Introduction

The criteria set forth in this guide have been established and must be followed in order that each submission accepted for official deposit in the Stony Brook University Library and for publication by University Microfilms International (ProQuest/UMI) is a uniform document.

Requirements, Procedures, Deadlines
Students are responsible for knowing University requirements, procedures and deadlines relating to graduation. Please refer to the Graduate School website-New and Current Students - Graduation Information - Information and FAQs section for this information.

How to use these Guidelines
The Guidelines contain three main sections listed in the order in which a student would prepare their thesis/dissertation:
- Preparation and Format of the Thesis/Dissertation
- Assembly of the Thesis/Dissertation
- Submission of the Thesis/Dissertation

The Appendices contain the following:
- Appendix A - Graduate Program List - contains the appropriate program names as approved by the State Education Department.
- Appendix B – Checklists – a companion to the Guidelines.
- Appendix C – FAQs – lists Frequently Asked Questions that are made relating to thesis/dissertation preparation and submission. Includes some information and resources to help with PDF conversion and general formatting.

Any questions regarding the thesis or dissertation preparation or submission process should be directed to:

GradGraduation@stonybrook.edu

<div align="right">

The Graduate School
Spring 2019

</div>

Table of Contents

PREPARATION AND FORMAT OF THE ELECTRONIC THESIS/DISSERTATION

General Format

Please Note: Students should not use a previously submitted thesis or dissertation as a guide for your work. Follow the instructions set forth in this guide to ensure your work will be in the correct format.

Overall Appearance

A thesis or dissertation reflects the quality of work produced by the author, the advisor, the department, the Graduate School, and Stony Brook University. It is therefore important that the final document is properly formatted and not marred by careless errors.

The text of the thesis or dissertation must be clear and grammatically correct or it will not be accepted.

Using programs that do not allow the student to follow these format guidelines will not excuse the student from following the guidelines. If the student is unable to alter the program in order to follow the guidelines, a different program should be used. Please note that the ProQuest/UMI ETD Administrator site has a section on PDF conversion help. It can be found at http://www.etdadmin.com/cgi-bin/main/support - select Creating PDFs in the Support Tools box on the right.

Format Specifications of the Document

File Format for Main Text

Adobe PDF is the mandatory presentation/submission format of primary source information (the text of the work itself).

- Adobe is available in all SINC sites at Stony Brook University.
- You will also be able to convert your document to a PDF using the ProQuest/UMI ETD Administrator site.
- Do not password protect your file, as it will prevent the University Library from processing your thesis/dissertation correctly. The Library will administer the appropriate security protections.

File Formats that are Linked and Embedded

Acceptable file formats that are linked and embedded within the main text are below. These can be used as needed; however, it is uncertain as to the PDF ability to embed other file formats that are not listed here.

- <u>Application Formats:</u> Adobe PDF (.pdf); Archive HTML Open with IE only (.mht, .mhtml); FMP3 (.fm); LateX (.latex); MARC**;** Mathematica (.ma); Microsoft Excel (.xls); Microsoft Powerpoint (.ppt); Microsoft Project (.mpp, mpx, .mpd); Microsoft Visio (.vsd); Microsoft Word (.doc); Photoshop (.psd, .pdd); Postscript (.ps, .eps, .ai); SGML (.sgm, .sgml); TeX (.tex); TeX dvi (.dvi); WordPerfect (.wpd)
- <u>Audio Formats:</u> AIFF (.aif); CD-DA, CD-ROM/XA (A or B or C); MIDI (.midi); MPEG Audio (.mpa, .abs, .mpega); MPEG-2; RealAudio (.ra, .ram); SND (.snd); WAV (.wav); audio/basic (.au, .snd)
- <u>Authoring Formats:</u> Authorware, Director (MMM, PICS)

- Image Formats: BMP (.bmp); CGM (.cgm); GIF (.gif); JPEG (.jpg); PDF (.pdf-Type 1 Postscript fonts); PhotoCD (.pcd); TIFF (.tif); image/png (.png)
- Special Formats**:** AutoCAD (.dxf); Excel (.xcl)
- Text Formats: ASCII (.txt); HTML (.htm, .html); PDF (.pdf); RTF (.rtf); Text (.txt, .asc); XML (.xml)
- Video Formats: MPG-4 (.mpg); MOV (.mov); h.246 compliant

Fonts
- Standard fonts such as Times New Roman and Arial are recommended. Fonts should not be smaller than 15 characters per inch. Size 12 font is recommended.
  - Exceptions for font size will be made in the case of format style, when larger type is used for chapter or division headings, or if it is necessary to change type for equations, symbols or figure captions.
  - If you are unsure whether your font is acceptable, please have it checked by the Graduate School.
- The font must be consistent throughout the text. Fonts can differ for tables/figures/graphs, etc., but all main text (in the preliminary pages, main body, and reference material) should be in the same font.
- All fonts must be embedded. Information on this can be found at http://www.etdadmin.com/cgi-bin/main/support - select Creating PDFs in the Support Tools box on the right.
- Italics should only be used when appropriate (scientific text, titles of works, etc.).
- Font color must be black for all main text. Colored font can be used for charts, graphs, maps, etc.

Margins
- All margins must measure 1 inch. 1½ inches for all margins is also acceptable. The pages are trimmed if the document is bound, so it is important to adhere to these specifications.
- The right-hand margin of the text may be justified or ragged.
- Page numbers should be contained in the above margin requirements. However, page numbers may be placed at the 1" margin, but should not be placed lower than ½".
- If you need to have a separate page for figure captions, see the section *Inclusion of Other Published Media – Captions* for margin guidelines.

Spacing and Indentations
- The text of your manuscript may be single or double-spaced, although single-spacing is preferred. One and a half inch spacing is also acceptable.
- Text for figure captions must be single-spaced.
- The first line of each paragraph should be indented using a standard tab indent.
- The first line of the text of each chapter or major division should be about 1" (approximately 6 single spaces) below the last line of the chapter title or section heading, or may be begun on a new page.

