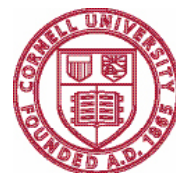


Doctoral Dissertation and Master's Thesis Guide

Formatting, Production, and Submission Requirements



Cornell University
Graduate School

Contents

Thesis Advisor

607 255-5828
thesis@cornell.edu

The Graduate School thesis advisor—who works with both master’s candidates writing theses and doctoral candidates writing dissertations—must approve the final format of a dissertation or thesis (or, for paper submission, the typed thesis approval form) before it is presented for final submission to the Graduate School.

Students should consult with the thesis advisor, as necessary, during the dissertation or thesis preparation process. The thesis advisor is available during posted office hours for advice on standards and requirements.

The thesis advisor also holds workshops each year regarding dissertation and thesis preparation. Workshops are usually held in February, June, and October. Time and location for workshops are given to all Graduate Field offices and are posted on the Graduate School website.

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Overview: Dissertation and Thesis

The dissertation or thesis is a scholarly treatise that substantiates a specific point of view as a result of original research you conducted during your graduate program. (For more information, see Cornell's *Guide to Graduate Study*.)

The dissertation is a requirement for receipt of the doctoral degree; the thesis is a requirement for receipt of M.A. and M.S. degrees and some professional master's degrees. The dissertation and thesis also are permanent records of original research.

The Cornell University Graduate School is committed to the preservation and dissemination of the research contributions of its students. While the content of a dissertation or thesis is the prerogative of the student and Special Committee, the format is established by the Graduate School. This guide outlines procedures designed to make your dissertation or thesis preparation as efficient as possible. Read and follow these procedures carefully in order to avoid costly and time-consuming revisions.

Part of the obligation of research is publication, and in the case of doctoral research this means publication of the entire dissertation in its original form. Publication of the dissertation and abstract is a Graduate School requirement whether the student has previously published or plans to publish any or all of the dissertation. UMI provides worldwide distribution of your work. The agreement signed with UMI allows for distribution by them from the master copy. You retain all other control over your dissertation and are free to grant publishing rights as you see fit. Format requirements described in this guide meet UMI specifications.

General Degree Requirements: Dissertation and Thesis

To take your final examination, you must either be registered in the Graduate School (in residence or in absentia) or be on approved leave of absence and pay the appropriate fees. Any fees must be paid by the time the dissertation or thesis is submitted.

The final examination consists of your defense of your dissertation or thesis in front of your Special Committee. After the final examination, you file the final version of your dissertation or thesis (which may need to be revised after your examination, depending on the comments of your Special Committee).

Doctoral candidates: You are expected to complete all requirements for the doctoral degree, including filing the dissertation, within seven years after first registration in the degree program. You must earn a total of six registration units,* with at least two of these registration units earned between the Examination for Admission to Candidacy ("A Exam") and the Final Examination ("B Exam"). Exceptions to the latter require permission of the Graduate School.

* A student is awarded one registration unit for each semester of satisfactory performance (including course work, work in the laboratory, and/or teaching experiences).

Master's candidates: All requirements for the master's degree, including filing the thesis, are expected to be completed within four years of first registration in the degree program. A minimum of two registration units* is required before the master's degree is granted.

For a degree to be granted, you must have the final transcript of your undergraduate degree on file with the Graduate School showing the conferral date. If the graduate application was made before the conferral of the undergraduate degree, it is your responsibility to request the final transcript from the undergraduate institution. In this situation, you should check with the Graduate School to be sure your file is complete.

Reinstatement

Contact the Graduate School well in advance if there is any question about your registration status.

A doctoral or master's degree candidate must reestablish status with the Graduate School prior to taking the final exam or filing the dissertation or thesis. Reestablishing status is required if your leave of absence has expired. (Leaves of absence of up to four years are automatically approved with annual filing of the Leave of Absence/Withdrawal form [form R6]. Approval of a leave of absence beyond four years requires annual submission of a General Petition form [form A2].) If you have been on leave of absence for more than four years, you must reestablish status by submitting a General Petition form to the Graduate School. A Leave of Absence/Withdrawal form may also be required at this point to retroactively establish appropriate status during the period you were absent from Cornell. If time-to-degree limits have been exceeded (seven years since first registration for doctoral students or four years since first registration for master's students), a petition must be filed to request an extension of the time-to-degree limits.

If you are required to complete additional course work or registration units to complete the degree, you should submit a Student Program Change form (form R3) to the Graduate School. The graduate field may require additional materials from you before considering the request. If time-to-degree limits have been exceeded (14 semesters since first registration for doctoral students or eight semesters since first registration for master's students) a petition must be filed to request an extension of the time-to-degree limits.

Differences in the Dissertation and Thesis

Although the same basic rules apply to both dissertations and theses, there are differences (particularly in producing the abstract and filing the dissertation or thesis). Please note:

- Information in this guide that pertains specifically to doctoral candidates and dissertations is clearly marked with the term "dissertation" or "**Doctoral Candidates**."
- Information pertaining specifically to master's candidates and theses is clearly marked with the term "thesis" or "**Master's Candidates**."
- All other information pertains to both.

Decisions You Will Need to Make

1. Write a dissertation or thesis vs. collate previously published research papers?

A “papers option” is available only to students in certain fields (see paragraph on next page) or by approved petition.

If you choose the papers option, your dissertation or thesis is organized as a series of relatively independent chapters or papers that you have submitted or will be submitting to journals in the field. You must be the only author or the first author of the papers to be used in the dissertation.

The papers-option dissertation or thesis must meet all format and submission requirements, and a singular referencing convention must be used throughout.

2. Is information that you plan to include from others considered “fair use” and are you acknowledging these sources correctly?

You are responsible for acknowledging any facts, ideas, or materials of others that you include in your work. You must follow the guidelines for acknowledging the work of others in the “Code of Academic Integrity and Acknowledging the Work of Others” (published in the *Policy Notebook for the Cornell Community* at www.policy.cornell.edu).

If you use any copyrighted material in the dissertation or thesis, it is your responsibility to give full credit to the author and publisher of work quoted. The acknowledgment should be placed in a footnote at the bottom of the first page of the paper or chapter. Additionally, you must determine whether use of the material can be classified within “fair use” guidelines. (See *Copyright Law and the Doctoral Dissertation: Guidelines to Your Legal Rights and Responsibilities*, published by UMI, or *The Chicago Manual of Style*, published by the University of Chicago Press.)

If you have included material beyond the concept of “fair use,” you must obtain written permission from the copyright owner. Two copies of each permission letter must be submitted with the dissertation or thesis. UMI has specific requirements for the content of the permission letter. For these guidelines, consult the UMI Doctoral Dissertation Agreement form (published by UMI), available at www.gradschool.cornell.edu/thesis.

If you have already published or had accepted for publication part of your own dissertation or thesis material in a journal, it is necessary to write to that journal and obtain written authorization to use the material in your dissertation.

3. eCommons: Open vs. Closed Communities?

