



Guidelines on
Format, Duplication & Publication
of
Reports, Theses & Dissertations
for
Masters & Ph.D. Students

**Office of Graduate Center
Rogers Hall 102
Revised October 2009**

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NOTE

If any questions arise, kindly inquire at this office:

Office of Graduate Center
Rogers Halls Room 102
Tel. 718-260-3182
Fax: 718-260-3624

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Rogers Halls Room 412A
Tel. 718-260-3178
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Email: julerio@poly.edu

A. INTRODUCTION

The purpose of this document is to state the formal requirements which must be met by all Poly-NYU students who submit project reports, theses or Poly-NYU doctoral dissertations to qualify for degrees as described in the [Poly-NYU catalog](#).

To avoid repetition, the word thesis shall be used to include a Masters Thesis or Project Report or a Doctoral (PhD) Dissertation unless specifically differentiated.

A thesis or dissertation is basically composed of two main parts: the preliminaries and the body. Details and the methods of duplication and binding are described in the contents of this document.

Theses must be presented as bound copies of typed manuscripts. The doctoral dissertation is subject to other special requirements, which will be discussed.

High quality Xerox bound copies are required. Therefore, only one (1) typed copy of the accepted manuscript will be needed for reproduction purposes.

To assure uniformity in binding and lettering, the following standards are prescribed for each degree:

<u>Degree</u>	<u>Binding</u>	<u>Lettering</u>
Masters*	Blue	Gold
Engineer	Blue	Gold
PhD	Black	Gold

* Project Report or Thesis

B. THE PRELIMINARIES

All theses and dissertations, with exceptions noted below, must contain the following standardized preliminaries in the order of listing.

1. A Title Page: Standard format shown in [Appendix 1](#) or [Appendix 2](#). Dates appearing on title page should be the month and year of expected date of degree award (e.g., January or June 2009) and **not** the completion date of thesis. **Only January or June is permissible.**
2. A copyright Page: (Only for dissertations). Refer to [Copyright Section](#) in case copyright is applied for. Typically copyrighting of thesis is not recommended.
3. Guidance Committee Approvals: (Only for dissertations). Refer to [Appendix 3](#).

4. A Microfilm/Publishing Page: (only for dissertations). Include the statement:

Microfilm or copies of this dissertation may be obtained from:

UMI Dissertation Publishing
ProQuest CSA
789 E. Eisenhower Parkway
P.O. Box 1346
Ann Arbor, MI 48106-1346

5. A Vita Page: Give date and place of birth and a brief resume of educational and professional history. Clearly state period of time devoted to the research or project, the laboratories in which it was performed, and the source of any special support (research contract, research grant, fellowship, assistantship, traineeship, etc.).
6. A Dedication Page: (optional).
7. An Acknowledgment Page: (optional; usually for assistance given).
8. An Abstract: State the purpose and significance of the investigation being reported and major conclusions. The special caption for the abstract is described in [Appendix 4](#). For dissertation abstract rules, please refer to UMI's [Preparing Your Manuscript for Submission Guide](#).
9. A Table of Contents: List the page number upon which each major division of the thesis or dissertation begins. Subdivisions may also be included as well as appendices.
10. A Table of Figures and Graphs. List the page number of each figure and graph. This table may be omitted if the total number of figures and graphs does not exceed ten (10).

All these preliminaries, beginning with the title page, are numbered with small Roman Numerals (e.g., i, ii, iii, etc). The title page, which is page i, does not carry a number.

C. THE BODY

1. Style: There are no general faculty rules regarding the outline to be followed in the composition of the manuscript, the style of exposition, the extent to which tables of data, graphs, and other illustrations are used. The major department is the responsible judge of the adequacy of the manuscript as an account of the research performed. However, undue length of manuscript should be avoided.

For **Masters' theses**, the upper limits would be **100 pages**. A **doctoral dissertation** should **not exceed 150 pages**.

2. Arrangement: The sub-division of the body of the manuscript is largely left to the student. Suitable headings of the sections are essential for the guidance of the reader. A moderate use of footnotes or appendices may allow details to be taken out of the main text which would otherwise obstruct the even flow of the presentation. A bibliography is required.
3. Bibliography: The aim of the bibliography is twofold; to list introductory or further reading and to connect the research with similar work. All the papers and books to which references appear in the text should be listed in the bibliography numbered sequentially. References in the text to publications are made by the number, in parenthesis, of the entry in the bibliography.

