

2011

Graduate School

Cornell University

[THESIS AND DISSERTATION GUIDE]

Formatting requirements, required sections, formatting suggestions, checklists, and suggested timelines for producing and submitting your dissertation or thesis.

CONTENTS

Important Change to Formatting Guidelines	3
Overview	4
Review of General Degree Requirements.....	4
Formatting Requirements.....	5
1. Language.....	5
2. Page Size and Specifications.....	5
3. Font.....	5
4. Margins.....	6
5. Spacing	6
6. Tables.....	6
7. Figures	6
Required Sections, Recommended Document Order, and Page Number Guidelines.....	7
Formatting Suggestions for Main Sections	8
Title Page.....	8
Copyright Page.....	9
Abstract.....	9
Biographical Sketch	10
Dedication.....	10
Acknowledgements.....	10
Table of Contents.....	11
Two-Volume Theses or Dissertations	11
List of Figures, Illustrations, and Tables	11
Optional Elements	13
Body of the Dissertation or Thesis: Text.....	13
Appendix (or Appendices)	13
Bibliography (or References or Works Cited)	13
Glossary	14
Index	14
Thesis and Dissertation Submission Checklist.....	14
Submission Process Checklist.....	14
Submitting on Paper Checklist.....	15
Graduation Checklist.....	15
Additional Considerations	16

1. Write a dissertation or thesis vs. collate previously published research papers?.....	16
2. Is information that you plan to include from others considered “fair use” and are you acknowledging these sources correctly?	16
3. eCommons: Open vs. Closed Communities?	16
4. Register for copyright?	17
Timeline for Producing a Thesis or Dissertation.....	17
Required Forms.....	18
Fees.....	19
Late-Filing Fee.....	19
Doctoral Candidates: Dissertation Filing Fee.....	19
Doctoral Candidates: Active-File Fee.....	19
Master’s Candidates: Candidate for Degree Only Fee.....	19
Appendix A: Font Samples	20
Appendix B: Fields Permitting The Use of Papers Option	21

IMPORTANT CHANGE TO FORMATTING GUIDELINES

Effective January 19, 2011, the Graduate School has simplified formatting requirements for all theses and dissertations.

Historically, the Graduate School Thesis Office followed guidelines that were developed based on the limitations of microfiche archiving and other technologies. Given the replacement of microfiche with digital archiving using Proquest/UMI and the development of sophisticated word processing software, the Graduate School believes student focus should be on scholarly research and not formatting.

The new and streamlined requirements are simple enough that students should not require extensive assistance from a thesis advisor. The Graduate School will review theses and dissertations against seven core requirements (see “Formatting Requirements”, page 5). The old thesis and dissertation guidelines will continue to be provided as style suggestions, but no longer as requirements.

The Graduate School Registrar’s Office will assist students in meeting our seven core formatting requirements as well as coordinate thesis review and submission. Theses or dissertations using the old and more restrictive requirements will continue to be accepted. The Graduate School hopes these changes will remedy the challenge of thesis and dissertation formatting.

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.

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. UMI provides worldwide distribution of your work from the master copy. You will retain control over your dissertation and are free to grant publishing rights as you see fit. The Graduate School's minimum format meets all UMI specifications.

REVIEW OF GENERAL DEGREE REQUIREMENTS

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.

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

Prior to submitting the thesis or dissertation, a doctoral or master's degree candidate who has failed to

renew annually a leave of absence or has been on leave for more than four years, 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 the student was absent from Cornell. Contact the Graduate School well in advance if there is any question about registration status.

EXTENSION OF TIME TO DEGREE

Students who have exceeded time-to-degree limits (seven years since first registration for doctoral students or four years since first registration for master's students), must file a petition to request an extension of the time-to-degree limits before submitting the thesis or dissertation.

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. Please see the section on "Recommended Document Order and Page Number Guidelines" for more information on page numbering.

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.

REQUIRED SECTIONS, RECOMMENDED DOCUMENT ORDER, AND PAGE NUMBER GUIDELINES

The following figure shows the recommended document order and page numbers. Required sections are in **bold**.

Section	Suggested numbering
Title Page (required) <ul style="list-style-type: none"> Page counted, but number not typed on page. 	(i)
Copyright Page (required) <ul style="list-style-type: none"> Page counted, but number not typed on page. 	(ii)
Abstract (required) <ul style="list-style-type: none"> Page(s) not counted, not numbered. UMI permits 350 words for doctoral and 150 for master's. Longer abstracts are permitted within the thesis/dissertation document and will appear as written in those documents, but abstracts that exceed the word limit will be truncated by UMI in print indexes. 	
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

FORMATTING SUGGESTIONS FOR MAIN SECTIONS

Beyond those noted above, 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.

Templates:

- [Introduction](http://www.gradschool.cornell.edu/pubs_and_forms/pubs/dissertation_template.doc) –http://www.gradschool.cornell.edu/pubs_and_forms/pubs/dissertation_template.doc
- [Introduction](http://www.gradschool.cornell.edu/pubs_and_forms/pubs/thesis_template.doc) - http://www.gradschool.cornell.edu/pubs_and_forms/pubs/thesis_template.doc
- [Chapters and text body](http://www.gradschool.cornell.edu/pubs_and_forms/pubs/papers_template.doc) (papers option)
http://www.gradschool.cornell.edu/pubs_and_forms/pubs/papers_template.doc
- [Chapters and text body](http://www.gradschool.cornell.edu/pubs_and_forms/pubs/nonpapers_template.doc) (non-papers option .doc)
http://www.gradschool.cornell.edu/pubs_and_forms/pubs/nonpapers_template.doc
- [LaTeX templates](http://www.gradschool.cornell.edu/pubs_and_forms/pubs/cu_thesis-2.9.zip) - http://www.gradschool.cornell.edu/pubs_and_forms/pubs/cu_thesis-2.9.zip

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

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 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.

