

UNIVERSITY OF MINNESOTA

Graduate School



**Preparing the Doctoral Dissertation**  
Formatting ▪ Submitting ▪ Publishing

Graduate Student Services and Progress Office · 612-625-3490  
316 Johnston Hall · 101 Pleasant St SE · Minneapolis, MN 55455

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## Table of Contents

<b>Introduction</b> .....	<b>2</b>
<b>Before you Begin</b> .....	<b>2</b>
<b>Section 1: Formatting the Doctoral Dissertation</b> .....	<b>3</b>
Mechanics and Formatting Specifications .....	<b>3</b>
Margins .....	<b>3</b>
Acceptable Fonts .....	<b>3</b>
Troubleshooting for embedding fonts.....	<b>3</b>
Spacing .....	<b>4</b>
Pagination .....	<b>4</b>
Introductory Material .....	<b>4</b>
Figure 1: Order of Introductory Material.....	<b>6</b>
Body of Manuscript .....	<b>7</b>
Table 1: Order and Pagination of Dissertation.....	<b>8</b>
Page Numbering Using a Mac .....	<b>9</b>
Formatting Landscape Pages .....	<b>10</b>
Published Work Included as Part of the Dissertation .....	<b>11</b>
Corrections and Revisions .....	<b>12</b>
Dissertation Writing Support .....	<b>12</b>
<b>Section 2: Submitting and Publishing the Doctoral Dissertation</b> .....	<b>13</b>
Submitting the Electronic Dissertation .....	<b>13</b>
Supplementary files.....	<b>13</b>
Materials submitted to GSSP .....	<b>14</b>
Publication, Copyright, and Distribution of the Dissertation .....	<b>15</b>
Dissertation Embargo Request .....	<b>17</b>
University of Minnesota Digital Conservancy .....	<b>18</b>
<b>Section 3: Appendices</b> .....	<b>19</b>
Appendix A—Formatting Guidelines Checklist .....	<b>19</b>
Appendix B—Ordering Copies for Personal or Graduate Program Use .....	<b>20</b>
Appendix C—Electronic Submission Quick Reference Guide .....	<b>21</b>

## Introduction

The dissertation 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 his/her dissertation to the Graduate School, it will be available for other scholars world-wide. Professional, consistent presentation of such work is essential. We have assembled this packet of information to assist students in their understanding of what the Graduate School requires in order to successfully present the culmination of their efforts as a doctoral student. As a condition of graduation, students are required to publish their dissertation.

This document outlines the formatting requirements as well as information regarding submitting and publishing the doctoral dissertation. **The Graduate School will accept only dissertations that meet these requirements. Failure to abide by 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 (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 dissertation, students are encouraged to contact the Graduate Student Services and Progress (GSSP) office in 316 Johnston Hall, ([gdoc@umn.edu](mailto:gdoc@umn.edu)) with any questions regarding this manual or if they would like the dissertation to be reviewed for formatting.

## Before you Begin

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

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

# SECTION 1: FORMATTING THE DOCTORAL DISSERTATION

## Mechanics and Formatting Specifications

### Margins

- Every page of the dissertation, 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 dissertation, 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 dissertation.
- 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 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 dissertation. The size of these characters should be no smaller than 9 points. Students should confer with their faculty adviser or DGS to ensure that use of various fonts/sizes meets graduate program requirements as well.
- Students must ensure that all fonts are true type embedded fonts. Manuscripts without true type embedded fonts can cause ALL punctuation and formatting to disappear if/when the document is printed from a digital file, and causes delays in the publishing process. Students should embed true type fonts at the completion of their final version of the dissertation prior to submission. For more specific information regarding embedded fonts, please see pages II and III of the document *Publishing your Doctoral Dissertation with UMI Dissertation Publishing* available online at <http://www.etsdadmin.com/cgi-bin/main/resources?siteId=79> under the heading of publishing guidelines.