You’ve spent considerable time in planning, researching, and writing your dissertation or thesis, and its value extends well beyond your graduate requirements. Cornell’s eCommons offers you a chance to preserve your work digitally without forfeiting your copyrights. With eCommons, you can digitally publish to either open or closed communities:

- If you have no plans to publish your work elsewhere, you can make your dissertation or thesis immediately available to the public in its entirety by submitting your work to an open community.
- If you’re planning to publish your work as a book or sections in scholarly journals, you may choose to add your work to a closed community, where only the title, abstract, and other metadata are viewable. An item is closed for up to five years with the possibility of renewal. After that, the complete text becomes available to the public.

4. Register for copyright?

Copyright law involves many complex issues that are relevant to you as a graduate student, both in protecting your own work and in referencing the work of others. Discussion of copyright in this publication is not meant to substitute for the legal advice of qualified attorneys. A more detailed discussion of copyright law can be found in the publication from UMI entitled *Copyright Law and the Doctoral Dissertation: Guidelines to Your Legal Rights and Responsibilities* by Kenneth D. Crews (copies available at the reference desk of Mann Library, in the Nestlé Library in the School of Hotel Administration, and in Olin Library).

Copyright protection automatically exists from the time the work is created in fixed form, and the copyright immediately becomes the property of the author. Registration with the United States Copyright Office is not required to secure copyright; rather 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 the copyright is ordinarily necessary before any infringement suits can be filed in court.

- To register a copyright for your dissertation or thesis, request forms from the Information Section, U.S. Copyright Office, Library of Congress, Washington, D.C. 20559, or contact them by telephone at 202-707-3000. You may access forms online at www.copyright.gov/forms.
- **Doctoral candidates:** You may authorize UMI to file, on your behalf, an application for copyright registration. This request is made on the Publishing Agreement and requires payment of a fee by money order, certified bank check, or cashier’s check, payable to “PQIL” (ProQuest Information and Learning).

General Guidelines

Language

The dissertation or thesis must be written in English. If a compelling argument based on scholarship or job placement is presented to the Graduate School in a formal petition prior to writing the dissertation or thesis, the Graduate School may grant exceptions to this policy. If approved, there must be a title page in English and one in the other language. A summary of 10–12 pages must be written in English as well as the abstract. Quotes in languages other than English are acceptable without translation.

Length

There is no specific requirement for the page length of a dissertation or thesis. Work closely with the chair of your Special Committee to plan, outline, and write the text of the document.

Page Size and Specifications

- Page size must be 8.5 x 11 inches (or 216 x 279 millimeters), also known as “letter” size in U.S. standards. (ISO standard paper sizes, such as A4, are not allowed.)
- The inclusion of oversized pages or sheets of paper larger than 8.5 x 11 inches (known as “foldouts”) is discouraged. When necessary, larger-format archival paper (preferably 11 x 17 inches) may be used for large tables, illustrations, etc.

Number of Copies

- When you submit your thesis or dissertation online using Graduation Manager, the correct number of copies is automatically produced for you. For master’s candidates, two bound copies of your thesis are produced. For doctoral candidates, two unbound copies on archival paper are produced. Additional copies can be ordered during the Graduation Manager submission process.
- Additional bound copies of the dissertation or thesis may be required by your field, the chairperson, or Special Committee members. Check with the field for specific requirements.

Submission Process

- Submitting your thesis or dissertation is done online using **Graduation Manager**, an easy-to-use browser-based tool. Before submitting, however, you must have defended and received preliminary approval of the content of your work from your Special Committee members.
- Once you have received the proper approvals, convert your thesis or dissertation to PDF, naming the file with your first and last name (example: JohnSmith.pdf).
- Use your NetID to log in to Graduation Manager at cfp-isca.cit.cornell.edu/thesis_mgr and follow the instructions. You’ll need to answer a series of questions, including checking the information about your Special Committee members. Take your time and be sure to double-check the information you provide. Errors could delay processing.
- When you complete the online process and submit your work, the thesis advisor will be automatically notified. She

will then review the format of your thesis or dissertation and notify you of any changes that need to be made. Formatting errors must be corrected before the thesis advisor will authorize final printing. You will receive e-mail from the thesis advisor notifying you of any required corrections.

- Once the format of your thesis or dissertation is approved, all the members of your Special Committee will automatically receive e-mail requesting their final approval of your work. (Your submission of a Thesis Approval form and signed abstracts printed on archival paper are not required when using Graduation Manager. These are required only for those who opt for submitting their work on paper.) Once the members of your Special Committee all approve, Graduation Manager will automatically generate a Thesis Approval Form, and a print order will be sent electronically to Olin Library. (Printing costs will be billed directly to your Bursar account.)

As this process can take several days—more during the final busy days leading up to conferral—be sure to allow enough time for review and printing. Remember, formatting errors will require the thesis advisor to reject your submission, and you will be required to make changes and use Graduation Manager to upload a new version.

Submitting on Paper

You are strongly encouraged to avoid paper submission and instead to use Graduation Manager, the online tool (see lefthand column). However, there are occasions when online submission is not possible. In these cases, follow the instructions below carefully. Also, allow additional time for review and processing.

- The first step in submitting on paper is to bring a full copy to the thesis advisor, 125 Caldwell Hall, for review and printing approval.
- Turn in the Thesis Approval Form, printed on archival paper, along with all Letters of Proxy. The form must be signed by you and all members of your Special Committee, and the first four lines must be typed.
- You must also submit two copies of your abstract (printed on archival paper) that are signed on the upper right-hand side of the page by your chair and co-chairs.
- Finally, deliver two copies of your work, printed on archival paper, to the Thesis Office, 125 Caldwell Hall. Be sure to count all the pages and ensure that none are missing.
- There may be other requirements. Please contact the thesis advisor.

Production: Computers and Printers

Almost all students use computers to produce their dissertations and theses, and they use a variety of software packages. It is important to consider the content and length of the dissertation or thesis when choosing software.

If you are planning to submit on paper, also consider the printers that will be available for the final printing of the dissertation or thesis. If the computer you are using does not print to a high-resolution ink-jet, laser, or other printer of similar quality, switch to another computer to avoid any objections to the

quality of the typeface in the dissertation or thesis. Printed submissions must be on a laser printer or a printer of similar quality (i.e., a printer with a resolution of 300 dots per inch or greater). A dot-matrix printer is not acceptable.

Computer-Generated Items: Special Rules

All computer-generated figures and graphs (and computer printouts, if you are submitting on paper) must meet the same standards as the rest of the dissertation or thesis. They must fit within the specified margins, have consecutive numbering, and (if you are submitting on paper) be copied onto the same type of paper as the rest of the document. However, computer printouts don't need to be in the same typeface.

Oversized Pages

Although it is discouraged, if you must use oversized pages (larger than 8.5 x 11 inches), be sure they fit into the format of your electronic document.

If you are submitting on paper rather than online, do not fold the oversized pages. Place them in a tube marked with your name, degree, and year of conferral.

- **Doctoral candidates:** Submit two copies of the oversized pages in two separate tubes to accompany the copies of your dissertation. (Mention in the text that loose materials are included with the dissertation.)
- **Master's candidates:** Deliver the tube(s) of oversized pages with the copies of your thesis to the bindery (your thesis will be bound with a pocket in the back to hold the oversized pages).

