St. John's University Electronic Dissertation and Theses (ETD) Format Requirements

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Role of the St. John's University Libraries

The St. John's University Libraries oversees adherence to University publication formatting and preservation requirements of Electronic Theses and Dissertations (ETDs) to ensure that the University retains an enduring resource. In addition, the Libraries oversee adherence to the publication and preservation requirements of ProQuest/UMI, which maintains preservation copies, offers bound printing, and creates searchable metadata for the discovery and distribution of university dissertations.

The St. John's University Libraries does not oversee ETD contents, but it does work with Schools to provide this St. John's University Electronic Dissertation and Theses (ETD) Format Requirements Guide. This Guide is a compilation of a number of guidelines and policies which must be followed, including ProQuest policies, University Compliance policies, and School requests for guidance. Every effort has been made to have these guidelines be clear, especially when used in conjunction with the ETD Sample document.

To the extent that this Guide conflicts with ProQuest Publishing Guidelines, these guidelines supersede ProQuest. Please consult your department, your adviser, or the ETD Administrator in your School's Graduate Dean's office for questions regarding meeting Citation style, footnotes, or other discipline-specific or School-specific formatting requirements. To the extent that this Guide conflicts with School/Departmental Guidelines, consult your Graduate Dean.

PLEASE NOTE: *These formatting guidelines differ from those of previously published dissertations or theses; older practice should not be used as a precedent. The University makes every effort to limit updates of ETD guidelines to an annual basis; however legal and publishing requirements may change over the course of months or over the course of years in your time as a graduate student, so please be in touch with your School's Graduate School ETD administrator for the most up-to-date information.*

Submission Requirements
General

If a Thesis or Dissertation is needed for fulfillment of a degree, Graduate students are responsible for meeting School-specific ETD requirements and deadlines, as well as these formatting requirements. Graduate students are encouraged to review and implement ETD formatting requirements as they create their document. It is highly recommended that degree candidates consult ProQuest and Microsoft tutorials for guidance on using various features in Word to meet margin, pagination, table of contents, and embedded font

requirements, as well as using the Accessibility Check feature for meeting ADA requirements.

Once the Thesis/Dissertation has been defended, and has been cleared by the mentor as ready for submission to Dean to partially fulfill graduation requirements, Graduate students must submit a PDF copy of their dissertation to their School's Graduate Dean's office by uploading it to the appropriate ProQuest ETD Portal site. The link for the portal, as well as instructions for uploading, will be provided by the Graduate Dean's Office. The PDF version of the ETD will be stored and distributed via both the St. John's Digital Repository, (aka St. John's Scholar) and in the ProQuest Theses and Dissertations Global database. See the [Flowchart of the ETD Process](#).

Accessibility

To be in compliance with Title II-ADA requirements issued in April of 2024, students submitting an ETD for graduation in Spring 2025 or later must meet ADA accessibility standards. All graduate students are encouraged to become familiar with the formatting and Accessibility features built into MicroSoft Word and other scholarship-related tools. Please check with your school and the Office of Disability studies for resources.

Requests for Changes to the ETD

The PDF version of the ETD that was submitted to and approved by committee and signed-off as completed and approved by the mentor, as a partial requirement to meet the qualification of graduation, is preserved as the document of academic record; *no further changes to content* can be made. You may be asked to make *formatting changes* by your Graduate Dean's ETD Administrator or by the Libraries' ETD Administrator prior to final publication, in order to meet publication/legal requirements. The University's Policy is that no content edits are made to the ETD document once it has been submitted and approved for graduation, and the submission deadline has passed; likewise, no content corrections are made for published ETD documents.

Copyright and Permissions

Authors are responsible for meeting legal and ethical guidelines in the research and publications process. When submitting the ETD to ProQuest, ETD authors should undertake due diligence to obtain permission to use copyrighted content in their dissertations. In the event that copyrighted content is used in the dissertation and permission for such use has _not_ been secured from the copyright holder, the dissertation author may remove the copyrighted content from the PDF. The PDF will be publicly available on St. John's Scholar after any embargo period (if applicable). The removed content must be captioned and cited and a notice such as "Content removed due to copyright concerns" should be inserted in the blank area where the content was removed.

