



# **Weill Cornell Medicine**

## Graduate School of Medical Sciences

A partnership with the Sloan Kettering Institute

### **GRADUATE DEGREE REQUIREMENTS**

***INSTRUCTIONS FOR DOCTORAL DISSERTATION AND  
MASTER'S THESIS PREPARATION***

March 2015

## General Guidelines for Formatting Dissertation or Thesis

In formatting your dissertation or thesis, you must follow the guidelines for page composition presented on the following pages.

General guidelines are shown first; specific guidelines relative to each section of your dissertation or thesis follow.

### Templates

The Graduate School has created templates for your use. Using these templates from the start will simplify the formatting process. Templates can be found at the end of this document.

### Formatting with Macros

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

### Arrangement of Contents

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

### Preliminary Pages

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

### The Body of the Dissertation or Thesis

- Text
  - Appendix (or Appendices) (optional)
  - Bibliography (or References or Works Cited)
- If using a PC, the following fonts and font sizes are acceptable:
- Times New Roman 12
  - Arial 12
  - Bookman 12
  - Helvetica 12
  - Times 14 (Times 12 is not acceptable)

- Other fonts may be acceptable (but Courier is not). Check the font with the Thesis Advisor.
- Footnotes may be single-spaced in a 10-point size but must be in the same font as the rest of the text.

### Justification

- Left-aligned, ragged right margins are preferred.
- If you are using a computer or word processor, use justified margins only if the computer does this well, i.e., does not separate punctuation from characters or leave large gaps in the text.

### Margins

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

After photocopying, margins must be at least:

- Left margin: 1.5 inches or slightly larger.
  - Top, bottom, right margins: 1 inch or slightly larger.
- (Hint: It is recommended that you set margins at 1.6 inches for the left margin and 1.1 inches for all other margins, since photocopying may enlarge the text by as much as 2 percent.)

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

### Pagination for Preliminary Pages

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

### Pagination for Body of Dissertation or Thesis

- Use continuous Arabic numbers (beginning with 1) in the same size font as the text for the body of the dissertation or thesis.
- Page numbers are placed at the bottom of the page, centered between the margins. There should always be at least a 24-point space between the page number and the text.
- Chapters within the text begin on new pages.

- There are no format requirements for chapter headings. You should use a format that is standard in your field and be consistent for all chapters.
- There should be no page breaks between sections or before tables or figures, unless they occur naturally. (Exception: If the bibliography is placed at the end of each chapter, a page break needs to be placed at the end of the text and the bibliography started on the next page. The page number stays at the bottom of the page.)
- In a dissertation or thesis with two volumes, the second must continue the numbering of the first part. Each volume must contain a title page (labelled beneath the title with the words “Volume I” or “Volume II”), and the title page of the second volume is counted as a text page but the numeral is not printed on the page.

### Spacing

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

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

Exceptions:

- Quotations and footnotes may be single-spaced within each entry.
- Lengthy tables may be single-spaced.
- In an M.F.A. thesis, irregular spacing is permitted to accommodate poetry, some of which is written single-spaced, some triple-spaced, and some with variable spacing.

### Equations, Formulas, and Sub- and Superscripts

- All equations and formulas should be typeset.
- When a computer, word processor, or typewriter cannot make the symbol, insertions by hand are acceptable.
- Equations also may be inserted from a non-matching typewriter or laser-printer font.
- All subscripts and superscripts must be large enough to be read on microfilm. (To ensure readability on microfilm, test a page with sub- or superscripts by photocopying the page using a 25 percent text reduction. If the sub- or superscripts are still readable, then they are large enough.)

### Corrections

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

### Widows and Headings Separated from Text

- A dissertation or thesis will not be accepted if it contains “widows” (short lines ending a paragraph at the top of a page) at the end of a chapter.
- A dissertation or thesis will not be accepted if it contains a heading or subhead at the bottom of a page that is separate from its respective text on the following page. In addition to the general formatting guidelines shown above, the following specific guidelines must be followed for each individual section of your dissertation or thesis.

### Title Page

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

- Carefully select words for the title of the dissertation or thesis to represent the subject content as accurately as possible. Words in the title are important access points to researchers who may use keyword searches to identify works in various subject areas.

- Use word substitutes for formulas, symbols, superscripts, Greek letters, etc.