Typing the Document

If you are not planning to type the text yourself, you will need to hire someone to type it. (See lists of available typists at www.gradschool.cornell.edu/thesis or check the thesis advisor's office.) The Graduate School is not responsible for the quality of the work done by these typists and does not offer recommendations. Here are some guidelines that may be helpful:

- Select a typist who is familiar with the reference manuals listed in this guide. The typist is responsible only for accurate copy work and matters of neatness, spacing, and general appearance. Proofreading and compliance with Graduate School requirements are your responsibility.
- Obtain a written statement of rates, an estimate of total cost, and an agreement about the time required.
- Give the typist a copy of the relevant pages of this guide to ensure compliance with Graduate School standards. After a chapter has been typed, check the output to be sure the product is acceptable.

Steps to Take After You Have Submitted Work

Once you've submitted your work using Graduation Manager, visit the Student Center/Just the Facts online at www.studentcenter.cornell.edu to update your home address (P.O. box is not acceptable) and phone number. This information is important to ensure the proper shipment of your diploma.

Doctoral candidates also should take time to complete the UMI Form and the Survey of Earned Doctorates, both available

at www.gradschool.cornell.edu/thesis. The UMI submission process requires a copy of the title and abstract pages to be attached along with your Special Committee chair's name handwritten on the title page. If you are asking UMI to register your copyright, be sure to include a bank check or money order for the correct amount.

Degree Conferral Deadlines

After completing all the degree requirements, your name is submitted to the Graduate Faculty for approval of the degree. Lists of degree candidates are submitted three times a year for conferral in January, May, and August. In order for your name to be submitted for approval of the degree, you must have completed all the requirements before the deadline for that degree period, including submission and approval of the dissertation or thesis to the Graduate School. Typically, the deadline is noon on the first Friday of the degree-conferral month. (Check with the thesis advisor or consult the web site.) No exceptions are made.

Letter of Certification

Students who have completed all the requirements for the doctoral or master's degree, including submission and approval of the dissertation or thesis, and who need a letter stating that fact before the conferral date of the degree may obtain such a statement from the thesis advisor by requesting a Letter of Certification. (All fees must be paid.)

Diplomas

Diplomas for May graduates whose dissertations or theses were submitted on or before mid-March will be available on Commencement Day. Diplomas not distributed on Commencement Day will be mailed from the University Registrar's Office, B-7 Day Hall, within six months of the conferral date. Diplomas for August and January graduates will be mailed (no charge) approximately three months after the degree conferral date. Update the home address in Student Center to ensure mailing to the correct address.

Commencement

Cornell University holds annual Commencement ceremonies in December and at the end of spring term, usually on the Sunday of Memorial Day weekend. Candidates who are awarded degrees are encouraged to participate in Commencement exercises. An official program with the names of students is distributed at the May ceremony. Students must complete all requirements for the degree by mid-March to appear in the Commencement Program. (See the thesis advisor for date of possible extension.) Names of all prior August and January degree recipients are automatically placed in the Commencement program. For details about Commencement, see www.commencement.cornell.edu.

Format of the Dissertation and Thesis

Requirements for format and final production of the dissertation and thesis, as specified in this guide, meet UMI standards and American Library Association (ALA) suggestions for preserving archival copies of the dissertation and thesis.

Doctoral candidates: All Cornell doctoral dissertations are processed and sent to UMI, which fills orders for either paper or digital copies of the dissertation.

All master's theses and doctoral dissertations are uploaded in PDF format to the Cornell Library Repository.

In formatting your dissertation or thesis, you must follow the guidelines for page composition presented in this guide. General guidelines are shown first; specific guidelines relative to each section of your dissertation or thesis follow.

General Guidelines for Formatting

If in doubt about the acceptability of font size, legibility of equations, spacing, corrections, etc., consult the thesis advisor. Never use as a precedent a dissertation or thesis on file in the Cornell University Library; requirements have changed over the years, and the binding process changes apparent margins.

Templates

The Graduate School has created templates for your use. Using these templates from the start will simplify the formatting process. You can find the templates at www.gradschool.cornell.edu/thesis.

Formatting with Macros

Warning: Several macros for preparing formatting have been circulated by students. Some of these macros, however, do not produce an acceptable product. Any formatting in a macro must be checked with the directions in this booklet.

Arrangement of Contents

This list indicates the order in which to place the parts of your dissertation or thesis. All sections are mandatory unless designated as optional.

Preliminary Pages:

- Title Page
- Copyright Page
- Abstract
- Biographical Sketch
- Dedication (optional)
- Acknowledgments
- Table of Contents
- List of Figures (or List of Illustrations, if included)
- List of Tables (if included)
- List of Abbreviations (optional)
- List of Symbols (optional)
- Preface (optional)

The Body of the Dissertation or Thesis:

- Text
- Appendix (or Appendices) (optional)
- Bibliography (or References or Works Cited)

Pages Following the Body:

- Glossary (optional)
- Index (optional)

Typeface

The entire text of the dissertation or thesis—including headers, page numbers, and footnotes—must be produced with the same font or typeface. Exceptions are made only for tables and figures.

If using a Macintosh computer for the dissertation or thesis, the following fonts and font sizes are acceptable:

- Palatino 12
- Bookman 12
- Garamond 14
- New Century Schoolbook 12
- Helvetica 12 or Helvetica 14
- Times New Roman 12
- Times 14 (Times 12 is not acceptable)
- Symbol 12 is acceptable for symbols

Users of TeX and LaTeX may use:

- CMR 12 font
- Any font that meets the above specifications
- Other fonts may be acceptable. Check the font with the thesis advisor.

If using a PC, the following fonts and font sizes are acceptable:

- Times New Roman 12
- Arial 12
- Bookman 12
- Garamond 14
- Helvetica 12
- Times 14 (Times 12 is not acceptable)
- Other fonts may be acceptable (but Courier is not). Check the font with the thesis advisor.

Footnotes may be single-spaced in a 10-point size but must be in the same font as the rest of the text.

Justification

- Left-aligned, ragged right margins are preferred.
- Use justified margins only if the computer does this well, i.e., does not separate punctuation from characters or leave large gaps in the text.

Margins

Exact margins are absolutely essential so that the dissertation or thesis can be digitized in its entirety for interlibrary loan.

Margins must be at least:

- Left margin: 1.5 inches or slightly larger.
- Top, bottom, right margins: 1 inch or slightly larger.

(Hint: It is recommended that you set margins at 1.6 inches for the left margin and 1.1 inches for all other margins (see Figure 1. Sample page), since photocopying or printing may enlarge the text by as much as 2 percent.)