### Troubleshooting for embedding fonts:

If the student encounters an error message during the online submission process regarding embedded fonts the student may try the following:

- If the student is using the converter from a Word document, try the ProQuest online PDF converter to see if that fixes the problem.

- If using Adobe Professional (embedded into Word) select the Adobe PDF menu on the top of the Word menu>choose 'Change Conversion Settings">click "Advanced Settings" button> click on the "fonts" folder on the left>in the "Never Embed" section delete all fonts> click "Ok". Next-convert the word document to PDF.

## Spacing

- The Graduate School requires that the body of the dissertation 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 the pages in their dissertation. 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 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, and expressed in lower-case Roman numerals, beginning with page "i".
- Introductory material must appear in the order shown in the figure below. Please also refer to Figure 1.
- The dissertation 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 ([gdoc@umn.edu](mailto:gdoc@umn.edu), 316 Johnston Hall).

## Title Page

- The title page, which is **not numbered or counted**, must be included as the first page of the dissertation.
- 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 dissertation **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 one title for the dissertation.
- 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 their dissertation with the U.S. Copyright Office, they are required by the Graduate School to include a copyright page.
- The copyright page is separate from the title page. 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 dissertation 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 dissertation.
- 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 Page

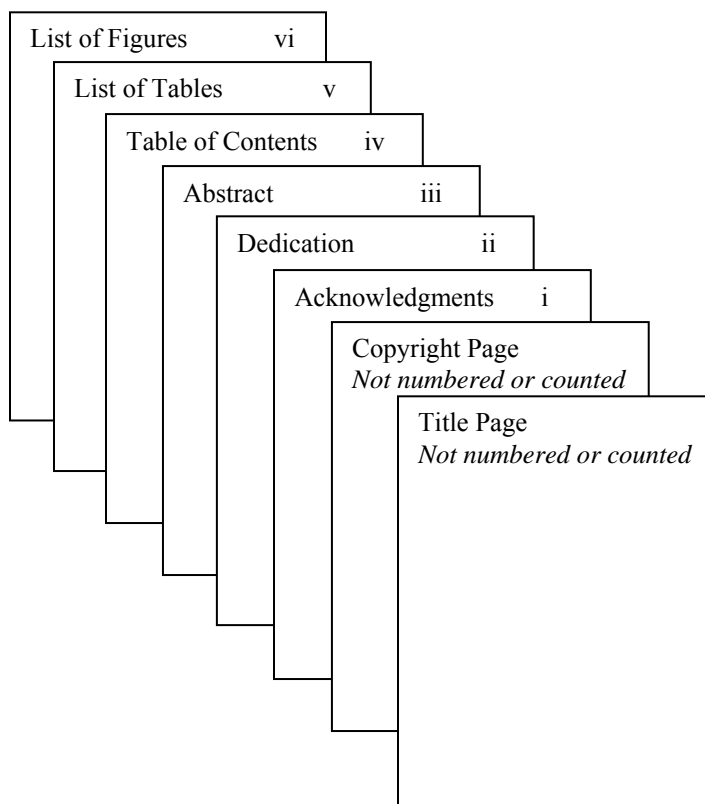
- A page with a list of figures is required if tables are included in the dissertation.
- The list must include the figure number, title, and corresponding page number for each table.
- It is numbered in lower-case Roman numerals and counted.
- The list of figures must be represented in the table of 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 dissertations 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 or chapter one, etc.), must start with an Arabic number one (1). If it is unclear whether a section counts as part of the body of the manuscript, please contact GSSP ([gdoc@umn.edu](mailto:gdoc@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 dissertation unless appendices are included.
- It is not acceptable to include separate references after each chapter in stead of a single cumulative bibliography at the end of the dissertation.
- The bibliography must be represented in the table of contents.

## Appendices

- The appendices are an integral part of the dissertation 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 should appear as the last section of the dissertation and should be represented in the table of contents.