THESIS AND DISSERTATION SUBMISSION CHECKLIST

All Cornell doctoral dissertations are processed and sent to UMI, which fills orders for either paper or digital copies of the dissertation. Both master’s theses and doctoral dissertations are uploaded in PDF format to the Cornell Library Repository.

SUBMISSION PROCESS CHECKLIST

Thesis and dissertation submissions are best accomplished using Graduation Manager, an easy-to-use browser-based tool.

- ☐ **Get approval:** Before submitting, you must have defended and received preliminary approval of the content of your work from your Special Committee members.
- ☐ **Convert your document to a PDF:** 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).
- ☐ **Log into Graduate Manager:** 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.
- ☐ **Submit:** When you complete the online process and submit your work, the Graduate School will be notified automatically. We will review the minimum format of your thesis or dissertation and notify you of any changes that need to be made. Formatting errors must be corrected before the Graduate School will authorize final printing. You will receive e-mail notifying you of any required corrections.
- ☐ **Get final approval:** Once the format of your thesis or dissertation is approved, all 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.)

- ☐ **Review and print:** 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 Graduate School to reject your submission, and you will be required to make changes and use Graduation Manager to upload a new version.

SUBMITTING ON PAPER CHECKLIST

You are expected to use Graduation Manager, but when online submission is not possible you may, follow the instructions below carefully. Allow additional time for review and processing.

- ☐ **Get approval:** Before submitting, you must have defended and received preliminary approval of the content of your work from your Special Committee members.
- ☐ **Submit for review:** Bring a copy of your thesis or dissertation to the Graduate School, 143 Caldwell Hall, for review and printing approval.
- ☐ **Submit correct forms:** 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.
- ☐ **Submit abstract:** 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.
- ☐ **Deliver copies:** Finally, deliver two copies of your work, printed on archival paper, to 143 Caldwell Hall. Be sure to count all the pages and ensure that none are missing.
- ☐ There may be other requirements. Please contact the Registrar's Office for additional questions.

GRADUATION CHECKLIST

- ☐ **Check your registration status:** 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.
- ☐ **Pay any fees:** Fees must be paid by the time the dissertation or thesis is submitted.
- ☐ **Take your final exam (B Exam):** The final examination consists of your defense of your dissertation or thesis in front of your Special Committee.
- ☐ **File your dissertation or thesis:** After the final examination, the final version of your dissertation or thesis is filed. Please note: Your dissertation or thesis may need to be revised after your examination depending on the comments of your Special Committee.

ADDITIONAL CONSIDERATIONS

1. WRITE A DISSERTATION OR THESIS VS. COLLATE PREVIOUSLY PUBLISHED RESEARCH PAPERS?

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.

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 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).

TIMELINE FOR PRODUCING A THESIS OR DISSERTATION

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. Learn about thesis and dissertation formatting guidelines.
5. Develop a detailed outline for your approach to writing your dissertation or thesis.
6. Write the body of text for the dissertation or thesis.
7. 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.

8. 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.
9. 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.
10. 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.
11. Doctoral candidates: take the Final Examination for the Doctoral Degree (“B” Exam), an oral exam/dissertation defense.
12. Master’s candidates: take the Final Examination for the Master’s Degree, an oral exam/thesis defense.
13. Submit your Results of Examination form within three working days.
14. 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).
15. 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.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.
16. Pay all necessary fees, turn in receipts, and submit all required forms.
17. Attend Commencement (www.commencement.cornell.edu)
18. Celebrate!

REQUIRED FORMS

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 four and five are required. On page four, traditional publishing must be checked. The fee is covered by the Thesis File fee. Also on page four, if you’re planning to publish your dissertation in the future, you must choose “Restrictions required.” The Graduate School recommends you choose two-year embargo. On page six, 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 seven 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.

FEEES

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 will be charged if this requirement is not met.

DOCTORAL CANDIDATES: DISSERTATION FILING FEE

The dissertation filing fee 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 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 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.)

APPENDIX A: FONT SAMPLES

Samples of acceptable fonts for theses and dissertations:

Sample fonts for Macintosh users:

- 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

Fonts for TeX and LaTeX users:

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

Sample fonts for PC users:

- 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	Natural Resources ³
Agricultural and Biological Engineering	Neurobiology and Behavior
Agricultural Economics	Nutrition ³
Animal Science	Physics
Applied Physics	Physiology
Asian Studies ²	Plant Biology
Astronomy and Space Sciences	Plant Breeding ³
Atmospheric Science	Plant Pathology ³
Biochemistry, Molecular and Cell Biology	Pomology
Biomedical Engineering ³	Psychology
Biophysics	Regional Science
Chemical Engineering	Sociology ⁴
Chemistry and Chemical Biology	Soil and Crop Sciences
Civil and Environmental Engineering	Textiles
Classics	Vegetable Crops
Comparative Biomedical Sciences	Zoology
Ecology and Evolutionary Biology	
Economics	
Entomology ²	
Environmental Toxicology	
Floriculture and Ornamental Horticulture	
Food Science	
Genetics	
Geological Sciences	
Immunology	
Industrial and Labor Relations	
Linguistics	
Management	
Materials Science	
Mechanical Engineering ¹	
Microbiology	

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.