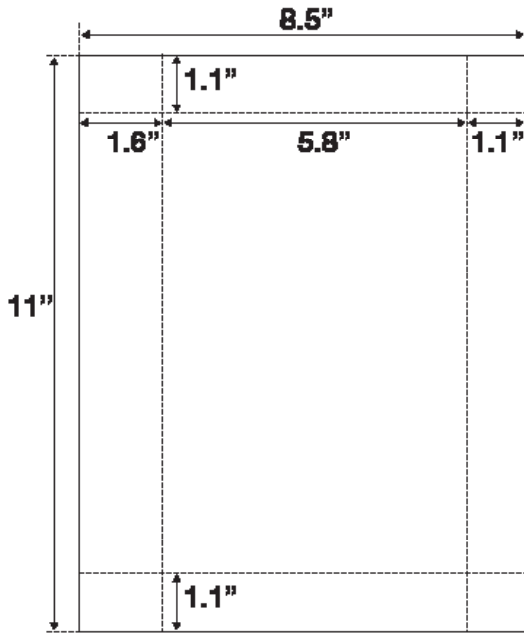


Figure 1. Sample page

These margins apply to all pages, including those with tables and figures.

Pagination for Preliminary Pages

- Preliminary pages are numbered consecutively, using lowercase Roman numerals in the same size font as the text, centered between the margins, at least 0.5 inch from the bottom of the page. (See Figure 2. Sample page with page number.)
- Page numbering starts with the biographical sketch, which is numbered as “iii.” (The title page and copyright page are counted but not numbered; the abstract is neither counted nor numbered.) Every preliminary page

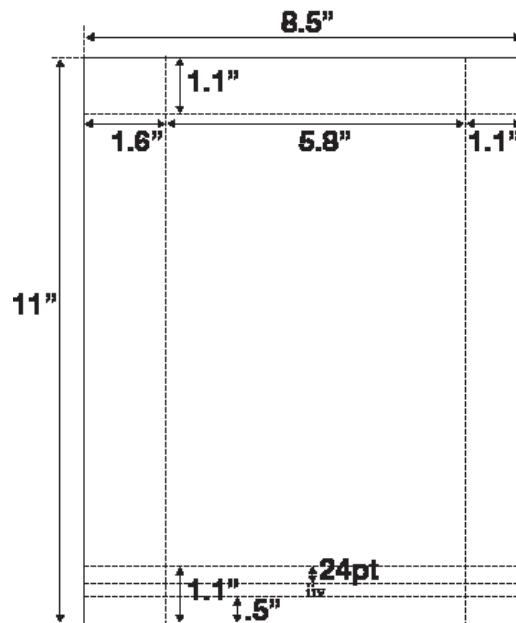


Figure 2. Sample page with page number

thereafter is numbered, including multiple pages within a section.

Pagination for Body of Dissertation or Thesis

- Use continuous Arabic numbers (beginning with 1) in the same size font as the text for the body of the dissertation or thesis.
- Page numbers are placed at the bottom of the page, centered between the margins. There should always be at least a 24-point space between the page number and the text. (See Figure 2. Sample page with page number.)
- Chapters within the text begin on new pages.
- There are no format requirements for chapter headings. You should use a format that is standard in your field and be consistent for all chapters.
- There should be no page breaks between sections or before tables or figures, unless they occur naturally. (Exception: If the bibliography is placed at the end of each chapter, a page break must be placed at the end of the text, and the bibliography must be started on the next page. The page number stays at the bottom of the page.)
- In a dissertation or thesis with two volumes, the second volume must continue the numbering of the first part. Each volume must contain a title page (labeled beneath the title with the words “Volume I” or “Volume II”), and the title page of the second volume is counted as a text page but the numeral is not printed on the page.

Spacing

The dissertation or thesis must contain correct vertical spacing (or exactly 24-point spacing), which is defined as three lines of type and three line spaces per vertical inch throughout the text.

Microsoft Word users: go to Format/Paragraph/Indents and Spacing/Linespacing and choose “Exactly.” Set the points at 24. (To check that the font is three lines per inch, print a sample page and place a ruler vertically on the page and measure from the top of the first line to the top of the fourth line.)

Exceptions:

- Quotations and footnotes may be single-spaced within each entry.
- Lengthy tables may be single-spaced.
- In a master’s thesis, irregular spacing is permitted to accommodate poetry (which might be single-spaced, triple-spaced, or with variable spacing).

Equations, Formulas, Sub- and Superscripts

- All equations and formulas should be typeset.
- When a computer, word processor, or typewriter cannot make the symbol, insertions by hand are acceptable.
- Equations also may be inserted from a non-matching typewriter or laser-printer font.
- All subscripts and superscripts must be large enough to be clearly read. (To ensure readability, test a page with sub- or superscripts

by photocopying the page using a 25 percent text reduction. If the sub- or superscripts are still readable, then they are large enough.)

Corrections

Strikeovers, correction fluid, and correction tape are not acceptable in the filed copies.

Widows and Headings Separated from Text

- A dissertation or thesis will not be accepted if it contains “widows” (short lines ending a paragraph at the top of a page) at the end of a chapter.
- A dissertation or thesis will not be accepted if it contains a heading or subhead at the bottom of a page that is separate from its respective text on the following page.

Numbering of Preliminary Pages

Title Page	(i)
page counted but number not typed on page	
Copyright Page	(ii)
page counted but number not typed on page	
Abstract	
page(s) not counted, not numbered	
Biographical Sketch	iii (may be more than one page)
type number(s) on page(s)	
Dedication (optional)	iv (may be more than one page)
type number on page	
Acknowledgments	v (may be more than one page)
type number(s) on page(s)	
Table of Contents	vi (may be more than one page)
type number(s) on page(s)	
List of Figures or List of Illustrations	vii (may be more than one page)
(if included) type number(s) on page(s)	
List of Tables (if included)	viii (may be more than one page)
type number(s) on page(s)	
List of Abbreviations (optional)	ix (may be more than one page)
type number(s) on page(s)	
List of Symbols (optional)	x (may be more than one page)
type number(s) on page(s)	
Preface (optional)	xi (may be more than one page)
type number(s) on page(s)	

(Note: Each page receives its own consecutive page number.)

Formatting and Content Guidelines for Specific Sections

In addition to the general formatting guidelines shown above, the specific guidelines listed below must be followed for each individual section of your dissertation or thesis.

Note: There are exceptions to these guidelines for those using the papers option (see the section “Decisions You Will Need to Make,” item 1).

Title Page

- Typeset the title in all capital letters, centered within the left and right margins, correctly spaced, about 1.5 inches from the top of the page (see Figure 3. Sample title page).

