

## **Introduction**

The criteria set forth in this guide have been established and must be followed in order that each disc 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- 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 - Sample pages of a thesis/dissertation - please follow these examples correctly.
- Appendix B - Graduate Program List - contains the appropriate program names as approved by the State Education Department.
- Appendix C – Checklists – a companion to the Guidelines.
- Appendix D – FAQs – Lists Frequently Asked Questions that are made relating to thesis/dissertation preparation and submission.

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

Graduate\_School\_Graduation@notes.cc.sunysb.edu

The Graduate School  
April 2008

# Table of Contents

## 1. Preparation and Format of the Electronic Thesis/Dissertation

<b>General Format</b>	<b>4</b>
Overall Appearance	4
File Format for Main Text	4
File Formats that are Linked and Embedded	4
Fonts	5
Margins	5
Spacing and Indentations	5
Pagination	5
Quotations	6
Hyphenation	6
<b>Organization of Pages and Sections</b>	<b>7</b>
Title Page	7
Copyright Page	7
Signature Page	7
Abstract Page(s)	9
Dedication Page	9
Frontispiece	9
Table of Contents	9
List of Figures/Tables/Illustrations	9
Preface	9
Acknowledgments	9
Vita, Publications, Fields of Study	9
Text	9
Footnotes/Endnotes/Paranetical Notations	10
Bibliography	10
Reference Material	11
Index	11
Appendix	11
<b>Inclusion of Other Published Media</b>	<b>11</b>
Captions	11
Figures and Tables	11
Graphs	12
Maps	12
Published Material	12
Units	12
<b>Permission to Use Copyrighted Material</b>	<b>12</b>
<b>Microfilming and Copyrighting</b>	<b>13</b>
Microfilming	13
Microfilm Agreement	14
Copyrighting the Doctoral Dissertation	14
Copyrighting the Master's Thesis	14

## 2. Assembly of the Electronic Thesis/Dissertation

<b>Media Format</b>	<b>15</b>
<b>File Naming Conventions</b>	<b>15</b>
<b>Media Label</b>	<b>15</b>
<b>Signature Page</b>	<b>16</b>
<b>Exit Packet</b>	<b>16</b>
Masters Theses	16
Doctoral Dissertations	16

## **Table of Contents**

---

### **3. Submission of the Electronic Thesis/Dissertation**

<b>Before Submitting the Electronic Thesis/Dissertation</b> _____	<b>17</b>
<i>Deadlines</i> _____	17
<i>Submission Hours</i> _____	17
<b>Submitting the Electronic Thesis/Dissertation</b> _____	<b>17</b>
<i>Thesis/Dissertation Document</i> _____	17
<i>Fees</i> _____	17
<i>Exit Packet</i> _____	18
<b>After Submitting the Electronic Thesis/Dissertation</b> _____	<b>19</b>
<i>Distribution of Document</i> _____	19
<i>Personal Copies</i> _____	19

### **Appendices**

A. <i>Sample Pages</i> _____	20
B. <i>Graduate Program List</i> _____	26
C. <i>Checklists</i> _____	30
D. <i>FAQs</i> _____	35

# 1) Preparation and Format of the Electronic Thesis/Dissertation

## 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.

#### 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 6.0 is available in all SINC sites at Stony Brook University.

##### **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.

- Application Formats: 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)
- Audio Formats: 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)
- Authoring Formats: 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)

## **1) Preparation and Format of the Electronic Thesis/Dissertation**

- **Text Formats:** ASCII (.txt); HTML (.htm, .html); PDF (.pdf); RTF (.rtf); Text (.txt, .asc); XML (.xml)
- **Video Formats:** Encapsulated Postscript (.eps); MPEG (.mpg); QuickTime – Apple (.qt, .mov)

### **Font**

- Any standard font may be used, including proportionally-spaced fonts, provided that they are no 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.
  - Some standard fonts are Ariel, Courier, Helvetica, Palatino, and Times New Roman. If you are unsure whether your font is acceptable, please have it checked by the Graduate School.
- 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**

- The left margin must measure 1½ inches. All other margins must measure 1 inch. 1½ inches for all margins is also acceptable. The pages are trimmed at the bindery, 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.
- Numbering for main body of text :
  - Arabic numerals begin with 1 on the first page of the first chapter.

