

# Thesis Processing - Folio (LTS Procedure #12)

**NOTE:** Due to workflow changes involving the implementation of Folio, this procedure is currently in process of being edited and parts re-written. If you have any immediate inquiries/questions regarding print copy theses, please contact [Pam Stansbury](#) or [Heidi Kotun Dawes](#)

**Overview:** This document outlines the processes that the Library Technical Services (LTS), perform when handling Cornell theses, dissertations, specialty theses and project reports. 90 % of theses are generated through the Graduate School in Caldwell Hall, providing an electronic, and a print copy edition. LTS processes both the electronic and print circulating copies for the unit libraries, which support the study of each discipline, with the exception of the Law library (See [Thesis Classifications](#)). The other 10% are specialty theses provided by a specific unit library, such as Fine Arts or Mann libraries. Once processed, the electronic version becomes available in [eCommons](#), via a link in our online cataloged record. The Graduate School print copy is attached to the electronic bibliographic record and is distributed to the associated unit library for circulation. All specialty print copy theses and dissertations are handled on a per unit library basis.

Additional notes in this procedure will address the general submission process, as well as how theses are received and sorted. The [General Guidelines](#) apply to theses and dissertations for libraries not named in the [Special Cases](#) section.

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**Unit:** Acquisitions

**Date last reviewed:** 03/15/2021

**Date of next review:** To be determined

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## General Guidelines

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[Distribution of Theses by Degree Program \(arranged by degree program, M-Z\)](#)

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## I. General Guidelines:

For project or library specific information, see [Special Cases](#)

Excel spreadsheets containing thesis related data are provided to staff, and student employees, for manual processing of print copy theses.

Using the instance HRID provided in the aforementioned spreadsheet, locate the bibliographic record for the electronic version in the Folio database, create additional holding record for the circulating copy in hand.

Select appropriate classification subject cutter for circulating copies and create corresponding author cutter. Write appropriate library location and related call number in proper location of thesis. Insert appropriate location flyer in each volume; location is provided in aforementioned spreadsheet.

Add additional appropriate fields to holdings needed for multi-part items.

Add barcodes to item in hand and then [Create item records](#)

**NOTE:** For theses from Graduate School, that lack a electronic record version in our database of the print copy in hand, take print copy thesis to Thesis Coordinator.

### Thesis Electronic Record

For the majority of Ph.D. and Masters theses, electronic bibliographic records are created from metadata provided by Metadata Projects Librarian. Records are then imported into Folio by the Batch Processing and Automation Department in Library Technical Services. These electronic records are used to create and attach a holdings record that represents a physical print copy housed in the respective circulating library.

#### Editing

Due to how the thesis metadata is provided and processed, the electronic bibliographic records may need some minor editing prior to the creation and attachment of the holdings record representing the circulating library print copy. The editing of bibliographic records is sporadic and inconsistent ... meaning the editing of one bibliographic record may not be the same as the next. However, the types of edits seem to be relatively consistent. The majority of edits consist of punctuation, proper usage of upper and lower case lettering, illustrations or no illustrations, and/or deleting a specific field.

#### Adding print copy to electronic bibliographic record

Create new holding for circulating location.

Add reproduction note to designate physical characteristics

Example of reproduction note:

Print. Ithaca, N.Y. : c Cornell University, d 2017. | xii, 99 l. : ill. ; 29cm.

Add call number in appropriate location of holdings record

Example of call number:

Oversize Thesis PR15 2017 C833 +

If multi-vol, you will need to add a holdings statement in the Holdings details section to represent volume enumeration, supplemental material, and/or indexes

Example for multi-vol in Holdings statement:

v.1-2

Example for text with accompanying material, in Holdings statement, (two separate notes):

1 v.

CD-ROM <in pocket of text>

#### Creating a Bib Record (no electronic bib record available)

Since the dawn of Folio, (July 1, 2021), manually creating a bibliographic record for print copy thesis has been stopped.

However, for some specialty theses, such as those generated from Fine Arts library, another method of manually creating a bibliographic record has been developed. This method is described in more detail in the Specialty Cases topic.