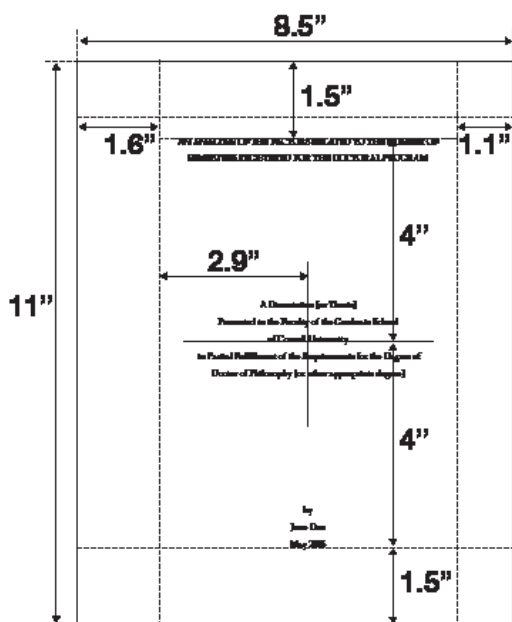


Figure 3. Sample title page

- Carefully select words for the title of the dissertation or thesis to represent the subject content as accurately as possible. Words in the title are important access points to researchers who may use keyword searches to identify works in various subject areas.
- Use word substitutes for formulas, symbols, superscripts, Greek letters, etc.
- Below the title, at the vertical and horizontal center of the margins, correctly spaced (24 pt.), position the following five lines (all centered):
 - Line 1: A Dissertation [or Thesis]
 - Line 2: Presented to the Faculty of the Graduate School
 - Line 3: of Cornell University
 - Line 4: in Partial Fulfillment of the Requirements for the Degree of
 - Line 5: Doctor of Philosophy [or other appropriate degree]

- Center the following three lines within the margins, correctly spaced (24 pt.), 1.5 inches from the bottom of the page:

Line 1: by

Line 2: [name under which you are registered in the University Registrar’s Office]

Line 3: [month and year of degree conferral, not the date the dissertation or thesis is submitted; no comma between month and year]

- If you are submitting a two-volume dissertation or thesis, refer to further instructions regarding the title page (see “Pagination for Body of Dissertation or Thesis” in the section “General Guidelines for Formatting”).

Copyright Page

- A notice of copyright (see Figure 4. Sample copyright page) should appear as the sole item on the page (there is no page heading), centered vertically and horizontally within the margins: © 20__ [student’s registered name]

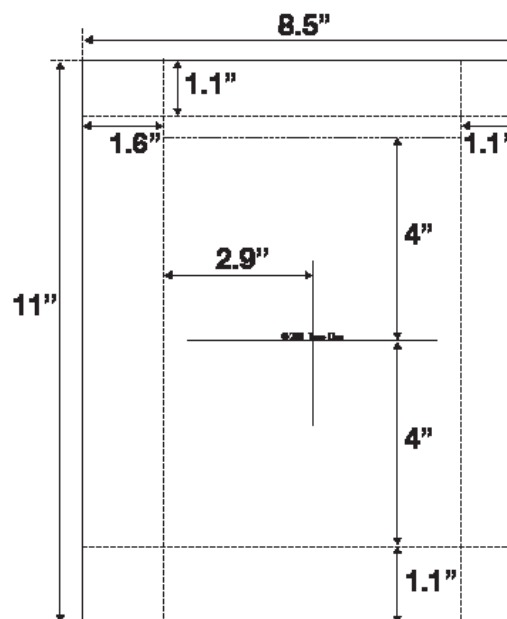


Figure 4. Sample copyright page

- The copyright symbol is a lower case “c,” which must be circled. (On Macintosh computers, the symbol is typed by pressing the “option” and “g” keys simultaneously. If the font does not have the © symbol, type the “c” and circle it by hand. On PCs, in the insert menu, choose “symbol,” and select the © symbol.)
- The date, which follows the copyright symbol, is the year of conferral of your degree.
- Your name follows the date.

- If you choose not to copyright your dissertation or thesis, insert a blank page in this position.

Abstract

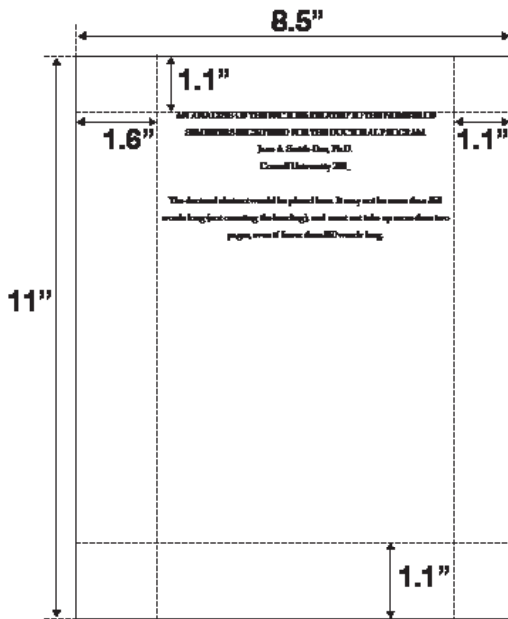


Figure 5. Sample page for doctoral abstract

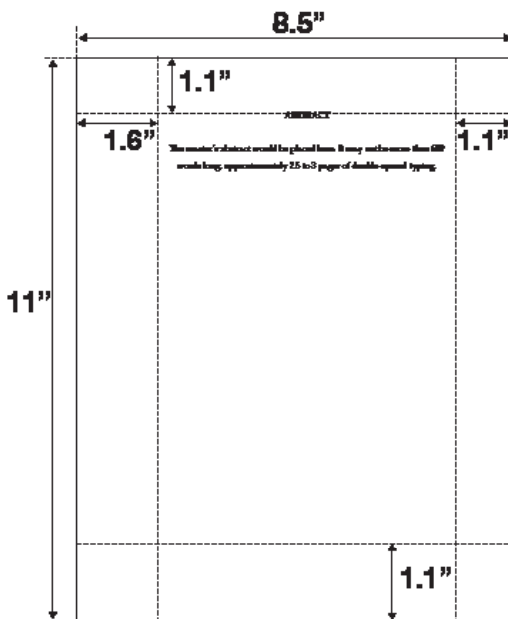


Figure 6. Sample page for master's abstract

Abstract formats for the doctoral dissertation and master's thesis differ greatly (see Figure 5. Sample page for doctoral abstract, and Figure 6. Sample page for master's abstract).

Doctoral candidates:

- The heading of the abstract in a dissertation is centered between the left and right margins about 1.1 inches down from the top of the page; it includes the following lines:
 TITLE OF DISSERTATION
 Student's Name, Ph.D.
 Cornell University 20__ [year of conferral]

- Following the heading lines, skip one 24-point-spaced line and begin the text of the abstract on the same page.
- The abstract should state the problem, describe the methods and procedures used, and give the main results or conclusions of the research.
- The abstract must not exceed 350 words in length (about one-and-one-half correctly spaced pages—but not more than two pages).

Master's candidates:

- The page heading of the abstract in a thesis is simply the word "ABSTRACT" in all capital letters, centered within the margins at the top of the page. (The thesis abstract does not display the thesis title, author's name, degree, university, or date of degree conferral.)
- The abstract should state the problem, describe the methods and procedures used, and give the main results or conclusions.
- The abstract must not exceed 600 words in length (approximately two-and-one-half to three pages of correctly spaced typing).
- In M.F.A. theses, an abstract is not required.

Biographical Sketch

- The biographical sketch must be written in third-person voice and contain your educational background. It may contain additional biographical facts.
- As a page heading, use "BIOGRAPHICAL SKETCH" in all capital letters, centered on the page (see Figure 7. Sample page for biographical sketch).

