

University of Pennsylvania

Doctoral Dissertation Manual

Instructions for Preparing and

Filing the Dissertation

Revised October 2009

Approved by the Graduate Council of the Faculties and the Council of Graduate Deans

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Introduction: Writing and filing the dissertation are among the final steps leading to the award of the PhD. At the University of Pennsylvania, the student presents the dissertation publicly, defends it, and, with the approval of the dissertation committee, submits the final manuscript to the Graduate Division. The University's publication requirement is satisfied when the Graduate Division submits the dissertation to ProQuest for unlimited distribution and to the University Library for shelving in the permanent collection. (See Section III.f. for permission for temporary delay of publication.)

The University's requirements regarding the format for the dissertation are documented in this manual. Follow the instructions carefully and, should further questions arise, consult the Graduation Coordinator of the SAS Graduate Division Office (Suite 322A, 3401 Walnut Street/6228; phone 898-7444).

I. **Preparing the Manuscript**

- a. **Overall Appearance:** The manuscript must be clear and legible, free of errors, and attractive in appearance. All pages must be printed single-sided. The manuscript should be submitted unbound in an envelope or box.
- b. **Organization of the Manuscript:**

Preliminary Pages, in the following order:

Title Page

Copyright Notice (optional)

Dedication (optional)

Acknowledgment (optional)

Abstract

Table of Contents

List of Tables

List of Illustrations

Preface (optional)

Main Text

Appendices (optional)

Bibliography (optional)

Index (optional except for graduate groups in Anthropology, Architecture, City & Regional Planning, Earth & Environmental Science, East Asian Languages & Civilization, Folklore & Folklife, Near Eastern Languages & Civilization, South Asia Regional Studies)

c. **Margins:**

Left-hand margin: 1.5 inches

Right-hand margin: 1 inch

Top and bottom margins: 1 inch

All text, including footnotes and page numbers, must be inside these boundaries. Nothing may appear in the margin area.

d. **Line spacing:** The text of the dissertation is double-spaced, except for footnotes, long quoted passages, and lists of tables and figures, which are single-spaced.

e. **Font:** Any non-italic 10- or 12- point font may be used. Headings may be larger. For enhanced screen readability, use Arial (10pt), Courier New (10pt), Georgia (11pt), Times New Roman (12 pt), or Verdana (10pt) font. For footnotes, figures, citations, charts and graphs, a font of 8 point or larger may be used. Italic type may be used for quotations, words in a foreign language, occasional emphasis, or book titles.

f. **Pagination:** Every page in the dissertation has a number, except for the Title Page and the copyright notice (if desired).

For the preliminary pages – dedication (optional), acknowledgements (optional), abstract, table of contents, list of tables, graphs, illustrations and preface (optional) – use small Roman numerals (*i, ii, iii, iv, v, ...*). These may be placed either at the top or the bottom of the page. The title page is counted as page *i*, and the copyright page (if there is one) as page *ii*, but do not print the page numbers on either of these two pages (e.g., in a dissertation with a copyright notice, the first numbered page is *iii*; in a dissertation without a copyright notice, the first numbered page is *ii*).

For the text, use Arabic numbers (1, 2, 3, 4, 5, ...) starting with page 1 (the first page of the text itself). These may be placed either at the top or the bottom of the page. If you use footnotes, it is recommended that you print page numbers at the page top. Do not print page numbers, footnotes, or anything else in the margins. Each page must be consecutively numbered, including tables, graphs, illustrations, and bibliography/index (if they are included); letter suffixes (such as 10a, 10b, ...) are not allowed.

Check pagination carefully. Do not include blank pages. All pages must have a page number and be accounted for.

g. **Abstract:** The Abstract is a condensed summary of the dissertation, not to exceed 350 words. All words count towards the total. The abstract, which is normally a single paragraph, consists of four parts: the statement of the problem; the procedure and methods used to investigate the problem; the results of the investigation; and the conclusions.

The abstract is published online by ProQuest in "Dissertation Abstracts International," providing information to interested readers about the general content of the dissertation.

The abstract is double-spaced. Below the word "ABSTRACT" (in upper case), list the title of the dissertation (upper case), your name, and your dissertation supervisor's name.

