

2016

Graduate School

Cornell University

[THESIS AND DISSERTATION GUIDE]

Suggested timelines, formatting requirements, required sections, considerations and formatting suggestions for producing your dissertation or thesis.

Revised Fall 2016

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OVERVIEW

The dissertation or thesis is a scholarly treatise that substantiates a specific point of view as a result of original research that is conducted by students during their graduate study. At Cornell, the thesis is a requirement for receipt of the M.A. and M.S. degrees and some professional master's degrees. The dissertation is a requirement of the Ph.D. degree.

The Graduate School sets the minimum format for your thesis or dissertation, while the content and length is decided by you, your special committee, and your advisor/chair. Grammar, punctuation, spelling and other mechanical issues are your sole responsibility. Generally, the thesis and dissertation should conform to the standards of leading academic journals in your field. The Graduate School does not monitor the thesis or dissertation for mechanics, content, or style.

A “papers option” is available only to students in certain fields, which are listed in Appendix B, 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.

The dissertation and thesis become permanent records of your original research, and in the case of doctoral research, the Graduate School requires publication of the dissertation and abstract in its original form. All Cornell master thesis and doctoral dissertations require an electronic submission through ProQuest, which fills orders for paper or digital copies of the thesis and dissertation, and makes a digital version available online via their subscription database, ProQuest Dissertations & Theses. For master theses, only the abstract is available. ProQuest provides worldwide distribution of your work from the master copy. You retain control over your dissertation and are free to grant publishing rights as you see fit. The formatting requirements contained in this guide meet all ProQuest specifications.

Copies of PhD dissertations are also uploaded in PDF format to the Cornell Library Repository, eCommons. Two print copies of master's theses and doctoral dissertations are submitted to Cornell University Library by ProQuest.

HOW THIS GUIDE IS ORGANIZED

The information and resources in this guide are organized in the following sections:

- Thesis and Dissertation Steps and Timeline
- Formatting Requirements
- Fair Use, Copyright, Patent and Publishing Considerations
- Thesis and Dissertation Submission Process
- Appendix A: Formatting Suggestions and Font Samples
- Appendix B: Fields Permitting Papers Option

THESIS & DISSERTATION STEPS AND TIMELINE

Understanding the steps and associated deadlines in the dissertation/thesis and degree conferral process is necessary to establish a successful plan and realistic timeframe. The major steps are:

1. Complete draft dissertation
2. Schedule exam
3. Take exam
4. Make revisions and get committee approval
5. Submit final electronic thesis/dissertation (ETD) to The Graduate School

The Code of Legislation requires students to submit a completed draft for committee review 6 weeks prior to scheduling the exam. Start with the date you expect to graduate, then work backwards as illustrated in the **Planning Timeline** below to determine if you can meet this date.

2017 CONFERRAL DEADLINES		PLANNING TIMELINE			
Conferral	Submission Deadline	Committee Approval	Take Exam	Schedule Exam	Submit Draft to Committee
JAN 30 th	January 9 th	End of December	Mid December	1 st week in December	1 st week in November
May 28 th	May 5 th	End of April	Mid April	1 st week in April	1 st week in March
Aug 21 st	August 4 th	End of July	Mid July	1 st week in July	1 st week in June

Use this checklist to guide your process.

- Complete your research.
- Learn about thesis and dissertation formatting guidelines.
- Develop a detailed outline for your approach to writing your dissertation or thesis.
- Write the body of text for the dissertation or thesis.
- Complete your draft thesis/dissertation **6 weeks prior to your final examination** and submit to all members of your Special Committee.
- Schedule your final exam **1 week before your final examination date**, and submit a final draft of your dissertation/thesis to each Special Committee member.
- Take your final exam (“B” Exam), oral dissertation defense for PhD candidates, or (“M” Exam), an oral thesis defense for Master’s candidates, **6-8 weeks before conferral date**.
- Make changes as specified by the Special Committee and obtain their final approvals using the [Thesis and Dissertation Approval System](#) **one month before conferral date**. See **Thesis and Dissertation Approval Process** below for detailed instructions.
- Submit the approved final electronic version of dissertation or thesis (ETD) to Graduate School using ProQuest. See **Thesis and Dissertation Submission Process** on page 11 for instructions.
- Attend Commencement (www.commencement.cornell.edu) and celebrate!

