

FORMATTING & SUBMISSION GUIDELINES

Master's Plan A Thesis and Doctoral Dissertation

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INTRODUCTION

The master's Plan A thesis and doctoral dissertation (herein referred to as thesis) is not only a representation of a student's academic work, but also a reflection of the faculty adviser, the graduate program, and the University of Minnesota. Once a student has submitted his/her thesis to the Graduate Student Services and Progress (GSSP) office, it will be available for scholars worldwide. Professional and consistent presentation of such work is essential.

This packet outlines what the University of Minnesota requires in order to successfully present the culmination of their efforts as a graduate student. As a condition of graduation, students are required to publish their thesis.

This document outlines the formatting requirements, as well as information regarding submitting and publishing the thesis. **The University of Minnesota will only accept theses that meet these requirements. Failure to adhere to these standards may result in the delay of a student's degree conferral.** In addition to the University's formatting guidelines, students should be sure to follow stylistic (not formatting) conventions of their graduate program. Because stylistic conventions vary greatly from one field to another, students should consult with their faculty adviser or Director of Graduate Studies (DGS) regarding recommended style manuals. The staff of the University Libraries may also be consulted for information about style manuals.

Prior to submission of the thesis, students are encouraged to contact GSSP (gssp@umn.edu) with any questions regarding this manual or formatting.

✳ Before you Begin

Students should keep the following in mind when submitting their thesis:

1. GSSP has provided templates in either 2003 Microsoft Word or LaTeX available online at z.umn.edu/thesissubmit
Note: GSSP does not provide technical assistance with these templates.

2. The thesis must be submitted online and *approved* by GSSP by 4 pm on or before the last business day of the intended month of degree completion.

3. Students using the templates remain responsible for ensuring that the thesis meets the University's formatting guidelines outlined in this document as well as program- and field-specific guidelines.

4. The thesis must read as one cohesive document. It must include one set of introductory pages (acknowledgments, abstract, table of contents, etc.), one introduction, and one comprehensive bibliography at the end of the thesis.

5. Upon submission of the thesis, students may receive notice of required formatting changes by email. Typically, these are minimal.

FORMATTING

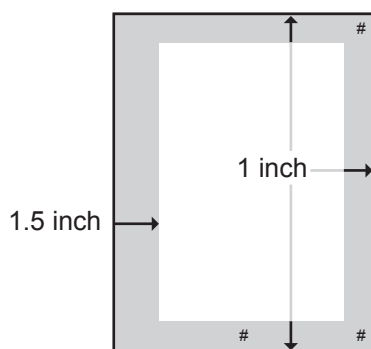
✱ Mechanics and formatting specifications

MARGINS

Every page of the thesis, including all appendices, notes, and the bibliography, must meet the requirements listed below. Before submitting the final version, GSSP suggests printing sample pages to measure the margins and ensure they conform to the specifications outlined below.

1. Margin size requirements:

Portrait Page Margins



2. Nothing can appear in the margins, meaning no page numbers, text, tables, graphs, charts, or parts of illustrations.

ACCEPTABLE FONTS

Standard fonts should be used for the thesis, with a few exceptions. **Students should confer with their faculty adviser or DGS** to ensure that chosen fonts meet graduate program requirements. Every page of the thesis must meet the requirements listed below.

1. Acceptable font types

Times New Roman
Helvetica
Arial
Courier

2. The minimum font size is **10-point**.

Exception: Different fonts can be used to highlight examples, quotations, tables, and charts from the rest of the text, as long as all fonts are of a similar size and are easily readable.

In addition, footnotes, section headings, and chapter titles may be printed in fonts and sizes different from those in the body of the thesis. The size of these characters should be **no smaller** than 9-point.

SPACING

Every page of the thesis, including all appendices, notes, and the bibliography, must meet the requirements listed below.

