

The University of Minnesota Graduate School



Preparing the Thesis/Design Project

Formatting ▪ Submitting ▪ Publishing

Plan A and Professional Engineering Only

Graduate Student Services and Progress Office · 612-625-3490
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Table of Contents

Introduction	2
Before you Begin	2
Section 1: Formatting the Master’s Thesis	3
Mechanics and Formatting Specifications	3
Margins.....	3
Acceptable Fonts	3
Pagination	4
Introductory Material	4
Figure 1: Order of Introductory Material	6
Body of the Manuscript	7
Table 1: Order and Pagination of the Thesis	8
Page Numbering Using Microsoft Word (PC).....	8
Page Numbering Using Microsoft Word (MAC)	9
Formatting Landscape Pages.....	10
Published Work Included as Part of the Thesis.....	11
Corrections and Revisions	12
Thesis Writing Support.....	12
Section 2: Submitting the Master’s Thesis	13
Overview of Submission Options	13
Option 1: Graduate School Thesis Submission (Electronic).....	14
Submitting the Electronic Thesis	14
Converting Documents to PDF	15
Materials Submitted to GSSP	16
University of Minnesota Digital Conservancy	16
Thesis Embargo Request.....	17
Option 2: Graduate School Thesis Submission (Paper).....	19
Submitting the paper thesis	19
Paper and Volumes	19
Illustrative Materials.....	19
Thesis Embargo Request.....	20
Materials Submitted to GSSP	21
Option 3: ProQuest Thesis Submission (Electronic)	22
Submitting the Thesis to ProQuest.....	22
Publication, Copyright, and Distribution of the Thesis	23
Cost	24
Abstract	24
Copyright	24
University of Minnesota Digital Conservancy	26
Thesis Embargo Request	27
Section 3: Appendices	29
Appendix A—Formatting Guidelines Checklist	29
Appendix B—Ordering Copies for Graduate Program or Personal Use.....	30
Appendix C—Thesis Submission Comparison Guide	31

Introduction

The master's Plan A thesis or design project (thesis) is not only a representation of a student's academic work but also a reflection on the faculty adviser, the graduate program, the Graduate School, and the University of Minnesota. Once a student has submitted a thesis to the Graduate School, it will be available for other scholars to view. Professional, consistent presentation of this work is essential. The following information has been assembled so students can know what the Graduate School requires in order to successfully present the culmination of their efforts as a master's student.

This document outlines the formatting specifications for preparing the thesis. **Students are required to follow these guidelines. The Graduate School will accept only theses that meet these requirements. Failure to apply these standards may result in the delay of a student's degree conferral.** In addition to the Graduate School's formatting guidelines, students should be sure to follow stylistic conventions of their graduate program. Because these 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 University Libraries staff may also be consulted for information about style manuals.

Before submitting the thesis, students are encouraged to contact the Graduate Student Services and Progress (GSSP) office in 316 Johnston Hall, (gsmast@umn.edu) with any questions about this manual, or if they would like the thesis to be reviewed for formatting.

Before You Begin

Students should keep the following in mind when putting together the thesis for submission:

- The Graduate School has provided simple thesis templates for master's students working in either Microsoft Word or LaTeX, available online at http://www.grad.umn.edu/current_students/masters/submission.html. Students using the templates remain responsible for ensuring that the thesis meets the Graduate School's formatting guidelines outlined in this document as well as requirements of their graduate program and field-specific guidelines.
- 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.
- Upon submission of the thesis, students may expect to receive notice of required formatting updates. Typically, these are minimal.

SECTION 1: FORMATTING THE MASTER'S THESIS

Mechanics and Formatting Specifications

Margins

- Every page of the thesis, including all appendices, notes, and the bibliography, must have a **left** margin of **at least** 1.5 inches (3.9cm), and **top**, **right**, and **bottom** margins of **at least** 1 inch (2.6cm).
- Nothing can appear in the margins, which means that no page numbers, text, tables, graphs, charts, parts of illustrations, etc., can appear in the margin area.
- Before submitting the final version of the thesis, the Graduate School suggests printing sample pages to measure the margins and ensure that they conform to the specifications outlined above.

Acceptable Fonts

- Standard fonts, such as Times New Roman, Helvetica, Arial, and Courier, are accepted by the Graduate School.
- Students should confer with their faculty adviser or DGS to ensure that the chosen font meets graduate program requirements.
- The Graduate School requires at minimum a 10-point font for the body of the text.
- The Graduate School accepts the use of different fonts to set off examples, quotations, tables, and charts from the rest of the text, as long as all fonts are of a similar size and 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**. Students should confer with their faculty adviser or DGS to ensure that use of various fonts and font sizes meets graduate program requirements as well.

Spacing

- The Graduate School requires that the body of the thesis be double-spaced or 1½-spaced.
- 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 sections in their theses. Page numbers may appear only in the upper or lower right corners or the bottom center of the page. Page numbers on the left side of the page are not acceptable.

Introductory Material

- The title page, copyright page, acknowledgments, dedication, abstract, table of contents, list of tables, and list of figures are considered the introductory material of the manuscript.
- The title page and copyright page must not be numbered or counted. Page numbers for the rest of the introductory material is required, expressed in lower-case Roman numerals, beginning with page “i.”
- Introductory material must appear in the order shown in Figure 1.
- The thesis may include other items that should be listed in the introductory material, such as notations, list of abbreviations, etc. These items should be included **at the end** of the introductory materials identified above, keeping with the numbering scheme outlined below. If it is unclear whether or not a section should be included with the standard introductory pages, please contact GSSP (gsmast@umn.edu , 316 Johnston Hall).