Below the title, at the vertical and horizontal center of the margins, correctly spaced, position the following five lines (all centered):

Line 1: A Dissertation [or Thesis]

Line 2: Presented to the Faculty of the Weill Cornell Graduate School

Line 3: of Medical Sciences

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, 1.5 inches from the bottom of the page:

Line 1: by

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

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

### Copyright Page

- A notice of copyright should appear as the sole item on the page (there is no page heading), centered vertically and horizontally within the margins: © 201\_ [student’s registered name]

- The copyright symbol is a lower case “c,” which must be circled. (On Macintosh computers, the symbol is typed by pressing the “option” and “g” keys simultaneously. If the font does not have the © symbol, type the “c” and circle it by hand. On PCs, go to the insert menu, choose “symbol,” and highlight 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, you must insert a blank page in this position. Abstract formats for the doctoral dissertation and master's thesis differ greatly (see sample pages e, f).

### **Doctoral candidates**

- The heading of the abstract in a dissertation is centered between the left and right margins about 1.1 inches down from the top of the page; it includes the following lines:  
TITLE OF DISSERTATION  
Student's Name, Ph.D.  
Cornell University 201\_ [year of conferral]
- Following the heading lines, skip one 24-point-spaced line and begin the text of the abstract on the same page.
- The abstract should state the problem, describe the methods and procedures used, and give the main results or conclusions of the research.
- The abstract must not exceed 350 words in length (generally about one-and-one-half correctly spaced pages; the abstract may not be more than two pages).

### **Master's candidates**

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

### **Biographical Sketch**

- The biographical sketch must be written in third-person voice and contain your educational background. It may contain additional biographical facts.
- As a page heading, use "BIOGRAPHICAL SKETCH" in all capital letters, centered on the page.
- Number this page as iii. (This is the first numbered preliminary page.)

### **Dedication (optional)**

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

### **Acknowledgments**

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

### **Table of Contents**

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

### **Lists of Figures, Illustrations, and Tables**

- As a page heading, use "LIST OF FIGURES," "LIST OF ILLUSTRATIONS," or "LIST OF TABLES" in all capital letters, centered on the page.
- There must be separate pages for "LIST OF FIGURES," "LIST OF ILLUSTRATIONS," or "LIST OF TABLES" even if there is only one example of each.
- The list must contain enough of the titles or descriptions so that readers can locate particular items using the list. (It may not be necessary to include entire figure/illustration/table captions.)
- The list must contain the page number on which each figure, illustration, or table is found, as in a table of contents.

The list of figures/illustrations/tables may be single-spaced.

- Figures/illustrations/tables must be placed as close as possible to their first mention in the text. They may be placed on a page with no text above or below, or they may be placed directly into the text. If a figure/illustration/table is placed directly into the text, text may appear above or below the figure/illustration/table; no text may wrap around the figure/illustration/table.
- If a figure/illustration/table appears on a page without other text, it must be centered vertically within the margins on the page.

- Figures/illustrations/tables may not be placed at the end of the chapter or at the end of the dissertation or thesis.
- Figure/illustration/table numbering must be either continuous throughout the dissertation or thesis, or by chapter (e.g., 1.1, 1.2; 2.1, 2.2, etc.). The word “Figure,” “Illustration,” or “Table” must be spelled out (not abbreviated), and the first letter must be capitalized.
- A caption for a figure/illustration must be placed at the bottom of the figure/illustration. However, a caption for a table must be placed above the table.
- If the figure/illustration/table, not including the caption, takes up the entire page, the figure/illustration/table caption must be placed alone on the preceding page and centered vertically and horizontally within the margins. (When the caption is on a separate page, the List of Figures, List of Illustrations, List of Tables will list the page number containing the caption.)

If the figure/illustration/table, not including the caption, takes up more than two pages it must be preceded by a page consisting of the caption only. The first page of the figure/illustration/table must include the figure/illustration/table (no caption), and the second and subsequent pages of the figure/illustration/table 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 slightly reduced 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.
- Figure/Illustration/table captions must be in the same font and font size as the text, not reduced.
- The caption of a figure/illustration/table may be single-spaced, but then captions for all figures/illustrations/tables must be single-spaced.
- Horizontal figures/illustrations/tables must be positioned correctly—i.e., the top of the figure/illustration/table will be at the left margin of the vertical page of the dissertation or thesis (remember: pages are bound on the left margin).

Figure/illustration/table headings/captions are placed with the same orientation as the figure/illustration/table when they are on the same page as the figure/illustration/table. When they are on a separate page, headings/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 was vertical on the page.

- Photographs should be treated as illustrations. To be considered archival, photographs must be black-and-white.

### **List of Abbreviations**

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

### **List of Symbols**

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

### **Preface**

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

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

### **Text**

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

### **Appendix (or Appendices)**

- As a page heading, use “APPENDIX” in all capital letters, centered on the page.
- Place in an appendix any material that is peripheral but relevant to the main text of the dissertation or thesis, such as survey instruments, additional data, computer printouts, details of a procedure or analysis, a relevant paper that you wrote, etc.

- The appendix may include text that does not meet the general font and spacing requirements of the other sections of the dissertation or thesis.