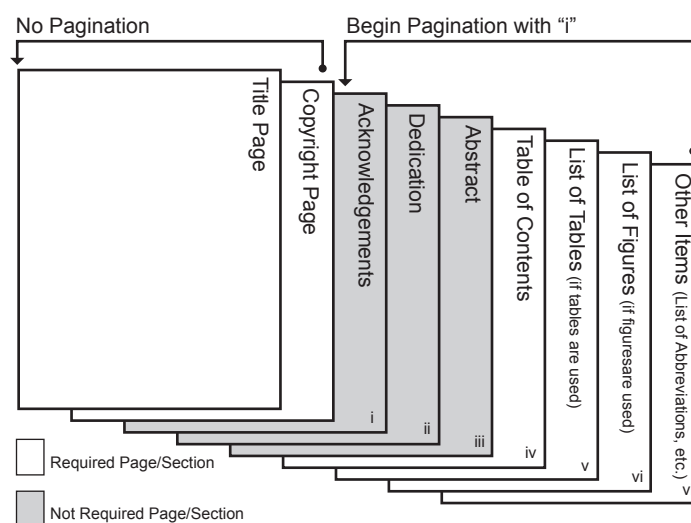
1. The body of the thesis must be double-spaced or 1½-spaced.
2. Long quotations, notes, and the bibliography may be single-spaced, unless the student's graduate program requires otherwise.

✱ Pagination

Students are responsible for correctly numbering and organizing the pages in their thesis. Page numbers may only appear in the upper or lower right-hand corners or the bottom center of the page. It is not acceptable to have page numbers on the left-hand side of the page.

INTRODUCTORY MATERIAL

The introductory material of the thesis includes:



The thesis may include other introductory material (e.g., notations, list of abbreviations). These items should be included at the end of the introductory materials identified above. If it is unclear whether or not a section should be included with the standard introductory pages, please contact GSSP (gssp@umn.edu).

Title Page

1. The title page must be included as the first page.
2. The page must not be numbered or counted.
3. The month and year that degree requirements were met must be included (not necessarily the month and year the student defends).

4. The title of the thesis must not contain chemical or mathematical formulas, symbols, superscripts, subscripts, Greek letters, or other non-standard characters; words must be substituted.

5. The title page must include one title.

6. The student's name listed on the title page must be the official name on record with the University.

See Title Page example below:

Title of Thesis

A [Thesis] or [Dissertation]
 SUBMITTED TO THE FACULTY OF THE
 UNIVERSITY OF MINNESOTA
 BY

[Official name on record with the University of Minnesota]

IN PARTIAL FULFILLMENT OF THE REQUIERMENTS
 FOR THE DEGREE OF
 [MASTER OF (ARTS OR SCIENCE)
 [DOCTOR OF (PHILOSOPHY/EDUCATION)]

[Name of Adviser, name of Co-Adviser (if applicable)]

[Full month and Year of Degree Conferral]
 (not necessarily the month you defend)

Dedications Page

A dedication page is optional. If included, it is numbered in lower-case Roman numerals and counted.

Abstract

An abstract in the thesis is optional (however, an abstract must be provided as part of the online submission process). If included, it is numbered in lower-case Roman numerals and counted.

Table of Contents

1. A table of contents is required. It must be numbered in lower-case Roman numerals and counted.

2. It must include corresponding page numbers referencing each section.

See Table of Contents example below:

Table of Contents	
List of Tables.....	v
List of Figures.....	vi
Chapter 1.....	1
Chapter 2.....	16
Chapter 3.....	67
Bibliography.....	113
Appendix.....	129

Copyright Page

1. The copyright page must not numbered or counted.

2. Even if the student is not registering his/her thesis with the U.S. Copyright Office, he/she is required to include a copyright page.

3. The copyright page must be separate from the title page.

4. Official name on record with the University, the year of graduation, and a copyright symbol © or the word “copyright” are required.

Acknowledgements Page

An acknowledgements page is optional. If included, it is numbered in lower-case Roman numerals and counted.

List of Tables

If tables are included in the thesis, a page with a list of tables is required

1. The list must include the table number, title, and corresponding page number for each table.

2. It is numbered in lowercase Roman numerals and counted.

3. It must be represented in the table of contents.

List of Figures

If figures are included in the thesis, a page with a list of figures is required.