## **1) Preparation and Format of the Electronic Thesis/Dissertation**

- Every page in the main body must be consecutively numbered in Arabic numerals at the upper or bottom right corner or 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.

# 1) Preparation and Format of the Electronic Thesis/Dissertation

## Organization of Pages and Sections

The thesis or dissertation consists of three parts:

- Preliminary pages
- Main body of text
- Reference material

The internal arrangement of the text and reference material, which also includes 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, and unless otherwise indicated are numbered in lower-case Roman numerals **centered at the bottom** of the page within the margin limit. 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 and counted.*** See Appendix A for sample page.

- 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 B: *Official Reference List*.
  - If you wish, concentrations within programs may be indicated in parentheses under the name of the program.
- 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 (optional – doctoral students only): *unnumbered and not counted.*** See Appendix A for sample page. See *Microfilming and Copyrighting – Copyrighting the Doctoral Dissertation* for further information.

**Thesis/Dissertation Signature Page: page *ii* of your document and **counted.**** See Appendix A for sample page. Students will need to prepare two versions of their signatures – one that is an original that is signed by the committee, and one that will be in your electronic thesis/dissertation document as page ii.

### Format for Original:

- 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.

## 1) Preparation and Format of the Electronic Thesis/Dissertation

- Do not sign your name.
- Use the term Thesis if it is an MA/MFA/MS thesis.
- Use the term Dissertation if it is a PhD or DA dissertation.
- Type out the degree name in full (do not use abbreviations of degrees).
- 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.
  - 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 Electronic Theses/Dissertations

This is the format of the signature page that is page ii of your thesis/dissertation:

- 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/MS thesis.
  - Use the term Dissertation if it is a PhD or DA dissertation.
- Type out the degree name in full (do not use abbreviations of degrees).
- 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.
- At the bottom, type the Dean's name and indicate Dean of the Graduate School under his name:

Lawrence Martin  
Dean of the Graduate School

## **1) Preparation and Format of the Electronic Thesis/Dissertation**

**Abstract Page(s):** *page iii + of your document and counted.* See Appendix A for sample page.

- 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 dissertation abstracts **must** be written in English regardless of the language of the dissertation, though a second abstract in the language of the dissertation is allowed.

**Dedication Page (optional):** *unnumbered and counted.*

**Frontispiece (optional):** *unnumbered and not counted.*

**Table of Contents:** *numbered and counted.* See Appendix A for sample page. 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.

**List of Figures/Tables/Illustrations:** *numbered and counted.* See Appendix A for sample page.

- If you have a list of figures, tables, illustrations, etc., each list must appear separately.
- Use the same format as for the Table of Contents.

**Preface (optional):** *unnumbered and counted.*

- 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):** *unnumbered and counted.*

**Vita, Publications, and Fields of Study (optional – doctoral students only):** *numbered and counted.*

**Text:**

- Begin Arabic numbering starting with page **1** on the first page of the first chapter.

## **1) Preparation and Format of the Electronic Thesis/Dissertation**

- 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.

### **Bibliography: *numbered and counted.***

- Prepare your bibliography 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.
- A bibliography may list publications that have been cited in the text.
- A bibliography 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.
- You are urged to check your bibliography very carefully to avoid complaints from librarians and scholars about inaccurate or poorly organized entries.

## **1) Preparation and Format of the Electronic Thesis/Dissertation**

### **Reference Material: *numbered and counted.***

- If appropriate, a glossary or a list of abbreviations devised specifically for use in the thesis/dissertation should be included.
- “List of References,” or some similar phrase, should be used to head a list of publications that have been cited in the text.
- Prepare your reference material using the form of citation that is standard in your field or the form prescribed in any standard manual of style.
- Reference material may be included after each chapter of the text or at the end of the manuscript. Whichever form is used, make sure it is consistent throughout the manuscript.