### **Bibliography (or References or Works Cited)**

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

### **Papers Option**

A papers option is available to Weill Cornell graduate students. Under this option, the doctoral dissertation is organized as a series of relatively independent chapters. The chapters are often papers that have been or will be submitted to journals in the field. The student must be the only author or the first author of the papers to be used in the dissertation. *The submitted dissertation must meet all format and submission requirements, and a singular referencing convention must be used throughout.* The additional specifications for this option are as follows:

**Title.** The dissertation must have an overall title; it may also have subtitles.

**Introduction.** There may be either a single introduction or separate introductions for each chapter.

**Summary.** Either a unified summary may be included at the end of the dissertation or the abstract may serve as the single summary statement to cover the work of all chapters.

**Abstract.** Even if a summary is included, an overall abstract must also be included.

**Bibliography.** Each chapter may be followed by a separate bibliography (or list of references or works cited or literature cited). To format the bibliography for this option, a page break needs to be inserted at the end of the text for each chapter. Each bibliography needs to start on the next page. The page number for each bibliography in this option remains at the top of the page. A single, alphabetical listing at the end of the dissertation is also acceptable.

**Published Material.** If the material in any chapter has already been published or accepted for publication, written permission from the publisher authorizing the student to use it in the dissertation must be submitted.

On the first page of all published chapters, type an

asterisk (\*) next to the title(s). The asterisk should appear again at the bottom of the page, followed by a complete reference to the publication.

### **Reference Sources for Style and Format**

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

Gibaldi, Joseph. *The MLA Style Manual and Guide to Scholarly Publishing*. New York: Modern Language Association of America, 1998.

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

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

Day, Robert A. *How to Write and Publish a Scientific Paper*. 5th ed. Boulder, Colorado: NetLibrary, Inc., 2000. *Publication Manual of the American Psychological Association*. 4th ed. Washington, D. C.: American Psychological Association, 1994.

Strunk, William, Jr., and E. B. White. *The Elements of Style*. 4th ed. Boston: Allyn and Bacon, 1999. *The Chicago Manual of Style*. 15th ed. Chicago: University of Chicago Press, 2003.

Turabian, Kate L. *A Manual for Writers of Term Papers, Theses, and Dissertations*. 6th ed. Chicago: The University of Chicago Press, 1996.

## CHECK LIST

### Format

- Margins at least 1 1/2 inches on left; at least one inch on all other sides
- Double-spaced (except Bibliography), Table of Contents, List of Tables, List of Figures, List of Tables
- All equations and formulas typed (superscripts and subscripts all legible)
- No "orphans"
- Avoid "widows"

### Preliminary Pages

- Small Roman numerals used at the bottom of the page, centered between the margins, with at least 1/2 inch clearance from bottom of page, starting with iii-Biographical Sketch

### Copyright

- Notice of copyright on page immediately after title page

### Abstract

- Double-spaced
- Same typeface as dissertation or thesis
- Not exceeding 350 words for doctorate; 600 words for master's
- Pages not numbered and not counted

- Proper heading format

### Text

- Each chapter begins on a new page
- Sections within chapters do not begin on new page (unless occurs naturally)
- Use continuous Arabic numbers (beginning with 1) in the same size font as the text for the body of the dissertation or thesis.
- Page numbers are placed at the bottom of the page, centered between the margins. There should always be at least a 24-point space between the page number and the text.

### Footnotes

- Style of footnotes consistent throughout dissertation or thesis
- Footnotes typed at bottom of pages
- Footnote numbering consistent

### Figures and Tables

- Figure and table numbering either continuous throughout dissertation or thesis or by chapter
- Table headings placed at top of tables
- Figure captions placed at bottom of figures
- Proper paper specifications
- All lettering clear and legible

TITLE IS IN ALL CAPITAL LETTERS, CENTERED HORIZONTALLY, DOUBLE-SPACED, ABOUT 1.5 INCHES FROM THE TOP OF THE PAGE ⇒

**Sample title page ⇒**

These 5 lines must be exactly as they appear here, except for insertion of the appropriate degree, and the word thesis or dissertation. ⇒

They are double-spaced, at the center of the page.

by

Student's name exactly as he or she is registered

Month & Year of degree conferral, NOT exam or submission date

Approximately 1.5 inches from bottom of page, with no page #



TIME TO DEGREE:  
AN ANALYSIS OF THE FACTORS RELATED TO THE NUMBER OF  
SEMESTERS REGISTERED FOR THE DOCTORAL PROGRAM

A Dissertation

Presented to the Faculty of the Weill Cornell Graduate School

of Medical Sciences

in Partial Fulfillment of the Requirements for the Degree of

Doctor of Philosophy

by

Jane A. Smith-Doe

May 2015

Major Sponsor's Signature  
on 3 copies submitted to the Graduate School

DISSERTATION TITLE, CENTERED, IN ALL CAPITAL LETTERS

Student's Name, Ph.D.