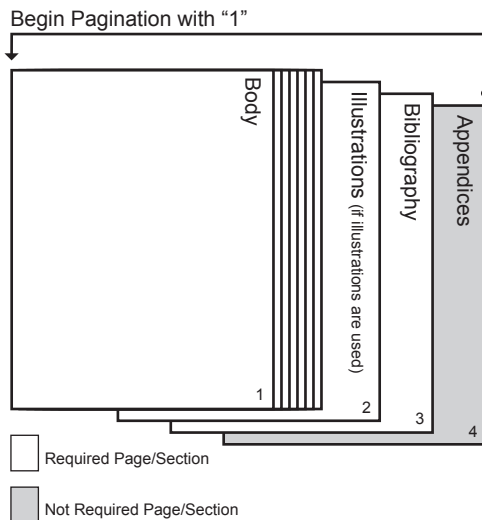
1. The list must include the figure number, title, and corresponding page number for each table.
2. It is numbered in lower-case Roman numerals and counted.
3. The list must be represented in the table of contents.

Other Items

If other pages are included with the introductory materials (e.g. List of Abbreviations, List of Notations), they must be numbered in lower-case Roman numerals, counted, and represented in the table of contents.

BODY OF THE MANUSCRIPT

The body of the manuscript includes:



Every page in the body of the manuscript, through the bibliography and appendices, must be numbered in Arabic numerals (e.g., 2, 4, 6) starting with page 1.

If it is unclear whether a section should be included as part of the body of the manuscript, please contact GSSP (gssp@umn.edu).

Illustrations

1. All illustrative materials (i.e., figures, tables, charts, and graphs) must have a figure number and a page number.
2. All illustrative materials must conform to the margin specifications, regardless of where the figure caption is located.

Bibliography

1. The bibliography may be single-spaced and must appear as the last section of the thesis, unless appendices are included.
2. It is not acceptable to include separate references after each chapter in lieu of a single cumulative bibliography at the end of the thesis.
3. The bibliography must be represented in the table of contents.

Appendices

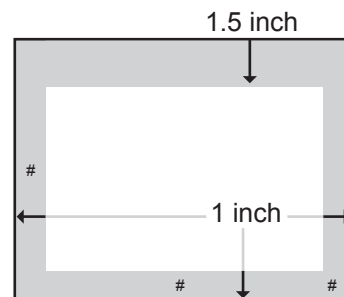
The appendices can be an integral part of the thesis and must conform to all the formatting specifications outlined in this document, **with one exception**: text and information in appendices can be single-spaced.

1. There must be consecutive page numbering, from the main text through the appendices using Arabic numerals (e.g., 2, 4, 6).
2. If appendices are used, they should appear as the last section of the thesis and should be represented in the table of contents.

FORMATTING LANDSCAPE PAGES

Students who choose to use landscape pages in the thesis should be aware of the following:

Landscape Page Margins



1. The top margin must be at least 1.5 inches (3.9 cm)
2. All other margins must be at least 1 inch (2.6 cm)
3. Page numbers cannot appear in the top margin

✳ Including Published Works

The thesis may include materials that have been (or will be) published while the author has been a University graduate student. Students wishing to delay publication of the thesis can refer to the section Thesis Embargo Request.

The following items must be completed to include a pub-

lished work as part of the thesis:

1. A letter (or email) authorizing use of this material must be obtained from the publisher, and a copy must be submitted to GSSP upon completion of the thesis.

- If permissions are not supplied, ProQuest will not publish copyright materials.
- In addition, students should be aware that work will be available for open access through the University of Minnesota Digital Conservancy. Please consult publishing agreements to determine what rights were retained. More information is available at www.lib.umn.edu/copyright/disstheses

2. If work has not yet been published but there are plans to publish part of the materials, the student's adviser(s) must notify GSSP by email of the intention to publish a part of the material; GSSP's approval is not required.