### **Index (optional): *numbered and counted.***

### **Appendix (optional): *numbered and counted.***

- 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.

## **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.
- Allow for the regulation margin of 1½ inch left hand margin, and 1 inch margin for all others. 1½ inches for all margins is also acceptable.
- 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. See *Appendix A for sample page.*
- If you reproduce figures or tables that have been copyrighted, see *Permission to Use Copyrighted Material* for more information.

## **1) Preparation and Format of the Electronic Thesis/Dissertation**

### **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*).

### **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, ProQuest/UMI requires that you subscribe to the following statement, which appears on the agreement form:

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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.

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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

## **1) Preparation and Format of the Electronic Thesis/Dissertation**

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 granted for their use and 2) the source(s) of the permission.
- 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."
- It is your responsibility to resolve any copyright problems arising from the use of published material.
- 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.

### **Microfilming and Copyrighting**

#### **Microfilming**

- The Graduate School will send a copy of the document of all doctoral dissertations to ProQuest/UMI in Ann Arbor, Michigan, where they will be microfilmed, and the abstract published in *Dissertation Abstracts International*.

## **1) Preparation and Format of the Electronic Thesis/Dissertation**

- A master microfilm of each dissertation is assigned a publication number and then kept on deposit. You will be issued your publication number directly from ProQuest/UMI approximately six to eight months after you file your dissertation. This number is used to order your microfilm copies.
- Master's theses are **not** microfilmed.

### **Microfilm Agreement**

When you file your dissertation you will be required to sign an agreement form with ProQuest/UMI, at which time you may take the option to copyright your dissertation. This form is part of the doctoral Exit Packet, which are forms available from the Graduate School (see also *Assembly of the Thesis/Dissertation – Exit Packet*).

### **Copyrighting the Doctoral Dissertation**

Since your doctoral 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 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 dissertation is copyrighted, you retain the right to publish all or any part of your 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 doctoral dissertations. You may, however, take the option to copyright your dissertation by completing the copyright section on the Microfilm Agreement Form.
- If you decide to copyright, ProQuest/UMI will obtain a copyright for your dissertation in your name.
- The certificate of registration will be mailed to you approximately five months after University Microfilms receives your dissertation.

A copyright page should be placed in your dissertation following the title page. See *Appendix A for sample page*.

### **Copyrighting the Master's Thesis**

Copyrighting your master's thesis is optional, and you may copyright your manuscript independently by contacting:

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Copyright Office  
Library of Congress  
Washington, DC 20559  
General Information: (202) 707-3000  
For Copyright Forms: (202) 707-9100

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If you decide to copyright your manuscript, a copyright page should be placed in your thesis following the title page. See *Appendix A for sample page*.

## 2) Assembly of the Electronic Thesis/Dissertation

### **ASSEMBLY OF THE THESIS/DISSERTATION**

#### **Media Format**

You must use one of the following formats:

- 4.75 inch (standard sized), CD-R, CD+R, 700MB/80 Minute, 52X Multi Speed
- DVD-R, DVD+R, 4.7GB/120 Minute, 8X+Speed

Please refrain from using RW discs to prevent unintentional copying or erasure.

Note: If needed, students submitting performed music or other audio additions may submit a separate disc with only the performance or recording contained on it. See the section *Media Label* below for proper labeling.

#### **File Naming Conventions**

Your PDF file should utilize your SOLAR ID number as the file name (example: 111222333.pdf). The following conventions should be followed:

Masters Theses – only one file on the disc is needed:

- SBU version: 111222333.sbu.pdf

Doctoral Dissertations – three files on the disc are needed:

- SBU version (this is the entire dissertation): 111222333.sbu.pdf
- ProQuest/UMI version (for microfilming) (this is the entire dissertation): 111222333.pro.pdf
- Note: the .sbu and .pro files are the same file, but just have different file names.
- Title and Abstract Page for ProQuest/UMI: 111222333.abs.pdf – This file should only contain your title page and abstract, with your advisor's name typed under the year on the abstract. The page numbering and placement needs to be the same as the main document - no page number on the title page, with the abstract starting with page iii on the bottom center.