FORMATTING REQUIREMENTS

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

1. LANGUAGE

The dissertation or thesis must be written in English.

2. 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, 11 x 17 inches pages may be used for large tables, illustrations, etc.

3. FONT

- Text must be in embedded, 11-point or larger font (see Appendix A for samples of recommended fonts)
- Smaller font size may be appropriate for footnotes or other material outside of the main text.
- Black text is recommended; although, color may be appropriate in some limited parts of the document.
- Font requirements apply to all text including captions, footnotes, citations, etc.

4. MARGINS

Margins must be 1” with page numbers at least $\frac{3}{4}$ ” from the edge of the page.

5. SPACING

Document must be double-spaced with the exception of quotations as paragraphs, captions, lists, graphs, charts, footnotes/endnotes, bibliographic entries, items within tables, and lists in appendices.

Exceptions may include the following:

- Quotations and footnotes may be single-spaced within each entry.
- Lengthy tables may be single-spaced.
- Irregular spacing may be used to accommodate poetry or other creative writing.

6. TABLES

Tables should be consecutively numbered.

7. FIGURES

Figures should be consecutively numbered.

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REQUIRED SECTIONS, RECOMMENDED DOCUMENT ORDER, AND PAGE NUMBER GUIDELINES

The following figure shows the recommended document order and page numbers.

Section	Suggested Numbering
Title Page (required) <ul style="list-style-type: none">Page counted, but number not typed on page.	
Copyright Page (required) <ul style="list-style-type: none">Page counted, but number not typed on page.	
Abstract (required) <ul style="list-style-type: none">Page(s) not counted, not numbered.	
Biographical Sketch (required) <ul style="list-style-type: none">Type number(s) on page(s).	iii (may be more than one page)
Dedication (optional) <ul style="list-style-type: none">Type number on page.	iv (may be more than one page)
Acknowledgments (required) <ul style="list-style-type: none">Type number(s) on page(s).	v (may be more than one page)
Table of Contents (required) <ul style="list-style-type: none">Type number(s) on page(s).	vi (may be more than one page)
List of Figures or List of Illustrations (optional) <ul style="list-style-type: none">If included, type number(s) on page(s).	vii (may be more than one page)
List of Tables (optional) <ul style="list-style-type: none">If included, type number(s) on page(s).	viii (may be more than one page)
List of Abbreviations (optional) <ul style="list-style-type: none">If included, type number(s) on page(s).	ix (may be more than one page)
List of Symbols (optional) <ul style="list-style-type: none">Type number(s) on page(s).	x (may be more than one page)
Preface (optional) <ul style="list-style-type: none">Type number(s) on page(s).	xi (may be more than one page)
Body of Dissertation (required) <ol style="list-style-type: none">Text (required)Appendix/Appendices (optional)Bibliography, References or Works Cited (required)	Begin page number at 1
Glossary (optional)	Continue page numbering from body
Index (optional)	Continue page numbering from glossary

FAIR USE, COPYRIGHT, PATENT AND PUBLISHING OPTIONS

1. 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](#)).

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 as a “fair use” by performing an analysis of your use of each copyrighted item. The Cornell Copyright Information Center’s Fair Use [Checklist](#) is a helpful tool for performing this analysis. (See also, [Copyright Law and the Doctoral Dissertation: Guidelines to Your Legal Rights and Responsibilities](#), published by PROQUEST, or *The Chicago Manual of Style*, published by the University of Chicago Press.)

If your use of material is not considered a “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. PROQUEST has specific requirements for the content of the permission letter. For these guidelines, consult the PROQUEST Doctoral Dissertation Agreement form (published by PROQUEST), 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, depending on the terms of your publication agreement, it may be necessary to write to that journal and obtain written authorization to use the material in your dissertation.

2. EMBARGO OF ONLINE COPIES (DISSERTATIONS ONLY)

The value of your dissertation extends well beyond your graduation requirements. It’s important that you make an informed decision about providing online access, via ProQuest and eCommons, to your work. This decision can expand the visibility and impact of your work, but it can also shape the options available to you for publishing subsequent works based on your dissertation.