Whenever extensive use is made of published material which is copyrighted, the student should obtain written permission for its use. This is especially true for doctoral dissertations, and the doctoral candidate will be required to certify that this has been done. (Refer to the UMI web site at <http://www.etsadmin.com/poly>.)

4. Index: An index may be included if desired.
5. Numbering of Pages: The pages of the BODY are numbered at the top outer edge of the text, but at least one-half below the top of the page, except on pages having a display heading where the numbers may be at the bottom center. Each page, including any appendices, is numbered with Arabic numerals (1, 2, 3, etc). If it is inconvenient to insert a number on a page, for example - a photograph - then the page is counted anyway as if the number had been written on it. Division Title pages also carry an Arabic number.

D. THE STANDARD FORMAT INCLUDING DUPLICATION

The thesis or dissertation which is to be duplicated on one side of a **standard 20-lb. 8½" x 11" letter size white, high-quality, photocopy paper with crisp, dark black characters**.

Margins are not less than the following:

Left margin (binding edge):	1½"
Right margin (Outer edge):	1"
Top margin (except for page number):	1"
Bottom margin:	1"

The typescript, with margins as specified above, is double spaced or one-and-a-half spaced for elite type. Footnotes and short quotes may be single-spaced with a double space, say every 5 lines as an eye guide.

Drawings, graphs, and other illustrations are of the same size as the thesis paper pages and are numbered consecutively with the pages of the Body.

Mathematical or chemical equations must be printed (not written). Drawings and diagrams should conform to good drafting practice.

Photographs may be used where desirable. Full-page photographs may be bound in with the thesis. Larger drawings or figures may be placed in a pocket at the back inside cover, provided by the Bindery.

E. NUMBER OF COPIES REQUIRED

Four (4) copies of the final form of the thesis or dissertation are bound.

The student must obtain the necessary signatures in **black ink** prior to binding. The copies should be numbered 1, 2, 3 and 4 in the space provided on the title page in order of quality if there is a difference.

In addition, the dissertation must be microfilmed/published by UMI. To this end, you will be required to log onto the [UMI web site](#) to upload the dissertation.

In case a sponsor has supported the research and required one (1) or more copies of the thesis or dissertation under the terms of support, the number of copies required is correspondingly increased.

Also, if more than one Faculty member has played a major role in the direction of the research, either as co-advisor or informally, and desires a copy of the thesis or dissertation, an additional bound copy should be made for him/her.

F. COPYRIGHT AND BINDING

1. Copyright. Before microfilming/publishing by UMI, the doctoral candidate must decide if he/she wishes to use the services of UMI to obtain a copyright. This service is principally of interest to students of the Humanities. Scientific dissertations are seldom copyrighted, and the doctoral candidate is in general advised not to do it. Copyright may bar publication in certain scientific journals.

If, however, copyright is desired, then the copyright page should read:

Copyright by

John Doe (full legal name of author)

2000

There is an extra charge for the copyright service. This is explained in the [UMI Copyright booklet](#) available at the UMI web site.

2. **Binding.** The required number of copies of all theses and dissertation shall be bound in cloth of textbook quality (commercial C grade). Candidates for all degrees will arrange for binding themselves and are responsible for any costs associated with the binding.

The format of the front cover and spine is illustrated in [Appendix 5](#).

The date printed on the front cover should always be the month and year of the degree award (Note: The date can only be either January or June of the year you are expected to graduate). In addition, **the binding on the spine shall be stamped with the candidate's last name, the title of the thesis or dissertation in abbreviated form, and the abbreviation of the degree and year.** Refer to [Appendix 5](#). When the bound copy is standing with the title cover to the right, the spine data should read downward. **For a project report, the letter R must be printed on the spine.**

The student should prepare for the Binder on a separate sheet of paper the exact wording of the abbreviated material to appear on the spine (Refer to [Appendix 5](#) for a sample). A maximum of 60 characters including spaces can be accommodated.