Signature Page

- The adviser (and co-adviser if applicable) must sign the signature page to confirm seeing and approving the final version of the thesis.
- A specially designed signature page, with a sketch of Northrop Auditorium in the background, is available in 316 Johnston Hall.

Title Page

- The title page, which is **not numbered or counted**, must be included as the first page of the thesis.
- The month and year that degree requirements were met must be included (not necessarily the month and year the student defends).
- 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.
- The title page must include only one title for the thesis.
- The student’s name listed on the title page must be the official name on record with the Office of the Registrar.

Copyright Page

- The copyright page, which is **not numbered or counted**, is required.
- Even if the student is not registering the thesis with the U.S. Copyright Office, a copyright page is required to protect their original work.
- The copyright page is separate from the title page. The student's official name on record with the Office of the Registrar, 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.

Dedication Page

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

Abstract

- Including an abstract in the thesis is optional.
- If included, it is numbered in lower-case Roman numerals and counted.

Table of Contents

- A table of contents is **required**.
- It is numbered in lower-case Roman numerals and counted.
- The table of contents must include corresponding page numbers referencing each section.

List of Tables

- A page with a list of tables is required if tables are included in the thesis.
- The list must include the table number, title, and corresponding page number for each table.
- It is numbered in lower-case Roman numerals and counted.
- The list of tables must be represented in the table of contents.

List of Figures

- A list of figures page is required if figures are included in the thesis.
- The list must include the figure number, title, and corresponding page number for each figure.
- It is numbered in lower-case Roman numerals and counted.

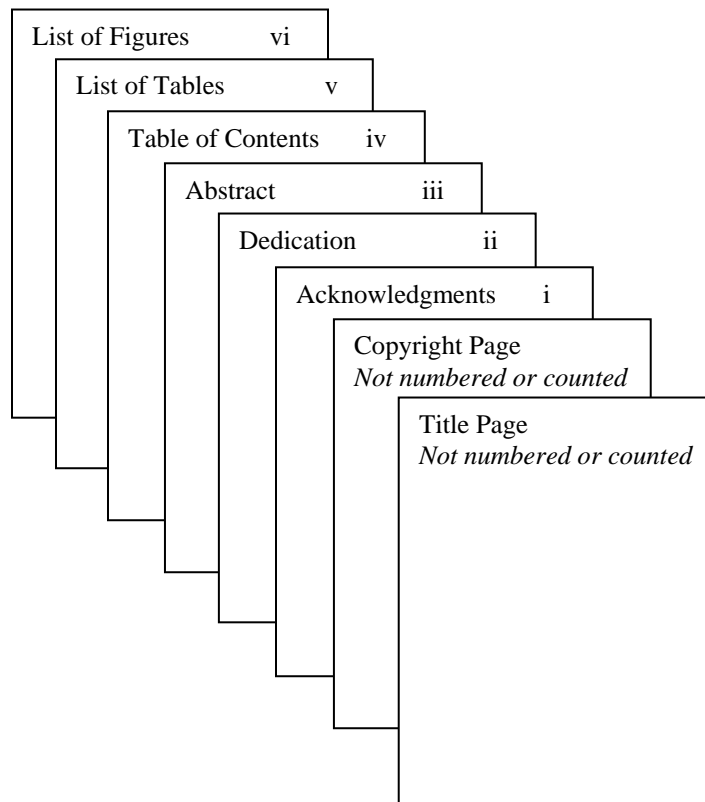
- The list of figures must be represented in the table of contents.

Other Items

- If other pages are included with the introductory materials (e.g. list of abbreviations, list of notations, etc.), they must be numbered in lower-case Roman numerals and counted as well as represented in the table of contents.

Figure 1: Order of Introductory Material

This figure is for illustrative purposes only and shows a basic example of how introductory pages must be numbered. If any of these items is longer than one page, the additional pages must be numbered consecutively. Reminder: Not all these will include the optional pages.



Body of the Manuscript

- The main text, illustrations, bibliography, and appendices are considered the body of the manuscript.
- Every page in the body of the text, through the bibliography and appendices, must be numbered in **Arabic numerals** starting with page 1.
- The first page of the body of the manuscript (introduction, chapter one, etc.), must start with an Arabic numeral one (1). If it is unclear whether a section counts as part of the body of the manuscript, please contact GSSP (gsmast@umn.edu).

Illustrations

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

Bibliography

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

Appendices

- The appendices are 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.
- Consecutive page numbering, from the main text through the appendices, using Arabic numerals, must be used.
- If appendices are used, they must appear as the last section of the thesis and must be represented in the table of contents.

Table 1: Order and Pagination of Thesis

This table shows the proper pagination and arrangement of the entire manuscript. It also indicates whether a page is optional or required.

Page/Section	Required	Pagination
Title page	Yes	No
Copyright page	Yes	No
Acknowledgments	No	Yes; begin "i" here (if page included)
Dedication	No	Yes
Abstract	No	Yes
Table of contents	Yes	Yes
List of tables	Yes (if tables used)	Yes
List of figures	Yes (if figures used)	Yes
Other items (list of abbreviations, etc.)	Yes (if included)	Yes
Body	Yes	Yes; begin "1" here
Bibliography	Yes	Yes
Appendices	No	Yes

Page Numbering Using Microsoft Word (PC)

The following instructions are compatible with Office suites 2003 or earlier.

