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INTRODUCTION

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

This document outlines the formatting requirements and submission guidelines of the University of Minnesota for graduate students to successfully present the culmination of their efforts. According to University policy, students are required to publish their thesis as a condition of graduation. Students who do not adhere to the required formatting may face a delay of their graduation and degree conferral.

In addition to the University's formatting requirements, 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.

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

* Before you Begin

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

1. The thesis must be submitted online and *approved* by GSSP by 4 pm on or before the last business day of the intended month of degree completion.
2. Students remain responsible for ensuring that the thesis meets the University's formatting requirements outlined in this document as well as program- and field-specific guidelines.
3. 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 (unless bibliographies are included at the end of each chapter) at the end of the thesis.
4. Upon submission of the thesis, students may receive notice of required formatting changes by email. Typically, these are minimal. Any requested revisions also need to be completed and submitted to GSSP by **4 pm on or before the last business day of the intended month of degree completion.**

FORMATTING

* Mechanics and Formatting Specifications

MARGINS

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

1. Margin size requirements:

At minimum, students must use 1 inch (2.6 cm) margins on all sides. It is also recommended that students consider using a 1.5 inch (3.9 cm) left margin if they intend to have their manuscript printed.

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

ACCEPTABLE FONTS

Standard fonts should be used for the thesis. **Students should confer with their faculty adviser or DGS** to ensure that chosen fonts meet graduate program requirements.

1. Recommended font types:

Times New Roman
Helvetica
Arial
Courier

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

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

SPACING

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

1. The body of the thesis must be double-spaced or 1½-spaced.

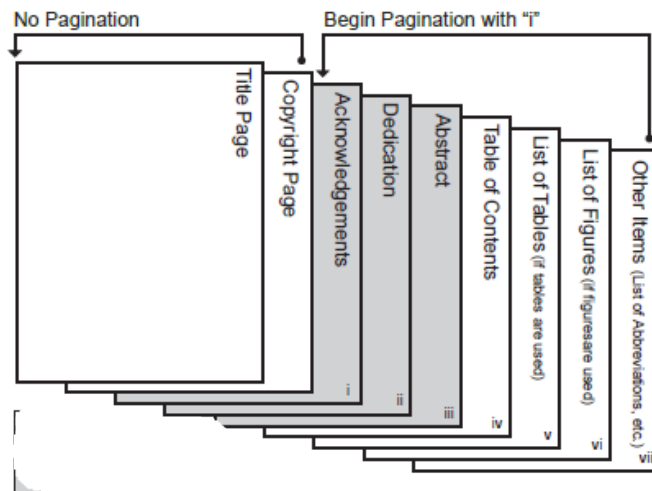
2. Long quotations, notes, and the bibliography may be single-spaced, unless the student's graduate program requires otherwise.

*Pagination

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

INTRODUCTORY MATERIAL

The introductory material of the thesis includes:



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

Title Page

1. The title page is included as the first page.
2. The title page is not to be numbered or counted.
3. The year that degree requirements were met must be included (not necessarily the year the student defends).
4. The title of the thesis must not contain chemical or mathematical formulas, symbols, superscripts, subscripts, Greek

letters, or other non-standard characters; words must be substituted.

5. The title page must include only one title.
6. The student's name listed on the title page may be the official name, preferred name, or degree name on record with the University.

See Title Page example below:

Title of Thesis

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

[Official, preferred, or degree name on record with the
University of Minnesota]

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

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

[Year of degree conferral]

Copyright Page

1. A copyright page is optional. Students own the copyright in their new work automatically, with or without a copyright statement.
2. If included, the copyright page must be separate from the title page and must not be numbered or counted.
3. A copyright statement would typically include the author's name (as it appears elsewhere in the thesis), the year of completion of the thesis or dissertation, and a copyright symbol © or the word "copyright."
4. Authors who wish to share their work with an open license can indicate that on a copyright page, with or without the traditional elements of a copyright statement.

Acknowledgments Page

An acknowledgments page is optional, but highly recommended. If included, it is numbered in lower-case Roman numerals (e.g., i, ii, iii) and counted.

Dedications Page

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

Abstract

An abstract in the thesis is optional, but highly recommended. (An abstract must be included as part of the ProQuest online submission process.) If included, it is numbered in lower-case Roman numerals and counted. Students may include their abstract with the introductory materials or at the beginning of each chapter. Students should use the appropriate standard for their field of study.