To assure uniformity in binding and lettering, the following standards are prescribed for each degree:

<u>Degree</u>	<u>Binding</u>	<u>Lettering</u>
Masters**	Blue	Gold
Engineer	Blue	Gold
PhD	Black	Gold

** Project Report or Thesis

Sample Cover



Sample Spine



Sample covers and binding spine for M.S. (blue) and Ph.D. (black) degrees

A binder who is accustomed to meeting University requirements is:

Henry Bookbinding Company	<u>Hours of Operation:</u>
135 Henry Street (Basement)	Sunday – 8:30 a.m. to 4:30 p.m.
New York, New York 10002	Monday thru Thursdays - 8:30 a.m. to 4:30 p.m.
Tel. (212) 962-1977	Fridays - 8:30 a.m. to 12:30 p.m.

Directions: Take the F train at Jay Street (take middle car) to **East Broadway** (two stops from Poly-NYU). Henry Bookbinding is less than half ($\frac{1}{2}$) a block away; it is located between Pike Street & Rutgers Street.

The Bindery should be allowed at least four (4) working days to avoid extra charges.

G. SUBMISSION OF MANUSCRIPTS AND BOUND COPIES

1. Master's Thesis/Report: A preliminary number of copies of the thesis/report in final manuscript form are to be submitted to the thesis advisor no later than the Wednesday seven (7) weeks before the diploma award date (typically, the first Wednesday in December (for fall degrees), or the first Wednesday in May (for spring degrees). This requirement varies with departments. For example, the Department of Chemistry requires four (4) copies nine (9) weeks before the diploma award date. The Department of Electrical Engineering required one (1) copy nine (9) weeks before the diploma award date. **PLEASE CHECK WITH YOUR MAJOR ADVISOR.**

The final manuscript and copies, if required, are made available to members of the Examining Committee during the final oral examination. This Committee consists of at least three (3) members of the Faculty appointed by the Department of major interest.

It is recommended that prior to binding the thesis or report that the student visit Prof. Jose Ulerio (RH412A) to make sure that the document meets the requirements.

The final bound and signed copies are submitted by the student to Prof. Jose Ulerio (RH412A). **The deadline is the second Wednesday in December (for fall degrees), or the second Wednesday in May (for spring degrees).** The distribution of the four (4) copies in the order of quality is as follows:

- Copy No. 1 – Thesis Advisor (and co-advisor(s))
- Copy No. 2 – Student's Academic Department
- Copy No. 3 – Poly-NYU Library
- Copy No. 4 – The student retains the last copy.

2. Doctoral Dissertation and Special Duties:

Doctoral candidates follow the same schedule as described under Master's Thesis. Special duties include the following:

- a. Each candidate is responsible for arranging the final oral examination at a time convenient to members of the Guidance Committee. The information must be submitted through departmental channels to the Office of Graduate Center at least 10 days prior to the examination date. An announcement inviting the Faculty to attend will be issued by the Office of Graduate Center provided that admission to candidacy has been satisfied as well as major and minor requirements as specified by members of the Guidance Committee and certified in writing to the Office of Graduate Center by each advisor, respectively.
- b. Each candidate should appear at the final oral examination with four (4) unbound copies of the final dissertation placed in folders and envelopes indicating the copy numbers on the outside of each envelope. These copies must be approved by members of the Guidance Committee prior to the examination.
- c. Subsequently, each candidate must personally take the four (4) copies to members of the Guidance Committee for the requisite signatures **IN BLACK INK**.
- d. Each candidate is required to submit with the dissertation one (1) extra copy of the abstract contained in the dissertation itself. It is intended for immediate publication in the Journal "DISSERTATION ABSTRACT". The words should be counted, and the count entered in pencil on the first copy in the upper right hand corner. The amount of words in the Abstract should not exceed 350.
- e. [Appendix 6](#) outlines a checklist for each author.
- f. Each candidate has the responsibility of submitting to Prof. Jose Ulerio (RH412A) **on the second Friday in December (for fall degrees), or the second Friday in May (for spring degrees) which is an absolute deadline:**
 - Four (4) bound signed copies of the Dissertation.
 - Completed form ***SURVEY OF EARNED DOCTORATES*** for the Office of National Opinion Research. The survey was emailed to you with the PhD Checklist.
 - Student Accounts' receipt covering the UMI microfilm fee.

- A copy of the Change of Grade form for all semesters for all research credits taken at Poly-NYU. Your department should be able to provide you with this. Check with your advisor.