#### Degree Abbreviations Used in the 502, Dissertation Note Field

Bachelor of Architecture -- B.Arch.

Bachelor of Regional Planning -- C.R.P.

Master of Architecture -- M.Arch.

Master of Arts -- M.A.

Master of Fine Arts -- M.F.A.

Master of Landscape Architecture -- M.L.A.

Master of Professional Studies (For all fields)

Master of Public Administration -- M.P.A.

Master of Regional Planning -- M.R.P.

Master of Science -- M.S.

Doctor of Philosophy -- Ph. D.

Doctor of Musical Arts -- D.M.A.

Doctor of the Science of Law -- J.S.D.

**Template:** With the exception of theses generated through Fine Arts library, the use of templates for creating bibliographic records for print copy theses, has been cancelled.

**Creating a Holdings Record:** Create new holdings records for each copy using the appropriate cataloging location designated by the degree program charts. Location of circulating copies are classified based on the classification subject, (degree program). The Holdings record should have a Reproduction note, designating them as print items. If the thesis has multiple parts, you will have to create a holdings statement note of the holdings record and indicate the scope, e.g. v.1-2.

**Holdings record for circulating copy:** Add the print copy to the library location that predominantly supports the instruction and research in the discipline of the degree of the thesis. Consult [Thesis Classifications](#) for the location and classification number for each degree program. The degree program of each graduate is given in the Advanced Degrees Conferred list, (metadata provided by the Senior Assistant Librarian), which is then provided to the Thesis Coordinator. The call number for the circulating copy includes the word Thesis, the classification subject cutter, conferral year, and the author cutter. Most theses are 29 cm. Consult the [Oversize Chart](#) for each location. If the thesis has multiple parts, create a holdings statement note in the holdings record to indicate the scope, e.g. v.1-2, or for other supplemental material, (includes accompanying material.) All accompanying materials must be marked with the call number, should they become separated from the main piece; this is handled by the Physical Processing department.

Types of extra parts or accompanying material: an extra volume(s), an errata, a CD-ROM, videodisc or sound disc. Again, this information is noted in the holdings statement of the holdings record.

### Adding Copies

As of 2017, additional copies of print copy theses are no longer being accepted. However, occasionally an extra copy can be added to a particular unit library, if a Selector has requested the extra copy be added to our catalog. With the exception of Fines Arts, archival print copies, (**rmx,anx**), are no longer accepted. However, there are occasional instances when an item can be added as an additional copy with (**rmc,anx**) location. If there is already another location of the print copy in hand, please seek counsel regarding adding another copy and/or adding to (**rmc,anx**). **IF** any items are added to (**rmc,anx**), the item status is to be set as **nocirc**.

### Shelf listing

All call numbers for CUL theses begin with the word "Thesis" as the first element. Circulating copies are classified with an LC-type call number cutter depending on the field of study. Classification subject cutters are supplied by [Thesis Classifications](#). The classification subject cutter is followed by the year the degree is conferred. Use the [LC Cutter Table](#) to assign the author cutter for the author for each copy.

Examples of format how call numbers should be written in the book:

ASIA	ARCH
Thesis	Thesis
PS	1998
16	J625
1998	
J625 +	

### Creating the call number:

As stated in the Shelf Listing topic, all call numbers begin with the word "Thesis" as the first element. Outside of that first element, there are three parts to creating the correct call number for a thesis. The First portion is called the classification subject cutter, the second portion is the conferral year, and the third portion is identified as the author cutter. The parts of the call number are separated by a space. Example: Thesis TX295 2020 D453

The author's area of discipline, (degree program), is listed in the metadata provided by the Senior Assistant Librarian. The degree program is listed alphabetically in charts, [A-L](#) or [M-Z](#). When you find the associated degree program in the correct chart, you will find the location the item will be sent to, and the classification subject cutter for the first portion of the call number.

The second portion of the call number is the conferral year of the thesis. This is the year the author had their thesis approved and signed.