Pagination
- Do not italicize page numbers.
- Do not use punctuation (dashes, periods, parentheses) with page numbers.

- Preliminary pages are numbered in lower-case Roman numerals at the bottom center. All preliminary pages are numbered except for the Title Page and Copyright Page (which is optional).
- Numbering for main body of text:
  - Arabic numerals begin with 1 on the first page of the first chapter.
  - Every page in the main body must be consecutively numbered in Arabic numerals centered at the top or bottom of the page.
  - The placement of page numbers in the main body must remain consistent throughout the thesis or dissertation (this includes figures, tables, photographs, illustrations, etc.).
  - If caption pages/identifying legends are on a separate page from its figure/illustration, they are numbered in the corresponding location (i.e., upper or bottom left hand corner or centered at the top or bottom of the page). See *Inclusion of Other Published Media – Captions* for further information.
- Page numbers should be contained in the margin requirements. However, page numbers may be placed at the 1" margin, but should not be placed lower than ½".
- Photographic paper does not have to be numbered, but must be counted.
- Letter suffixes such as 10a, 10b, 10c, etc., are not permitted.

Quotations
- The recommended practice is to include prose quotations of fewer than six lines as regular running lines of text, enclosed within quotation marks.
- If the quotation exceeds six lines:
  - Single space the entire quotation, beginning about two lines below the last line of the regular text.
  - Indent the quotation on both the left and the right margins so that it is centered.
  - No quotation marks are used for quotations that are set off from the regular text.
  - Paragraphs within the indented quotation should be indented again, about an additional four spaces.
- A quotation within a quotation should be enclosed within single quotation marks whether it appears as a running line of the text or is set apart.
- For quotations of poetry:
  - Quotations not exceeding one line may be included in the running line of text, enclosed within quotation marks.
  - More than one line should be set apart from the text in the same way as prose quotations of more than six lines.
- If you quote continuously or extensively from a particular author, see the section *Permission to Use Copyrighted Material* for more information

Hyphenation
- Avoid dividing words at the end of more than two successive lines of text.
- Do not divide the word at the end of the last line of text on any page.

Supplemental Files
Files such as audio, video, large charts, etc. that are an integral part of the dissertation or thesis but not part of the full text may be submitted electronically in the Supplemental Files section at the SBU ProQuest/UMI ETD Administrator.

Organization of Pages and Sections

The thesis or dissertation consists of three parts:
- Preliminary pages
- Main body of text
- Reference material

Templates

There is a Word template available for you on our website here:
www.grad.stonybrook.edu/academics/thesis_dissertation_guidelines.php. You would just delete any of the optional pages you may not be using. Details on each of these sections can be found below.

The internal arrangement of the text and reference material (which would include the bibliography, appendix and index), will be decided in consultation with your thesis/dissertation advisor (see sections below on each for more information).

The preliminary pages must be in the order indicated below. The only preliminary pages that are *not* numbered are the Title Page and Copyright page (which is optional). Preliminary pages are numbered in lower-case Roman numerals **centered at the bottom** of the page within the margin limit, beginning with ii on the Signature Page. The text and reference material are continuously numbered in Arabic numerals, beginning with "1" on the first page of the first chapter.

Preliminary Pages

Title Page *(unnumbered)*
- Use the term *Thesis* if you are a master's candidate or the term *Dissertation* if you are a doctoral candidate.
- Use your full, legal name. Do not use initials. This name must match the name on the signature page and abstract, and must match your name in University Records.
- Use the official and complete name of the degree and degree program. See *Appendix A: Official Reference List*.
  - If you wish to indicate a concentration, it should be placed under the program name in parentheses.
- The date at the bottom of the title page is the month (May, August, or December) and the year in which the diploma is to be awarded (it is *not* the date you defend your thesis/dissertation). Do not use commas in-between the month and year.

Copyright Page (*unnumbered*) *See Microfilming and Copyrighting – Copyrighting the Doctoral Dissertation for further information.*

Thesis/Dissertation Signature Page: *page ii of your document.* Students will need to prepare two versions of the signature page – one that is an original that is signed by the committee, and one that will be in your electronic thesis/dissertation PDF document as page ii.

Format for Original Signature Page

- Templates for the Original Signature page are available here: https://grad.stonybrook.edu/academics/Forms.php. Look under Forms For Graduating Students.
- The Original is the one your committee will sign.
- Use white, unpunched 8 ½ X 11 paper.
- Use your full legal name, centered, on the line above the main statement.
    - This name must match the name on the title page and abstract page, and must match your name in University Records.
    - Do not use initials.
    - Do not sign or hand write your name.
- Use the term Thesis if it is an MA, MFA, or MS thesis, and the term Dissertation if it is a PhD dissertation.
- Type out the degree name in full (do not use abbreviations of degrees).
- Do not indicate the program name in the top text.
- Order of committee members:
    - Your advisor is listed first, and the chairperson of the defense is listed second.
    - The outside member is listed last.
- Type signature lines according to the number of members on your committee.
    - Underneath each line, fully identify the member with his/her name, title and department. Include the discipline and affiliation of the outside member. If you have a co-advisor who is not from Stony Brook University, you will need to indicate their affiliation. This text must be typed. Handwritten additions will not be permitted.
    - The line for the Dean of the Graduate School must be provided, but will remain blank. The Graduate School will obtain the Dean's signature after you submit your thesis/dissertation.
    - The signature page must be **one page only** – if there are numerous committee members, you may use double columns to accommodate all signatures on one page.
- Committee members must sign in **permanent ink.** A signature in India ink is preferred, but ballpoint pens are acceptable. Felt-tip or erasable pens are not acceptable.