Sample

ABSTRACT

PRACTICAL ADVICE: THE EFFECT OF "POOR RICHARD'S ALMANAC"
ON DOMESTIC LIFE IN THE AMERICAN COLONIES

Author's Name

Supervisor's Name

The same elements that transformed the political structure of the British colonies in North America, first through revolution and later through a new constitution, were also eager to promote a similar transformation of social relations among Americans. But at the time of the Revolution, there was no widespread consensus on how Americans should act towards one another nor an official aristocracy whose manners were expected to set the tone for the larger society. Benjamin Franklin's "Poor Richard's Almanack" sought to fill this void through the means of pithy homilies issued by an "ordinary" American of the day. Examining its text, one finds both significant guidance concerning interpersonal relations in a society which officially had shed the formal class distinctions of the mother country, practical suggestions for new arrivals in the cities, and useful tips for those working the land in a country that was still largely unsettled. The book also served as the original model for a uniquely American literary form, the self-help book, which in the United States soon took the place of custom and clan as a means of providing the average individual with clues to proper behavior. Through this book, Franklin had an influence on everyday American manners that was every bit as significant as his influence on American scientific and intellectual life.

- h. Title Page:** The Title Page must contain the TITLE (in upper case); the author's name; the graduate group name (see Appendix 2 for official names); the year the degree is being granted; the name, faculty title (rank and department), and signature of the dissertation advisor (or co-advisors, if there is more than one); and the name, faculty title (rank and department), and signature of the graduate group chair. The names and faculty titles (rank and department) of the Dissertation Committee members should be listed on the Title Page (no signatures). If you want to use a format for your name that differs from the current name in the *Penn In Touch* System (e.g., a married name, or a full middle name rather than a middle initial), contact the Registrar's Office and provide the necessary documentation to make that change. NOTE: The Library copy of the manuscript must be signed but no signatures are required in the pdf submitted electronically to Scholarly Commons.

The title page is understood to be page "i" for counting purposes, but no page number should be printed on the title page.

Students in the Graduate Group in Managerial Science and Applied Economics (Wharton Doctoral) also include their field of specialization above the graduate group name. See sample Title Pages in Appendix 5 (page 18).

- i. Paper:** The dissertation is printed single-sided on acid-free white paper, 20 lb. bond (or heavier stock), 8 1/2 x 11 inches in size.
- j. Mixed Media:** Supplementary files of essential supporting material may be submitted on a CD or DVD along with the core manuscript. Such "compound dissertations" will be distributed by ProQuest only as hardbound publications, with the CD or DVD sleeve on the inside of the binding. ProQuest guidelines must be satisfied, and any 3rd party software licenses necessary for the use, viewing and publication of the content on the CD or DVD must be provided.

In the case of electronic submission of the dissertation (see Section III.c.), supplementary digital files may be filed as attachments.

- k. Copyright Notice:** The dissertation submitted as a part of the requirements for a degree is the property of the University. However, the author of the dissertation owns and retains the copyright in the dissertation, without further registration formalities. If you choose to include a copyright notice in your manuscript, place it on a separate page immediately following the Title Page. Display the title of the dissertation, then the word "COPYRIGHT" (or symbol ©), the year of first publication, and your name. Do not print a page number on this page; it is understood to be page "ii" for counting purposes.

Sample

Title of the Dissertation
COPYRIGHT
Year of Publication
Author's Full Legal Name

You may elect to register the copyright in the dissertation with the U.S. Copyright Office, although this is not legally required. There are legal advantages, however, to obtaining a federal copyright registration. (See, generally, <http://www.copyright.gov/circs/circ1.pdf>.) You may apply to register your copyright yourself for \$35 (see the Library of Congress website at <http://www.copyright.gov>) or you can authorize ProQuest to act as your agent and apply to register your copyright as part of the publishing process for \$65 (see “Using ProQuest for Copyright Registration” below, section II.c.). Questions regarding copyright may be directed to Shawn Martin at Van Pelt Library, [<repository@pobox.upenn.edu>](mailto:repository@pobox.upenn.edu)

- l. **Footnotes/Endnotes:** Notes can appear as footnotes below the text on a page, or as endnotes at the end of each chapter. Footnotes at the bottom of a page may be numbered continuously throughout the dissertation. Endnotes at the end of a chapter are numbered separately for each chapter (i.e., the first note of each chapter will always be numbered 1). A bottom-of-the-page footnote must begin on the same page as the text to which it refers, but it may continue on a following page if necessary. Nothing may appear in the margin area.
- m. **Bibliography:** This is an alphabetical listing of all references used. It may be a single alphabetical list by chapters or an alphabetical list by authors for subject and class of publications. Page numbers in the bibliography continue the pagination of the text; do not number the bibliography separately.