H. PUBLICATION

The University urges publication of all Doctoral Dissertations and the more important Master's Theses in a recognized technical or scientific journal. Specific requirements may be imposed by individual departments. The title of the printed article must be footnoted with the "submitted" phrase used in the thesis or dissertation as follows:

*"Taken from the **Item A** submitted to the Faculty of the Polytechnic Institute of New York University in partial fulfillment of the requirements for the degree **Item B**, **Item C**."*

Item A (type in either the word *thesis* or *dissertation*)

Item B (type in full description of degree)
e.g. *Doctor of Philosophy (Civil Engineering)*

Item C (type in degree award date)
e.g. *January or June 2000*

The doctoral publication requirement is fulfilled by the UMI microfilming/publishing, but publication in print as described above is also urged. The publication should represent the substance of the dissertation to an extent satisfactory to the department involved. Occasionally more than one (1) article is warranted.

Publication as a jointly authored paper is allowed and the thesis advisor is frequently a co-author.

APPENDIX 1
STANDARD FORMAT FOR TITLE PAGE FOR
MASTER'S THESIS or PROJECT REPORT

THESIS or PROJECT REPORT TITLE

THESIS or PROJECT REPORT

Submitted in Partial Fulfillment

of the Requirements for the

Degree of

MASTER OF SCIENCE (Electrical Engineering)

at the

POLYTECHNIC INSTITUTE OF NEW YORK UNIVERSITY

by

Author's Name

June 2008

Approved:

Adviser Signature

Date

Department Head Signature

Date

Copy No. 1

APPENDIX 2
STANDARD FORMAT FOR TITLE PAGE FOR
DOCTORAL (Ph.D.) DISSERTATION

DISSERTATION TITLE

DISSERTATION

Submitted in Partial Fulfillment

of the Requirements for the

Degree of

DOCTOR OF PHILOSOPHY (Civil Engineering)

at the

POLYTECHNIC INSTITUTE OF NEW YORK UNIVERSITY

by

Author's Name

June 2008

Approved:

Department Head Signature

Date

Copy No. 1

APPENDIX 3
STANDARD FORMAT FOR
GUIDANCE COMMITTEE APPROVAL PAGE FOR
DOCTORAL (Ph.D.) DISSERTATIONS

Approved by the Guidance Committee:

Major: Chemical Engineering

Advisor's Name*
Professional Rank†

Date

Advisor's Name
Professional Rank

Date

Advisor's Name
Professional Rank

Date

Minor: Petroleum Engineering

Advisor's Name
Professional Rank

Date

Advisor's Name
Professional Rank

Date

* There may be more than three (3) members, in which case add more lines.

† Examples: Professor of Chemical Engineering
Associate Professor of Chemistry

APPENDIX 4
STANDARD FORM FOR FIRST PAGE OF ABSTRACT

AN ABSTRACT

DISSERTATION TITLE

by

John Doe

Advisor: Jane S. Smith, Ph.D., P.E.

Co-Advisor: Michael Jones, Ph.D.

Submitted in Partial Fulfillment of the Requirements
for the Degree of Doctor of Philosophy (Transportation Planning & Engineering)

June 2008

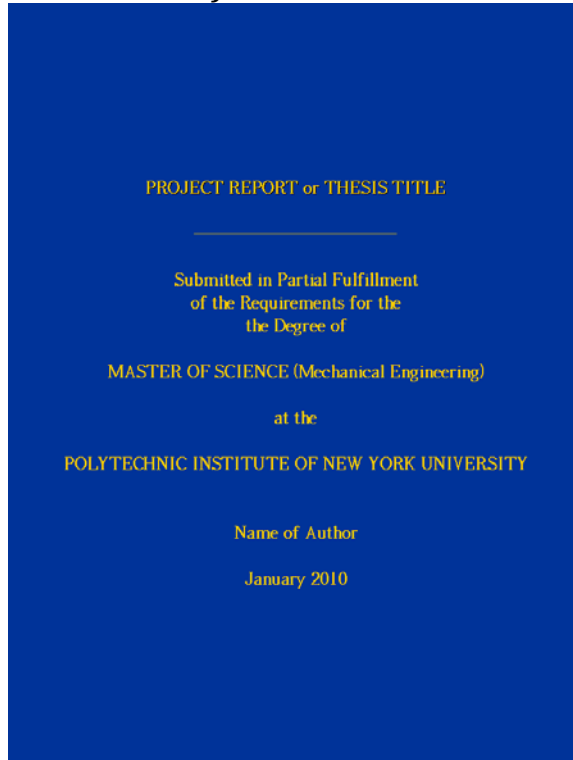
A survey of the literature shows that transportation has played a pivotal role in the
United States as a form of