Cornell University Year of conferral-not exam or submission date

The abstract sample shown here is for a dissertation only. For thesis example, please see the next sample set. Note: The word "abstract" does not appear as a title on a Ph.D. abstract! The title of the dissertation on the abstract may be either single-spaced or double-spaced.

## Sample doctoral dissertation abstract



(no page #, & not included in page count)

TIME TO DEGREE: AN ANALYSIS OF THE FACTORS RELATED TO THE  
NUMBER OF SEMESTERS REGISTERED FOR THE DOCTORAL  
PROGRAM

Jane A. Smith-Doe, Ph.D.

Cornell University 2015

The doctoral abstract would be placed here. It may not be more than 350

words long (not counting the heading), and must not take up more than

two (2) pages (even if fewer than 350 words long). The font, margins and

spacing are the same as for the text of dissertation.

Major Sponsor's Signature  
on 3 copies submitted to the Graduate School

## ABSTRACT

The page heading of the abstract in a master's thesis is simply the word "ABSTRACT" in all capital letters, centered within the margins at the top of the page. (The thesis abstract does not display the thesis title, author's name, degree, university, or date of degree conferral.)

The master's abstract would be placed here. It must not exceed 600 words in length (approximately two-and-one-half to three pages of correctly spaced typing).

CHAPTER ONE  
TITLE OF CHAPTER

There are no format requirements for the heading. The student should use a format that is standard in his or her field and be consistent for all chapters. All text must be double-spaced.

Sample showing 1<sup>st</sup> page of each chapter



(Continuous Arabic numbers, beginning with 1, in same font as text. Page numbers are placed at the **bottom**, centered between margins.)

## CHAPTER ONE INTRODUCTION

There are no set format requirements for the chapter layouts; however, each page must be double spaced, the proper font must be used, and the margins must be correct. The headings, sub-headings, etc. can be in any standard format. The student should use what is common in his or her field. The words CHAPTER ONE and INTRODUCTION (or any other chapter title appropriate for one's work) may be either single-spaced or double-spaced. The only requirement is that each chapter's style must be consistent with that of all other chapters.

Page numbers are placed at the bottom center (at least .5 inch from the bottom edge of the paper). There should be at least a double space between the page number and the text. Text should continue on the second and subsequent pages. There should be no page breaks between sections, unless such breaks occur naturally. However, each chapter must start on a new page.

(page #)

(Table heading at top)

-Tables must meet margin requirements

-Table headings must be the same size font as text. The word ‘table’ should be written in full (not abbreviated), and the ‘t’ should be capitalized, for example: Table 3.

-Text in the table may be reduced slightly; the rule of thumb is that it must still be readable when further mechanically reduced 25% beyond the final version.

-Longer tables may be single-spaced

-The table on the right is merely a sample. Use any style appropriate to one’s field, as long as the style meets the requirements described in this booklet.

Sample page of vertical table ⇒⇒

Data in the accompanying table are from a survey conducted by  
the Graduate School, Cornell University

Table 3 Mean Annual Expenditures by Category for  
Single, Married, and All Students, 1989

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	<b>Single</b> (N=1,171) <b>Mean<sup>2</sup></b>	<b>Married</b> (N = 596) <b>Mean<sup>2</sup></b>	<b>A11<sup>1</sup></b> (N = 1,805) <b>Mean<sup>2</sup></b>
<b>Housing</b>	\$3,925	\$5,797	\$4,571
<b>Household</b>	\$4,376	\$6,939	\$5,238
<b>Medical Care</b>	\$522	\$1,063	\$707
<b>Transportation</b>	\$1,268	\$2,257	\$1,598
<b>Academic</b>	\$464	\$558	\$502
<b>Total</b>	\$10,554	\$16,615	\$12,617
<b>Total with tax<sup>3</sup></b>	\$11,513		

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<sup>1</sup>Includes those who are either separated, widowed, or divorced or did not report marital status.

<sup>2</sup>Mean expenditures are based on all respondents, both students who did and did not have expenses in a category.



(page # does not shift with figure orientation, and it is in the same font and size as the text)

The top of a horizontal (landscape-oriented) figure is placed at the left margin (the margin nearest the binding).

The figure is centered vertically and horizontally between the margins.

The figure shown is merely a sample. Use any style appropriate to one's field, as long as the style meets the requirements described in this booklet.

Captions for horizontal (landscape) figures are also horizontal (landscape-oriented) when on the same page as the figure.

Data in the accompanying figure are from a survey conducted by the Graduate School, Cornell University.

Sample page of horizontal figure ==>