Formatting page numbers within margins

1. Go to "File."
2. Choose "Page Setup."
3. Click on the "Layout" tab.
4. If page numbers are placed at the top of the page, change the "Header" field to **at least** 1 inch (2.6cm). If page numbers are placed at the bottom of the page, change the "Footer" field to **at least** 1 inch (2.6cm).

Formatting using both Roman and Arabic numerals

1. Keep both the introductory material and the body in one document.
2. Click on the first page of the document and go to: Insert→Page Numbers→Format. Change number format to "i, ii, iii...". This will number your entire thesis with lower-case Roman numerals.
3. Click on the first page of the body of the thesis, before the first letter on that page, and go to: Insert→Break→Section Break Types. Click on "Continuous" and "Okay."
4. Keeping your cursor on the same page, go back to Insert→Page Numbers→Format. Change number format to "1, 2, 3..." and click

on "Start at 1." This will keep the introductory pages numbered with lower-case Roman numerals and the rest of the thesis numbered with Arabic numerals.

If page numbers appear on the title page and copyright page, please see the troubleshooting section of the thesis templates available online at http://www.grad.umn.edu/current_students/masters/submission.html

Page Numbering Using Microsoft Word (MAC)

Formatting page numbers within margins

1. Go to "File."
2. Choose "Page Setup."
3. In the "Page Settings" list, select Microsoft Word.
4. Then click on "Margins."
5. If page numbers are placed at the top of the page, change the "Header" field to **at least** 1 inch (2.6cm). If the page numbers are placed at the bottom of the page, change the "Footer" field to **at least** 1 inch (2.6cm).

Formatting using both Roman and Arabic numerals

1. Keep both the introductory materials and body in one document.
2. Click on the first page of the document and go to: Insert→Page Numbers→Format. Change number format to "i, ii, iii...". This will number your entire thesis with lower-case Roman numerals.
3. Click on the first page of the body of the thesis, before the first letter on that page, and go to: Insert→Break→Section Break (continuous).
4. Keeping your cursor on the same page, go back to Insert → Page Numbers → Format. Change number format to "1, 2, 3..." and click on "Start at 1." This will keep the introductory pages numbered with lower-case Roman numerals and the rest of the thesis numbered with Arabic numerals.

If page numbers appear on the title page and copyright page, please see the troubleshooting section of the thesis templates available online at http://www.grad.umn.edu/current_students/masters/submission.html

Formatting Landscape Pages

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

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

Please see Figure 2 for an example.

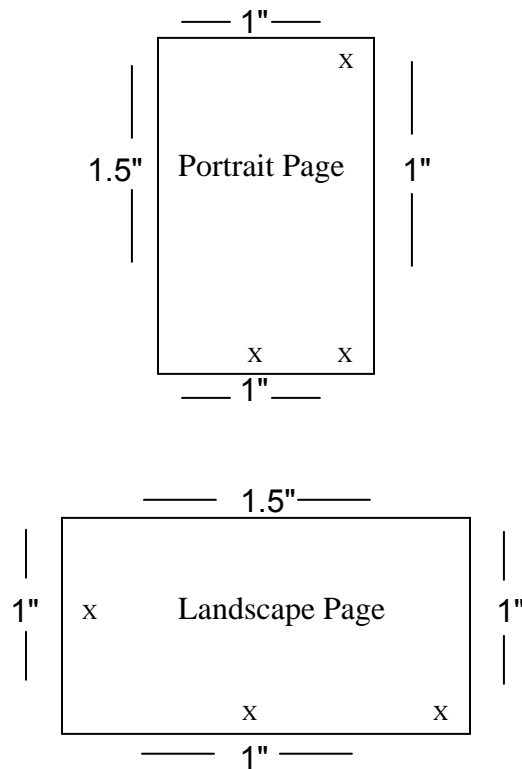


Figure 2: Format of Landscape Pages

This figure is not to scale and is provided to illustrate how landscape pages should be formatted. The X's indicate the acceptable placement of page numbers, and the measurements indicate acceptable margins along that side.

Published Work Included as Part of the Thesis

The thesis may include materials that have been published while the author has been a University of Minnesota graduate student. A letter authorizing use of this material must be obtained from the publisher, and a copy of this letter must be submitted to GSSP upon completion of the thesis.

If work has not yet been published but there are plans to publish part of the materials, the student's adviser(s) must notify the Graduate School in writing of the intention to publish a part of the material. The Graduate School's approval is not required.

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

1. The thesis must read as one cohesive document.
2. One set of introductory materials (dedication, abstract, table of contents, etc.) 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.
3. A comprehensive bibliography, not usually permitted by journals, must be included as the last section of the submitted thesis.
4. 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.
5. 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.
6. Students whose manuscripts include more than the student's research must make others' contributions clear in the thesis.
7. 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 the Graduate School. 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) before submission to the Graduate School.

Thesis Writing Support

The Graduate School Writer's Nexus (<http://www.grad.umn.edu/gradwriting/>) is a valuable one-stop connection to a multitude of resources and support for graduate students' thesis and dissertation writing. Through the Writer's Nexus, students can quickly link to resources to help them identify funding opportunities, use the libraries, handle statistics, and write their thesis or dissertation. The Writer's Nexus also links students to support groups and other useful information to help them stay on track during the writing stage. A section devoted to issues specific to international students is also included.

SECTION 2: SUBMITTING THE MASTER'S THESIS

Overview of Submission Options

Master's students have three options in which to submit their completed thesis document. These options are outlined briefly below.