Format for Signature Page in the Electronic Theses/Dissertation PDF
This is the format of the signature page that is page ii of your thesis/dissertation PDF:
- Use your full legal name, centered, on the line above the main statement.
    - This name must match the name on the title page and abstract page, and must match your name in University Records.
    - Do not use initials.
    - Do not sign your name.
- Use the term Thesis if it is an MA, MFA, or MS thesis, and the term Dissertation if it is a PhD dissertation.
- Type out the degree name in full (do not use abbreviations of degrees).
- Do not indicate the program name in the top text.
- Order of committee members:
    - Your advisor is listed first, and the chairperson of the defense is listed second. These two designators must not be the same person.
    - The outside member is listed last.
- Instead of typing lines for the committee members to sign on, just type the names of the committee using the proper order indicated above, and listing their departments under their

names. Be sure to list the discipline/affiliation of the outside member. If you have a co-advisor who is not from Stony Brook University, you will need to indicate their affiliation.
- The PDF signature page must be **one page only** – if there are numerous committee members, you may use double columns to accommodate all names on one page.
- At the bottom, type the Interim Dean's name and indicate Interim Dean of the Graduate School under his name:

<div align="center">

Richard Gerrig
Dean of the Graduate School

</div>

Abstract Page(s)
- Use the term Thesis if you are a master's candidate or the term Dissertation if you are a doctoral candidate.
- Use your full legal name. Do not use initials. This name must match the name on the title page and signature page, and must match your name in University Records.
- Use only the year the degree is awarded.
- The abstract begins on page iii of the preliminary pages. Continue lower case Roman numeral pagination throughout the abstract.
- The abstract should consist of a short statement of your research, a brief exposition of the methods and procedures employed in gathering the data, and a condensed summary of the findings of your study.
- In collaborative projects, an individual's contribution should be made evident in the abstract or in a cover letter written by the Advisor.
- All thesis or dissertation abstracts **must** be written in English regardless of the language of the thesis/dissertation, though a second abstract in the language of the thesis/dissertation is allowed.

Dedication Page (optional)

Frontispiece (optional)
A frontispiece is an image or illustration.

Table of Contents
Your table of contents should list all the main divisions of your manuscript following the table of contents as well as subdivisions within the body, references, appendices, and addenda. If you are a masters student who does not have major divisions in your thesis, you would just list the title of your work with the corresponding page number 1 for this page.

List of Figures/Tables/Illustrations
- If you have a list of figures, tables, illustrations, etc., each must be a separate list.
- Use the same format as for the Table of Contents – each item listed must have a corresponding page number, even if they are grouped together at the end of the document or in an Appendix.

List of Abbreviations
If appropriate, a glossary or a list of abbreviations devised specifically for use in the thesis/dissertation should be included here.

Preface (optional)
- No part of the thesis or dissertation essential to an understanding of the main body of the text should be included in the preface.
- The Preface may include the Acknowledgments.

Acknowledgments (optional)
All acknowledgments should be contained in this page, and not after each chapter.

Vita, Publications, and Fields of Study (optional – doctoral students only)

Main Body

Text:
- Begin Arabic numbering starting with page **1** on the first page of the first chapter.
- The main body of the thesis or dissertation should consist of well-defined divisions, such as parts, chapters, sections, etc., as well as footnotes or endnotes.

Footnotes/Endnotes/Parenthetical Notations
- You may use any of these three methods in your thesis/dissertation.
- Footnotes
   - The footnotes themselves may be in the form that is standard in publications relating to your discipline.
   - If the nature of your footnotes allows, they should be placed at the bottom of the page – this is convenient for those who consult microfilm copies of the manuscript.
   - Footnotes should be separated from the main part of the text by an unbroken line that extends the length of about 20 spaces from the left margin. This line should begin two spaces beneath the last line of your text.
   - Each footnote should be single-spaced if it continues beyond one line, and double-spaced between each entry.
   - Try to contain each entry in its entirety on one page, rather than continuing it onto the next page.
   - If your footnotes contain extensive commentary (as opposed to simple references), you may place them at the end of chapters or at the end of the manuscript.
   - You are urged to check your footnotes very carefully to avoid complaints from librarians and scholars about inaccurate or poorly organized entries.
- Endnotes
   - In the place of the first footnote you would otherwise place at the bottom of the page, include a note indicating the inclusive pages where the endnotes may be found.
   - This is done only once in each chapter that will have endnotes.
- Parenthetical Notations
   - If you use parenthetical notations (i.e. author's name, year, page number, etc.), make sure they are detailed in your bibliography.

Reference Material

Bibliography

- Prepare your bibliography/reference material using the form of citation that is standard in your field or the form prescribed in any standard manual of style, and use that form consistently throughout the entire bibliography.
- It should list publications that have been cited in the text.
- It may list publications you have consulted or to which the reader should refer, whether or not they have been cited in the text.
- Single-space each entry if it continues beyond one line, and double space between each entry.
- It must be listed in the Table of Contents, but should not be listed as a chapter.
- A Bibliography or Reference material may be included after each chapter of the text. However, a complete list should also appear at the end of the manuscript before appendices.
- You are urged to check your bibliography or reference material very carefully to avoid complaints from librarians and scholars about inaccurate or poorly organized entries.

Index (optional)

Appendix (optional)
- This is the last section of the manuscript.
- The text must be single-spaced. If your text contains equations and formulas that cannot be presented properly as single-spaced, then double-spacing is acceptable.
- Appendices must be listed in the Table of Contents.

Inclusion of Other Published Media

Any figure/drawing/map/photo/chart/graph may be embedded within the text, set apart from the text, or on its own page.

Captions
- For captions/identifying legends that appear on the page with the figure or illustration:
  - The text must be typed and single-spaced.
  - The text may appear above or below the figure/illustration.
- For captions/identifying legends that appear on a separate page:
  - The text must be typed and centered on the page, single-spaced.

Figures and Tables
- Figures and tables may be dispersed throughout the text of the manuscript, or placed in groups following the chapters or at the end of the manuscript.
- Figures may be in color.
- Figures and tables must be captioned. See *Captions* in this section for proper format and execution.
- All margins must measure 1 inch. 1½ inches for all margins is also acceptable. The pages are trimmed if the document is bound, so it is important to adhere to these specifications.
- For figures or tables that have parts (such as a, b, c, etc.), you must caption each part.
- All captions must be listed in the List of Figures or Tables in the preliminary pages.
- If you reproduce figures or tables that have been copyrighted, see *Permission to Use Copyrighted Material* for more information.