## Table 1: Order and Pagination of Dissertation

(Note: The following 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
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 dissertation with lower case Roman numerals.
3. Click on the first page of the body of the dissertation, 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 preliminary pages numbered with lower case Roman numerals and the rest of the dissertation numbered with Arabic numerals.

If pages numbers appear on the title page and copyright page, please see the troubleshooting section of the dissertation templates available online at [http://www.grad.umn.edu/current\\_students/degree\\_completion/doctoral/ElectronicDissertationSubmission.html](http://www.grad.umn.edu/current_students/degree_completion/doctoral/ElectronicDissertationSubmission.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 dissertation with lower case Roman numerals.
3. Click on the first page of the body of the dissertation, 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 preliminary pages numbered with lower case Roman numerals and the rest of the dissertation numbered with Arabic numerals.

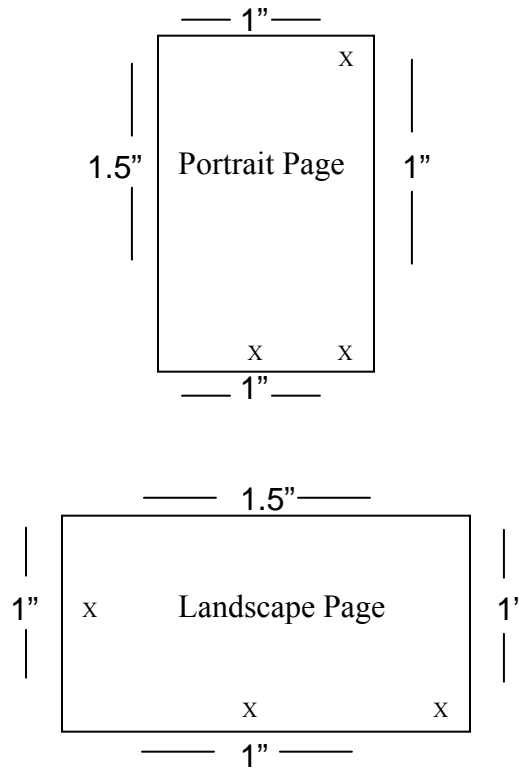
If pages numbers appear on the title page and copyright page, please see the troubleshooting section of the dissertation templates available online at [http://www.grad.umn.edu/current\\_students/degree\\_completion/doctoral/ElectronicDissertationSubmission.html](http://www.grad.umn.edu/current_students/degree_completion/doctoral/ElectronicDissertationSubmission.html).

## Formatting Landscape Pages

Students who choose to use landscape pages in the dissertation 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 the Figure 2 below 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 Dissertation

The dissertation 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 dissertation. Authorization letters must state that the copyright owner is aware that ProQuest may supply single copies on demand. If permissions are not supplied, ProQuest will not publish copyright materials. In addition, students who are submitting electronically and electing to deposit their dissertation in the University of Minnesota Digital Conservancy should be aware that work will be available for open access. Please consult publishing agreements to determine what rights were retained.

More information is available at <http://conservancy.umn.edu/dissertations>.

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.

Students wishing to delay publication of the dissertation can refer to the section 'Dissertation Embargo Request' on page 17.

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

1. The dissertation 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 dissertation.
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 dissertation.
5. The student must be listed as the sole author of the dissertation. 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' contribution clear in the dissertation.
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 dissertation document.

## **Corrections and Revisions**

The dissertation 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) prior to submission to the Graduate School.

## **Dissertation 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 unique issues for international students is also included.

## SECTION 2: Submitting and Publishing the Doctoral Dissertation

### Submitting the Electronic Dissertation

The dissertation must be submitted online on or before the end of business on the last working day of the intended month of degree completion. Please follow the directions below to submit the dissertation online. Any questions can be directed to [gsdoc@umn.edu](mailto:gsdoc@umn.edu).

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

- The dissertation 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 dissertation is in **one** file.
- The full text of the dissertation 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:** it may take 1 or more days to receive the converted PDF. Please plan accordingly.
- The complete file size of the document is less than 100MB.(subject to change).
- A copy of the signature page **is not included** in the electronic submission.
- An active email account to create a ProQuest account (Students must monitor that email on a regular basis).
- A credit card/debit card is readily available for online payment.