#### **Media Label**

Disc:

The following information should be written clearly directly on the disc surface, or printed on a label that is placed on the disc surface:

- Student Name
- Student ID Number
- Degree Date – (May, August or December + year) (note: this date is the date your degree is awarded, not the date of your defense)

Jewel Case:

The jewel case should have the following information written clearly or typed on the label:

- Student Name
- Student ID Number

## **2) Assembly of the Electronic Thesis/Dissertation**

- Title of Work
- Degree Date – (May, August or December + year) (note: this date is the date your degree is awarded, not the date of your defense)

### **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.
- Do **not** submit the original signature page to the Graduate School separate from the manuscript before submitting your thesis/dissertation.

### **Exit Packets**

#### **Masters Theses**

The Masters Thesis Exit Packet contains two forms that are required for your thesis submission:

- Contact Information Sheet
- Stony Brook University Licensing Agreement Form

#### **Doctoral Dissertations**

The Doctoral Dissertation Exit Packet contains four forms that are required for your dissertation submission:

- Contact Information Sheet
- Stony Brook University Licensing Form
- National Research Council's Survey of Earned Doctorates
- ProQuest/UMI Microfilm Agreement Form

These are available at the Graduate School website under Thesis/Dissertation Guidelines and Forms. Download them, and submit them at the time you submit your thesis/dissertation. For more information, see *Submission – Forms*.

### **3) Submission of the Electronic Thesis/Dissertation**

## **SUBMISSION OF THE ELECTRONIC THESIS/DISSERTATION**

### **Before Submitting the Electronic Thesis/Dissertation**

#### **Deadlines**

- You are urged to submit the final version of your thesis/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.sunysb.edu](http://www.grad.sunysb.edu)). Go to Graduation Information – Information and FAQs – Summary of Deadlines.

#### **Submission Hours**

- Current submission hours are posted online at the Graduate School website ([www.grad.sunysb.edu](http://www.grad.sunysb.edu)). Go to Graduation Information – Information and FAQs – Thesis/Dissertation Information.
- Before submitting the final version, you may bring a “rough draft” of your document to the Graduate School for review to determine whether it meets the requirements outlined in these guidelines.

### **Submitting the Electronic Thesis/Dissertation**

When you submit, your document will be reviewed by the Graduate School to determine whether it meets the requirements outlined in these guidelines. The following are items that are needed when you submit:

#### **Electronic Thesis/Dissertation Document**

The disc that your file(s) are on using:

- The correct file format used (PDF)
- Acceptable linked and embedded file formats
- Correct file naming conventions
- Correct labeling of disc and jewel case

#### **Fees**

Masters Theses - \$20

#### Doctoral Dissertations

- \$85
- With copyright, no open access - \$150
- With open access, no copyright - \$180
- With copyright and open access - \$245

### **3) Submission of the Electronic Thesis/Dissertation**

#### **Breakdown of Fees**

##### Fees for Masters Theses

- Processing and Handling - \$20.00

##### Fees for Doctoral Dissertations

- Microfilming - \$65.00 – this fee includes the publication of your abstract in *Dissertation Abstracts International*,
- Copyright fee (optional) - \$65.00 – this fee includes the registration fee imposed by the copyright office in Washington, D.C., and the cost of two positive microfilm copies deposited in the Library of Congress.
- Open Access Publication fee - \$95.00 – please see the ProQuest/UMI Microfilm form for more information on this publishing option.
- Processing and Handling - \$20.00

#### **Payment of Fees**

Effective November 1, 2007, students will no longer pay their dissertation fee at the Graduate School. When you submit your dissertation to the Graduate School, you will be given a sheet that indicates the fee that will be billed to your account within 1-2 weeks after your submission date. You should pay the fee through your SOLAR account once it is billed to you.

