



NYU

**TANDON SCHOOL
OF ENGINEERING**

Guidelines on
Format, Duplication & Publication
for the
PhD Dissertation

Office of the Associate Dean for Graduate Academics

February 2023 Version

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NOTE

If any questions arise, kindly inquire at this office:

Contact Prof. Jose Ulerio Rogers Hall Room 413 Tel. 646.997.3178 Fax: 646.997.3433 Email: julerio@nyu.edu	or the Office of the Associate Dean for Graduate Academics located at 5 Metrotech Center, Room 216
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A. INTRODUCTION

The purpose of this document is to state the formal requirements which must be met by NYU Tandon School of Engineering students who are required to submit a Ph.D. Dissertation to qualify for the Ph.D. degree, as described in the [NYU Tandon School of Engineering bulletin](#) for a particular academic program.

A dissertation is basically composed of two parts: the preliminaries and the body. Details regarding the format and content of each of these sections are described in the contents of this document.

B. THE STANDARD FORMAT

The dissertation is to be prepared on the standard **8½” x 11” letter size format**.

Margins settings should be no less than the following:

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

The document, with margins as specified above, can either be **one-and-a-half (1-½) or double spaced**, using **12 point Arial or Times Roman style font**. Footnotes and short quotes may be single-spaced with a double space, every 5 lines as an eye guide.

Drawings, graphs, and other illustrations should be of the same size as the dissertation paper pages and numbered consecutively with the pages of the Body.

Mathematical or chemical equations must be typed (**not hand written**). Drawings/Illustrations and diagrams should conform to good drafting practice.

Photographs may be used where desirable.

C. THE PRELIMINARIES

All dissertations must contain the following standardized preliminaries in the order of listing.

1. Cover Page: Standard format for the cover page is shown in [Figure 1](#). The date appearing on the cover page should be the month and year of the expected degree award date and **not the completion date of the work** (e.g., January 20XX for those completing in the fall semester, May 20XX for those completing in the Spring semester, or September 20XX for those completing in the Summer semester). This page represents the cover of your document.
2. Title Page: Similar to the cover page above except that it includes the signature of the department chair to be placed on the lower right-hand side. On the lower left-hand section of the title page you should also include your University ID and NetID numbers. You are required to submit one electronic copy of your dissertation with the digital signature of the department chair. Standard format for the title page is shown in [Figure 2](#).
3. A copyright Page: Refer to [Copyright Section](#) in case copyright is applied for. Typically copyrighting of dissertation is not recommended. However, you should always consult with your dissertation advisor before making a final decision. You may also refer to [ProQuest's web site](#) for more information.
4. Guidance Committee Signature Page: Refer to [Figure 3](#). **This is the very first page to be numbered**; this page is numbered as page "ii". Note that the preliminaries are numbered with small Roman Numerals (e.g., i, ii, iii, etc).
5. A Microfilm/Publishing Page: Refer to [Figure 4](#).

Microfilm or copies of this dissertation may be obtained from:

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

DISSERTATION TITLE

DISSERTATION

Submitted in Partial Fulfillment of

the Requirements for

the Degree of

DOCTOR OF PHILOSOPHY (Degree Title)

at the

**NEW YORK UNIVERSITY
TANDON SCHOOL OF ENGINEERING**

by

Author's Name

January or May or September 20XX

[Figure 1: Standard Format of Cover Page for Ph.D. Dissertation](#)

DISSERTATION TITLE

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**NEW YORK UNIVERSITY
TANDON SCHOOL OF ENGINEERING**

by

Author's Name

January or May or September 20XX

Approved:

Department Chair Signature

Date

University ID: N12345678
Net ID: abc123

[Figure 2: Standard Format of Title Page for Ph.D. Dissertation](#)

Approved by the Guidance Committee:

Major: Chemical Engineering

Advisor's Name* Professional Rank [†] School affiliation
Date
Advisor's Name Professional Rank School affiliation
Date
Advisor's Name Professional Rank School affiliation
Date
Advisor's Name Professional Rank School affiliation
Date
Advisor's Name Professional Rank School affiliation
Date

Figure 3: Guidance Committee Signature Page

[†] Examples: Professor, NYU Abu Dhabi
Associate Professor, NYU Tandon School of Engineering

Microfilm or other copies of this dissertation are obtainable from

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

[Figure 4: Microfilm/Publishing Page](#)

