation committee members must be submitted on white paper to the Graduate Dean's Office, 241 Conklin Hall. ***Include an unsigned copy of the cover page in the electronic submission.***

Illustrations should be embedded in the text of the dissertation. In exceptional situations, in consultation with the graduate advisor, they may be submitted as a separate, supplementary file in the Appendix. For more information on acceptable materials see [RUetd FAQ's](#).

Any change (e.g., spelling, grammar, pagination, or adding information or references) to the dissertation after it has been submitted electronically in final form requires the written approval of the dissertation chairperson or advisor, to be submitted to the Graduate School Dean's Office.

Dissertation Components

There are typically 3 main sections and several subsections in the dissertation as follows. Details for some of the items and sample template pages are provided below.

Recommended Sequence:

1. Preliminary pages
 - a) Title page and copyright notice
 - b) Abstract
 - c) Preface, with acknowledgments and/or dedication
 - d) Table of contents (including page numbering)
 - e) List of table titles and page numbers
 - f) List of illustration titles and page numbers (all placed in the Appendix)
2. Main body of text
 - a) Introduction
 - b) Main body (Use consistent headings for major and minor divisions)
3. References
 - a) Bibliography
 - b) Appendices

Title Page (*Do not number this page*)

- The title should be a brief but meaningful and accurate description of the content of your dissertation.
- Your full, legal name, as it appears on the registrar's records, must be on the title page.
- Provide the appropriate number of lines needed for the approval signatures.
- Both original title pages must contain the original signatures of the research directors and all committee members in **BLACK INK**.
- Center all text.
- Double-space all lines.
- The month and year specified at the foot of the page should be the date at which the candidate expects to receive the degree, i.e., ONLY January, 20XX, May 20XX, OR October, 20XX. Important: ***DO NOT*** use the date of your dissertation defense.
- Be sure to have the correct OFFICIAL (not informal) name of your doctoral program on the title page. See sample Title page following this guide.

Abstract

The abstract is limited to 350 words and should give a succinct account of the dissertation. The abstract should contain:

- 1) Rationale for the study
- 2) Hypothesis (if appropriate)
- 3) Method
- 4) Results
- 5) Conclusion

Formatting

Ask your advisor for the preferred style guide (e.g., APA, MLA) for your discipline. If there is no guide, consult a leading journal in the field for models to follow. The precise form of all matters of style should be consistent throughout and conform to generally accepted practice in the discipline.

Text

- Use a 12-point font consistently throughout (preferably Arial or Times New Roman font and "Regular font style" (*not italic, script, etc.*)).
- Double space text, preliminary pages and appendices.
- Single space footnotes, endnotes, bibliography, long quotations.

Quotations in the Text

- Verse quotations of two or more lines are to be single-spaced and centered.
- Prose quotations of four or more lines are to be single-spaced, using a clearly discernible indentation from the left margin but not from the right margin.

Footnotes and Bibliography

- Footnotes and bibliographical entries are to be single-spaced internally and double-spaced between entries.
- Number footnotes consecutively. Begin with "1" in each new chapter. Notes may be made at the foot of the page, grouped at the end of a chapter, or at the end of the thesis.
- The form of notes should be consistent and conform to the usual practice in your discipline.

Margins

- Make the left margin 1.5 inch. Right, top, and bottom margins are to be 1.0 inch.
- Left justification is preferred, but left-right justification is acceptable.

Page sequence and numbering

- The title page contains your dissertation title, your name, and signatures of your committee members. **Do not number it.**
- If you have preliminary pages, they are to be numbered in lower-case Roman numerals (i.e., i, ii...v...ix, etc.) **centered 1 inch from the bottom edge of the page.**
- The title page is counted as Roman numeral page one, **but left unnumbered**, so that "ii" on the next page will be the first number to appear.
- Number the text pages in sequential Arabic numerals (i.e., 1, 2...5...9, etc.) beginning with -1- on the first page of text **placed in the upper right corner** 0.5 inch from the top and 1 inch from the right edge of the paper. The Arabic numeration is to continue to the end of the dissertation, including the appendices, which is to be situated as the last page of the dissertation. Thus all pages except the title page are to be numbered.

Illustrations: Graphic or Pictorial Works (graphs, tables, figures, diagrams, photos, images, works of art, etc.)

- Illustrations should be embedded in the text of the dissertation. However, in certain exceptional situations, illustrations may be submitted as a separate, supplementary, file in the Appendix where they will not display to the public. Such situations require consultation with the graduate advisor.
- The dissertation author takes responsibility for ensuring that copies of third-party copyrighted graphic or pictorial works are used appropriately under the fair use exception, or under a license, or by obtaining copyright permissions. See section on "Copyright" below.
- Use of color in graphic or pictorial works is acceptable, but in some cases authors may wish to use black and white illustrations. PowerPoint images are accepted by RUetd. However, they are **NOT** accepted by ProQuest. Plan accordingly if you intend to submit your dissertation to ProQuest.

Follow instructions for preparing illustrations and supplementary files found [here](#).

Publication

REQUIRED: RUetd is a Rutgers open access repository that is freely discoverable on the web, searchable on Google, and indexed in Google Scholar. It is managed by Rutgers University Libraries. Deposit in RUetd is No fee is involved.