#### **Exit Packets**

##### Masters Thesis Exit Packet

These two required forms are available online at the Graduate School website. It includes:

- Contact Information Sheet
- Stony Brook University Licensing Agreement Form

##### Doctoral Dissertation Exit Packet

These four required forms are available online at the Graduate School website. It includes:

- Contact Information sheet
- Stony Brook University Licensing Form
- National Research Council's Survey of Earned Doctorates
- ProQuest/UMI Microfilm Agreement Form
- Doctoral students – make sure you included a file on your disc that only has your title page and abstract. On the abstract, type your advisor's name under the year. Be sure to use the proper file naming convention for this file.

### **3) Submission of the Electronic Thesis/Dissertation**

#### **After Submitting the Electronic Thesis/Dissertation**

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

#### **Distribution of Document**

- The file named sbu.pdf will be sent electronically to University Archives for deposit in the University Library system.
- Microfilm file (doctoral students only) – this is sent to ProQuest/UMI for processing.

#### **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 for your advisor, committee members, or for yourself, you must arrange for the binding on your own. Below are several options that are available to you:

- C&H Bookbinding
  - This Long Island company offers a student discount, and works by appointment only, M-Sat. Turnaround time is usually 5-10 days.
  - For more information, visit [www.chbook.com](http://www.chbook.com)
  - You must provide the copies to be bound.
- Bridgeport National Bindery, Inc.
  - For more information, visit [www.bnbindery.com](http://www.bnbindery.com), or contact Mr. Noyes at (800) 223-5083.
  - You must provide the copies to be bound.
- Another option for doctoral students is to order copies through ProQuest/UMI. There is an “Author Discount Offer” form that you can fill out, and payment for this is separate from the fee you submit to the Graduate School, and must be submitted with the Exit Packet of forms. You do not have to provide any document to ProQuest/UMI if you choose to order personal copies through them, but keep in mind that this may take longer than using an outside bindery with which you deal with directly.

**APPENDIX A – SAMPLE PAGES**

**TITLE PAGE – SAMPLE FORMAT**

*(NOTE: the border indicates the page on this sample; do NOT place this border on your title page)*

**[Title of Thesis or Dissertation]**  
A [Thesis/Dissertation] Presented  
by  
**[Your Full Name]**  
to  
The Graduate School  
in Partial Fulfillment of the  
Requirements  
for the Degree of  
**[Full Name of Degree]\***  
in  
**[Full Name of Degree Program]\***  
**[(Concentration) optional]\***  
Stony Brook University  
**[Month and Year Diploma Awarded]**

\* See Appendix B for the Official Reference List.

**COPYRIGHT PAGE – SAMPLE FORMAT**

*(NOTE: the border indicates the page on this sample; do NOT place this border on your copyright page)*

Copyright by  
**[Your Full Name]**  
**[The Year of Your Degree]**

**ORIGINAL SIGNATURE PAGE – SAMPLE FORMAT**

*(NOTE: the border indicates the page on this sample; do NOT place this border on your signature page)*

**Stony Brook University**

The Graduate School

\_\_\_\_\_  
**[Type your full name on this line – do NOT sign your name]**

We, the [thesis/dissertation] committee for the above candidate for the  
[full name of degree] degree, hereby recommend  
acceptance of this [thesis/dissertation].

\_\_\_\_\_  
**[[Name] – [Thesis/Dissertation] Advisor  
[Include title and department]**

\_\_\_\_\_  
**Name] - Chairperson of Defense  
[Include title and department]**

**[Type the number of lines you need for the remaining committee  
members. Type member's name, title and department under each  
line.]**

\_\_\_\_\_  
**[Last line reserved for outside member. Include discipline and  
affiliation under the name.]**

This [thesis/dissertation] is accepted by the Graduate School

\_\_\_\_\_  
Lawrence Martin  
Dean of the Graduate School

**SIGNATURE PAGE FOR INCLUSION IN ELECTRONIC DOCUMENT –  
SAMPLE FORMAT**

*(NOTE: the border indicates the page on this sample; do NOT place this border on your signature page)*

**Stony Brook University**

The Graduate School

**[Type your full name here]**

We, the [thesis/dissertation] committee for the above candidate for the  
[full name of degree] degree, hereby recommend  
acceptance of this [thesis/dissertation].