Graphs
- Graphs may be in color.
- If you reproduce graphs that have been copyrighted, see *Permission to Use Copyrighted Material* for more information.

Maps
- You should consult with your advisor concerning the appropriateness of maps being included in your thesis/dissertation.
- If you reproduce maps that have been copyrighted, see *Permission to Use Copyrighted Material* for more information.
- Maps may be in color.

Published Material
- If approved by your advisor and thesis/dissertation committee, reports of research undertaken during graduate study that have been published in appropriate media may be accepted as part of your manuscript the way they appeared in its original printing (such as in a journal).
- The pages from the published material themselves may be an exact reproduction in your dissertation, but it must follow page number and margin formatting set forth in these Guidelines, and must be legible.
- If the published material contains one or more co-authors, you must obtain their written permission for you to include the material in your thesis/dissertation *(see Permission to Use Copyrighted Material for more information).*

Supplemental Files
Files such as audio, video, large charts, etc. that are an integral part of the dissertation or thesis but not part of the full text may be submitted electronically in the Supplemental Files section at the SBU ProQuest/UMI ETD Administrator.

Units
For scientific work, SI units must be used except where there is good reason not to do so (such as when it is the accepted practice of workers in the field to use other units).

Permission to Use Copyrighted Material

The filing of a thesis or dissertation in a library is generally presumed to constitute publication in a legal sense. The reproduction of a dissertation by University Microfilms International (ProQuest/UMI) is similarly regarded as a form of publication. Consequently, you are expected to conform to the provisions of the copyright law with regard to quoting from copyrighted material. For this reason, ProQues/UMI requires that you subscribe to the following statement, which appears on the agreement form:

> The author hereby certifies that the use of any copyrighted material in the manuscript beyond brief excerpts is with the permission of the copyright owner, and will save and hold harmless University Microfilms from any damage that may arise from such copyright violations.

1) Preparation and Format of the Electronic Thesis/Dissertation

Subscription to this section does not mean that you must ask permission from the copyright owners for every quotation of a prose passage of approximately 150 words, nor does the quotation of a few lines of verse in a work of scholarship or criticism call for permission; however, these general considerations do not absolve you from your responsibility in the matter of copyrighted materials.

- If you quote continuously or extensively from a particular author, especially in such fields as fiction, drama, poetry, or criticism; or if you reproduce maps, charts, statistical tables, or other similar materials that have been copyrighted, you must write to the copyright owner(s), describe the use to which you are putting the material, and request permission to include it in your thesis or dissertation. This practice also applies if you cite your own published work(s) and your publisher holds the copyright.
- For your protection, a statement listing such materials should be included in your thesis or dissertation under the Acknowledgments. The statement should indicate 1) that permission has been grated for their use and 2) the source(s) of the permission.
- It is your responsibility to secure any necessary co-authorship and/or copyright permissions. If you share authorship with anyone else for any part of your thesis or dissertation, you need to acquire his or her permission to include that content. If any content in your manuscript, including appendices, is already under another copyright, you need to acquire permission from the copyright holder to use that content. All such permissions must accompany your submission. ProQuest/UMI may elect not to distribute your thesis or dissertation if, in its reasonable judgment, it believes all necessary rights of third parties have not been secured.
- If your published material lists a co-author, and if the co-author is listed by reason of having directed and supervised the research that serves as the basis of the thesis or dissertation, list only your name as the author in the preliminary pages of your thesis or dissertation. In the Acknowledgments you will state, "The text of this (thesis/dissertation) (in part/in full) is a reprint of the materials as it appears in (names of publications). The co-author(s) listed in the publication(s) directed and supervised the research that forms the basis for this thesis or dissertation."
- If you own the copyright of the published material, you must supply a copyright page showing the following information for each publication:
    - Copyright by (name of author/copyright owner)
    - Copyright Registration Number (obtain this number from copyright certificate)
    - Year copyright was obtained
- For the master's thesis or doctoral dissertation: when the copyright owner(s) is someone other than yourself, a written statement from the copyright owner(s) is submitted when the thesis/dissertation is filed, granting you permission to use the copyrighted material and authorizing Stony Brook University to reproduce the material by photocopy or in microfilms on a one-at-a-time basis.
- No thesis or dissertation incorporating printed material that has been copyrighted will be accepted without appropriate authorization.
- For more information, including a sample letter, please see: http://www.etdadmin.com/cgi-bin/main/resources on ProQuest/UMI's site.
- Permission letters would be submitted in the Supplemental Files section of the ProQuest/UMI ETD Administrator site.
- It is your responsibility to resolve any copyright problems arising from the use of published material.

Microfilming and Copyrighting

Microfilming
- A master microfilm of each thesis and dissertation is assigned a publication number and then kept on deposit by ProQuest/UMI. You will be issued your publication number directly from ProQuest/UMI approximately six to eight months after you file your thesis or dissertation. This number is used to order your microfilm copies.
- Masters abstracts will be published in *Masters Abstracts International,* and Dissertation abstracts will be published in *Dissertation Abstracts International.*

Microfilm Agreement
When you submit your thesis or dissertation on the ProQuest/UMI ETD Administrator site, you will be required to sign an agreement form with ProQuest/UMI, at which time you may take the option to copyright your thesis or dissertation.

Copyrighting the Masters Thesis or Doctoral Dissertation
Since your thesis or dissertation will be published in microfilm form by ProQuest/UMI, it is important to decide whether you want the protection of a copyright. Whether or not your thesis or dissertation should be copyrighted depends on the nature of the materials and your plans for its future publication or revision. In deciding the matter, the following considerations are pertinent:
- Whether or not the thesis or dissertation is copyrighted, you retain the right to publish all or any part of your thesis or dissertation by any means at any time, except by reproduction from a negative microfilm as described in the Microfilm Agreement Form that you sign.
- The university does not have a mandatory policy on copyrighting thesis or dissertations. You may, however, take the option to copyright your thesis or dissertation by completing the copyright section on the ProQuest/UMI ETD Administrator site.
- If you decide to copyright, ProQuest/UMI will obtain a copyright for your thesis or dissertation in your name.
- The certificate of registration will be mailed to you approximately five months after University Microfilms receives your thesis or dissertation.
- A copyright page should be placed in your thesis or dissertation following the title page.