6. Vita Page: Give date and place of birth and a brief educational and professional history. Clearly state period of time devoted to the research or project, the laboratories in which it was performed, and the source of any special support (research contract, research grant, fellowship, assistantship, traineeship, etc.). A vita page is **not the same thing as a resume**.
7. Acknowledgment Page: (optional). You may include a brief acknowledgment to those that provided assistance and/or support. This section is optional and is limited to one page in length.
8. Dedication Page: (optional). You may include a brief dedication of your work. This section is optional and is limited to one page in length.
9. Abstract: State the purpose and significance of the investigation being reported and major conclusions. The special caption/header for the abstract is shown in [Figure 5](#).
10. Table of Contents: List the page number upon which each major division of the dissertation begins. Subdivisions may also be included. Appendices should all be listed by title, along with page number on which each begins.
11. List of Figures. List the title and page number of each figure and graph/illustration. This section may be included as part of the Table of Contents. The List of Figures may be omitted if the total number of figures and graphs does not exceed ten.
12. List of Tables. List the title and page number of each table. This section may be included as part of the Table of Contents. The List of Tables may be omitted if the total number of tables does not exceed ten.

The preliminaries section page numbers are numbered with small Roman Numerals (e.g., i, ii, iii, etc.). **Note that the cover nor title pages are not numbered. THE GUIDANCE COMMITTEE SIGNATURE PAGE IS THE FIRST PAGE TO BE NUMBERED, NOT WITH “i” BUT WITH “ii”.**

Refer to [Figure 6](#) for the standard sequence of sections for the Ph.D. Dissertation.

ABSTRACT

DISSERTATION TITLE

by

John Doe

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

**Submitted in Partial Fulfillment of the Requirements for
the Degree of Doctor of Philosophy (Degree Title)**

January or May or September 20XX

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

[Figure 5: Standard Format of Abstract Header](#)