Once the checklist above has been completed, the dissertation is submitted at <http://www.etdadmin.com/umn>. Follow the instructions included on the website.

### Supplementary files

If supplementary materials - like audio, video, and spreadsheets - are part of the dissertation, students can submit them as supplementary files during the online submission process. Upload them as part of the submission process, and provide a description of each supplementary file or files in the abstract of the dissertation

- Do not embed media files in the PDF. Media files significantly increase the size of the PDF, making it difficult to download and access
- Upload media files as supplementary files. During online submission, students will be asked to upload any supplementary files.
- Describes files in your abstract:  
Add a description of each supplementary file in your abstract.

## Materials Submitted to GSSP (316 Johnston Hall)

In addition to submitting the dissertation online, students must submit 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 that seeing and approving the final version of the dissertation.
- Students should **not** include the signature page in the electronic version.
- A signature template is available at, [http://www.grad.umn.edu/current\\_students/degree\\_completion/doctoral/ElectronicDissertationSubmission.html#templates](http://www.grad.umn.edu/current_students/degree_completion/doctoral/ElectronicDissertationSubmission.html#templates).
- A specially designed signature page, with a sketch of Northrop Memorial Auditorium in the background is available in 316 Johnston Hall.

### 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 Form

- Students submitting electronically must sign and submit a Deposit Agreement Form if they elect to place a copy of the dissertation in the University Digital Conservancy (the University of Minnesota's open access digital repository). (See "University of Minnesota Digital Conservancy", on page 18).
- The Deposit Agreement Form is available in the graduation packet and on-line at, [http://www.grad.umn.edu/current\\_students/forms/DA.pdf](http://www.grad.umn.edu/current_students/forms/DA.pdf). For questions, email the GSSP office at [gdoc@umn.edu](mailto:gdoc@umn.edu).

### The University of Minnesota Survey of Earned Doctorates (UMNSED)

The University of Minnesota is committed to maintaining both high quality graduate programs and a high quality student experience. Your responses to this survey will be used to assess and improve the graduate education experience at the University of Minnesota and beyond.

- The UMNSED is a reporting tool used by the National Opinion Research Center (NORC) and the University of Minnesota to improve graduate education.
- Responses to the survey will be kept confidential.
- To access the survey, please go to the following link: <https://www.grad.umn.edu/umnsted>.
- The survey requires the X.500 ID and password.

- Technical questions can be forwarded to [bostr007@umn.edu](mailto:bostr007@umn.edu). All other questions may go to [gsdoc@umn.edu](mailto:gsdoc@umn.edu).

## Publication, Copyright, and Distribution of the Dissertation

The University of Minnesota requires publication of all doctoral dissertations. To meet this requirement, the Publishing Agreement must be completed and submitted online to ProQuest along with electronic submission of the dissertation.. Students must also submit the Deposit Agreement form to GSSP (316 Johnston Hall) allowing distribution of the dissertation through the University Digital Conservancy if they elect to deposit the dissertation there.

ProQuest will electronically reproduce the full text of the dissertation abstract in *Dissertation Abstracts Online*.

“ProQuest’s computerized search and retrieval system will cite your dissertation 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 dissertation. Royalty payments must exceed \$10.00 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 dissertations and abstracts by electronic means.

### Cost

- The fee for publishing a dissertation is currently \$65. 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 ([gsdoc@umn.edu](mailto:gsdoc@umn.edu)) for current rates.
- Payment of the publishing fee and optional copyright fee is completed online at the time of dissertation 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 dissertation submission.
- ProQuest no longer has a word limit on the abstract submitted separately from the dissertation. Note, however, that ProQuest will continue to publish print indices. These print indices do have a required 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 dissertation topic before ordering a copy of the dissertation through ProQuest.