3. If all or part of the thesis is initially in a format appropriate for submission to a professional journal, the following guidelines apply:

- The thesis must read as one cohesive document.
- One set of introductory materials (i.e., dedication, abstract, table of contents) is necessary as well as a suitable introduction, transition sections, a conclusion, and appendices (if applicable) that might not ordinarily be included in the published manuscript.
- A comprehensive bibliography, not usually permitted by journals, must be included as the last section of the submitted thesis.
- The research must have been carried out under the direction of University of Minnesota graduate faculty and approved by the adviser for incorporation into the thesis.
- The student must be listed as the sole author of the thesis. Editorial or substantive contributions with general significance made by others should be acknowledged in the introductory materials; more specific contributions should be acknowledged by footnotes where appropriate.
- Students whose manuscripts include more than the student's research must make others' contribution clear in the thesis.
- In rare circumstances use of manuscript reprints of the published articles themselves are acceptable if they are satisfactorily and legally reproduced and conform to all the formatting specifications outlined in this document. Reprints must conform to a style consistent with the rest of the thesis document.

✱ Corrections and revisions

The thesis must be a well-written manuscript that is free from error and ready in its final version before submission to GSSP. Any revisions required after the final defense by the examination committee must be made and approved by the adviser (as confirmed by the adviser's signature on the signature page) prior to submission to the GSSP.

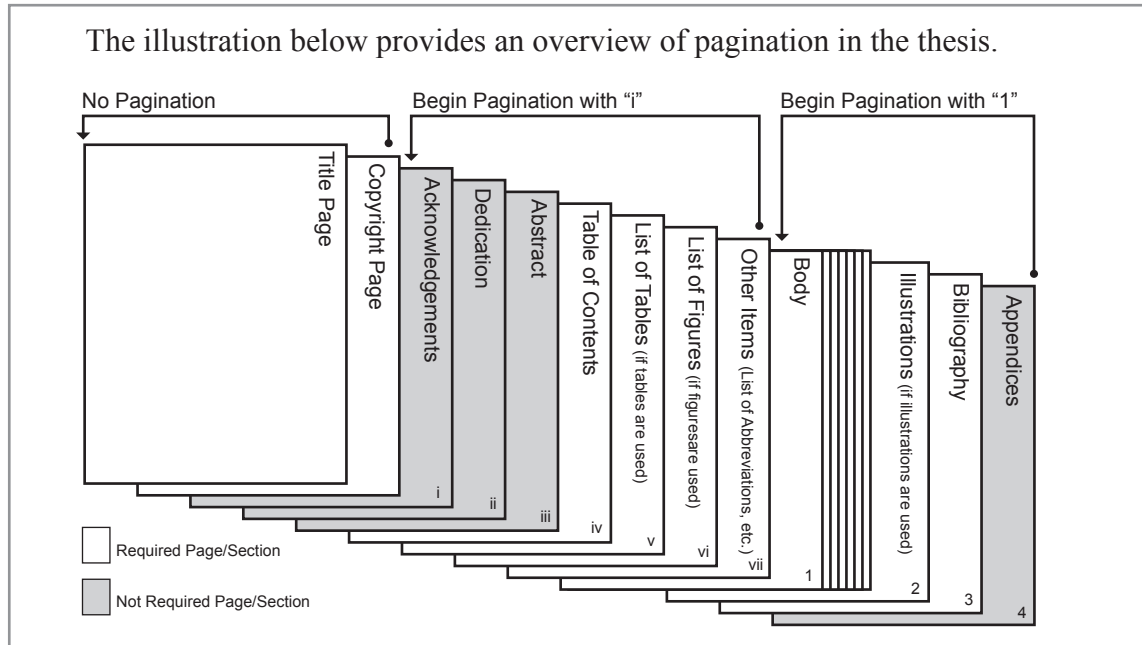
Once the thesis is approved by GSSP no further changes can be made to the thesis.

✱ Formatting Guidelines Checklist

This checklist will help to ensure that all prescribed formatting guidelines for the thesis have been met, and that formatting errors that will delay thesis submission and may delay degree conferral can be avoided.

- ☐ The top, right, and bottom margins are at least 1 inch (2.6 cm); the left margin is at least 1.5 inches (3.9 cm).
- ☐ The manuscript is formatted so that the page numbers, headers, footers, charts, and graphs do not appear in the margins.
- ☐ The title page and copyright page are not numbered; all other introductory pages are numbered in correct order, beginning with a lowercase Roman numeral one (i).
- ☐ The title page has the correct month and year listed. Month and year must correspond to the month and year that all requirements are completed (not necessarily month/year of the defense).
- ☐ No page numbers, figures appear in the left-hand margin.
- ☐ The name listed on the signature and title pages is the official name on record with the University.
- ☐ The Table of Contents includes all sections (and the corresponding page numbers) following the Table of Contents.
- ☐ Landscape pages have correct page number placement and margins.