Students may elect to do **only one** of the following options:

Option 1: Graduate School Thesis Submission (Electronic)

Electronic submission is the Graduate School's preferred submission option. Students submit a PDF of their thesis to a designated e-mail account, mastetd@umn.edu; a paper copy of the thesis is no longer needed. This option is free as students no longer need to pay the binding fee. Students submitting electronically are required to participate in the University of Minnesota Digital Conservancy, which allows the thesis to be viewed for free by the public. To complete the Electronic Submission process, please see page 14.

OR

Option 2: Graduate School Thesis Submission (Paper)

Students who elect not to participate in the University of Minnesota Digital Conservancy, or who cannot submit electronically, must submit two unbound paper copies of the thesis to 316 Johnston Hall. Students are also required to pay a **\$10 binding fee**. Students who submit paper copies are **not** eligible to participate in the University of Minnesota Digital Conservancy. To complete the Paper Submission process, please see page 19.

OR

Option 3: ProQuest Thesis Submission (Electronic)

Students who elect to publish their thesis through ProQuest must submit a PDF of their thesis electronically to ProQuest's Web site. Students submitting electronically to ProQuest are required to participate in the University of Minnesota Digital Conservancy, which allows the thesis to be viewed for free by the public. Students must also pay a **\$55 publishing fee** online at the time of submission. Submission of the thesis through ProQuest satisfies the Graduate School's thesis requirement. To complete submission to ProQuest, please see page 22.

Option 1: Graduate School Thesis Submission (Electronic)

The Graduate School strongly encourages students to use the electronic format for thesis submission because of the advantages offered in terms of cost, convenience, and accessibility. Students electing to submit electronically are **required** to participate in the University of Minnesota Digital Conservancy. Those electing not to participate must complete Option 2: Paper Thesis Submission, described on page 19.

Cost: Free! Students submitting electronically do so at no cost, in addition to saving costs associated with paper, printing, and copying hard copies of the thesis.

Convenience: Students can submit their theses from anywhere in the world with internet access, eliminating the need to arrange for delivery of the thesis to the Graduate School.

Accessibility: Students submitting electronically are eligible to participate in the University's Digital Conservancy, which allows the thesis to be viewed for free by the public.

Submitting the Electronic Thesis

The thesis must be submitted by the end of business no later than the last working day of the intended month of degree completion. Please follow the directions below to submit your thesis. Any questions can be directed to gsmast@umn.edu.

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

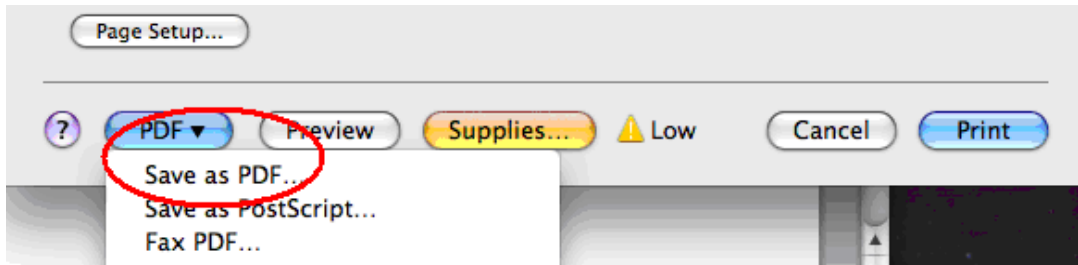
- ___ The thesis is in its final version. Once submitted, revisions cannot be made unless the student is instructed by GSSP to do so.
- ___ The full text of the thesis is in **one** file and in Adobe PDF format.
- ___ The complete file size of the document is less than 25MB (due to e-mail restrictions). If the file size is larger than 25MB, students must contact the Graduate School at gsmast@umn.edu.
- ___ A copy of the signature page is **not included** in the electronic submission.
- ___ The final PDF document is titled as such: last name_first name Month Year.
For example: Gopher_GoldyOctober2009.pdf

Once the checklist above has been completed, the thesis is submitted to mastetd@umn.edu. Students must include the following in the subject line of the e-mail: last name, first name, month and year of graduation.

Converting Documents to PDF

Macintosh

The ability to create PDF documents is built in to Mac OS X. From any application, the print dialog box will have an option to save the document as PDF:



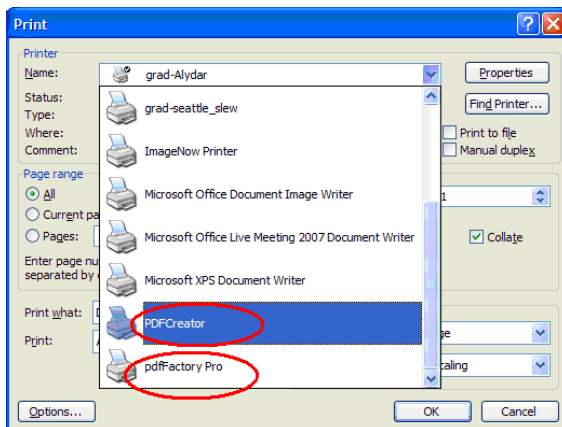
Windows

If you have **Adobe Acrobat Professional** (not the free Acrobat Reader) installed, you will have the ability to create PDF documents from any application (such as Word).

If you do not have Acrobat Professional, two free options are listed here. You may need to contact the IT support staff in your graduate program or the University's technology helpline (612-301-4357) for installation help.

- **FinePrint pdfFactory Pro** is available on Academic Computing's DVD tower (your IT support will have access to this)
- **PDFCreator** is available at <http://www.pdfforge.org/products/pdfcreator/download>

After installation, the PDF option will appear along with your other printers in the print dialog: File > Print...