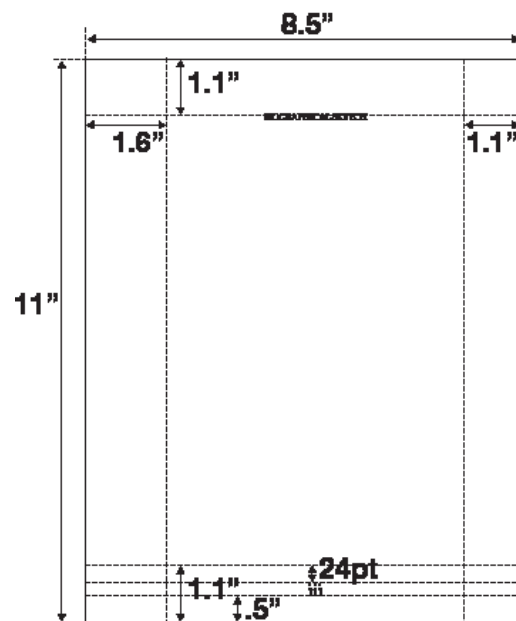


Figure 7. Sample page for biographical sketch

- Number this page as iii. (This is the first numbered preliminary page.)

Dedication (optional)

- No title is used on the page.
- The text is centered on the page and can be shown in italic or regular type.
- Text on this page does not need to be in English.

Acknowledgments

- The acknowledgments may be written in first-person voice. If your research has been funded by outside grants, you should check with the principal investigator of the grant regarding proper acknowledgment of the funding source. Most outside funding sources require some statement of acknowledgment of the support; some also require a disclaimer from responsibility for the results.
- As a page heading, use “ACKNOWLEDGMENTS” in all capital letters, centered on the page.

Table of Contents

- As a page heading, use “TABLE OF CONTENTS” in all capital letters, centered on the page.
- List the sections/chapters of the body of the dissertation or thesis; also list preliminary sections starting with the biographical sketch. (Title page, copyright page, and abstract are not listed.)
- If the dissertation or thesis consists of two volumes, list “Volume II” as a section in the table of contents.
- Page numbers must be listed in a column to the right of each section/chapter title; only the first page of each chapter/section is stated (not a range of page numbers, such as 7–22).
- The table of contents may be single-spaced.

Lists of Figures, Illustrations, and Tables

- As a page heading, use “LIST OF FIGURES,” “LIST OF ILLUSTRATIONS,” or “LIST OF TABLES” in all capital letters, centered on the page.
- There must be separate pages for “LIST OF FIGURES,” “LIST OF ILLUSTRATIONS,” or “LIST OF TABLES” even if there is only one example of each.
- The list must contain enough of the titles or descriptions so readers can locate items using the list. (It may not be necessary to include entire figure/illustration/table captions.)
- The list must contain the page number on which each figure, illustration, or table is found, as in a table of contents.
- The list of figures/illustrations/tables may be single-spaced.
- Figures/illustrations/tables must be placed as close as possible to their first mention in the text. They may be placed on a page with no text above or below, or placed directly into the text. If a figure/illustration/table is placed directly into the text, text may appear above or below the figure/illustration/table; no text may wrap around the figure/illustration/table.
- If a figure/illustration/table appears on a page without other text, it must be centered vertically within the page margins.
- Figures/illustrations/tables may not be placed at the end of

the chapter or at the end of the dissertation or thesis.

- Figure/illustration/table numbering must be either continuous throughout the dissertation or thesis, or by chapter (e.g., 1.1, 1.2; 2.1, 2.2, etc.). The word “Figure,” “Illustration,” or “Table” must be spelled out (not abbreviated), and the first letter must be capitalized.
- A caption for a figure/illustration must be placed at the bottom of the figure/illustration. However, a caption for a table must be placed above the table.
- If the figure/illustration/table, not including the caption, takes up the entire page, the figure/illustration/table caption must be placed alone on the preceding page and centered vertically and horizontally within the margins. (When the caption is on a separate page, the List of Figures or List of Illustrations or List of Tables will list the page number containing the caption.)
- If the figure/illustration/table, not including the caption, takes up more than two pages, it must be preceded by a page consisting of the caption only. The first page of the figure/illustration/table must include the figure/illustration/table (no caption), and the second and subsequent pages must also include, at the top of the figure/illustration/table, words that indicate its continuance—for example, “Figure 5 (Continued)” —and on these pages the caption is omitted.
- If figures/illustrations/tables are too large, they may be reduced slightly so as to render a satisfactory product or they must either be split into several pages or be redone. If a figure/illustration/table is reduced, all lettering must be clear, readable, and large enough to be legible. All lettering, including subscripts, must still be readable when reduced 25 percent beyond the final version. All page margin requirements must be maintained. Page numbers and headings must not be reduced.
- While there are no specific rules for the typographic format of figure/illustration/table captions, a consistent format must be used throughout the dissertation or thesis.
- The caption of a figure/illustration/table may be single-spaced, but then captions for all figures/illustrations/tables must be single-spaced.
- Horizontal figures/illustrations/tables must be positioned correctly—i.e., the top of the figure/illustration/table will be at the left margin of the vertical page of the dissertation or thesis (remember: pages are bound on the left margin). Figure/illustration/table headings/captions are placed with the same orientation as the figure/illustration/table when they are on the same page as the figure/illustration/table. When they are on a separate page, headings and captions are always placed in vertical orientation, regardless of the orientation of the figure/illustration/table. Page numbers are always placed as if the figure/illustration/table was vertical on the page.
- Photographs should be treated as illustrations. To be considered archival, photographs must be black-and-white. (If actual color photographs are necessary, they must be accompanied by black-and-white photographs of the same subject.) Color photos obtained digitally are not required to be accompanied by a black-and-white photograph. Make a high-resolution digital version of each photograph and insert it into your electronic document, following the guideline criteria for positioning and margins. Contact the thesis advisor for specific information.

Optional Elements

List of Abbreviations

- As a page heading, use “LIST OF ABBREVIATIONS” in all capital letters, centered on the page.

List of Symbols

- As a page heading, use “LIST OF SYMBOLS” in all capital letters, centered on the page.

Preface

- As a page heading, use “PREFACE” in all capital letters, centered on the page.

Body of the Dissertation or Thesis: Text, Appendix, Bibliography

Text

- Chapter headings may be included that conform to the standard of your academic field.
- Textual notes that provide supplementary information, opinions, explanations, or suggestions that are not part of the text must appear at the bottom of the page as footnotes. Lengthy footnotes may be continued on the next page. Placement of footnotes at the bottom of the page ensures they will appear as close as possible to the referenced passage.
- Footnotes may be single-spaced in a 10-point size but must be in the same font as the text.
- Footnotes should be numbered with superscripted Arabic numerals. Numbering can be continuous throughout the document or may start again for each chapter or page—the method used must be consistent throughout the document. (Once footnotes have been numbered, any footnotes that are inserted later will require the renumbering of all footnotes to accommodate the newly inserted one. Amending the existing footnote numbers by adding letters to distinguish repeated Arabic numerals—for example, 12a, 12b—is not allowed.)