ASSEMBLY OF THE THESIS/DISSERTATION

File Format for Main Text

Adobe PDF is the mandatory presentation/submission format of primary source information (the text of the work itself).

- Adobe is available in all SINC sites at Stony Brook University.
- You will also be able to convert your document to a PDF at the ProQuest/UMI ETD Administrator site.
- ProQuest/UMI ETD Administrator site has a section on PDF conversion help. It can be found at http://www.etdadmin.com/cgi-bin/main/support - select Creating PDFs in the Support Tools box on the right.
- Do not password protect your file, as it will prevent the University Library from processing your thesis/dissertation correctly. The Library will administer the appropriate security protections.

File Naming

You can name your PDF file as your name or thesis/dissertation title, but do not use periods in the file name.

Signature Page

- Please refer to *Preparation and Format of the Thesis/Dissertation – Preliminary Pages – Thesis/Dissertation Signature Page* for instructions on how to format this page.
- It is your responsibility to prepare the original signature page according to the format presented in these guidelines.
- Your committee signs the original signature page upon approval of your defense. All signatures must be in **permanent ink**. This page is considered the original signature page.
- The signature line on the original signature page for the Dean of the Graduate School will remain blank, as the Graduate School takes care of obtaining this signature after students have submitted their thesis/dissertation.
- Please note that the Original Signature page would not be submitted via the ProQuest/UMI ETD Administrator site. The thesis/dissertation PDF contains a typed version of this page, but the Original version (the one your committee actually signs) needs to be submitted as a hard copy to the Graduate School.

SUBMISSION OF THE ELECTRONIC THESIS/DISSERTATION

Before Submitting the Electronic Thesis/Dissertation

Deadlines
- You are urged to submit the final version of your thesis or dissertation as early as possible during the semester in which you expect to receive your degree.
- Doctoral students must submit their dissertation within three months after a successful defense.
- You must submit your thesis/dissertation by the posted deadline in order to qualify for the degree in that semester.
- Current deadlines are posted online at the Graduate School website (www.grad.stonybrook.edu). Go to Academics - Graduation Information – Important Deadlines.
- NOTE: The submission of your thesis or dissertation to the Stony Brook University ProQuest/UMI ETD Administrator site will be required by 4:00 pm New York EDT on the May, August and December deadline dates.
- If you plan to travel after your submission, please allow appropriate time in your schedule to respond to any corrections to your thesis or dissertation that may be requested.

Service Hours
- Current service hours are posted online at the Graduate School website (www.grad.stonybrook.edu). Go to Academics – Graduation Information – Frequently Asked Questions – Questions About Theses & Dissertations.
- Before submitting the final version, you may bring a "rough draft" to the Graduate School for a format check with the file on your laptop or on a disc. Please note that due to security concerns, we are unable to review files on a jump/flash drive or external hard drive.

Submitting the Electronic Thesis/Dissertation and Supporting Materials

A thesis or dissertation submission is not considered complete until the following items are received by the Graduate School:
- Electronic Thesis or Dissertation submission through the ProQuest/UMI ETD Administrator site
- Supporting Items (further information below):
    - Original Signature Page (in hard copy)
    - Survey of Earned Doctorates (for doctoral students only, done online)

Electronic Thesis/Dissertation
Masters theses/Doctoral dissertations should not be submitted unless they have been successfully defended.

You are required to submit one electronic (digital) copy of the final version of your thesis/dissertation at Stony Brook University's ProQuest/UMI ETD Administrator site (this link is found at the Graduate School's website under Academics – Thesis & Dissertation Guidelines):

http://www.etdadmin.com/grad.sunysb

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Create an Account
- If you are using the site for the first time, click "Submit" next to "Students" in the upper right. On the next page, select "Create an Account" in the New User box.
- If an account has already been created, you would enter the appropriate email address and password and click "Log-In." NOTE: If you are submitting a revision, **do not create a new account.** Use the Revise link in the upper right on the home page.

After Logging In
- Once you have successfully logged in, you will follow the instructions and steps on the submission site.
- If you need help using the ETD Administrator, contact Tech Support which can be found under Support and Training on the main ProQuest/UMI Administrator page.
- There will be a section for you to indicate a Publishing Option, which includes choices of a 6 month, 1 year or 2 year embargo.
    o Information on reasons to select an embargo can be found here: http://www.etdadmin.com/cgi-bin/main/resources
    o The Stony Brook Licensing Agreement Form is part of the online submission process. This is required as your thesis/dissertation will also be sent to the University Library Archives for processing. They will match the embargo you selected on the ProQuest/UMI site.
- Supplemental files (images, video, audio, large charts) that are an integral part of the dissertation or thesis but not part of the full text may be submitted in the Supplemental Files section at the SBU ProQuest/UMI ETD Administrator.
- Permission letters, if needed, would also be submitted in the Supplemental Files section.
- Fees:
    o The fee for your thesis or dissertation depends on what you select for your publishing option, whether you choose copyright, and any personal copies you may order when you submit using the ProQuest/UMI ETD Administrator.
    o You will be able to view a summary page towards the end of the online submission process that will show the items you have chosen, and the fees connected to them.
    o Please note that you will not be able to submit your thesis or dissertation unless payment is made on Stony Brook University's ProQuest/UMI ETD Administrator.
    o All fees are handled and maintained by ProQuest/UMI.