Materials Submitted to GSSP (316 Johnston Hall)

In addition to submitting the thesis electronically, students must submit (in person or via mail) the following documents—in hard copy format—to the Graduate Student Services and Progress (GSSP) office, 316 Johnston Hall, on or before the end of business no later than the last working day of the intended month of degree completion.

Signature Page

- Students must submit one copy of the signature page with original signature(s) and formatted according to the specifications outlined in Section 1 of this document.
- The signature page is signed by the adviser (and co-adviser if applicable) to confirm seeing and approving the final version of the thesis.
- Students should **not** include the signature page in the electronic version.

Title Page

- Students must submit one copy of the title page formatted according to the specifications outlined in Section 1 of this document.

Deposit Agreement

- Students submitting electronically must sign and submit the Deposit Agreement form electing to participate in the University Digital Conservancy (the University of Minnesota's open-access digital repository). See University of Minnesota Digital Conservancy, below.
- The Deposit Agreement form is available in the graduation packet and online at http://www.grad.umn.edu/current_students/forms/DA.pdf.

University of Minnesota Digital Conservancy (UDC)

Students submitting the thesis in digital format are required to make the thesis available through the University of Minnesota Digital Conservancy, an open-access digital repository program administered by University Libraries. Depositing your thesis in the conservancy means that it will be freely accessible online to the public. Depositing your thesis in the conservancy 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.

What is the University Digital Conservancy?

The University Digital Conservancy is an open-access online archive of original works created by University of Minnesota faculty, staff, and students. Theses of those students who elect not to deposit in the UDC will still be accessible through the University Libraries, in either paper or electronic form.

Why add my thesis to the University Digital Conservancy?

The University Digital Conservancy is a great way to make your work visible to others and to preserve the published record of your work at the University of Minnesota. The University Digital Conservancy provides:

- Free, worldwide open access to your thesis
- Increased access and visibility through higher search engine rankings
- Full text indexing
- Long-term digital preservation and a permanent URL for your thesis

What about copyright?

You own the copyright to your thesis. Contributing your work to the UDC does not change its copyright status. When you agree to have your thesis deposited in the UDC, you grant the University nonexclusive rights to make your thesis available online, to make copies for preservation purposes, and to create descriptive metadata about your work that will enhance discovery of your work by others. Your work will be protected by U.S. copyright law to the same extent it would be if the user checked out your print-bound thesis from the library. More information about copyright of your thesis is available at <http://www.lib.umn.edu/copyright/dissertations>

Will my thesis be available in University Libraries?

Yes. The Graduate School requires that all theses, whatever their format, be accessible to the public in University Libraries once any embargo period has expired. If you submit your work to the conservancy, that will serve as the official and permanent University Libraries copy.

More information on making your thesis available through the conservancy is accessible at <http://conservancy.umn.edu/dissertations>. Theses not made accessible through the conservancy will still be catalogued in University Libraries, and a copy of the thesis will be managed by and made available by University Libraries at the conclusion of any embargo period.

Thesis Embargo Request

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

Students are required to request embargos directly through the Graduate School. An embargo may be requested by completing a Thesis/Dissertation Embargo Request form, obtained in 316 Johnston Hall or downloaded from http://www.grad.umn.edu/current_students/forms/g20.pdf. The form must be signed by the student's adviser and submitted to GSSP no later than the last working day of the intended month of graduation.

After the requested embargo time expires, the thesis will be released for circulation. Students will not be contacted once the embargo has expired and are solely responsible for renewing the embargo request before the expiration date. Students who wish to renew the embargo or have the embargo lifted before the expiration date must contact the Graduate School at gsmast@umn.edu.

Students who have chosen to publish their thesis through ProQuest should be aware that ProQuest will not process the charges for publishing and copyright until after the embargo is lifted and the thesis released.

Table 2: Materials for Electronic Submission—Quick Reference Guide

Item Submitted	Format Required for Submission	Where to Submit	Notes
Signature page	Hard copy	316 Johnston Hall	1 copy Original signature(s)
Title page	Hard copy	316 Johnston Hall	1 Copy
Deposit Agreement form	Hard copy	316 Johnston Hall	Available online at http://www.grad.umn.edu/current_students/forms/DA.pdf or in the graduation packet
Thesis	Electronic	E-mail to: mastetd@umn.edu	<ul style="list-style-type: none"> ▪ Must be one file in PDF format ▪ Less than 25MB ▪ Must be titled: last name _ first name Month Year

Option 2: Graduate School Thesis Submission (Paper)

Students are strongly encouraged to submit their theses electronically using Option 1, described on page 14. In the event a student cannot submit electronically, they must contact the Graduate Student Services and Progress (GSSP) office in 316 Johnston Hall (gsmast@umn.edu) to discuss paper submission. If submitting a paper version of the thesis students must adhere to the guidelines outlined in Section 1 as well as the following.

Submitting the Paper Thesis

Students completing this option are required to submit two unbound copies of the thesis to 316 Johnston Hall by the end of business no later than the last working day of the intended month of degree completion.

Paper

The thesis must be printed **single sided** on 8 ½ x 11-inch white paper. One copy of the thesis must be on acid-free or cotton paper. The original document or a copy of the original is acceptable. If photocopies are included in the thesis, care must be taken to ensure acceptable reproductions. Photocopies must be made from the original, and all pages must have high contrast with consistently dark print throughout the thesis.