ProQuest’s ProQuest Dissertations and Theses (PQDT) database indexes almost all dissertations published in the U.S. and provides subscription access online to the full text of more recent dissertations. ProQuest also sells print copies of dissertations, paying royalties to authors, when they exceed a minimum threshold. Authors retain copyright in the works they submit to ProQuest.

[eCommons](#) is a service of the Cornell University Library that provides long-term, online access to Cornell-related content of enduring value. Electronic theses and dissertations deposited in eCommons, unless subject to embargo, are freely accessible to anyone with an Internet connection. When submitting to eCommons, you retain copyright in your work. PhD dissertations submitted to ProQuest are automatically submitted to eCommons, subject to the same embargo you select for ProQuest.

Electronic copies of dissertations in PQDT or eCommons may be made accessible immediately upon submission or after an embargo period of six months, one year, or two years. You may wish to consider an embargo period which helps address publishers’ interests in being the first to publish scholarly books

or articles, while also ensuring that scholarship is accessible to the general public within a reasonable period of time. Your decision should be made in consultation with your Special Committee.

3. HAS A PATENT APPLICATION BEEN FILED (OR WILL ONE BE) ON THE BASIS OF YOUR THESIS OR DISSERTATION RESEARCH?

Cornell University [Policy 1.5](#) governs inventions and related property rights. Inventions made by faculty, staff, and students must be disclosed to the Center for Technology Licensing at Cornell University (CTL). Theses and dissertations describing patentable research should be withheld from publication, in order to avoid premature public disclosure.

Use the delayed release (embargo) option if a patent application is or will be in process, noting the reason for the delay as “patent pending.” If you have any questions, please contact Cornell’s Center for Technology Licensing at (607) 254-4698 or ctl-connect@cornell.edu.

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 PROQUEST entitled [Copyright Law and the Doctoral Dissertation: Guidelines to Your Legal Rights and Responsibilities](#) by Kenneth D. Crews.

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, [register online](#) or download [printable forms](#). You may also request forms by mail from the Information Section, U.S. Copyright Office, Library of Congress, Washington, D.C. 20559, or contact them by telephone at 202-707-3000.

Doctoral candidates: You may authorize PROQUEST to file, on your behalf, an application for copyright registration. This option will be presented to you as part of the submission process. The fee for this is \$55.

5. SUPPLEMENTARY MATERIALS

If supplementary materials (audio, video, datasets, etc., up to 2GB per file) are part of your thesis or dissertation, you may submit them as supplementary files during the on-line submission process. For help selecting long-lived file formats, note ProQuest’s guidance in their document, “Preparing Your Manuscript for Submission (Including Supplemental Files).” File formats for which ProQuest does not guarantee migration may still have a high likelihood of preservation in Cornell’s digital repository; please see <https://ecommons.cornell.edu/page/help#formats> for further guidance.

Do not embed media files in the PDF version of your thesis or dissertation, as this can significantly increase the size of the file and make it difficult to download and access. Include a description of each supplementary file in the abstract of your thesis or dissertation. You may include an additional

supplementary file containing more detailed information about the supplementary materials as a “readme” file or other form of documentation; this is particularly advisable for data sets or code. The Research Data Management Service Group (rdmsg-help@cornell.edu) offers assistance in preparing and documenting data sets for online distribution.

6. MAKE YOUR WORK DISCOVERABLE ON SEARCH ENGINES?

ProQuest offers authors the option of making their graduate work discoverable through major search engines including Yahoo, Google, Google Scholar, and Google Books. If you chose the Search Engine option on their dissertation “paper” publishing agreement or within ProQuest’s PROQUEST ETD Administrator (electronic submission service), you can expect to have your work appear in the major search engines.

If you change your mind and do not want your work to be made available through search engines, you can contact customer service at disspub@proquest.com or 800.521.0600 ext. 77020. In addition, if you did not initially adopt this option but now want your works made available through this service, contact the customer service group to change your selection.

Please note that search engines index content in eCommons, regardless of the choice you make for ProQuest.