In these cases, the dissertation author is required to submit an additional electronic copy of the dissertation with all content—including copyrighted content--intact. The unredacted versions of the dissertation must be formatted according to this document, and uploaded in the Administrative Documents area by the degree date deadline in order to be placed on the degree list.

Publication Agreements

In the course of submitting your ETD through the ProQuest Portal, you will be required to respond to two Publication agreements.   While Graduate students own the copyright to their original works of authorship, St. John's University requires that scholarly work conducted by graduate students and incorporated into Theses and Dissertations be submitted to two (2) electronic platforms:

1)   University Publishing Agreement: Items in the University's Institutional Repository, St. John's Scholar (SJS), are considered the University's archived "document of record" for the degree. The SJS University Publishing Agreement grants the University a nonexclusive, worldwide, royalty-free, perpetual license for dissemination of their thesis or dissertation through St. John's Scholar, making the ETD publicly accessible on the world-wide web.

2)   ProQuest Publishing Agreement: Items in ProQuest ETD platform serve as preservation copies of our "document of record." The ProQuest publishing agreement grants ProQuest limited, non-exclusive license to preserve and disseminate the ETD via the ProQuest Platform.

Publication Release

In the course of submitting your ETD through the ProQuest Portal, you will be prompted to answer whether you want the full-text of the ETD to be released for publication immediately or employ an optional delay/embargo period, if applicable. Full ETDs are published upon degree conferral; however, a delay/embargo allows a student, with significant concerns related to sensitive or classified information, patents, and potential publishers' restrictions, to request an embargo to delay public release of the full text of the thesis or dissertation. Whether you select immediate release or delayed/embargo release, the Title, Candidate name and Abstract of the ETD will be publically available via ProQuest and St. John's Scholar, and are discoverable by search engines. If you fill out the optional embargo fields, you must also upload the signed embargo request form at time of submission. See the [ETD Embargo Policy](#) for details.

Media/Supplementary Files

While many of our ETDs are primarily documents and appendices that are easily converted to PDF, some ETDs make use of multimedia files which the ProQuest platform

processes, stores, preserves and disseminates as Supplementary Files. ProQuest lists its preferred supplemental file formats in [ProQuest's Preparing Your Manuscript guide](). Students are responsible for meeting discipline, legal and ethical guidelines in gathering data, and storing research-related data, projects and supplemental files. If the candidate uploads supplementary files to ProQuest or another repository as part of their ETD, they must be the copyright owner.

ETD that is Primarily Media Files

If the dissertation/thesis is not primarily a document/PDF-based project, the degree candidate is still required to upload a PDF containing at least the "front matter" of the work and any other relevant written materials and references in the main PDF section of the portal. In the "Supplemental Files" section, please upload the non-PDF components of your graduate work. Candidates may upload multiple files as needed in the "Supplemental Files" section.

ETD that has Primarily Text with some Media Files

If your dissertation/thesis is primarily a Document-based/PDF of an ETD that includes media files, do not embed media files in your PDF. In the "Supplemental Files" section, please upload media components of your graduate work. Candidates may upload multiple files as needed in the "Supplemental Files" section.

The University does not store supplementary materials, and the University Archives no longer accepts supplementary files on optical media such as compact discs or DVDs. If you include spreadsheets, audio and/or video files as part of your dissertation or thesis, it is recommended that (in addition to uploading into ProQuest as supplementary files) you also upload them in separate repository, preferably a discipline-specific repository that assigns DOIs, and provide the link/s for the uploaded files in the PDF component of your work.

Format of the ETD

Margins

The dissertation must have a left-side margin of 1.5 inches; all other margins should be at least 1 inch. If the ETD has any horizontal/landscape pages, the 1.5 inch margin would be at the top of the page. All charts, tables, photos, graphs, etc. must fit within these margins. Margin/Spacing exceptions are noted for Title, Copyright and Vita pages. *NOTE: The larger left-hand margin must be observed to account for the space needed for the binding process.*

Typeface/Font

Fonts can follow discipline-citation styles, however sans-serif fonts (like Arial) are preferred for ADA compliance. Whichever font you use, be sure to use embeddable TrueType fonts.