Size of Volumes

Due to binding considerations, theses more than two inches thick must be separated into two or more volumes. A title page, in correct format, must be included at the beginning of each volume and must include the volume number in the upper-case Roman numerals (Volume I, Volume II, etc.) centered underneath the title. Each volume must have a complete table of contents. A copy of the initial table of contents (from the first volume) for the second volume is acceptable, but it must be numbered correctly (i, ii, iii).

Illustrative Material

- All illustrative materials (e.g., figures, tables, charts, and graphs) must have a figure number and a page number and must conform to the margin specifications, regardless of where the figure caption is located.
- The caption of an illustration may appear on the page facing the illustration if the reverse side of that facing page is blank. This facing page (facing the illustration) should also include a page number. The page number (on the facing page) should be located on the left side or bottom center to allow for binding. Please note that this is the only instance in

which it is acceptable to include two pages of text that face each other and have the page number on the left side of a page.

Tables, Charts, and Graphs

- Students may choose to include tables, charts, and graphs as separate materials at the end of the thesis (in an appendix) or embedded within the text. Students should consult their program to ensure that they are adhering to their program's stylistic conventions.
- Reduced photocopies of tables, charts, and graphs are acceptable if they are legible and within the specified margins. If the material is illegible after reduction, full-sized fold-out copies may be used. Care must be taken (for binding purposes) not to fold paper into the left side margin. Oversized material submitted separately—for example, in a mailing tube—is **not** acceptable.
- If hand lettering or drawing is necessary, a permanent black-ink pen may be used. Felt-tip pens must not be used, as the ink may bleed through to adjacent pages.
- Captions may be single-spaced.

CD ROMS and Discs

- CD ROMS and discs included with the thesis must be submitted in an envelope and clearly marked with the author's name, graduation month and year, and title of the thesis.
- Students also must indicate what supplemental material is being included (e.g., additional charts, graphs, color images, or databases). These supplemental materials must be in one document, and PDF format is recommended.

Thesis Embargo Request

In accordance with University of Minnesota Regents policy regarding withholding 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, the Graduate School will not release the thesis to the public. The embargo period begins immediately after the official degree conferral date (last working day of graduation month). Students wishing to embargo the thesis must do so directly through the Graduate School by following the procedure outlined below.

Students are required to request an embargo directly through the Graduate School. An embargo may be requested by completing a Thesis/Dissertation Embargo Request form, obtained in 316 Johnston Hall or downloaded from http://www.grad.umn.edu/current_students/forms/g20.pdf. The form must be

signed by the student’s adviser and submitted to GSSP no later than the last working day of the intended month of graduation.

After the requested embargo time expires, the thesis will be released for circulation. Students will not be contacted once the embargo has expired and are solely responsible for renewing the embargo request before the expiration date. Students who wish to renew the embargo or have the embargo lifted before the expiration date must contact the Graduate School at gsmast@umn.edu.

Students who have chosen to publish their thesis through ProQuest should be aware that ProQuest will not process the charges for publishing and copyright until after the embargo is lifted and the thesis released.

Table 3: Materials for Paper Submission—Quick Reference Guide

Students submitting a paper thesis must submit the following materials to GSSP, 316 Johnston Hall, on or before the end of business no later than the last working day of the intended month of graduation. Students are asked to allow sufficient time for review of the thesis and submission of materials and to arrive in the GSSP office no later than 4 p.m. The quick reference guide below outlines what materials need to be submitted. More detailed information about each item can be found in Section 1 of this document.

Item Submitted	Format Required for Submission	Where to Submit	Notes
Signature page	Hard copy	316 Johnston Hall	1 copy with original signature(s)
Title page	Hard copy	316 Johnston Hall	1 copy
Thesis	Hard copy	316 Johnston Hall	<ul style="list-style-type: none"> ▪ 2 copies (1 copy on acid-free or cotton paper) ▪ Unbound ▪ Formatted to the specifications outlined in Section 1
Payment		316 Johnston Hall	<ul style="list-style-type: none"> ▪ \$10 total ▪ Exact cash or check acceptable ▪ Checks made payable to the University of Minnesota

Option 3: ProQuest Thesis Submission (Electronic)

The University of Minnesota does **not** require publication of the master's thesis. Students who wish to do so may submit their thesis electronically to ProQuest. Students using this option are required to participate in the University of Minnesota Digital Conservancy. Those electing not to participate must complete Option 2: Paper Thesis Submission on page 19.

Submitting the Thesis to ProQuest

The thesis must be submitted online on or before the end of business no later than the last working day of the intended month of degree completion. Please follow the directions below to submit the thesis online to ProQuest. Any questions can be directed to gsmast@umn.edu.

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

- The thesis is in its final version. Once submitted, revisions cannot be made unless the student is instructed to do so by GSSP.
- The full text of the thesis is in **one** file.
- The full text of the thesis is in Adobe 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 that it may take one or more days to receive the converted PDF, so please plan accordingly.
- The complete file size of the document is less than 100MB.
- A copy of the signature page is **not included** in the electronic submission.
- A credit or debit card is readily available for online payment.

Once the checklist above has been completed, the thesis is submitted at <http://www.etsadmin.com/umn>. Follow the instructions included on the Web site.

Materials Submitted to GSSP (316 Johnston Hall)

In addition to submitting the thesis online to ProQuest, students must submit the following documents—in hard copy format—to GSSP, 316 Johnston Hall, on or before the end of business no later than the last working day of the intended month of degree completion.

Signature Page

- Students must submit one copy of the signature page with original signature(s).
- The signature page is signed by the adviser and the co-adviser, if applicable, to confirm seeing and approving the final version of the thesis.
- Students **should not** include the signature page in the electronic version.