THESIS AND DISSERTATION SUBMISSION PROCESS

The Graduate School uses ProQuest to administer the electronic thesis/dissertation (ETD) submission process that results in publication in ProQuest Dissertations and Theses (PQDT) database and Cornell's Library Repository, eCommons. Before initiating the electronic submission process, students are required to

- Submit a final copy of their thesis/dissertation to each member of the committee for review and approval. After this step is completed, students need to obtain formal committee approval using the [Thesis and Dissertation Approval System](#). A *Thesis/Dissertation Approval* document will be emailed to the student once all committee members have approved the thesis/dissertation.
- Complete the [Survey of Earned Doctorates](#) (for Doctoral students only). A *SED Certification of Completion* is provided to the student when the survey has been completed. Once formal committee approval is received and the survey completed, the final electronic version of the thesis/dissertation (ETD) can then be submitted to The Graduate School using the ProQuest system.

Both the *Thesis/Dissertation Approval* document and the *SED Certification of Completion* are required for submission to ProQuest.

PROQUEST SUBMISSION STEPS

In order to complete the submission process, you will need to have the following:

- A single PDF file of your thesis or dissertation
- Your abstract
- Supplemental material
- Thesis/Dissertation Approval document and the SED Certification of Completion

Step 1: Create an ETD Account and Begin Submission Process

Create Account Master's students go to [Cornell Masters ProQuest](#) site, Doctoral students go to [Cornell Doctoral ProQuest](#) site. Click on the **Sign up and get started today** button and follow instruction to create a personal account. Reply to confirmation email to begin submission process.

Submission Process Submission steps are outlined on the left menu. You will see the items checked off as you progress through the submission steps. You must click "Save & Continue" at the bottom of each page, even pages on which you do not enter any information. Using the left menu, you can return to any page and make changes until the point of final submission.

Step 2: Select Publishing Options

Traditional Publishing and Open Access ProQuest provides two publishing options: Traditional Publishing and Open Access Publishing PLUS. Traditional Publishing is included in the Cornell Thesis and Dissertation filing fees. Open Access publishing through ProQuest PLUS requires a \$95 fee.

Delayed Release ProQuest provides 6 months, 1 and 2 year embargos. The Graduate School recommends you discuss the publishing options with your advisor. If your advisor is unavailable or has no opinion, the conservative approach is to choose a 2-year embargo.

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Step 3: Read and Agree to ProQuest and University Distribution License

Both ProQuest and Cornell University distribution licenses will be presented for your acceptance.

Step 4: Enter Thesis/Dissertation Information

In addition to the mandatory information, such as title and abstract, you will have the opportunity to select up to three categories (subject areas) and six key words that describe your ETD. This information will make it easier for others to find your work when searching the web.

Step 5: Upload PDF and Supplemental Files

Upload PDF Whether you use the PDF Conversion tool provided by ProQuest or you convert your document to PDF yourself, review your PDF to ensure your formatting remains as you intended after conversion.

Supplementary Materials If supplementary materials - such as audio, video, and spreadsheets - are an integral part of your ETD, you can submit them as supplementary files during the online submission process.

Step 6: Upload Required Documents

The *Thesis/Dissertation Approval* document and the *SED Certification of Completion* if you are a PhD candidate are required for submission to ProQuest.

Step 7: Register for Copyright

You can complete this process through ProQuest for a fee of \$55, or you complete the process independently through the U.S. Copyright Office. Refer to the Register for Copyright section on page 9 for more detailed information regarding copyright law.

Step 8: Order Copies

If you would like to purchase additional copies of your thesis/dissertation for yourself, you may order bound copies through ProQuest (Order copies page). The two required bound copies for the library are automatically ordered for you and included in the Cornell Thesis and Dissertation filing fees.

Select the **Decline – do not order** option if you don't wish to order additional copies.

Step 9: Review and Submit

Once the Thesis Editor has reviewed the formatting of your thesis/dissertation, you will receive an email to let you know whether any corrections are required. You will then have 5 days to make the changes and upload the revised PDF. You will not be certified for graduation until the formatting of your ETD has been fully approved by the Graduate School. You will receive a confirmation email of final acceptance.