## Copyright

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

a) 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 someone for infringement, should that occur. 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. Affixing a copyright notice is no longer required by law, but it is a good idea and is recommended. If ProQuest is to register a copyright for the dissertation 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 \$65.00. This fee is subject to change; consult GSSP 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 “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 dissertation 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 dissertation. Consult publication agreements to determine what rights were retained. The letter must be submitted to GSSP along with the optional Deposit Agreement Form (available in the graduation packet or 316 Johnston Hall). More information regarding this is in the section “Published Work Included as part of the Dissertation” included in section 1 of this document.

Students may also consult the University Libraries for questions related to copyright. They can be contacted at 612-624-6536 or [copyinfo@umn.edu](mailto:copyinfo@umn.edu). Their website also provides students with helpful information and can be viewed at <http://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. The Graduate School staff is not authorized to answer legal questions.

## **Dissertation Embargo Request**

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 dissertation to the public may be requested. During this period, the Graduate School will not release the dissertation 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 dissertation 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](http://www.grad.umn.edu/current_students/forms/g20.pdf). The form must be signed by the student’s adviser and submitted to GSSP on or before the last working day of the intended month of graduation.

After the requested embargo time expires, the dissertation 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 renewing the embargo request before the expiration date. Students who wish to renew the embargo, or have the embargo lifted prior to the expiration date, must contact the Graduate School at [gsdoc@umn.edu](mailto:gsdoc@umn.edu).

## **University of Minnesota Digital Conservancy (UDC)**

Students submitting the dissertation in digital format have the option of making the dissertation available through the University of Minnesota Digital

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## SECTION 3: Appendices

### Appendix A

#### Formatting Guidelines Checklist

This checklist will help to ensure that all prescribed formatting guidelines for the dissertation have been met, and that formatting errors that will delay dissertation 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 title page and copyright page are not numbered; all other introductory pages are numbered in correct order, beginning with a lower-case 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).

\_\_ The name listed on the signature and title pages 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 included as the last section of the dissertation (unless appendices are included in which the appendices would be the last section).

\_\_ Standard font (see acceptable fonts on page 3), 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 8 for example.

\_\_ No page numbers, figures, etc. appear in the left hand margin.

## Appendix B

### Ordering Dissertation Copies for Graduate Program or Personal Use

To order copies of the dissertation 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/binding companies is readily available online and in phone directories. Works that have been submitted to the University Digital Conservancy can also be downloaded and printed.

Note: The Graduate School 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. 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 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 hard cover and soft cover binding
  - More information regarding pricing and products can be found in the *Publishing your Doctoral Dissertation with UMI Dissertation Publishing* document available online at <http://www.etdadmin.com/cgi-bin/main/resources?siteId=79>
  - Delivery times may vary

## Appendix C

### Materials for Electronic Dissertation 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	<a href="http://www.grad.umn.edu/current_students/forms/DA.pdf">http://www.grad.umn.edu/current_students/forms/DA.pdf</a>
University of MN Survey of Earned Doctorates	Electronic	Online at: <a href="https://www.grad.umn.edu/umnsed">https://www.grad.umn.edu/umnsed</a>	
Dissertation	Electronic	Online at: <a href="http://www.etdadmin.com/umn">http://www.etdadmin.com/umn</a>	Must be <b>one</b> file in PDF format
Abstract	Electronic	Online at: <a href="http://www.etdadmin.com/umn">http://www.etdadmin.com/umn</a>	Should be 350 words or less. If more than 350, UMI will truncate in print indices
Publishing Agreement	Electronic	Online at: <a href="http://www.etdadmin.com/umn">http://www.etdadmin.com/umn</a>	
Payment	Electronic	Online at: <a href="http://www.etdadmin.com/umn">http://www.etdadmin.com/umn</a>	\$65*—publishing \$65*—copyright (optional) <ul style="list-style-type: none"> <li>• Payments Accepted: Visa, MasterCard, American Express, debit card w/ major credit card company logo</li> </ul> *Fees are subject to change