After Submitting on the ProQuest/UMI ETD Administrator Site
- After you officially submit on the site, you will receive an email that the thesis or dissertation was successfully submitted.
- The Graduate School will also receive an email notification that you have submitted your thesis or dissertation.
- Theses and Dissertations are reviewed in the order they are received on the submission site.
- Once the Graduate School is notified that you have submitted, the submission will be 'locked' to avoid any changes to the document during our review process.
- After a thesis/dissertation has been submitted, no revisions may be made to the content of the document. The only changes that are permitted are those related to format as directed by the Graduate School.

- All correspondence (notification of format corrections and acceptance) is handled via e-mail.
- If corrections are requested for your thesis/dissertation, you will receive an e-mail with this information, and your submission will be unlocked to allow you to make the requested corrections. Be sure to use the "Revise" link in the upper right on the home page to submit a revised document.
- Once your thesis/dissertation is accepted by the Graduate School, you will not be permitted to make any changes to the document, regardless of its nature.

Supporting Items (Required)
In addition to the electronic thesis or dissertation you are required to submit, you will also need to submit the items below. These items should be submitted as soon as possible after your thesis or dissertation has been approved by your committee. Failure to turn in these required items may result in a delay in your graduation.

Original Signature Page
- Please note that the Original Signature page is not submitted via the online site. The Original version (the one your committee actually signs) needs to be submitted as a hard copy to the Graduate School.
- It is important that the Graduate School receives the Original Signature page prior to the thesis/dissertation deadline, as this is the main indicator that your thesis or dissertation has been approved by your committee.
- If your program is in possession of the Original Signature page, they must submit this page to the Graduate School **by the posted thesis/dissertation deadline**. Exceptions to this will not be not granted.
- ***Note on Mailing of Original Signature page***: If you will be mailing the Original Signature Page (the address is here: https://grad.stonybrook.edu/contact/), be sure to use a courier that can track your package. If it is close to the submission deadline, be sure to use a courier such as FedEx or DHL, etc., as those couriers will deliver directly to the Graduate School. Items mailed using the US Postal Service (USPS) are not delivered directly to the Graduate School – they are delivered to the University's Central Receiving Office first – which can cause the package to arrive at the Graduate School after the intended date of receipt.

Survey of Earned Doctorates (for doctoral students only)
- Doctoral students are required to fill out the National Research Council's Survey of Earned Doctorates. This is done online here: https://sed.norc.org/survey .
- The Graduate School will be able to view which students have submitted this via an online interface.
- Students do not need to provide any hard copies of this survey to the Graduate School.

After Submitting the Electronic Thesis/Dissertation

After your thesis or dissertation has been submitted to the Graduate School you may not withdraw it from the university.

Distribution of Document
- Once your thesis/dissertation is accepted by the Graduate School, you will not be permitted to make any changes to the manuscript, regardless of its nature.
- Once your thesis or dissertation is officially delivered to ProQuest/UMI, a copy of the file will also be sent electronically to University Archives for deposit in the University Library system.
- If you chose an embargo for your thesis or dissertation, ProQuest/UMI and University Archives will not release the document until that time period is complete.

Personal Copies
There are no personal copies of the manuscript bound for you by the Graduate School.

If you wish to have additional copies bound, you have the option of buying personal copies during your submission on the ProQuest/UMI ETD Administrator. Please note that ProQuest adds a page to your document and prints double-sided when they produce bound copies; however, you should NOT add any blank pages to your document as a result.

Other options include C&H Bookbinding (www.chbook.com) and Bridgeport National Bindery, Inc. (www.bnbindery.com).

APPENDIX A – GRADUATE PROGRAM LIST

OFFICIAL DEGREES, DEGREE PROGRAMS, AND CONCENTRATIONS REFERENCE LIST

For assured accuracy in fulfilling certain guidelines before submitting your thesis/dissertation to the Graduate School, read the following explanations carefully, noting the given examples, and refer to this reference list when necessary.

Degree refers to the actual degree of scholastic accomplishment you are receiving, as approved by Albany and the State Education Department. For example:

Master of Fine Arts
Master of Arts
Master of Science
Doctor of Philosophy

Degree Program refers to your inclusive program of study that has been approved and registered with central administration of the State University of New York and the State Education Department. For example:

Studio Art
Anthropology
Mechanical Engineering
Political Science

Concentration refers to the curriculum within your graduate study or degree program, organized to focus on an area of specialization. Concentrations are officially approved by the Graduate School. For example:

Physical Anthropology
Manufacturing
American Politics

The chart on the following pages lists the Department Names, Department Codes, Degree Types and Official Degree Programs/Concentrations. You will be using the fourth column to determine your program (and concentration, if applicable) for indication on your thesis/dissertation.

Department Name	Code	Type	Official Degree Program on Thesis/Dissertation
			Concentrations
Art	ARH	MA	Art History and Criticism
	ARH	PHD	Art History and Criticism
	ARS	MFA	Studio Art
Anatomical Sciences	BHS	MS	Basic Health Sciences
	HBA	PHD	Anatomical Sciences
Anthropology	ANT	MA	Anthropology
			Archaeology
			Physical Anthropology
			Socio-Cultural Anthropology
Anthropological Sciences	DPA	PHD	Anthropology
			Archaeology
			Cultural Anthropology
			Physical Anthropology
Applied Mathematics and Statistics	AMS	PHD	Applied Mathematics and Statistics
			Computational Applied Mathematics
			Operations Research
			Statistics
Biochemistry and Cell Biology	BCB	MS	Biochemistry and Cell Biology
Biochemistry and Structural Biology	BIO	MA	Biological Sciences
	BSB	PHD	Biochemistry and Structural Biology
Biomedical Engineering	BME	MS	Biomedical Engineering
	BME	PHD	Biomedical Engineering
Chemistry	CHE	MS	Chemistry
	CHE	PHD	Chemistry
			Chemical Biology
			Chemical Physics
Comparative Literature	CLT	PHD	Comparative Literature
	CST	PHD	Comparative Literary and Cultural Studies*
			**(for those who matriculate beginning F07)*
Computer Science	CSE	MS	Computer Science
	CSE	PHD	Computer Science
Creative Writing and Literature	CWL	MFA	Creative Writing and Literature
Ecology and Evolution	BIO	MA	Biological Sciences
			Applied Ecology
	BEE	PHD	Ecology and Evolution
Economics	ECO	PHD	Economics