Script 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. Exceptions may be made for tables and figures produced by different technology or by a graphic artist.

The fonts in your dissertation PDF 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 [ProQuest's instructions on embedding fonts in your PDF](#).

Page Orientation

The ETD should use Portrait Orientation. Larger tables/figures may be in landscape orientation for ease of reading online, as long as they meet margin requirements above. For purposes of electronic distribution, pages will retain the orientation in which they are submitted. If you order print copies from ProQuest, know that any landscaped pages will be rotated 90 degrees counter-clockwise, and bound as a portrait page.

Pagination

The ETD is composed of the preliminary section (including front matter), the Main Body of the document and the Vita (biographical) section.

- Preliminary section – pagination begins after the Title and Copyright pages and uses lower case Roman numerals. The Abstract page serves a "page i" however that page number does not display (it is suppressed). The author may wish to include "optional" pages (e.g.: Dedication, Acknowledgements) in the preliminary section, so *whichever page follows the abstract page displays the page number ii.*

- Main Body Section – Depending on your Discipline, the Main Body of the dissertation may start with the Introduction or with Chapter 1. In either case, the pagination for the Main Body starts anew and uses Arabic numerals for pagination. All pages of the body of the manuscript should be paginated with Arabic numerals that run consecutively to the end of the manuscript. This includes pages with drawings, illustrations, figures, and the bibliography and appendices, etc.

- Vita Section – no page number displays on the Vita

Page numbers should be consistently located, and should be no closer than ½ inch from the edge. Do not use letter suffixes for page numbers (e.g. 10a, 10b).

"Front Matter"

The first three pages of your dissertation/thesis, in order, should be the Title page, the Copyright page, and the Abstract. These are called the "Front Matter." Specific spacing, margins and pagination and other formatting instructions apply for each of these "Front Matter" pages.

Title Page

The unpaginated title page should be prepared, with all spacing and capitalization, as shown in the Sample Document.

The title page includes the Document TITLE in all caps. For titles that exceed one line, Spacing should be is 1.5. *Note: the Document Title will be on transcript.*

The DEGREE NAME must be in all caps. The DEPARTMENT/DIVISION NAME must be in all caps. The SCHOOL/COLLEGE NAME must be in all caps. *Note: it is possible that the name of your degree, Department and/or School changes from the time of original enrollment. The Title Page must reflect the current degree, Department and School. Check with your School's Graduate Dean's office about the current/correct names.*

The Student name must match the legal or chosen name in on file in the Office of the Registrar.

"Date Submitted" and "Date Approved" must be typed (not handwritten). Dates are underlined. *Note: "Date Submitted" is the date of the thesis/dissertation defense; "Date Approved" is the date that the Mentor approved final content, including any changes required by defense committee.*

The Student's name and Mentor's name must be typed below the signature line (not hand written). *Note: The Dean's office gets the signed Title Page; signatures are not required for the Title page submitted to ProQuest/Institutional Repository for publication.*

Page number should not display, but should be **counted** in "Preliminary" pagination (equivalent of roman numeral "i")

Copyright Page

A second, unpaginated page provides your copyright statement. 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 ETD is published after the University registrar confirms that the University conferred the corresponding degree, so the year should match the graduation year. The name must match the legal or chosen name on file in the Office of the Registrar.

The copyright notice should be 4.5" from top of page to start of text, and the Text must be centered and in the middle of the page. Text is bold. Use line spacing 1.5 between the copyright statement and "All rights reserved." Example below:

Abstract Page

The Abstract page should be prepared, with all spacing and capitalization, as shown in the Sample Document.

An abstract should be placed after the copyright page. This page is double spaced. This page has no page number.

The Abstract Page should include the word ABSTRACT (centered at top) followed by the Title of the ETD (also centered), and your legal name (Aligned right).