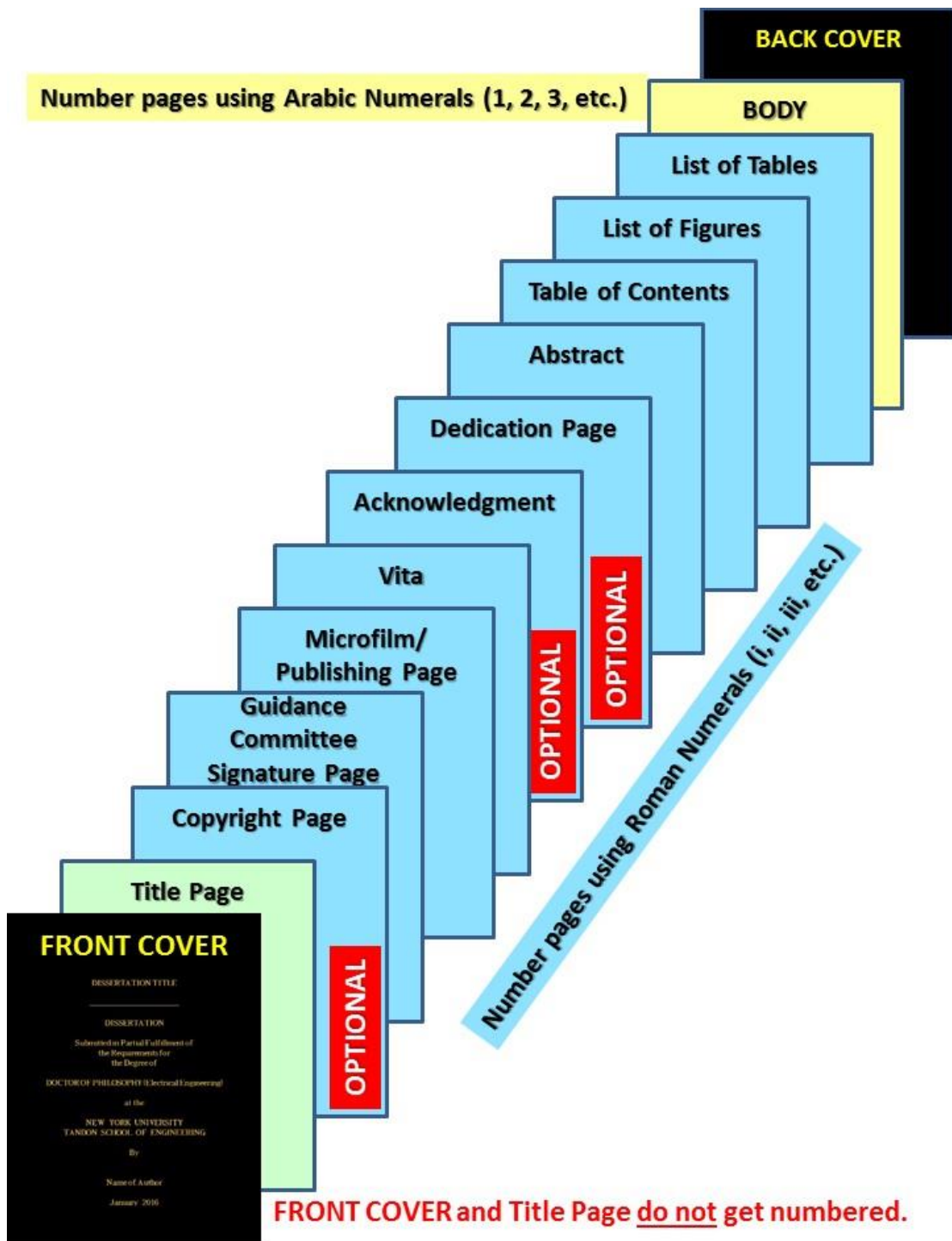


Figure 6: Standard Sequence of Sections for the Ph.D. Dissertation

13. Style: There are no general faculty rules regarding the outline to be followed in the composition of the manuscript, the style of exposition, and the extent to which tables of data, graphs, and other illustrations are used. The major academic department is the responsible judge of the adequacy of the manuscript as an account of the research performed. Please consult with your dissertation adviser.
14. Arrangement: The sub-division of the body of the manuscript is largely left to the student. Suitable headings of the sections are essential for the guidance of the reader. A moderate use of footnotes or appendices may allow details to be taken out of the main text which would otherwise obstruct the even flow of the presentation. **A bibliography is required.**
15. Bibliography: The aim of the bibliography is twofold: to list introductory or further reading and to connect the research with similar work. All the papers and books to which references appear in the text should be listed in the bibliography numbered sequentially. References in the text to publications are made by the number (typically displayed in parentheses) of the entry in the bibliography. Whenever extensive use is made of published material which is copyrighted, the student should obtain written permission for its use.
16. Index: (optional). An index may be included if desired.
17. Numbering of Pages: The pages of the BODY are numbered at the top outer edge of the text, but at least one-half inch below the top of the page, except on pages having a display heading where the numbers may be at the bottom center. Each page, including pages in any appendices, is numbered with Arabic numerals (1, 2, 3, etc.). If it is inconvenient to insert a number on a page (for example, on a page with a photograph) then the page is counted anyway as if the number had been written on it. Division Title pages are also numbered with Arabic number.

D. NUMBER OF COPIES REQUIRED

One (1) electronic copy of the final version of the dissertation must be submitted. The copy must include the department Chair as well as the Guidance Committee signatures.

The student must obtain the necessary signatures in black for both the title page as well as the guidance committee signature page(s). In addition, the student is to upload the final signed dissertation to [Proquest](#) and emailed to the Graduate Academics office (Prof. Jose Ulerio – julerio@nyu.edu).

In case a sponsor has supported the research and requires one (1) or more copies of the document under the terms of support, the number of copies required is correspondingly increased. If more than one faculty member has played a major role in the direction of the research, either informally or as a co-advisor, and desires a copy of the dissertation, an additional bound copy should be made for him/her.

E. COPYRIGHT AND BINDING

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

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

Copyright by

John Doe (full legal name of author)

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There is an extra charge for the copyright service. This is explained in the AGREEMENT FORM of UMI (refer to the [UMI Proquest web site](#) for more information).

F. PUBLICATION

The University urges publication of all doctoral dissertations in a recognized technical or scientific journal. Specific requirements may be imposed by individual departments. The title of the printed article must be footnoted with the "submitted" phrase used in the dissertation as follows:

*"Taken from the dissertation submitted to the Faculty of the New York University Tandon School of Engineering in partial fulfillment of the requirements for the degree **Item A, Item B.**"*

Item A (type in full description of degree)
e.g. ***Doctor of Philosophy (Degree Title)***

Item B (type in degree award date)
e.g. ***January or May or June 20XX***

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

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

G. SPECIAL DUTIES

1. Each candidate is responsible for arranging the final dissertation defense at a time convenient to members of the Guidance Committee. Students are required to submit the [Request to Schedule Dissertation Defense for the PhD Degree](#) form to the Office of Graduate Academics (see Prof. Jose Ulerio in RH413) at least 10 days prior to the examination date. An announcement to the academic department will be issued by the Office of Graduate Academics provided that admission to candidacy has been satisfied as well as major requirements.

2. Each student is required to upload their final dissertation to [Proquest](#).
3. Each student is required to complete the ***SURVEY OF EARNED DOCTORATES*** for the Office of National Opinion Research. The survey can be completed at the [Survey of Earned Doctorates website](#). Select New York University as the school. A copy of the Certificate of Completion must be sent to the Graduate Academics Office (Prof. Jose Ulerio – julerio@nyu.edu).