Each thesis is shelf listed in such a way that the degree sits alphabetically with other degree recipients of that same year. For the third portion of the call number, you will use the [LC Cutter Table](#) to create the author cutter. The letter part of the cutter number is the first letter of the author's last name. Always use a three digit cutter to allow room for later degree recipients of the same year. Ensure that the cutter is unique, and to the extent possible, shelved alphabetically. However, don't recall theses to make adjustments to the alphabetical order within a given year. Assign a call number to each copy, taking care to write proper location in the book, as mentioned in the Shelf Listing topic.

### Physical Processing:

Cataloged theses and dissertations should be placed on the appropriate Physical processing trucks located in the Physical Processing area. From there, the Physical Processing unit handles the proper labeling, tattle-tape if needed, and any other physical processing needs for theses. After physical processing is complete, all theses are routed to their corresponding unit library location.

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## II. Specialty Thesis Cases

Single print copies are received as Seminar Papers from Veterinary Library, M.P.S. Project Reports from Mann Library, and Bachelor of Architecture, (B'Arch), Bachelor City Regional Planning, (C.R.P.), from Fine Arts Library. All Veterinary Seminar Papers are sent to (**vet,anx**) location. All M.P.S. Project Reports are sent to (**rmc,anx**) location, unless there is already an existing copy. All B'Arch and C.R.P. theses are sent to Fine Arts and the item status set to **non-circulating**. Double print copies are received as Masters of Architecture, (M'Arch), Masters of Landscape Architecture, (M.L.A), and Masters of Regional Planning, (M.R.P.), from the Fine Arts Library. The first print copy is sent to Fine Arts with the item status set as **non-circulating**, and the second copy is sent to (**rmc,anx**), with the item status set to **non-circulating**.

### A. Theses for Fine Arts Library (specifically Art, Architecture, All Regional Planning degrees, and Honors)

**College of Regional Planning** honors theses (Bachelors C.R.P.):

fine NA 9002 [conferral yr.] [author cutter]

Item Status: non-circulating

**Masters of Regional Planning theses** (M.R.P.)

fine Thesis NA 9001 [conferral yr.] author cutter

Item Status: non-circulating

**Bachelor of Architecture** (B'Arch)

fine NA 38 [conferral yr.] [author cutter]

Item Status: non-circulating

**Masters of Architecture** (M'Arch)

fine Thesis NA39 [conferral yr.] [author cutter]

Item Status: non-circulating

**Master of Fine Arts** (M.F.A.)

Master of Fine Arts, (M.F.A.) is **no longer processed for Fine Arts Library**. They are processed for Rare and Manuscript Collections, annex location.

rmc,anx Thesis [conferral yr.] [author cutter]

Item Status: non-circulating

**All Fine Arts theses have their own processing procedure and can be found at: [Fine Arts thesis processing](#).**

**Exception:** As stated above, M.F.A. theses are now cataloged under creative writing theses and critical or historical material, and are to be cataloged for rmc,anx location and treated as non-circulation. No classification subject cutter is necessary, (see above example).

### B. Theses for Hotel Library

Create a bib record, and process the archival copy according to the [general guidelines](#) above. Also, create an "In Process" holdings record for circulating copy:

**852 8 0 |b hote |h In Process**

Monographs written for Master of Management in Hospitality degree will have only one copy, and it will be cataloged as any other treatise for the Hotel Library. A thesis note (502) will be replaced by a general note (500).

### C. Honors theses for Hotel Library

One copy only (Circulating)

**502 field:** |a Honors thesis (B.S.)--Cornell University, School of Hotel Administration, (Season + Year)

**852 8 0 |b hote |h TX911.2 H66 [yr.] [author cutter]**

#### **D. Theses for Law Library**

Send to Law Library, ATTN: Jackie Magognosc, where the processing of the circulating print copy is completed.

Flyer appropriately and include note with instance HRID.

#### **E. Theses for Mann Library** (specifically Masters of Professional Studies (M.P.S.))

All M.P.S.' are now being shelved in Rare and Manuscript Collection (**rmc,anx**)

Example of location holding and necessitating a public note in the holdings:

rmc,anx H36.2 2013 .J34 |z Project Report Note: (M.P.S.(International Development))

#### **F. Theses for Music Library** (These items are sent to, and processed by, the Music Library)

Send to Music Library, ATTN: Kate LaVerne, where the processing of the circulating print copy is completed.