Appendix (or Appendices)

- As a page heading, use “APPENDIX” in all capital letters, centered on the page.
- Place in an appendix any material that is peripheral but relevant to the main text of the dissertation or thesis, such as survey instruments, additional data, computer printouts, details of a procedure or analysis, a relevant paper that you wrote, etc.
- The appendix may include text that does not meet the general font and spacing requirements of the other sections of the dissertation or thesis.

Bibliography (or References or Works Cited)

- As a page heading, use “BIBLIOGRAPHY” (or “REFERENCES” or “WORKS CITED”) in all capital letters, centered on the page. Always starts a new page.
- Bibliographies may be single-spaced within each entry but must include 24 points of space between entries.
- The Graduate School recommends that you follow the standard citation format used by a major journal in your academic field and that the style be consistent throughout the dissertation or thesis. (Also see “Additional References for Style and Format.”)

Glossary

- As a page heading, use “GLOSSARY” in all capital letters, centered on the page.

Index

- As a page heading, use “INDEX” in all capital letters, centered on the page.

Timeline for Producing a Dissertation or Thesis

This timeline summarizes some of the major steps in the dissertation, thesis, and degree conferral process. (Also see Cornell's *Guide to Graduate Study*.)

1. Meet with the chair of your Special Committee.
2. **Doctoral Candidates:** Take the Examination for Admission to Candidacy ("A Exam").
3. Complete your research.
4. Read this guide.
5. Plan to attend one of the workshops given by the thesis advisor. They are held in February, June, and October. Workshops are posted on the thesis advisor's web page and in the Graduate School Announcements.
6. Make the decisions about your dissertation or thesis. (See section "Decisions You Will Need to Make.")
7. Develop a detailed outline for your approach to writing your dissertation or thesis.
8. Write the body of text for the dissertation or thesis.
9. Check with the Registrar's Office to be certain you know the exact way in which your name is officially registered with the university. On the pages of your dissertation or thesis that must include your name, you must use it exactly as it is on file.
10. At least six weeks prior to your final examination ("B Exam" for the doctoral degree, or thesis defense for the master's degree), submit an outline and an early draft of the dissertation or thesis to all members of your Special Committee.
11. At least seven days before your final examination, submit a final draft to each Special Committee member. The draft should be complete in all respects (title page to last page of references) and editorially acceptable for final approval.
12. At least seven calendar days before the examination (in some fields the deadline is 14 days—check with your field), schedule the exam with the field office and file the final examination forms with the Graduate School.
13. **Doctoral candidates:** take the Final Examination for the Doctoral Degree ("B" Exam), an oral exam/dissertation defense.
14. **Master's candidates:** take the Final Examination for the Master's Degree, an oral exam/thesis defense.
15. Submit your Results of Examination form within three working days.
16. Within 60 days after the final examination, make changes in the dissertation or thesis as specified by the Special Committee and the thesis advisor, obtain their final approvals, and make and submit final copies of your thesis or dissertation to the Graduate School, using Graduation Manager (see page 5).
If you're receiving an M.A., M.S., M.F.A., M.P.S. (Africana Studies only), Ph.D., J.S.D., or a D.M.A., submit using Graduation Manager and follow the online instructions for Graduate School submissions. If you submit a project or thesis to your field office and not the Graduate School (these include non-thesis M.A., M.S., and M.F.A.; M.Arch; M.A.T.; M.L.A.; M.Eng.; M.R.P.; M.P.S. (all but Africana Studies); M.P.A., M.H.A., M.I.L.L.R., and M.M.H.), use Graduation Manager and select "My degree does not require the submission of a thesis or dissertation to the Graduate School" in section 2, click next, then submit.
17. Pay all necessary fees, turn in receipts, and submit any required forms to the thesis advisor.
18. Attend Cornell University Commencement. (See www commencement.cornell.edu.)

Checklists

To produce and submit a dissertation or thesis at Cornell University, you need to know and manage many details.

The following information and checklists summarize aspects of the process and will help you prepare.

Forms

See www.gradschool.cornell.edu/thesis for all forms.

Master's Candidates

- Schedule of Examination form (A3)
- Designation of Proxy for Examination form (A5)
- Results of Examination form (A4)

Doctoral Candidates

- Schedule of Examination form (A3)
- Designation of Proxy for Examination form (A5)
- Results of Examination form (A4)
- UMI Doctoral Dissertation Agreement form
- Survey of Earned Doctorates

Note: Thesis approval forms and signed abstracts are not required for online submissions via Graduation Manager. These materials are required only for those who submit using paper. See page 5.

Final Examination Forms

Download these at www.gradschool.cornell.edu/forms.

Schedule of Examination form (A3)

This form must bear the signature of each member of the Special Committee as recorded in the Graduate School. (Another member of the Graduate Faculty may sign on behalf of a committee member, if that committee member has agreed to the scheduling.) The signature of the Director of Graduate Studies also is required.

Final Degree Information

All students must submit their final degree information in Graduation Manager. Students who must submit a thesis or dissertation to the Graduate School should complete the final degree information at the time of submission. Visit www.gradschool.cornell.edu/thesis for information and links. Degrees include: MA/MS, MFA (English), MPS (Africana Studies), PhD, JSD, and DMA.

Students who DO NOT need to submit a thesis to the Graduate School should log into Graduation Manager at www.gradschool.cornell.edu/thesis, complete section one and, at the top of section two, choose “My degree does not require a thesis to be submitted to the Graduate School,” click next, and then submit. Degrees include: non-thesis MA, non-thesis MS, M Arch, MAT, M Engr, MFA (Art), MHA, MILR, MLA, MMH, MPA, MPS (except Africana Studies), and MRP.

Approval of Dissertation/Thesis form (This form is required for paper submission only. If submitting online via Graduation Manager, this form is not required.)

This form must be signed by the Special Committee. It must be

on archival paper; it eventually will be bound into the archival copy of your dissertation or thesis. Bring the form to the final examination. The upper part of the form must be typed (in all caps or title case). Forms will not be accepted if your name, field, degree, or thesis/dissertation title is written by hand. Type your name and field, leave the thesis or dissertation title blank. (Do not fill in the title until the thesis or dissertation is in its final form—after you have the results of your examination and have made the necessary revisions.) Some committee members may choose to sign the form at the time of your examination (but will not do so if the form is blank); others will sign once the thesis or dissertation is final.

Note: The chairperson of your Special Committee must also sign (upper right corner of first page) both of the two archival copies of the abstract of your dissertation or thesis. (For an M.F.A. thesis without an abstract, the chairperson signs the title page.)

Designation of Proxy for Examination form (A5), if needed Either an official proxy form or letter of proxy is required from any member of the Special Committee unable to attend the examination. (A Special Committee chair may not designate a proxy; he or she must participate in the exam.) A minor member of the committee may designate another member of the graduate faculty, representing the same concentration as the regular committee member, as proxy. (If a committee has more than the required number of minor members, one minor member may designate another as proxy.)

Forms to Submit After the Final Examination

Download at www.gradschool.cornell.edu/forms.