- ❑ Standard font (see acceptable fonts on page 2), in 10-point or larger is used; the manuscript is double or 1½ spaced.
- ❑ The bibliography is comprehensive and included as the last section of the thesis (unless appendices are included in which the appendices would be the last section).
- ❑ The first page of the body of the text starts with Arabic numeral 1, and is numbered consecutively, on every page, through the rest of the body, including bibliography, and appendices.



SUBMITTING AND PUBLISHING

✴ Submitting the thesis

The thesis must be submitted online and approved by GSSP by 4 p.m. on or before the last business day of the intended month of degree completion. Any questions can be directed to gssp@umn.edu.

Before beginning the submission process, the student must ensure that:

1. The thesis is in its final version. Once submitted, revisions cannot be made unless the student is instructed by GSSP to do so.
2. The full text of the thesis is in **one** file.
3. The full text of the thesis is in PDF format.
 - If the text is not already in PDF format, a converter is available on ProQuest's submission site.
 - If the PDF converter is used, check the document for accuracy before uploading. (**Note:** it may take one or more days to receive the converted PDF. Please plan accordingly.)

4. The complete file size of the document is less than 1000MB (subject to change).
5. You must have an active email account to create a ProQuest account (Students must monitor that email on a regular basis).
6. Once the above steps have been completed, the thesis is submitted at z.umn.edu/umnthesis

✴ Supplementary files

If supplementary materials (e.g., audio, video, and spreadsheets) are part of the thesis, students can submit them as supplementary files during the online submission process. Provide a description of each supplementary file or files in the abstract of the thesis. Do not embed media files in the PDF. Media files significantly increase the size of the PDF making it difficult to download and access.

✱ U of M Digital Conservancy

The University of Minnesota Digital Conservancy is an open access digital repository program administered by the University Libraries. Depositing your thesis in the Conservancy means that it will be freely accessible online to the public. It does not have any impact on copyright or any other intellectual property rights, which are retained by the student. Theses deposited in the Conservancy should be considered permanently accessible.

✱ Materials submitted to GSSP (160 Williamson Hall)

In addition to submitting the thesis online, students must submit the additional documents, in hard copy format, to GSSP (160 Williamson Hall) no later than the last business day of the intended month of degree completion.

TITLE PAGE

Students must submit one copy of the title page, formatted according to the specifications outlined in the Formatting section of this document.

DEPOSIT AGREEMENT FORM

1. Students must sign and submit a Deposit Agreement Form for the University Digital Conservancy, the University of Minnesota's open access digital repository. (See "University of Minnesota Digital Conservancy.")

2. The Deposit Agreement Form is available in the graduation packet and online at z.umn.edu/depagree

UMNSED (doctoral students only)

The University of Minnesota Survey of Earned Doctorates (UMNSED) is a reporting tool completed only by doctoral students. Your responses to this survey will be used to assess and improve the graduate education experience at the University and beyond.

The survey requires an x.500 ID and password, but responses to the survey will be kept confidential. To access the survey, please go to z.umn.edu/umnshed

Technical questions can be directed to bostr007@umn.edu. For all other questions, contact gssp@umn.edu.

SIGNATURE PAGE

1. Students must submit one copy of the signature page with **original signature(s)**.

2. The page should be formatted according to the specifications outlined in the Formatting section of this document.

3. The page is signed by the adviser (and co-adviser if applicable) to confirm they have seen and approve of the final version of the thesis. Original signature required.