Flyer appropriately and include note with instance HRID.

#### **G. Project Reports (Engineering Library)**

Project reports for Masters in Engineering degrees will be processed similarly to Cornell theses, though there is only one copy and it will circulate.

These reports typically include a number of authors and therefore may have a title main entry. You should follow the guidelines for "rule of three" using a 100 field for the first author and 700 fields for others when the writing responsibility is shared by 1- 3 authors. If responsibility is shared by more than three authors, use a title main entry, include all authors in a 500 note, and provide a 700 field for each.

Instead of a thesis note (502), provide a general note:

**500::Master of Engineering project report, Cornell University, [year].**

Call numbers for project reports begin with "**Project**" instead of "Thesis", followed by the call number assigned for each discipline in the Cornell Thesis Distribution List. A decimal ".12" is added to this call number to differentiate project reports from theses and is followed by the year of conferral, and the book cutter:

**|b engr |h Project T57.12 1998 C673**

#### **H. Senior Seminar Papers (Veterinary Library)**

There will be only a single copy of the senior seminar papers and it will not circulate.

Create a bib record according to the [general guidelines](#) above. In addition to the variable fields outlined, include the following fields as appropriate:

##### **Series statement: (title page will vary)**

490 1 |a Senior seminar

490 1 |a Senior seminar paper

490 1 |a Senior seminar presentation If there is nothing on the title page, bracket the series information: 490 1 |a [Senior seminar]

##### **520 field (Summary)**

Include an abstract (may also be found as the "introduction" at the beginning of the paper or "summary" at the end of the paper) in 520 field only if provided. Short paragraph (3-4 sentences) is generally OK in this field. Transcribe as given or edit for succinctness.

**Subject access:** Subject access will be primarily by title key word. When title does not include reference to the type of animal discussed or subject matter is not otherwise evident (summary may provide an indication of the adequacy of the title), generic LC subject headings should be added by the cataloger. Most senior seminar papers will not require 650s.

##### **Examples of generic LC subject headings:**

Dogs [or Cats, Horses, Cattle, Birds, etc.] |x Surgery |v Case studies.

Dogs [or Cats ...] |x Diseases |v Case studies.

Dogs [or Cats ...] |x Wounds and injuries |x Treatment |v Case studies.

Veterinary surgery.

Veterinary medicine |x Diagnosis.

**Established series heading:** 830 0|a Senior seminar paper (Cornell University. College of Veterinary Medicine)

#### Local series code:

899 |a vetsem

Create MFHD using Prefix "Seminar" and LC-like classification number **SF610.1** to file immediately after theses for the Veterinary Library. Follow class number by conferral year and cutter number, using the [LC Cutter Table](#) to create the cutter.

**852 80 |b rmc,anx |h Seminar SF610.1 2002 G674**

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### III. Explanatory Notes

#### Dual Degrees

On an extremely rare occasion, a student may receive two degrees using the same thesis for both. In this case, the record is created according to the [general guidelines](#) above with the exception of the 502 field, which should include both degree abbreviations. In this case 2 copies of thesis are received as usual, one for the circulating location and one for **rmc,anx**. Choose the call number by using the first degree listed in the book. For example, if the first degree listed is for a Master in Landscape Architecture (M.L.A.) and the second is a Master in Regional Planning (M.R.P.), assign the call number according to Landscape Architecture in the Thesis Distribution List under "City and Regional Planning." Landscape Architecture uses SB468 for call number and City and Regional Planning uses NA9001. Since the Landscape Architecture degree is listed first, use SB468 for the call number. Dissertation note:

**502::Thesis (M.L.A. and M.R.P.) Cornell University, January 1999.** Masters in Landscape Architecture and Masters in Regional Planning