II. Accompanying Forms

- a. **Approvals:** The Certification of Dissertation form with the graduate group Chairperson's signature, must accompany the dissertation (see sample in Appendix 3).
- b. **ProQuest Publishing Agreement** (included in the "Publishing Your Dissertation" brochure) grants ProQuest the right to reproduce and disseminate your work. If the dissertation is submitted with a CD or DVD, the following must be included:
 - o a Reprint Permission Letter to authorize the reproduction and dissemination of any copyrighted materials owned by a third person that you use within the body of the work, and which does not constitute a fair use;
 - o a description of software or other applications used to create the CD or DVD, including a list of files and file sizes and copies of licenses for third party software needed to access, display, run, or print the dissertation;
 - o written permission to reproduce copyrighted images, video, graphics, animation, data, and images of individuals, where the reproduction is not a fair use.
- c. **Using ProQuest for Copyright Registration:** If you want to authorize ProQuest to file a copyright application on your behalf, pay the copyright fee of \$65 to the University. See Section I.k. for information on registering copyright on your own.
- d. **Use of Copyrighted, Previously Published, or Coauthored material:** University of Pennsylvania policy permits dissertations based on joint work with other researchers, provided that, in such cases, a unique and separate dissertation is presented by each degree candidate. The candidate must include a concise account of his or her contribution to the whole work. Authorship of a dissertation by more than one degree candidate is not allowed.

If someone other than you owns the copyright in content in your manuscript, including appendices, and your use of that content is not a fair use of that content, ProQuest requires submission of a permission letter from the copyright holder to use that content. Attach the permission letter to your ProQuest Publishing Agreement. For general guidance on what might constitute a fair use of copyrighted materials within your manuscript, see, e.g., the U.S. Copyright Office's guidance at: <http://www.copyright.gov/fls/fl102.html>

Questions regarding copyright may also be directed to Shawn Martin at Van Pelt Library, <repository@pobox.upenn.edu>

- e. **Patents:** Any inventions that you discover as part of your research for your degree and disclosed as part of your dissertation, and any patent or other intellectual property rights arising therefrom, are governed by the policies of the University of Pennsylvania, including the Patent and Tangible Research Property Policies and Procedures <http://www.med.upenn.edu/postdoc/documents/patent.policy.02.22.05.pdf> and the Policy Relating to Copyrights and Commitment of Effort for Faculty. For more information, please contact the University's Center for Technology Transfer.
- f. **Request for Restriction of Publication:** Publication of the dissertation is a University requirement, satisfied by shelving in the University Library and submission to ProQuest. In cases where a paper is in press or a patent application is pending, you (or the University's Center for Technology Transfer) may request a delay of one year in the dissemination of the dissertation by Proquest and the public release of the dissertation through its availability in the University Library. (Complete the form attached as Appendix 1.)
- g. **Survey of Earned Doctorates:** Completion of this survey is a degree requirement. The Survey should be completed online. Instructions for completing the survey will be forwarded to degree candidates by the Graduate Division.
- h. **PhD Exit Survey:** Instructions for completing the survey online will be forwarded to degree candidates by the Graduate Division.

III. Submission Procedures:

See the Graduation and Beyond web page for registration deadlines and procedures:

<http://www.sas.upenn.edu/GAS/home/grad&beyond/graduation.html>

- a. **Appointment at Graduate Division:** The original dissertation must be suitable for publication before it can be processed by the Graduate Division Office on behalf of the Graduate Council of the Faculties. Appointments will be made on a rolling basis, but all revisions must be made before the completed dissertation is delivered to the Graduate Division Office. The manuscript(s) should be submitted unbound in a box or sealable envelope.

- b. **Dissertation Deposit Fee:** A fee of \$100 is payable to *Trustees of the U of Pennsylvania* to cover cost of processing and publication. Copyright Registration by UMI, if desired, is an additional cost of \$65.
- c. **Electronic Filing of the Dissertation:** Beginning in fall 2009, a PDF file of the dissertation may be submitted online via the [Scholarly Commons@Penn](mailto:ScholarlyCommons@Penn) portal. **Submit your manuscript to Scholarly Commons in advance of your appointment at the Graduate Division.** See the instructions online at: <http://www.library.upenn.edu/scholcomm/dissertations.html> If possible, use your Penn email account.

In addition, a single hard copy of the manuscript, with original signatures on the Title Page, is required for the Library collection. Bring this copy to your appointment.

There are several advantages to electronic submission of a pdf. Once accepted through *Scholarly Commons*, the dissertation will almost immediately be available for full-text searching via the internet at no cost. (This provides the same access ProQuest offers for \$160 through its "Open Access Publishing" option.)

NOTE: Students who want to publish the dissertation in Open Access format should discuss this plan in advance with their adviser to ensure there are no concerns relating to copyright.