4. Students should not include the signature page in the electronic version. Templates for the signature page are available at z.umn.edu/thesissubmit

See Signature Page example below:

<p>UNIVERSITY OF MINNESOTA</p> <p>This is to certify that I have examined this copy of a [Master's thesis] or [Doctoral dissertation] by</p> <p>[Official name on record with the University of Minnesota]</p> <p>and have found that it is complete and satisfactory in all respects, and that any and all revisions required by the final examining committee have been made.</p> <div style="text-align: center;"> <p>_____</p> <p>Name of Faculty Adviser</p> <p>_____</p> <p>Signature of Faculty Adviser</p> <p>_____</p> <p>Date</p> </div>
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✱ Materials for Submission Quick Reference Guide

ITEM TO SUBMIT	FORMAT REQUIRED	WHERE TO SUBMIT	NOTES
Signature page	Hard copy	160 Williamson Hall	1 copy with original signatures
Title page	Hard Copy	160 Williamson Hall	1 copy
Deposit Agreement form	Hard copy	160 Williamson Hall	Available online
UMNSED	Electronic	Online at z.umn.edu/umnshed	DOCTORAL STUDENTS ONLY
Thesis	Electronic	Online at z.umn.edu/umnthesis	Must be one file in PDF format
Abstract	Electronic	Online at z.umn.edu/umnthesis	Master's: 150 words or less Doctoral: 350 words or less
Payment	Electronic	Online at z.umn.edu/umnthesis	\$55 copyright fee (optional) <i>Fees are subject to change</i>

✱ Publication

The University of Minnesota requires publication of all theses. To meet this requirement, the Publishing Agreement must be completed as part of the online submission to ProQuest. Students must also submit the Deposit Agreement form to GSSP (160 Williamson Hall), which allows distribution of the thesis through the University Digital Conservancy.

ProQuest will electronically reproduce the full text of the thesis abstract in Dissertation or Theses Abstracts Online. “ProQuest’s computerized search and retrieval system will cite your thesis in response to any inquiry using search items included in your title or abstract. Researchers...can also search ProQuest’s database and place orders online (Publishing your Dissertation, 2007).” Additionally ProQuest will sell hard copies upon request.

“ProQuest will pay a 10% royalty on ALL sales of your thesis. Royalty payments must exceed \$10 in a calendar year to be paid (Publishing your Dissertation, 2007).” Publication by electronic submission does not preclude publication later by other methods. Please note that the Publishing Agreement grants ProQuest the right to distribute theses and abstracts by electronic means.

Students retain the copyright to the thesis and may republish the work in whole or in part without obtaining permission from ProQuest, the University Digital Conservancy or the University of Minnesota Library.

COST

Students can elect to have ProQuest register the copyright for a fee of \$55. These fees are subject to change; contact ProQuest for current rates. The optional copyright fee is completed online at the time of thesis submission.

ABSTRACT

1. Submission of the abstract is done online with the thesis submission.

2. ProQuest does not have a word limit on the abstract submitted separately from the thesis. They will publish print indices. These print indices have a required word limit of 350 words for doctoral abstracts and 150 words for master’s abstracts. If the abstract exceeds these word limits, ProQuest will truncate the abstract and remove any non-text content.

3. The abstract will be available to scholars who may wish to learn more about the thesis topic before ordering a copy of the thesis through ProQuest.

COPYRIGHT

There are two aspects to copyright considerations:

Copyrighting the thesis

The Copyright Act adopts the principle of “automatic copyright.” Works created after January 1, 1978 are copyrighted under the federal statute upon their creation. A work is “created” when it is fixed in a tangible form of expression (e.g., written or drawn on paper; sculpted or made; placed on film, disc, or videotape; or recorded on sound tape or saved as a computer file). Copyright registration is not a condition of copyright protection. Even though registration is not a requirement for protection, the copyright law provides several inducements or advantages to encourage copyright owners to make registration, including the ability to sue for infringement. Registration of copyrights with the U.S. Copyright Office may be made for all works before or after publication.

Copyright notice consists of the symbol © or the word “copyright,” the name of the owner of the copyright, and the year that the work was created. This notice should be affixed in a manner and location that give reasonable no-

tice of the copyright claim.

If ProQuest is to register a copyright for the thesis on the student's behalf with the Library of Congress (of which the U.S. Copyright office is a subsidiary), the Copyright Authorization on the Publishing Agreement section must be completed online. The cost of this method of copyrighting is currently \$55.00. This fee is subject to change; consult GSSP for the current rate.