**[Name] – [Thesis/Dissertation] Advisor  
[Include title and department]**

**[Name] - Chairperson of Defense  
[Include title and department]**

**[Type the remaining committee member names along with their title  
and department under the name.]**

**[Type the outside member's name last. Include discipline and  
affiliation.]**

This [thesis/dissertation] is accepted by the Graduate School

Lawrence Martin  
Dean of the Graduate School

**ABSTRACT PAGE – SAMPLE FORMAT**

*(NOTE: the border indicates the page on this sample; do NOT place this border on your abstract page)*

<p>Abstract of the [Thesis/Dissertation]</p> <p><b>[Title of Thesis or Dissertation]</b></p> <p>by</p> <p><b>[Your Full Name]</b></p> <p><b>[Full Name of Degree]*</b></p> <p>in</p> <p><b>[Full Name of Degree Program]*</b></p> <p><b>[(Concentration) optional]*</b></p> <p>Stony Brook University</p> <p><b>[Year]</b></p> <p>[Begin typing abstract here.]</p> <p>iii</p>
--

\* See Appendix B for the Official Reference List.

**TABLE OF CONTENTS PAGE – SAMPLE FORMAT**

(NOTE: the border indicates the page on this sample; do NOT place this border on your table of contents page)

Table of Contents

List of Symbols.....	vi
List of Figures.....	vii
List of Tables.....	viii
Preface ( <i>optional</i> ).....	ix
Acknowledgments ( <i>optional</i> ).....	x
Vita, Publications and Field of Study ( <i>optional</i> ).....	xi
Introduction.....	1
I.    Theory.....	4
Mean Field Equation.....	4
Effect of Fluctuations.....	12
II.   Apparatus.....	25
Temperature Regulations.....	31
III.  Flux Detector.....	43
Theory of Operation.....	56
IV.  Experiment.....	73
Sample Construction.....	88
Fluctuation Measurements.....	102
V.   Conclusion.....	122
References.....	124
Appendix 1.....	128

**APPENDIX B – 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 Arts*  
*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*  
*Foreign Language Instruction*  
*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*  
*Italian*  
*American Politics*

The chart on the following pages lists the Department Names, Department Codes, Degree Types, Official Degree Programs/Concentrations, and Divisions. You will be using the fourth column to indicate your program (and concentration, if applicable) on your thesis/dissertation. You can also see what division your program is in, so that you can determine how many copies you need to submit.

## Appendix B – Official Reference List

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

## Appendix B – Official Reference List

Department Name	Code	Type	Official Degree Program on Thesis/Disst. <i>Concentrations</i>	Division
European Languages, Literatures & Cultures	RLF	MA	Romance Languages and Literature (French)	Arts and Sciences
	RLI	MA	Romance Languages and Literature (Italian)	
	DLF	DA	Foreign Language Instruction <i>French</i>	
	DLG	DA	Foreign Language Instruction <i>German</i>	
	DLI	DA	Foreign Language Instruction <i>Italian</i>	
Genetics	BIO	MA	Biological Sciences	Arts and Sciences
	BGE	PHD	Genetics	
Geosciences	GEO	MS	Geosciences	Arts and Sciences
	GEO	PHD	Geosciences	
Hispanic Languages and Literature	SPN	MA	Hispanic Languages and Literature	Arts and Sciences
	SPN	PHD		
History	HIS	PHD	History	Arts and Sciences
Linguistics	LIN	PHD	Linguistics	Arts and Sciences
Marine Environmental Sciences	MAS	MS	Marine and Atmospheric Science	Arts and Sciences
	MAS	PHD	Marine and Atmospheric Science	
Materials Science and Engineering	ESM	MS	Materials Science and Engineering	Engineering and Applied Sciences
	ESM	PHD	Materials Science and Engineering	
Mathematics	MAT	PHD	Mathematics	Arts and Sciences
Mechanical Engineering	MEC	MS	Mechanical Engineering <i>Manufacturing</i>	Engineering and Applied Sciences
	MEC	PHD	Mechanical Engineering <i>Mechanical Design</i> <i>Solid Mechanics</i> <i>Thermal Sciences and Fluid Mechanics</i>	
Molecular and Cellular Biology	BIO	MA	Biological Sciences	Arts and Sciences
	MCB	PHD	Molecular and Cellular Biology <i>Biochemistry and Molecular Biology</i> <i>Cellular and Developmental Biology</i> <i>Immunology and Pathology</i>	
Molecular and Cellular Pharmacology	HBH	MS	Basic Health Sciences	Basic Health Sciences
	HBH	PHD	Molecular and Cellular Pharmacology	
Molecular Genetics and Microbiology	BHS	MS	Basic Health Sciences	Basic Health Sciences
	HBM	PHD	Molecular Genetics and Microbiology	