Department Name	Code	Type	Official Degree Program on Thesis/Dissertation
			Concentrations
Electrical and Computer Engineering	ESE	MS	Electrical Engineering
	ESE	PHD	Electrical Engineering
	ECE	MS	Computer Engineering
	ECE	PHD	Computer Engineering
English	EGL	MA	English
	EGL	PHD	English
European Languages, Literatures & Cultures	RLF	MA	Romance Languages and Literature (French)
	RLI	MA	Romance Languages and Literature (Italian)
Genetics	BIO	MA	Biological Sciences
	BGE	PHD	Genetics
Geosciences	GEO	MS	Geosciences
	GEO	PHD	Geosciences
Hispanic Languages and Literature	SPN	MA	Hispanic Languages and Literature
	SPN	PHD	Hispanic Languages and Literature
History	HIS	PHD	History
Linguistics	LIN	PHD	Linguistics
Marine Sciences	MAS	MS	Marine and Atmospheric Science
	MAS	PHD	Marine and Atmospheric Science
Materials Science and Engineering	ESM	MS	Materials Science and Engineering
	ESM	PHD	Materials Science and Engineering
Mathematics	MAT	PHD	Mathematics
Mechanical Engineering	MEC	MS	Mechanical Engineering
			Manufacturing
	MEC	PHD	Mechanical Engineering
			Mechanical Design
			Solid Mechanics
			Thermal Sciences and Fluid Mechanics
Molecular and Cellular Biology	BIO	MA	Biological Sciences
	MCB	PHD	Molecular and Cellular Biology
			Biochemistry and Molecular Biology
			Cellular and Developmental Biology
			Immunology and Pathology
Molecular and Cellular Pharmacology	BHS	MS	Basic Health Sciences
	HBH	PHD	Molecular and Cellular Pharmacology

Department Name	Code	Type	Official Degree Program on Thesis/Dissertation Concentrations
Molecular Genetics and Microbiology	BHS	MS	Basic Health Sciences
	HBM	PHD	Molecular Genetics and Microbiology
Music	MUA	PHD	Music
			Composition
			Music History
			Music Theory
Neuroscience	BIO	MA	Biological Sciences
	NEU	PHD	Neuroscience
Nursing	NUR	PHD	Nursing
Oral Biology and Pathology	BHS	MS	Basic Health Sciences
	HDO	PHD	Oral Biology and Pathology
Philosophy	PHI	MA	Philosophy
	PHI	PHD	Philosophy
Physics and Astronomy	PHY	MA	Physics
	PHY	MS	Physics
			Scientific Instrumentation
	PHY	PHD	Physics
			Biophysics
			Chemical Physics
Physiology and Biophysics	BHS	MS	Basic Health Sciences
	HBY	PHD	Physiology and Biophysics
Political Science	POL	PHD	Political Science
			American Politics
			Political Economy and Public Policy
			Political Psychology/Behavior
Population Health & Clinical Outcomes Research	HPD	PHD	Population Health & Clinical Outcomes Research
Psychology	BIP	PHD	Biopsychology
	CLP	PHD	Clinical Psychology
	EXP	PHD	Experimental Psychology
	SCP	PHD	Social/Health Psychology
Science Education	CSM	PHD	Science Education
Social Welfare	HWD	PHD	Social Welfare
Sociology	SOC	PHD	Sociology
Technology and Society	EST	PHD	Technology, Policy and Innovation
Theatre Arts	THR	MA	Theatre Arts

	DRM	MFA	Dramaturgy

This checklist is not meant to replace the main Guidelines, but is meant to be a companion to them. You should still refer to the main guidelines as you format and assemble your thesis/dissertation.

Checklist I - Requirements Prior to the Thesis/Dissertation Process

Procedures and Requirements:
- ❑ You have been advanced to candidacy (G5 status) for at least one year (doctoral students only).
- ❑ You are registered for at least one graduate credit if you are a Spring or Fall candidate, or for a zero credit graduate course if you are a Summer candidate.
- ❑ Your thesis/dissertation will be read/defended prior to the submission deadline in the semester you intend to graduate.
- ❑ Your Doctoral Defense Announcement has been posted to the Graduate School website at least three weeks before your defense (doctoral students only).
- ❑ You have applied for graduation within the posted deadlines.
- ❑ You have paid any outstanding university fees and returned all library books.

Checklist II - Specifications of the Thesis/Dissertation

General Format
File Format:
- ❑ Adobe PDF format used
- ❑ Appropriate formats used for linked and embedded files
- ❑ File not password protected

Fonts:
- ❑ Fonts are no smaller than 15 characters per inch (12 point font)
- ❑ Fonts are embedded
- ❑ Fonts are consistent throughout the document

Margins:
- ❑ Margins are 1" on all sides (1 ½" all around also acceptable)

Spacing and Indentation:
- ❑ Main body single or double-spaced (single spacing preferred); 1 ½" spacing also acceptable
- ❑ First line of each paragraph indented 5 spaces (standard tab indent)
- ❑ First line of text after major division should be 6 single spaces below previous text or on new page

Pagination:
- ❑ **Preliminary** pages in lower-case Roman numerals, at bottom center of page
- ❑ **Main** body pages in Arabic numerals centered at top or bottom of page

Quotations:
- ❑ Prose of six or fewer lines is included as regular running lines of text
- ❑ Prose of more than six lines is set apart from the text, and appropriate format followed
- ❑ Poetry of one or fewer lines is included as regular running lines of text
- ❑ Poetry of more than one line is set apart from the text, and appropriate format followed

Hyphenations:
- ❑ Appropriate format followed

Supplemental Files*:*
- ❑ Any supplemental items to be uploaded at the ProQuest/UMI ETD Administrator