APPENDIX 5
FORMAT OF FRONT COVER AND SPINE OF THESIS OR PROJECT REPORT
AND DEGREE DESIGNATIONS

Sample Covers

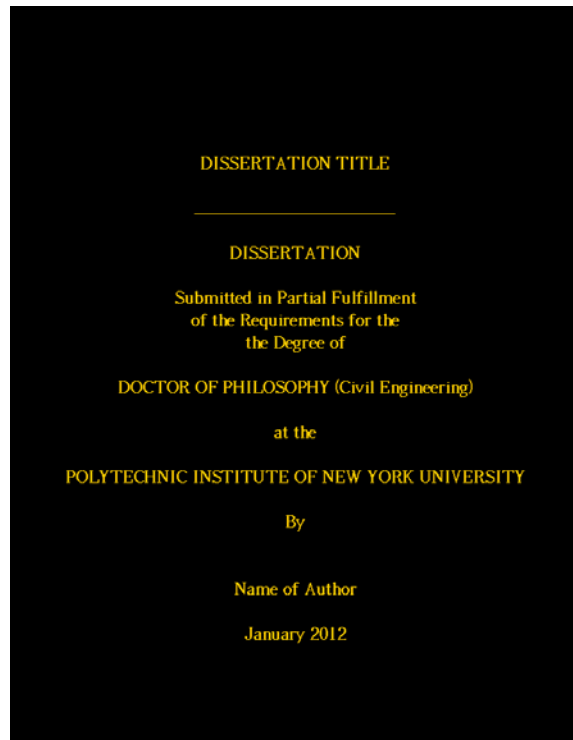
Master of Science

Last Name of Author - PROJECT REPORT or THESIS TITLE - M.S. (M.A.E.) - 2010



PhD

Last Name of Author - DISSERTATION TITLE - PH.D. (C.E.) - 2012



M.S. Degrees

On Title Page and On Front Cover of Binding

Master of Science	(Aeronautics & Astronautics)
Master of Science	(Chemical Engineering)
Master of Science	(Chemistry)
Master of Science	(Civil Engineering)
Master of Science	(Computer Engineering)
Master of Science	(Computer Science)
Master of Science	(Electrical Engineering)
Master of Science	(Electrophysics)
Master of Science	(Environmental Engineering)
Master of Science	(Environmental Health Science)
Master of Science	(Environment-Behavior Studies)
Master of Science	(Financial Engineering)
Master of Science	(History of Science)
Master of Science	(Industrial Engineering)
Master of Science	(Information Systems Engineering)
Master of Science	(Management)
Master of Science	(Management of Technology)
Master of Science	(Journalism & Technical Writing)
Master of Science	(Mathematics)
Master of Science	(Mechanical Engineering)
Master of Science	(Manufacturing Engineering)
Master of Science	(Materials Science)
Master of Science	(Organizational Behavior)
Master of Science	(Physics)
Master of Science	(Polymer Science & Engineering)
Master of Science	(Specialized Journalism)
Master of Science	(System Engineering)
Master of Science	(Telecommunications and Information Management)
Master of Science	(Telecommunications Networks)
Master of Science	(Transportation Management)
Master of Science	(Transportation Planning & Engineering)

On Spine of Binding

M.S. (Aero.&Astro.)
M.S. (Ch.E.)
M.S. (Chem.)
M.S. (C.E.)
M.S. (Comp.E.)
M.S. (Comp.Sc.)
M.S. (E.E.)
M.S. (E.P.)
M.S. (Env.E.)
M.S. (Env.H.Sci.)
M.S. (Env.Bhvr.Stds.)
M.S. (F.E.)
M.S. (Hist.of Sci.)
M.S. (I.E.)
M.S. (Info.Syms.E.)
M.S. (Mgmt.)
M.S. (Mgt. of Tech.)
M.S. (Jrnlsm.&Tech. Writing)
M.S. (Math.)
M.S. (M.E.)
M.S. (Manuf.E.)
M.S. (Mtrl.Sci.)
M.S. (Org.Bhvr)
M.S. (Phys.)
M.S. (P.S.&E.)
M.S. (Sp.Jrnl.)
M.S. (S.E.)
M.S. (Tele.Info.Mgt.)
M.S. (Tele.Net.)
M.S. (Trnsp.Mgt.)
M.S. (T.P.&E.)