Results of Examination form (A4)

Within three business days after the final examination (dissertation or thesis defense), submit the Results of Examination form. If a Special Committee member has participated from a remote location, he or she must designate one of the minor members in attendance to sign the Results of Examination form on his or her behalf. If a “pass” is conditional, then the conditions must be stated in writing on the form or on an attached memorandum signed by the chair (or designated minor member). When the conditions have been met, the chair must notify the Graduate School by e-mail at gradschool@cornell.edu. If significant changes in the dissertation or thesis are required after the final examination, make sure that these changes are clearly stated in writing to avoid potential misunderstanding and delay in your dissertation or thesis approval.

Doctoral Candidates: Survey of Earned Doctorates form

Submit this form with the final copies of your dissertation. The survey, conducted by the National Research Council, is available to all recipients of earned doctorates in the United States. See the letter accompanying the survey about its purpose, use, and confidentiality.

Doctoral Candidates: UMI Doctoral Dissertation Agreement form

This form is an agreement with UMI. Submit this form with the final copies of your dissertation. Pages 4 and 5 are required.

On page 4, traditional publishing must be checked. The \$65 fee is

covered by the Thesis File fee. Also on page 4, if you're planning to publish your dissertation in the future, you must choose "Restrictions required." The Graduate School recommends you choose 2-year embargo.

Page 6, the Copyright Registration form, is optional. If you choose to have UMI register your document with the U.S. Copyright Office, you must attach a check made out to ProQuest for \$65.

Page 7 is an offer from UMI to order additional copies. The Graduate School recommends that you order additional copies in Graduate Manager during the submission process.

A copy of the title page and abstract on regular paper must be attached to the UMI form. You must handwrite your chair's name on the top of the title page.

Fees

You may owe the following Graduate School fees. These fees are payable at the cashier's desk at the Bursar's Office, 260 Day Hall, or online NetPay. Please notify the thesis advisor by e-mail that the fees have been paid. (If you do not pay owed fees, a hold will be placed on your bursar account, and neither your transcript nor diploma will be released until all fees are paid.)

Late-Filing Fee

You are allowed 60 days after the final examination to submit approved copies of the dissertation or thesis to the Graduate School. A late-filing fee (\$100 in fall 2009) will be charged if this requirement is not met.

Doctoral Candidates: Dissertation Filing Fee

The dissertation filing fee (\$135 in fall 2009) covers costs of submitting a master copy of the entire dissertation to UMI, publishing the abstract in the monthly periodical *Dissertation Abstracts International*, and binding both copies for Cornell University Library.

Doctoral Candidates: Active-File Fee

An active-file fee (\$200 per semester) will be charged for each semester after the "A" Exam that a leave of absence is taken or you fail to register—until the dissertation is submitted and accepted. The active-file fee is charged based on the date of final dissertation submission, not the date of the final examination. Students who submit the completed dissertation more than three weeks after the beginning of a new semester for which they are not registered will have to pay an active-file fee for that semester. The fee is not charged for summers.

Master's Candidates: Candidate for Degree Only Fee

If you are not registered in the Graduate School at the time of the final examination, you must pay a CDO registration fee (\$35 in fall 2009) for the day of the examination. (Exception: if you are registered full-time during the spring or fall term you may take the exam during the following summer or the first three weeks of the following semester—the grace period—without having to pay the CDO fee.)

Checklist for Final Submission

Convert your committee-approved thesis or dissertation to PDF format.

Name the file with your first and last name, e.g., JohnSmith.pdf.

Log in to Graduation Manager:
http://cfp-isca.cit.cornell.edu/thesis_mgr.

Follow the instructions and upload your work.

Look for follow-up e-mails from the thesis advisor to ensure there are no formatting problems.

Once the format is approved by the thesis advisor and your committee, your work will be automatically sent to Olin Library for printing.

Go to Student Center/Just the Facts (www.jtf.cornell.edu) to update your home address and phone number to ensure proper shipment of your diploma.

Pay all outstanding fees to the Bursar's Office or via NetPay. You must notify the thesis advisor that payments have been made for the following:

- Active-File Fee (\$200 per semester for doctoral candidates only)
- Dissertation Filing Fee (\$135, doctoral candidates only)
- Late-Filing Fee (\$100)

Doctoral candidates:

Complete the UMI form, available online at:
www.gradschool.cornell.edu/forms.

Complete the Survey of Earned Doctorates, available at the above address.

Fields Permitting the Use of the Papers Option

Aerospace Engineering¹
Agricultural and Biological Engineering
Agricultural Economics
Animal Science
Applied Physics
Asian Studies²
Astronomy and Space Sciences
Atmospheric Science
Biochemistry, Molecular and Cell Biology
Biomedical Engineering³
Biophysics
Chemical Engineering
Chemistry and Chemical Biology
City and Regional Planning
Civil and Environmental Engineering
Classics
Comparative Biomedical Sciences
Ecology and Evolutionary Biology
Economics
Entomology³
Environmental Toxicology
Floriculture and Ornamental Horticulture
Food Science
Genetics
Geological Sciences
Human Development³

Immunology
Industrial and Labor Relations
Linguistics
Management
Materials Science
Mechanical Engineering¹
Microbiology
Natural Resources³
Neurobiology and Behavior
Nutrition³
Physics
Physiology
Plant Biology
Plant Breeding³
Plant Pathology³
Pomology
Psychology
Regional Science
Sociology⁴
Soil and Crop Sciences
Textiles
Vegetable Crops
Zoology

Additional References for Style and Format

Although formats vary among fields, the Graduate School strongly encourages adherence to accepted standards of usage in matters of grammar, punctuation, and mechanics. You should check with your field for specific requirements of format. If the field has none, then use a standard format such as described in one of the following references:

Boyd, Jane, and Etherington, Don. *Preparation of Archival Copies of Theses and Dissertations*. Chicago: American Library Association, 1986.

Crews, Kenneth D. *Copyright Law and the Doctoral Dissertation: Guidelines to Your Legal Rights and Responsibilities*. Ann Arbor: University Microfilms, Inc., 1992.

Day, Robert A., and Gastel, Barbara. *How to Write and Publish a Scientific Paper*. 6th edition. Westport, Connecticut: Greenwood Press, 2006.

Modern Language Association. *The MLA Style Manual and Guide to Scholarly Publishing*. 3rd edition. New York: Modern Language Association of America, 2008.

Publication Manual of the American Psychological Association. 6th edition. Washington, D.C.: American Psychological Association, 2009.

Strunk, William, Jr., and E. B. White. *The Elements of Style*. 4th edition. Upper Saddle River, New Jersey: Pearson Longman, 1999.

The Chicago Manual of Style. 15th edition. Chicago: University of Chicago Press, 2003. Electronic access: www.chicagomanualofstyle.org/home.html.

Turabian, Kate L. *A Manual for Writers of Term Papers, Theses, and Dissertations*. 7th edition. Chicago: University of Chicago Press, 2007.

¹ Subject to approval of Special Committee.

² M.A. only.

³ Approved for Ph.D. and M.S.

⁴ Subject to approval of Special Committee; approved for Ph.D. and M.S. See the Director of Graduate Studies for further restrictions.