#### Thesis/Dissertation Submission Process

Cornell degrees are conferred three times a year: December, May, and August. Most students submit theses electronically to the Graduate school, and upon conferral of the students' degrees, the Graduate school posts the "Advanced Degrees Conferred" list online, showing the students' names, thesis titles, and fields of study. The Graduate School also sends electronic versions of non-embargoed theses to Proquest. The LTS Metadata Projects Librarian retrieves metadata from ProQuest, arranges metadata in CSV format and sends to the Thesis Coordinator. The Thesis Coordinator, in turn, processes metadata and creates new electronic bibliographic MARC records and imports those records into Cornell Library catalog. At the same time, ProQuest prints and sends print copy of each thesis to the LTS Thesis Coordinator. Upon their return (usually within 8-16 weeks), the hard copies are processed by LTS staff and student employees for the collection. Since the electronic copies precede the paper copies in the database in most cases, (both for Masters and Doctorate theses), new print copy holdings are added and attached to the existing electronic resource records. In a few cases, however, paper copies will be the only ones available to patrons.

#### Patron Access to Theses Prior to Cataloging

When the LTS Thesis Coordinator, is contacted by a patron or notified by Reference department that a patron wishes to see a thesis before it has been processed, ask for patron's contact information (name, phone/e-mail) so that you can provide information on the availability of the thesis. Check the latest list of Advanced Degrees Conferred for the author. If the author does not appear on the list, the degree has not yet been conferred, (meaning LTS may not yet have print copy on hand). If the author appears on the list, and we have the particular thesis awaiting processing, double check to see if the electronic copy does not have an EMBARGO, as the type of EMBARGO may effect circulation, ([see note below](#)). If the print copy thesis does not have a restricted EMBARGO, inform the patron and/or Reference staff of the situation and that the thesis can be provided for a viewing. Once Reference and the patron have agreed on the viewing arrangements, the LTS thesis liaison will take the unprocessed thesis to the security desk of the Rare Books and Manuscripts Division in 2B Kroch Library, where the patron can view it in the secure reading room. Standard viewing time frame is two weeks from date of request. Patron does have the option of requesting additional time. When the time frame has expired for the viewing period, the LTS thesis liaison will go to RMC and retrieve the thesis and return to LTS cataloging for further processing.

#### Thesis with a EMBARGO: A copyright, patent and/or author request hold on a particular title

Occasionally, a student's thesis will have an embargo attached to it. It could be a planned publication or patent hold, or even just an author request hold. Information on the patent hold is included in the ProQuest metadata, and the Thesis Coordinator verifies that all requested patent holds are legitimate. In the case of patent holds, the thesis in question forgoes the standard thesis processing procedure. For theses with other embargo reasons, we don't delay processing. The thesis physical item is placed in storage with a copy of the appropriate notification, and the date of when the embargo ends. Current storage location is in Olin Library sub-basement or LTS Thesis Processing shelving/staging area. When the time frame of the embargo ends, the thesis will then be placed into regular workflow for normal processing. Embargo time frames typically extend 2 years from the conferral date. However, there is also a possibility that a thesis hold time may be extended beyond the typical two year hold; **ProQuest** staff will notify LTS, and/or the Graduate School of any embargoes that are extended.

If the thesis in question has already been catalogued, the item will need to be pulled from the circulating library and stored in the appropriate location. Then the associated holdings record will need to be suppressed and a holdings Note added to reflect the release date of the hold. Once the thesis has been released, the holdings record will need to be unsuppressed, the holdings Note removed and then returned to the circulating library.

Example: **Note: Currently NOT available, on hold until after September 11, 2040**

**NOTE:** When there is an **EMBARGO** on the electronic copy of a thesis in [eCommons](#), and the print copy is NOT on listed on the EMBARGO list of the corresponding conferral date, the type of EMBARGO on the electronic copy will need to be verified. If the type of EMBARGO on the electronic copy is a **Patent Hold**, then the print copy is treated as the same EMBARGO of the electronic copy and will NOT be processed and circulated. However, if the EMBARGO is any other type of hold, the print copy is processed and circulated.

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Also thesis related: Thesis classification subjects

See [Theses classifications, A-L](#)  
[Theses classifications, M-Z](#)