Step 10: Submitting Revised PDF (if needed)

You will receive an email describing the formatting changes needed with instructions and a link for resubmission.

FEES

The following fees will be posted to your bursar account once the submission process is complete. All fees are payable at the cashier's desk at the Bursar's Office, 260 Day Hall, or online via NetPay. 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 accounts are current.

- **Dissertation Filing Fee** The dissertation filing fee (\$135) for doctoral candidates covers costs of submitting a master copy of the entire dissertation to ProQuest, publishing the abstract in the monthly periodical *Dissertation Abstracts International*, and printing and binding both copies for Cornell University Library.
- **Thesis Filing Fee** The thesis filing fee (\$50) for master's candidates covers the cost of printing and binding both copies for Cornell University Library.
- **Late Filing Fee** Students 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) will be charged if this requirement is not met.

APPENDIX A: FORMATTING SUGGESTIONS

Beyond those noted in the Formatting Requirements section, the Graduate School has no additional formatting requirements. The following suggestions are based on best practices and historic requirements for dissertations and theses but are not requirements for submission of the thesis or dissertation. The Graduate School recommends that each dissertation or thesis conform to the standards of leading academic journals in your field.

For both master's and doctoral students, the same basic rules apply; however, differences exist in some limited areas, particularly in producing the abstract and filing the dissertation or thesis.

- 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.

Examples of formatting suggestions for both the dissertation and thesis are available as downloadable [templates](#).

TITLE PAGE

A title page is **required** for both the thesis and dissertation. The following format for your title page is suggested, but not required.

- The title should be written using all capital letters, centered within the left and right margins, and spaced about 1.5 inches from the top of the page. (For an example, please see the template, dissertation.doc or thesis.doc)
- 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, place 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:
 - 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]

COPYRIGHT PAGE

A copyright page is **required** for both the thesis and dissertation. The following format for your copyright page is suggested, but not required.

- A notice of copyright should appear as the sole item on the page centered vertically and horizontally within the margins: © 20__ [student's registered name]. Please note that there is not usually a page heading on the copyright page.
- The copyright symbol is a lower case "c," which must be circled. (On Macs, 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.

ABSTRACT

An abstract page is **required** for both the thesis and dissertation. Abstract formats for the doctoral dissertation and master's thesis differ greatly. The Graduate School recommends that you conform to the standards of leading academic journals in your field.

Doctoral candidates:

- Usually, 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 and includes the following lines:
 - TITLE OF DISSERTATION
 - Student's Name, Ph.D.
 - Cornell University 20 [year of conferral]
- Following the heading lines, begin the text of the abstract on the same page.
- The abstract states the problem, describes the methods and procedures used, and gives the main results or conclusions of the research.
- The abstract usually does not exceed 350 words in length (about one-and-one-half correctly spaced pages—but not more than two pages).

Master's candidates:

- In a thesis, the page heading is simply the word "ABSTRACT" in all capital letters and 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 usually does not exceed 600 words in length, which is 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 is **required** for both the thesis and dissertation. The following content and format are suggested

- The biographical sketch is written in third-person voice and contains your educational background. Sometimes additional biographical facts are included.
- As a page heading, use “BIOGRAPHICAL SKETCH” in all capital letters, centered on the page.
- Number this page as iii.

DEDICATION

The dedication page is not required and can contain whatever text that you would like to include. Text on this page does not need to be in English.

ACKNOWLEDGEMENTS

The acknowledgement page is **required**. The following content and format are suggested, not required.

- 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

The table of content is **required**. The following are suggestions.

- As a page heading, use “TABLE OF CONTENTS” in all capital letters and 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.)
- For thesis and dissertations, the conventional format for page numbers is in a column to the right of each section/chapter title. The first page of each chapter/section is stated with a single number. Table of contents usually do not include a range of page numbers, such as 7–22.
- The table of contents is often single-spaced.

TWO-VOLUME THESES OR DISSERTATIONS

If the dissertation or thesis consists of two volumes, it is recommended, but not required that you list “Volume II” as a section in the table of contents.