Title Page

- Students must submit one copy of the title page formatted to the specifications outlined in Section 1 of this document.

Deposit Agreement

- Students submitting online to ProQuest must sign and submit a Deposit Agreement form electing to participate in the University Digital Conservancy, the University of Minnesota's open-access digital repository. See information about the conservancy on page 26.
- The Deposit Agreement form is available in the graduation packet and online at http://www.grad.umn.edu/current_students/forms/DA.pdf.

Publication, Copyright, and Distribution of the Thesis

The University of Minnesota does **not** require publication of the master's thesis. In order to submit the thesis to ProQuest, students must complete the Publishing Agreement, which is submitted online to ProQuest along with the electronic submission of the thesis. Students must also submit the Deposit Agreement form to GSSP, 316 Johnston Hall, allowing distribution of the thesis through the University of Minnesota Digital Conservancy.

ProQuest will produce and store a microfilm negative, as well as electronically reproducing the full text of the thesis abstract in *Thesis 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 Master's Thesis*, 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 \$10.00 in a calendar year to be paid." (*Publishing your Master's Thesis*, 2007)

Publication by online submission does not preclude publication later by other methods. Please note that the Publishing Agreement form grants ProQuest the right to distribute theses and abstracts by electronic means.

Cost

- The fee for publishing a thesis is currently \$55. ProQuest will register the copyright for an additional fee of \$65 (see copyright section below for more information). These fees are subject to change; contact GSSP for current rates.
- Payment of the publishing fee and optional copyright fee is completed online at the time of submission. The following electronic payment types are acceptable: Visa, MasterCard, American Express, or a debit card with a major credit card company logo on it.

Abstract

- Submission of the abstract is done online with the thesis submission.
- ProQuest no longer has a word limit on the abstract submitted separately from the thesis. Note, however, that ProQuest will continue to publish print indices, which do have a word limit of **350 words**. If the abstract exceeds these word limits, ProQuest will truncate the abstract and remove any non-text content.
- The abstract will be available to other scholars who may wish to learn more about the thesis topic before ordering a copy through ProQuest.

Copyright

There are two aspects to copyright considerations: (a) copyright of the thesis, and (b) the use in the thesis of material copyrighted by others.

(a) The Copyright Act adopts the principle of “automatic copyright.” Works created after January 1, 1958, 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. While registration with the Library of Congress and use of a copyright notice are not conditions for securing the initial copyright for these works, “registration” and “notice” are still important. If you fail to observe these formalities, especially upon publication, your material may not be legally protected. Registering your copyright with the U.S. Copyright Office will establish a public record and allow you additional legal rights. 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 notice of the copyright claim.

If ProQuest is to register a copyright for a thesis on the student’s behalf with the Library of Congress (of which the U.S. Copyright Office is a

subsidiary), the copyright authorization in the publishing agreement section must be completed online. The cost of this method of copyrighting is currently \$65. This fee is subject to change; consult GSSP (gsmast@umn.edu) for the current rate.

(b) The Copyright Act provides for the legislative recognition of “fair use” of copyrighted materials. The fair use of copyrighted work 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 a 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 commercial in 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 and if the student did not retain sufficient rights to include the material in the thesis, a letter authorizing use of this material must be obtained from the publisher and submitted to GSSP. Consult publication agreements to determine what rights were retained. The letter must be submitted to GSSP along with the Deposit Agreement form. Read more about this in the section “Published Work Included as Part of the Thesis” in Section 1 of this document.

For questions related to copyright, students may also consult University Libraries at 612-624-6536 or copyinfo@umn.edu. Their Web site also provides students with helpful information: <http://www.lib.umn.edu/copyright/>. University Libraries can provide information but not legal advice about copyright.

Questions about patent and trademark are legal in nature and should not be considered lightly. For questions, legal counsel should be consulted. The Graduate School staff is not authorized to answer legal questions.

University of Minnesota Digital Conservancy (UDC)

Students submitting the thesis in digital format are required to make the thesis available through the University of Minnesota Digital Conservancy, an open-access digital repository program administered by University Libraries.

Depositing a thesis in the conservancy means that it will be freely accessible online to the public. Depositing a thesis in the conservancy 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.

What is the University Digital Conservancy?

The University Digital Conservancy is an open-access online archive of original works created by University of Minnesota faculty, staff, and students. Theses of those students who elect not to deposit in the UDC will still be accessible through the University Libraries in either paper or electronic form.

Why add my thesis to the University Digital Conservancy?

The University Digital Conservancy is a great way to make your work visible to others and to preserve the published record of your work at the University of Minnesota. The University Digital Conservancy provides:

- free, worldwide open access to your thesis
- increased access and visibility through higher search engine rankings
- full text indexing
- long-term digital preservation and a permanent URL for your thesis

What about copyright?

You own the copyright to your thesis. Contributing your work to the UDC does not change its copyright status. When you agree to have your thesis deposited in the UDC, you grant the University nonexclusive rights to make your thesis available online, to make copies for preservation purposes, and to create descriptive metadata about your work that will enhance discovery of your work by others. Your work will be protected by U.S. copyright law to the same extent it would be if the user checked out your print-bound thesis from the library. More information about copyright of your thesis is available at <http://www.lib.umn.edu/copyright/dissertations>

Will my thesis be available in the University Libraries?

Yes. The Graduate School requires that all theses, whatever their format, be accessible to the public in the University Libraries, once any embargo period has

expired. If you submit your work to the conservancy, that will serve as the official and permanent University Libraries copy.