## Appendix B – Official Reference List

Department Name	Code	Type	Official Degree Program on Thesis/Disst. <i>Concentrations</i>	Division
Music	MUA	PHD	Music <i>Composition</i> <i>Music History</i> <i>Music Theory</i>	Arts and Sciences
Neuroscience	BIO	MA	Biological Sciences	Arts and Sciences
	BNB	PHD	Neuroscience	
Oral Biology and Pathology	BHS	MS	Basic Health Sciences	Basic Health Sciences
	HDO	PHD	Oral Biology and Pathology	
Philosophy	PHI	PHD	Philosophy	Arts and Sciences
Physics and Astronomy	PHY	MA	Physics	Arts and Sciences
	PHY	MS	Physics <i>Scientific Instrumentation</i>	
	PHY	PHD	Physics <i>Biophysics</i> <i>Chemical Physics</i>	
Physiology and Biophysics	BHS	MS	Basic Health Sciences	Basic Health Sciences
	HBV	PHD	Physiology and Biophysics	
Political Science	POL	PHD	Political Science <i>American Politics</i> <i>Political Economy and Public Policy</i> <i>Political Psychology/Behavior</i>	Arts and Sciences
Psychology	BIP	PHD	Biopsychology	Arts and Sciences
	CLP	PHD	Clinical Psychology	
	EXP	PHD	Experimental Psychology	
	SCP	PHD	Social/Health Psychology	
Social Welfare	HWD	PHD	Social Welfare	Basic Health Sciences
Sociology	SOC	PHD	Sociology	Arts and Sciences

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 Graduate Program Director has submitted your Doctoral Defense Announcement to the Graduate School 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

##### **Typefaces:**

- Typefaces are no smaller than 15 characters per inch (12 point font)
- Typefaces are letter quality

##### **Margins:**

- The left margin is 1 ½” on the left, and all other sides are 1”
- 1 ½” all around is acceptable

##### **Spacing and Indentation:**

- Body of manuscript single or double-spaced (single spacing preferred); one and a half inch spacing also acceptable
- First line of each paragraph indented 5 spaces
- First line of the text after a major division in the text should be 6 single spaces below the previous text or begun on a new page

##### **Pagination:**

- Preliminary** pages in lower-case Roman numerals, positioned at bottom

- center of page
- Main** body pages in Arabic numerals, positioned either at upper or bottom right corner, or center 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

**Corrections:**

- Appropriate format followed

**Organization of the Pages and Sections**

**Title Page:** *unnumbered and counted*

- Used the term Thesis or Dissertation
- 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 the **year** in which the diploma is awarded
- Corresponds to sample in Appendix A

**Copyright Page (optional):** *unnumbered and not counted*

- Corresponds to sample in Appendix A

**Signature Page:** *Page ii - numbered and counted*

- Used full legal name - centered
- Used correct name of degree
- Page ii of preliminary pages
- Signature lines have full identification of members for original signature page
- First line - thesis/dissertation advisor
- Second line - Chairperson of defense
- Last line - outside member
- Signatures in **permanent ink** for original signature page
- Format for version to be included in document followed
- Corresponds to sample in Appendix A