LIST OF FIGURES, ILLUSTRATIONS, AND TABLES

As described in the formatting requirements above, figures and tables should be consecutively numbered. The Graduate School recommends that you conform to the styles set by the leading academic journals in your field. The items below are suggestions based on best practices or historic precedents.

FORMATTING SUGGESTIONS FOR FIGURES, ILLUSTRATIONS, AND TABLES

Table of contents format:

- As a page heading, use “LIST OF FIGURES,” “LIST OF ILLUSTRATIONS,” or “LIST OF TABLES” in all capital letters, centered on the page.
- There should 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 should 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 should 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.

Page format:

- Figures/illustrations/tables should 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 should be centered vertically within the page margins. Figures/illustrations/tables should not be placed at the end of the chapter or at the end of the dissertation or thesis.
- Figure/illustration/table numbering should 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 should 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 should 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 can list the page number containing the caption.)
- If the figure/illustration/table, not including the caption, takes up more than two pages, it should 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 should be used throughout the dissertation or thesis.
- The caption of a figure/illustration/table should be single-spaced, but then captions for all figures/illustrations/tables must be single-spaced.
- Horizontal figures/illustrations/tables should 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 should be accompanied by black-and-white photographs of the same subject.) Color photos obtained digitally do not need 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 suggestions for positioning and margins.

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

The text portion of your dissertation or thesis is **required**. Please note that smaller font size may be appropriate for footnotes or other material outside of the main text. The following suggestions are based on best practice or historic precedent, but are not required.

- 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.

APPENDIX (OR APPENDICES)

An appendix (-ces) is not required for your thesis or dissertation. If you choose to include one, the following suggestions are based on best practice or historic precedent.

- 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. Examples could include 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)

A bibliography, references, or works cited is **required** for your thesis or dissertation. Please conform to the standards of leading academic journals in your field.

- As a page heading, use “BIBLIOGRAPHY” (or “REFERENCES” or “WORKS CITED”) in all capital letters, centered on the page. The bibliography should always begin on a new page.
- Bibliographies may be single-spaced within each entry but should include 24 points of space between entries.

GLOSSARY

A glossary is not required for your thesis or dissertation. If you choose to include one, best practices and historic precedent suggest using a page heading, use “GLOSSARY” in all capital letters, centered on the page.

INDEX

An index is not required for your thesis or dissertation. If you choose to include one, best practices and historic precedent suggest using a page heading, use “INDEX” in all capital letters, centered on the page.

FONT SAMPLES

Sample Macintosh Fonts

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

Sample TeX and LaTeX Fonts

- CMR 12 font
- Any font that meets the above specifications

Sample PC Fonts

- Times New Roman 12
- Arial 12
- Bookman 12
- Garamond 14
- Helvetica 12
- Times 14 (Times 12 is not acceptable)

APPENDIX B: FIELDS PERMITTING THE USE OF PAPERS OPTION

Aerospace Engineering ¹	Linguistics
Agricultural and Biological Engineering	Management
Agricultural Economics	Materials Science
Animal Science	Mathematics
Applied Physics	Mechanical Engineering 1
Asian Studies ²	Microbiology
Astronomy and Space Sciences	Molecular and Integrative Physiology
Atmospheric Science	Natural Resources 3
Biochemistry, Molecular and Cell Biology	Neurobiology and Behavior
Biomedical Engineering ³	Nutrition 3
Biophysics	Physics
Chemical Engineering	Plant Biology
Chemistry and Chemical Biology	Plant Breeding 3
Civil and Environmental Engineering	Plant Pathology 3
Classics	Policy Analysis and Management
Comparative Biomedical Sciences	Psychology
Computer Science	Regional Science
Comparative Biomedical Sciences	Sociology 4
Development Sociology	Soil and Crop Sciences
Ecology and Evolutionary Biology	Statistics
Economics	Zoology and Wildlife Conservation
Entomology	
Environmental Toxicology	
Fiber Science and Apparel Design	
Horticulture Biology	
Food Science	
Genetics	
Geological Sciences	
Human Development 5	
Immunology and Infectious Disease	
Industrial and Labor Relations	

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.

⁵ Subject to approval of Special Committee; approved for Ph.D.