Using copyrighted materials

The Copyright Act provides for the legislative recognition of "fair use" of copyrighted materials for purposes such as criticism, comment, news reporting, teaching (including multiple copies for classroom use), scholarship, or research, is not an infringement of copyright. The student, as author, bears the responsibility of determining whether "use" is fair or not. In determining whether the "use" in any particular case is "fair use," the factors to be considered include:

- The purpose and character of the "use," including whether such "use" is of a commercial nature or is for nonprofit educational purposes;
- The nature of the copyrighted work;
- The amount and substantiality of the portion used in relation to the copyrighted work as a whole;
- The effect of the "use" upon the potential market for or value of the copyrighted work

Note: If a thesis includes materials from journal articles or other publications authored by the student, a letter authorizing use of this material must be obtained from the publisher and submitted to GSSP if the student did not retain sufficient rights to include the material in the thesis. Consult publication agreements to determine what rights were retained. The letter must be submitted to GSSP along with the Deposit Agreement Form.

Students may also consult University Libraries with questions related to copyright at 612-624-6536 or copyinfo@umn.edu. Their website also provides students with helpful information and can be viewed at www.lib.umn.edu/copyright/. The Libraries can provide information about copyright but not legal advice.

Questions regarding patent and trademark are of a legal nature and should not be considered lightly. For questions, legal counsel should be consulted. GSSP staff is not authorized to answer legal questions.

✱ Thesis/Dissertation hold request

Students may need to delay the release of the thesis. Considerations that are likely to be deemed reasonable for granting permission to restrict dissemination include:

- Patentable rights in the work or other issues in which disclosure may be detrimental to the rights or interests of the author.
- The ethical need to prevent disclosure of sensitive or classified information about persons, institutions, technologies, etc.
- The interest of an academic or commercial press in acquiring the rights to publish your thesis or thesis as a book.
- Content that is likely to be submitted to a peer-reviewed journal.

In accordance with University of Minnesota Regent's policy regarding withholding of research results, a six month, one-year, or two-year embargo on the release of the student's thesis to the public may be requested. During this period, GSSP will not release the thesis to the public. The hold period begins immediately after the official degree conferral date (last business day of graduation month). Students wishing to embargo the thesis must do so directly through the GSSP by following the procedure outlined below.

Students are required to request embargoes directly through GSSP. A hold may be requested by completing a Thesis/Dissertation Hold Request form downloaded from policy.umn.edu/forms/otr/otr197.pdf. The form must be signed by the student's adviser(s) and submitted to GSSP by the last business day of the intended month of degree completion.

After the requested embargo time expires, the thesis will be released to Proquest and the University Libraries, including the University Digital Conservancy for circulation. Students will not be contacted once the embargo has expired and are solely responsible for requesting to renew the embargo before the expiration date. Students who wish to renew the embargo or have the embargo lifted prior to the expiration date, must contact the GSSP at gssp@umn.edu.

ProQuest has assembled information that may assist in deciding if a hold is needed. The information can be found at z.umn.edu/embargo

ORDERING THESIS COPIES

To order copies of the thesis for graduate program or personal use, students can use any one of the following options: the University of Minnesota Bindery, the publishing company Proquest/UMI, or other printing companies such as Kinkos. Information about outside printing/binding companies is readily available online.

Note: The University of Minnesota does not endorse or recommend any printing/binding company. Students are not required to use any of the options listed below for ordering personal/graduate program copies. GSSP does not provide binding services.

✻ **University of Minnesota Bindery**

1. Provides Class A and soft cover binding
2. Provides photocopy services
3. Several copy centers located around campus
4. Contact 612-626-0507 or visit the Bindery website www.bindery.umn.edu/thesis.htm for up-to-date prices and services

✻ **ProQuest/UMI**

1. Provides hard cover and soft cover binding
2. Copies are only available printed double-sided
3. More information regarding pricing contact ProQuest at 800 521 0600 ext. 77020
4. Delivery times may vary; average delivery time is 3-4 months.
5. Students who embargo the thesis will not have the copies shipped until after the embargo period expires.
6. For questions regarding thesis orders and delivery contact ProQuest at, 800-521-0600, ext. 77020.