Electronic submission of a PDF file ensures the highest quality reproduction of the manuscript, with color images preserved both online and in hardcopy. Supplementary digital files can be attached, if desired. **Follow instructions for embedding links provided in Appendix 4 in order to preserve all formatting and punctuation.**

The University will forward the PDF file of the dissertation to ProQuest.

- d. **Hard Copy Filing:** If you are not submitting electronically, two copies of the manuscript are submitted to the Graduate Division. (Photocopies are not acceptable, except for the signed Title Page in the second copy.) The Graduate Division sends one manuscript to ProQuest, where it is scanned to create a PDF file. The other (with original signatures on the Title Page) is shelved as part of the Library's permanent collection. The Certification of Dissertation form must be included with each manuscript.
- e. To choose **Open Access Publishing by ProQuest**, pay ProQuest the \$160 fee by Cashiers check or credit card. Note: If you are submitting a pdf of your dissertation electronically, it is unnecessary to purchase this feature through ProQuest; your dissertation will be published in open access through Scholarly Commons.

IV. Checklist

1. Is every page of the dissertation correctly numbered? Are all pages included?
2. Is a bibliography and/or index required by your graduate group?
3. Does the author's name, in full, appear on the title page, the abstract, and the contract form? Is the name the same on all three? Is it in the same format as in the *Penn In Touch* system?
4. Is the title on the abstract and on the ProQuest Form the same, word for word, as on the dissertation?
5. Does the supervisor's name (without the faculty title) appear on the abstract? Is the name typed accurately and in the proper place, so that it is clearly indicated that s/he is the supervisor and not the author?
6. Are all charts, graphs, and other special illustrative materials perfectly legible? Are they in the correct order and position? Are they paginated?
7. If you are submitting electronically, did you embed the fonts to preserve all the formatting? (see Appendix 4)
8. Do you want ProQuest to apply to register the copyright in the dissertation with the U.S. Copyright Office? If so, payment of the \$65 copyright fee must be made to the University prior to the deposit of the dissertation. Bring proof of payment (print screen or bring a receipt from the Cashiers Office) if payment is made less than 48 prior to your appointment at the Graduate Division.
9. Have you obtained permission from the copyright owner to include any significant portion of a third person's copyrighted work which is not a fair use? If the dissertation is submitted with a CD or DVD, have the following been included: a description of software or other applications used, including a list of files and file sizes; copies of licenses for third party software necessary to access, display, run, or print the dissertation; and written permission to reproduce copyrighted images, video, graphics, animation, data, and images of individuals, which is not a fair use?
10. Have you obtained the Certification for Dissertation (Form 153) which certifies that the dissertation is in suitable form for publication, from your graduate group? This form must be submitted along with your completed dissertation.
11. Have you completed the Survey of Earned Doctorates, the PhD Exit form, and the ProQuest Publishing Agreement? These forms are emailed to all degree candidates by the Graduate Division and must be completed on line prior to your appointment. Bring verification of completion of the two surveys to your appointment. If you have questions regarding these forms, call 215-898-7444.

V. Transcripts and Diplomas

Information on ordering **transcripts** is online at <http://www.upenn.edu/registrar/student-services/transcripts.html>

Diplomas are mailed to the address of record by the Office of the Secretary approximately two months after each degree cycle, (e.g., in early October for August graduates, in March for December graduates, and in July for May graduates).

Appendix 1

RESTRICTION OF PUBLICATION REQUEST FORM

Publication of the dissertation is a University requirement, satisfied by shelving in the University Library and submission to ProQuest. In cases where a paper is in press or a patent application is pending, you (or the University's Center for Technology Transfer) may request a one-year delay in the dissemination of the dissertation by ProQuest and the public release of the dissertation through its availability in the University Library.

To request restriction of your dissertation, complete the following information and submit the form at the time you deposit your dissertation.