Starting with the Abstract, all the rest of the text should be left-justified.

Present a maximum 350-word summary of the study including (a) the main purpose or problem under investigation, (b) the specific characteristics of the participants (e.g., age/grade, sex, primary language), (c) the essential features of the research methodology (e.g., instruments, procedures, techniques for analyses), and (d) the significance and/or potential implications.

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

Text Alignment

Unless otherwise indicated in these instructions, 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

Please see guidelines/Sample for spacing of the beginning three Front Matter pages and last Vita page.

Unless otherwise indicated in these instructions, starting with the Abstract, all subsequent pages of the document are double spaced i.e.: abstract, dedication, acknowledgements,

table of contents, and body of the manuscript.

Exceptions to double-spacing in body of the document include indented quotations (as paragraphs), captions, items in tables, lists, graphs, and charts. Single spacing is acceptable in footnotes/endnotes, bibliographic entries, lists in appendices.

Widows/Orphans

Avoid leaving "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). Most word processing programs will automatically suppress widowed and orphaned text within paragraphs but check also for widowed/orphaned headings and subheadings.

Use of Color

All font/text in the body of the ETD should be black. Illustrations, and text in illustrations/Tables, etc can use color, especially when colors are fundamental to the idea being illustrated – however use of any color – other than black should be high-contrast enough to meet ADA requirements.

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. For ADA compliance, Illustrations require alt-text.

Labelling Illustrations

Illustrations should be labeled consecutively and consistently, according to your discipline's style. Label each illustration appropriately (e.g. Figure 1; Figure 2; Figure 3 etc). Images should appear in the order you discuss them in your text: that is, 'Figure 1' should be mentioned and appear first; 'Figure 2' should be second etc.

Each illustration must have a short, unique title (no more than 2 lines) and a brief, description/ caption; for tables or diagrams make sure the legend is appropriately descriptive of the content.

Refer to your figures in your text: e.g.:

"As Figure 1 shows…"

 "Figure 2 illustrates how…"

 "The diagram of the mechanism (Figure 3) indicates that…"

Location of Illustrations

Place small images/illustrations within the text between paragraphs as close as possible to

the point where they are first mentioned, but not before your first mention. Larger illustrations may need to be separately included on the next nearest full page, appropriately oriented, with the identifying illustration label and page number. All illustrations must meet the margin requirements set out above.

Use an appropriate image format (e.g. jpeg) to insert images into your assignments. Discuss with your mentor where and whether any hard copy original photographs that have been scanned need to be kept for future consultation.

Check whether you need to place substantial visual materials in an Appendix. For multimedia, see "supplemental files" above.

Appendices

If Appendices are part of your dissertation or thesis, they go after the last chapter.

Contact Information

At the start of your Thesis/Dissertation process, be sure to connect with your Mentor and your Graduate Dean's office about registration and submission deadlines for meeting graduation requirements. Please also check with your individual department/school regarding specific requirements for dissertations and/or theses. If there are any conflicts between this guide and your School/College's instructions, please contact your Schools ETD admin for guidance.

School/College Contact information as of September 2024

College of Arts & Sciences:	St. John's Hall, Room 135	(718) 990-8079
College of Pharmacy & Health Sciences:	St. Albert Hall, Room 171	(718) 990-1412
School of Education:	Sullivan Hall, 5th Floor	(718) 990-1695
College of Business:	Bent Hall, Room 114	(718) 990-6417
College of Professional Studies:	St. Augustine Hall, 2nd Floor	(718) 990-5987

ProQuest Dissertations & Theses Technical Support

ProQuest can assist if you have issues with your ProQuest ETD Account (e.g.: username/passwords, error messages, credit card charges, etc.) They can also help with questions related to creating and uploading PDFs and any questions regarding technical issues with the online submission site.

- Phone: United States & Canada (toll free):+1 (800) 521 0600
                    Outside North America: +1 (800) 4997 4111 or +1 734-707-2513
- Email: https://support.proquest.com/submitcase
- Chat: https://support.proquest.com/chat