**Abstract Page:** *Page iii – numbered and counted*

- Used the term Thesis or Dissertation
- 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
- Corresponds to sample in Appendix A

**Dedication Page (optional):** *unnumbered and counted*

- Appropriate format followed

**Frontispiece (optional):** *unnumbered and not counted*

- Appropriate format followed

**Table of Contents:** *numbered and counted.*

- Contains all main divisions and subdivisions of the manuscript
- Corresponds to sample in Appendix A

**List of Illustrations:** *numbered and counted*

- Appropriate format followed

**Preface (optional):** *unnumbered and counted*

- Appropriate format followed

**Acknowledgments (optional):** *unnumbered and counted*

- Appropriate format followed

**Vita, Publications, and Fields of Study (optional):** *numbered and counted*

- Appropriate format followed

**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:** *numbered and counted*

- Prepared according to the standard form of citation in your field

**Reference Material:** *numbered and counted*

- Appropriate format followed

**Index (optional):** *numbered and counted*

- Appropriate format followed

**Appendix(ces) (optional):** *numbered and counted*

- 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

**Published Material:**

- Appropriate format followed

**Permission to Use Copyrighted Material**

- Permission received from author(s) of materials from which you quote extensively, or if other media is reproduced
- This permission statement should be included with your thesis/dissertation
- Format and wording of the above is appropriately followed

**Checklist III - Assembly and Submission of the Thesis/Dissertation**

**Assembly of the Thesis/Dissertation**

**Disc:**

- Appropriate format used

**File Naming Conventions:**

- Appropriate conventions used
- Appropriate files included on disc

**Media Label:**

- Appropriate labeling done on disc and jewel case

### Signature Page:

- Appropriate formats followed for original and file versions
- All signatures are in BLACK ink on original signature page

### Exit Packet:

#### Masters Theses

- Contact Information sheet completed
- Stony Brook University Licensing Agreement form completed

#### Doctoral Dissertations

- Contact Information sheet completed
- Stony Brook University Licensing Agreement form completed
- National Research Council's Survey of Earned Doctorates completed
- ProQuest/UMI Microfilm Agreement form completed
- Additional file created of only your title page and abstract, with advisor's name typed under the year on the abstract

### Submission of the Thesis/Dissertation

#### Deadlines/Hours:

- Check the Graduate School's website for deadlines
- Check the Graduate School's website for submission hours

#### Items Needed:

- Disc with appropriate formatting, files and labeling
- Exit Packet (doctoral students only)
- Payment

#### Fees\* for Master's Theses:

- \$20.00 processing and handling

#### Fees\* for Doctoral Candidates:

- \$65.00 microfilming publication
- \$65.00 copyrighting (optional)
- \$95.00 open access fee (optional)
- \$20.00 processing and handling

*Note: Effective November 1, 2007, students will no longer pay their dissertation fee at the Graduate School. When you submit your dissertation to the Graduate School, you will be given a sheet that indicates the fee that will be billed to your account within 1-2 weeks after your submission date. You should pay the fee through your SOLAR account once it is billed to you.*

## **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.
- How much time do I need to submit my thesis/dissertation?
  - The review and submission process takes approximately 20-30 minutes. For Doctoral students: if you need to fill out the Exit Packet forms, it would take an additional 15-20 minutes. We strongly encourage doctoral students to obtain the Exit Packet forms in advance so that they are completed when you are submitting your dissertation.
  - Please be aware that when it is close to the submission deadline, your wait to see someone to submit your thesis/dissertation may be long due to a high volume of students submitting. We strongly encourage students to defend and submit their thesis/dissertation as early as possible during their final semester.
- Where can I get the Exit Packet of forms (doctoral students only)?
  - These forms are available on the Graduate School website under Graduation Information – Guidelines for the Preparation of Theses and Dissertations. Download them, and submit them at the time you submit your thesis/dissertation.
- 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.
- 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 the theses/dissertations 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 Graduation Information – Information and FAQs – Awarding the Degree for this information.