_____ Restrict publication online until _____(insert mo/year) **MAXIMUM OF 1 YEAR**

_____ Restrict shelving in the University Library _____(insert mo/year) **MAXIMUM OF 1 YEAR**

AUTHOR'S NAME _____

Signature of Author

Date

Signature of Adviser

Date

Appendix 2

Official Names of Graduate Groups

Africana Studies

Ancient History

Anthropology

Applied Mathematics and Computational Science

Architecture

Art and Archaeology of the Mediterranean World

Biochemistry and Molecular Biophysics

Bioengineering

Biology

Cell and Molecular Biology

Chemical and Biomolecular Engineering

Chemistry

City and Regional Planning

Classical Studies

Communication

Comparative Literature and Literary Theory

Computer and Information Science

Criminology

Demography

Earth and Environmental Science

East Asian Languages and Civilizations

Economics

Education

Electrical and Systems Engineering

English

Epidemiology and Biostatistics

Folklore and Folklife

Genomics and Computational Biology

Germanic Languages and Literatures

History of Art

History

History and Sociology of Science

Immunology

Linguistics

Managerial Science and Applied Economics

Accounting

Applied Economics

Ethics and Legal Studies

Finance

Health Care Management & Economics

Management

Marketing

Operations and Information Management

Statistics

Materials Science and Engineering

Mathematics

Mechanical Engineering and Applied Mechanics

Music

Near Eastern Languages and Civilizations

Neuroscience

Nursing

Pharmacological Sciences

Philosophy

Physics and Astronomy

Political Science

Psychology

Religious Studies

Romance Languages

Sociology

Social Welfare

South Asia Regional Studies

Appendix 3. **CERTIFICATION OF DISSERTATION (153 Form)**

Note: Your Graduate Group Coordinator will provide you with your official form.

SAMPLE

University of Pennsylvania
Graduate Division of Arts and Sciences
CERTIFICATION OF DISSERTATION

Instructions for Administrator: One copy of this form, signed by the Graduate Group Chair, needs to be included with the copies of the Ph.D. dissertation deposited in the Graduate Division Office, 3401 Walnut Street, Suite 322A/6228

This is to certify that the accompanying copies of the doctoral dissertation of

(Student Name)

are completed and correct copies as approved by the Dissertation Committee and are in satisfactory form for submission.

 Signature of Graduate Group Chair

 Date

Appendix 4.

Tips for successfully creating a PDF with all fonts embedded that will display and print correctly

See online instructions online at

<http://www.sas.upenn.edu/computing/help/students/dissertation-pdf>

Appendix 5.

ALUMNI REQUEST**TO POST THE DISSERTATION IN SCHOLARLY COMMONS**

In August 2009, the University of Pennsylvania began accepting PhD dissertations in digital format through Scholarly Commons, an online library resource available worldwide to internet users. This form may be used by PhD recipients who graduated before the digital option was made available and who desire "Open Access" publication of their dissertation. Instructions for posting the dissertation are available in the Dissertation Manual, online at http://www.upenn.edu/provost/dissertation_manual. Once the digital file has been submitted to Scholarly Commons, it will be processed upon receipt of this form. Send the completed form to: Graduate Division of Arts and Sciences, 322A, 3401 Walnut St., Philadelphia, PA 19104. For questions, call: 215-898-7577.

I, _____

(Print name)

hereby request that my dissertation be posted online in *Scholarly Commons*.

I certify that the digital file I submit is identical to the original dissertation that I submitted to satisfy degree requirements.

The title of my dissertation is _____.

My degree was conferred on _____.

(e.g., May 2009)

Signed,

DATE _____

Contact information:

Email

Phone

SAMPLE TITLE PAGES

PRACTICAL ADVICE: THE IMPACT OF "POOR RICHARD'S ALMANAC"

ON DOMESTIC HABITS IN THE AMERICAN COLONIES

Author's Name

A DISSERTATION

in

History

Presented to the Faculties of the University of Pennsylvania

in

Partial Fulfillment of the Requirements for the

Degree of Doctor of Philosophy

2009

Supervisor of Dissertation

Signature _____

Typed Name

Title (e.g. Richard Poor, Associate Professor, History)

Graduate Group Chairperson

_____*Signature*_____

Typed Name and Title (e.g. Eric Franklin, Professor of History)

Dissertation Committee (Typed Names and title; no signatures)

Co-Supervisor (if applicable)

*Signature*_____

Typed Name

Title

SAMPLE TITLE PAGE FOR WHARTON DOCTORAL

PRACTICAL ADVICE: THE IMPACT OF "POOR RICHARD'S ALMANAC"
ON DOMESTIC HABITS IN THE AMERICAN COLONIES

Author's Name

A DISSERTATION

in

Management

For the Graduate Group in Managerial Science and Applied Economics

Presented to the Faculties of the University of Pennsylvania

in

Partial Fulfillment of the Requirements for the

Degree of Doctor of Philosophy

2009

Supervisor of Dissertation

*Signature*_____

Typed Name(s) and Title: (e.g. Richard Poor, Associate Professor, Management)

Graduate Group Chairperson

*Signature*_____

Typed Name and Title (e.g. Eric Bradlow, Professor of Marketing, Statistics, and Education)

Dissertation Committee (Typed Names and title; no signatures)