For other disciplines contact the Prof. Jose Ulerio (julerio@poly.edu).

Ph.D. Degrees

On Title Page and On Front Cover of Binding

Doctor of Philosophy (Chemical Engineering)
Doctor of Philosophy (Chemistry)
Doctor of Philosophy (Civil Engineering)
Doctor of Philosophy (Computer Engineering)
Doctor of Philosophy (Computer Science)
Doctor of Philosophy (Electrical Engineering)
Doctor of Philosophy (Electrophysics)
Doctor of Philosophy (Materials Chemistry)
Doctor of Philosophy (Materials Science)
Doctor of Philosophy (Environment-Behavior Studies)
Doctor of Philosophy (Financial Engineering)
Doctor of Philosophy (History of Science)
Doctor of Philosophy (Industrial Engineering)
Doctor of Philosophy (Information Systems Engineering)
Doctor of Philosophy (Management)
Doctor of Philosophy (Management of Technology)
Doctor of Philosophy (Journalism & Technical Writing)
Doctor of Philosophy (Mathematics)
Doctor of Philosophy (Mechanical Engineering)
Doctor of Philosophy (Manufacturing Engineering)
Doctor of Philosophy (Materials Science)
Doctor of Philosophy (Organizational Behavior)
Doctor of Philosophy (Physics)
Doctor of Philosophy (Polymer Science & Engineering)
Doctor of Philosophy (Specialized Journalism)
Doctor of Philosophy (System Engineering)
Doctor of Philosophy (Telecommunications and Information Management)
Doctor of Philosophy (Telecommunications Networks)
Doctor of Philosophy (Transportation Management)
Doctor of Philosophy (Transportation Planning & Engineering)

On Spine of Binding

PH.D. (Ch.E.)
PH.D. (Chem.)
PH.D. (C.E.)
PH.D. (Comp.E.)
PH.D. (Comp.Sc.)
PH.D. (E.E.)
PH.D. (E.P.)
Ph.D. (Mat.Chem.)
Ph.D. (Mat.Sci.)
PH.D. (Env.Bhvr.Stds.)
PH.D. (F.E.)
PH.D. (Hist.of Sci.)
PH.D. (I.E.)
PH.D. (Info.Syms.E.)
PH.D. (Mgmt.)
PH.D. (Mgt. of Tech.)
PH.D. (Jrnls.&Tech. Writing)
PH.D. (Math.)
PH.D. (M.E.)
PH.D. (Manuf.E.)
PH.D. (Mtrl.Sci.)
PH.D. (Org.Bhvr)
PH.D. (Phys.)
PH.D. (P.S.&E.)
PH.D. (Sp.Jrnl.)
PH.D. (S.E.)
PH.D. (Tele.Info.Mgt.)
PH.D. (Tele.Net.)
PH.D. (Trnsp.Mgt.)
PH.D. (T.P.&E.)

For other disciplines contact the Prof. Jose Ulerio (julerio@poly.edu).

APPENDIX 6
CHECK LIST FOR AUTHORS

Checklist for Authors:

- Is date on the cover January or June of the year in which you expect to receive your degree?
- Is every page of the dissertation correctly numbered?
- Is the author's name, in full, on the title page of the dissertation, and the abstract? Does the name read the same on all three?
- Is the title on the abstract, word-for-word, as it is on the dissertation?
- Are all charts, graphs and other special illustrative materials perfectly legible? Are they in the order and position in which they are to be photocopied?
- Are all copies signed **IN BLACK INK**?
- Check to make sure that the total number of letters on spine is less than 60 letters (including spaces). Name - Title - Degree - Dept. - Year
- Check to make sure that the information on spine and cover is identical.
- Check dates wherever they appear.
- Make sure to check thoroughly the bound copies for printed errors on binding while at the Bindery.