OPTIONAL: ProQuest (formerly ProQuest/UMI) is a trusted full-text archive of theses and dissertations that has been recognized as Offsite Digital Repository by the Library of Congress. It has origins in University Microfilms International (UMI) that began in 1938 to partner with academic institutions to archive and provide access to theses and dissertations in creating a national archive of theses and dissertations. There is a fee for ProQuest services.

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- 1) Traditional Publishing allows ProQuest to distribute copies of your dissertation. ProQuest will pay royalties of 10% of its net revenue from sales of your work. The fee for this option is \$25.
- 2) Open Access Publishing PLUS allows ProQuest to make the dissertation available for free download to the public and may offer copies of the work for sale, but without royalties to the author. The fee for this option is \$120 (as of January 2015).

Because your dissertation will be made openly accessible in RUetd, ProQuest Open Access Publishing PLUS may not be necessary in ProQuest. For more information, [click here](#).

Copyright

- Your dissertation is automatically copyrighted upon creation. Copyright registration is not required but it does provide certain legal benefits. Among them are that registration establishes a public record of the copyright. It is a requirement before an infringement suit may be filed in the U.S., and it enables a copyright holder to seek claims for statutory damages and attorney's fees in a lawsuit.
- If you wish to register the copyright in your dissertation, you may file directly with the U.S. Copyright Office. The fee for a basic electronic copyright registration is \$35. The fee for a basic registration using print submission is \$65 (fees as of January 2015). See <http://www.copyright.gov/eco/>.
- If you choose to have ProQuest submit an application to the U.S. Copyright Office on your behalf, the cost is \$55 (fee as of January 2015) and can be done by completing the optional Copyright Registration Form in the ProQuest Publishing Agreement. Your thesis or dissertation will be registered as a published work.
- Regardless of whether or not you choose to register your copyright with the U.S. Copyright office, insert the copyright notice on a separate page after the title page (see sample template page below) and do **not** number the page.
- When using third-party copyrighted works, it is your responsibility to ensure that your use falls within the scope of the fair use exception in U.S. copyright law or within the terms of any license associated with the work. Otherwise you will need to obtain written permission from the copyright holder. You are responsible for obtaining proper permissions as necessary for all material used within your work.
- For both RUetd and ProQuest submissions, you must represent that you have obtained all necessary written permissions from copyright owners. ProQuest requires authors to indemnify ProQuest for any third party claims related to the dissertation as submitted for publication. You agree to these terms when you complete the RUetd deposit form and upload your dissertation, and when you sign the ProQuest Publishing Agreement. The responsibility for obtaining copyright permissions and for any infringement that may result from use of third-party copyrighted works rests with the student.
- For more information, see "[Copyright and Your Dissertation or Thesis](#),"
- For more detail, see also Kenneth D. Crews, [Copyright and Your Dissertation or Thesis: Ownership, Fair Use, and Your Rights and Responsibilities](#)
<http://www.proquest.com/products-services/dissertations/submitting-dissertation-proquest.html>.
- If you have questions, please contact Janice Pilch, Rutgers Copyright and Licensing Librarian, at janice.pilch@rutgers.edu.

Should I “embargo” my doctoral dissertation?

In some situations, an author may need to delay public availability, or “publication,” of the dissertation. For this purpose, both RUetd and ProQuest offer authors an option to embargo their work. This means that it will be kept in a dark archive, restricted from public view. When submitting the dissertation, you may choose to embargo the work or to make it immediately available to the global public.

Both RUcore and ProQuest offer embargo periods of 6 months, one year, or two years. Extended embargoes are also possible. Typical reasons for choosing embargoes are a student’s wish to complete scholarly journal or book publications based on the dissertation before it is made broadly available to the public, or to protect a patent or other intellectual property interest. Because you hold the copyright in the dissertation, the decision on whether to embargo it is yours to make.

If you choose an embargo, even though your dissertation has been officially submitted to the Rutgers RUetd system (or to ProQuest) it will not be made public until the end of the embargo period. If you wish to request an embargo (typically this is the exception rather than the rule), you can obtain an embargo request form from the Graduate School – Newark Dean’s Office or online from our website:

<http://gsn.newark.rutgers.edu>.

Obtaining a bound print copy of your dissertation

Should you wish to obtain a print copy of your dissertation in book format, Rutgers University Libraries Imaging Services provides high quality soft cover and hard cover bound copies of dissertations for reasonable fees. See http://www.libraries.rutgers.edu/imaging_services.

Questions

If you have questions not answered in this guide, feel free to contact: Sandy Reyes at 973-353-5843 or stop in at the Graduate Dean’s Office; 175 University Avenue, Newark, NJ 07102, Conklin Hall, Ste. 241.

Templates: See the following pages for specific formatting.

TITLE OF DOCTORAL DISSERTATION

by

AUTHOR'S NAME

A Dissertation submitted to the

Graduate School-Newark

Rutgers, The State University of New Jersey

In partial fulfillment of the requirements

for the degree of

Doctor of [Discipline]

Graduate Program in

written under the direction of

Professor's Name

and approved by

Newark, New Jersey

May, **OR** October, **OR** January **ONLY**, 20XX

[Title page is to remain unnumbered]

Copyright page:

©[Type in current year]

Your Name

ALL RIGHTS RESERVED

[Copyright page is to remain unnumbered]

ABSTRACT OF THE DISSERTATION

Title

By AUTHOR'S NAME

Dissertation Director:
Professor's Name

Begin text here:

Preface

Acknowledgement and/or Dedication

Table of Contents

** Includes all preliminary and concluding sections

Lists of Tables

List of illustrations