More information on making your thesis available through the conservancy is accessible at <http://conservancy.umn.edu/dissertations>. Theses not made accessible through the Conservancy will still be catalogued in University Libraries, and a copy of the thesis will be managed by and made available by University Libraries at the conclusion of any embargo period.

Thesis Embargo Request

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

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After the requested embargo time expires, the thesis will be released for circulation. Students will not be contacted once the embargo has expired and are solely responsible for renewing the embargo request before the expiration date. Students who wish to renew the embargo or have the embargo lifted before the expiration date must contact the Graduate School at gsmast@umn.edu.

Students who have chosen to publish their thesis through ProQuest should also be aware that ProQuest will not process the charges for publishing and copyright until after the embargo is lifted and the thesis released.

Table 4: Materials for ProQuest Submission—Quick Reference Guide

Item Submitted	Format Required for Submission	Where to Submit	Notes
Signature page	Hard copy	316 Johnston Hall	1 copy with original signature(s)
Title page	Hard copy	316 Johnston Hall	1 copy
Deposit Agreement form	Hard copy	316 Johnston Hall	http://www.grad.umn.edu/current_students/forms/DA.pdf
Thesis	Electronic	Online at: http://www.etdadmin.com/umn	<ul style="list-style-type: none"> ▪ Must be one file in PDF format ▪ 100MB or less
Abstract	Electronic	Online at: http://www.etdadmin.com/umn	Should be 350 words or less. If more than 350, UMI will truncate in print indices
Publishing Agreement	Electronic	Online at: http://www.etdadmin.com/umn	
Payment	Electronic	Online at: http://www.etdadmin.com/umn	\$55* for publishing \$65* for copyright (<i>optional</i>) <ul style="list-style-type: none"> ▪ Payments accepted: Visa, MasterCard, American Express, debit card with major credit card logo *Fees are subject to change

Appendix A

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 would delay thesis submission and may delay degree conferral can be avoided.

___ The top, right, and bottom margins are **at least** 1 inch (2.6cm); the left margin is **at least** 1.5 inches (3.9cm).

___ The manuscript is formatted so that the page numbers, headers, footers, charts, graphs, etc., do not appear in the margins.

___ The signature page, title page, and copyright page are not numbered; all other introductory pages are numbered in correct order, beginning with a lower 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 the month and year of the defense).

___ The name listed on the signature page and title page is the official name on record with the Office of the Registrar.

___ The table of contents includes all sections (and the corresponding page numbers) following the table of contents.

___ The first page of the body of the text starts with an Arabic numeral one (1), and is numbered consecutively, on **every** page, through the rest of the body, including bibliography and appendices.

___ The bibliography is comprehensive and is included as the last section of the thesis (unless appendices are included, in which case the appendices are the last section).

___ Standard font, in 10 point or larger is used; the manuscript is double or 1½ spaced.

___ Landscape pages have correct page-number placement and margins. Please see the Figure 2: Format of Landscape Pages on page 10.

Appendix B

Ordering Thesis Copies for Graduate Program or Personal Use

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 microfilming company Proquest/UMI, or other printing companies such as Kinkos. Information about outside printing and binding companies is readily available online and in phone directories.

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

- University of Minnesota Bindery
 - Provides Class A and soft cover binding.
 - Provides photocopy services.
 - Several copy centers are located around campus.
 - Contact 612-626-0507 or <http://www.bindery.umn.edu/thesis.htm> for up-to-date prices and services.

- Proquest/UMI
 - Provides hardcover and soft cover binding.
 - More information about pricing and products can be found online at <http://www.proquest.com/en-US/>. Note: Students who wish to order copies of their theses through ProQuest must submit their theses electronically to ProQuest (Option 3) and pay the additional publishing fees.
 - Delivery times vary.

Appendix C

Thesis Submission Comparison Guide

	Option 1 GS Electronic	Option 2 GS Paper	Option 3 ProQuest Electronic
Signature page	<ul style="list-style-type: none"> ▪ 1 hard copy to 316 Johnston Hall ▪ Original signature of adviser 	<ul style="list-style-type: none"> ▪ 1 hard copy to 316 Johnston Hall ▪ Original signature of adviser 	<ul style="list-style-type: none"> ▪ 1 hard copy to 316 Johnston Hall ▪ Original signature of adviser
Title page	<ul style="list-style-type: none"> ▪ 1 hard copy to 316 Johnston Hall 	<ul style="list-style-type: none"> ▪ 1 hard copy to 316 Johnston Hall 	<ul style="list-style-type: none"> ▪ 1 hard copy to 316 Johnston Hall
Deposit Agreement	<ul style="list-style-type: none"> ▪ Hard copy to 316 Johnston hall 	N/A	<ul style="list-style-type: none"> ▪ Hard copy to 316 Johnston hall
Thesis	<ul style="list-style-type: none"> ▪ E-mail to: mastetd@umn.edu 	<ul style="list-style-type: none"> ▪ 2 unbound hard copies submitted to 316 Johnston Hall 	<ul style="list-style-type: none"> ▪ Online at http://www.etsadmin.com/umn
Payment	N/A	<ul style="list-style-type: none"> ▪ \$10 total ▪ Check or exact cash 	<ul style="list-style-type: none"> ▪ \$55* for publishing ▪ \$65* for copyright (optional) ▪ Paid online <p style="font-size: small;">*fees subject to change</p>
Abstract	N/A	N/A	<ul style="list-style-type: none"> ▪ Online at http://www.etsadmin.com/umn
Publishing Agreement	N/A	N/A	<ul style="list-style-type: none"> ▪ Online at: http://www.etsadmin.com/umn