Organization of the Pages and Sections
Title Page: *unnumbered*
- ❑ Used the term Thesis if you are a master's candidate, and Dissertation if you are a   doctoral candidate
- ❑ Used correct name of degree
- ❑ Used correct name of degree program

❑   Used correct name of graduate study and/or concentration
❑   **Date***:* the **month** (May/August/December) and **year** in which the diploma is awarded

Copyright Page (optional): *unnumbered*
❑   Appropriate format followed

Signature Pages: *Page ii*
❑   Used full legal name – centered (do not sign your name on original)
❑   Used correct name of degree
❑   Page ii of preliminary pages
❑   Signature lines have full identification of members for original signature page
❑   Signature page in PDF does not contain any lines
❑   First member listed - thesis/dissertation advisor, Second member listed - Chairperson of defense
❑   Last member listed - outside member
❑   Dean's name is listed at the bottom
❑   Signatures in **permanent ink** for original signature page
❑   White, unpunched 8 ½ x 11 paper used for original signature page

Abstract Page: *Page iii*
❑   Used the term Thesis if you are a master's candidate, and Dissertation if you are a   doctoral candidate
❑   Used full title
❑   Used full legal name
❑   Used correct name of degree
❑   Used correct name of degree program
❑   Used correct name of graduate study and /or concentration
❑   Date – only the year the degree is awarded
❑   Begins on page iii of preliminary pages
❑   Short statement included

Dedication Page (optional)
❑   Appropriate format followed

Frontispiece (optional)
❑   Appropriate format followed

Table of Contents
❑   Contains all main divisions and subdivisions of the manuscript
❑   References and any Appendices listed

List of Figures/Tables/Illustrations
❑   Appropriate format followed

List of Abbreviations
❑   Appropriate format followed

Preface (optional)
❑   Appropriate format followed

Acknowledgments (optional)
❑   Appropriate format followed

Vita, Publications, and Fields of Study (optional)
❑   Appropriate format followed

Main Body of Text:
❑   Begins with Arabic numbering of page 1
❑   The main body of the document consists of well-defined divisions

Endnotes, Footnotes:
❑   Appropriate format followed

Bibliography/References
❑   Prepared according to the standard form of citation in your field

Index (optional)
❑ Appropriate format followed
Appendix(ces) (optional)
❑ May be single or double spaced

Inclusion of Other Published Media
Captions:
❑ Appropriate format followed
Figures and Tables:
❑ Appropriate format followed
❑ All figures are captioned
❑ Figures are within regulation margins
Permission to Use Copyrighted Material
❑ Permission received from author(s) of materials from which you quote extensively, or if other media is reproduced
❑ Permission letter: uploaded in Supplemental Files section on ProQuest/UMI ETD Administrator site

Checklist III - Assembly and Submission of the Thesis/Dissertation

Assembly of the Thesis/Dissertation
File Format:
❑ Adobe PDF format used
❑ Appropriate formats used for linked and embedded files
❑ File not password protected
File Naming:
❑ Did not use a period in file name

Supporting Items
Original Signature Page:
❑ Appropriate formats followed for original version
❑ All signatures are in permanent ink on original signature page
Doctoral Survey
❑ National Research Council's Survey of Earned Doctorates completed online

Submission of the Thesis/Dissertation
Deadlines/Service Hours:
❑ Check the Graduate School's website for deadlines and service hours, and link to submission site

Frequently Asked Questions

- If I submit my thesis/dissertation, does my student status become inactive?
  - No. The submission of your thesis/dissertation does not change your student status in the system, nor does it change your status concerning housing, support, or student visa. Your status remains active until final clearance of the degree is done by the Graduate School, which occurs after the semester is completed.
- When will I be notified about my status after I submit my thesis or dissertation?
  - Once the Graduate School is notified that you have submitted, the thesis/dissertation will be 'locked' to avoid any changes to the document during our review process.
  - Thesis/Dissertation review begins after the end of the semester. Please allow 4-6 weeks after the degree date for review.
  - Please be aware that when it is close to the submission deadline, your wait to see someone during service hours may be longer than earlier in the semester. We strongly encourage students to defend and submit their thesis or dissertation as early as possible during their final semester.
- How is the Dean's signature obtained for my original signature page?
  - The Graduate School obtains the Dean's signature after you submit your thesis/dissertation. Students do not need to obtain it before they submit.
- If I want to reproduce a journal article, do I need permission?
  - Yes. You will need permission in writing from all co-authors of a journal article that you wish to reproduce in your thesis/dissertation. Please use the template for permission letters that is on the Guidelines website.
- I am using a program other than Word to create my PDF (such as LaTeX) – how can I make sure it is done right?
  - Help on converting different formats to PDF can be found here: http://www.etdadmin.com/cgi-bin/main/support - Select Creating PDFs in the Support Tools box on the right.
- I am having trouble getting page numbers off of pages that are not numbered and starting my Signature page with page ii. How do I do this?
  - Help on this can be found here – Page Numbering Tips: https://grad.stonybrook.edu/academics/thesis_dissertation_guidelines.php
- How do I change page number styles (Roman numerals to Arabic) in different sections of my document?
  - Help on this can be found here – Page Numbering Tips: https://grad.stonybrook.edu/academics/thesis_dissertation_guidelines.php
- How do I add a portrait page number to a landscape page in Word?
  - Help on this can be found at: http://www.etdadmin.com/cgi-bin/main/faq
- How do I know if my fonts are embedded?
  - Help on embedding fonts can be found here: http://www.etdadmin.com/cgi-bin/main/support Select Creating PDFs in the Support Tools box on the right.
- Do you bind extra copies if I want one for personal use or for my advisor?
  - No. Please see the section Submission of the Thesis/Dissertation – After Submitting the Thesis/Dissertation – Personal Copies for more information.
- When are the theses/dissertations processed?
  - The Graduate School processes them approximately 1-2 months after the degree date for which they were submitted.
- When do I receive my diploma?
  - On the Graduate School website, go to Academics - Graduation Information – Frequently Asked Questions – Questions About Awarding the Degrees.