Table of Contents

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

List of Tables

If tables are included in the thesis, a page with a list of tables is recommended. Students should use the appropriate standard for their field of study. If included, list must follow these guidelines:

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

List of Figures

If figures are included in the thesis, a page with a list of figures is recommended. Students should use the appropriate standard for their field of study. If included, list must follow these guidelines:

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

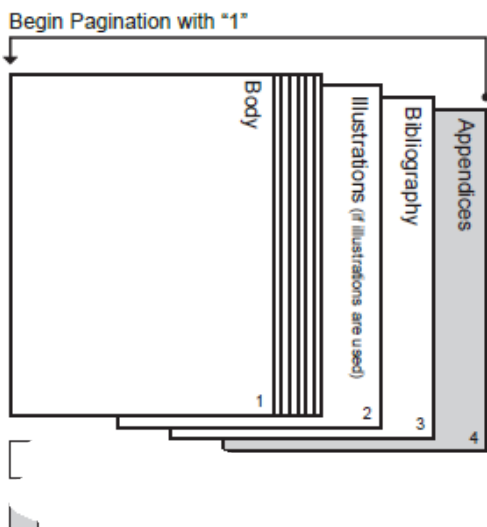
- It must be represented in the table of contents.

Other Items

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

BODY OF THE MANUSCRIPT

The body of the manuscript includes:



Every page in the body of the manuscript, through the bibliography and appendices, must be numbered in Arabic numerals (e.g., 1, 2, 3) starting with page 1.

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

Illustrations

- All illustrative materials (i.e., figures, tables, charts, and graphs) must have a figure number and a page number.
- All illustrative materials 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, prior to appendices, unless bibliographies are included at the end of each chapter.
- Students may include separate references after each chapter or include a cumulative bibliography at the end of the thesis.

Students should use the appropriate standard for their field of study.

- The bibliography must be represented in the table of contents.

Appendices

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

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

FORMATTING LANDSCAPE PAGES

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

- All margins must be at least 1 inch (2.6 cm). It is also recommended that students consider using a 1.5 inch (3.9 cm) left margin if they intend to have their manuscript printed.
- Page numbers cannot appear in the top margin

*** Including Published Works**

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

The following items must be completed to include a published work as part of the thesis:

- The author is responsible for knowing whether they have the right to include the work in their thesis, or if they need separate copyright permissions to do so.
 - If authors retained copyright ownership or retained a right to reuse their works as part of the prior publication process, the work can be reused.
 - If authors did not retain rights, many publishers still have blanket policies enabling author reuse. Check the publisher's information for authors to find out what reuses may be

pre-approved. Even when there is no public documentation of it, some journals have a standing policy allowing thesis/dissertation reuse. Asking editors can be a useful step here.

- If authors did not retain rights and policies don't allow reuse, separate permissions may be needed.
 - More information is available at <https://www.lib.umn.edu/services/copyright/acaduse#students> or contact copyinfo@umn.edu for assistance.
2. If all or part of the thesis is initially in a format appropriate for submission to a professional journal, the following guidelines apply:
- The thesis must read as one cohesive document.
 - One set of introductory materials (i.e., abstract, table of contents) is necessary as well as a suitable introduction, transition sections, a conclusion, and appendices (if applicable) that might not ordinarily be included in the published manuscript.
 - If a comprehensive bibliography is included (as opposed to bibliographies at the end of each chapter), it must be included as the last section of the submitted thesis.
 - The research must have been carried out under the direction of University of Minnesota graduate faculty and approved by the adviser for incorporation into the thesis.
 - The student must be listed as the sole author of the thesis. Editorial or substantive contributions with general significance made by others should be acknowledged in the introductory materials; more specific contributions should be acknowledged by footnotes where appropriate.
 - Students whose manuscripts include more than the student's research must make others' contribution clear in the thesis.
 - In rare circumstances use of manuscript reprints of the published articles themselves are acceptable if they are satisfactorily and legally reproduced and conform to all the formatting specifications outlined in this document. Reprints must conform to a style

consistent with the rest of the thesis document.

* Corrections and Revisions

The thesis should be free from error and ready in its final version before submission to GSSP. Any revisions required after the final defense by the examination committee must be approved by the adviser (as confirmed by the adviser's approval on the Thesis/ Dissertation Approval & Deposit Agreement) prior to submission. Once the thesis is approved by GSSP no further changes can be made to the thesis.

* Formatting Guidelines Checklist

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

- The margins are at least 1 inch (2.6 cm).
- The manuscript is formatted so that the page numbers, headers, footers, charts, and graphs do not appear in the margins.
- The title page and copyright page are not numbered; all other introductory pages are numbered in correct order, beginning with a lowercase Roman numeral one (i).
- The title page has the correct year listed. Year must correspond to the year the degree is awarded.
- No page numbers or figures appear in the left-hand margin.
- The name listed on the title page is either the official name, preferred name, or degree name on record with the University.
- The Table of Contents includes all sections (and the corresponding page numbers) following the Table of Contents.
- Landscape pages have correct page number placement and margins.
- Standard font (see acceptable fonts on page 2), in 10-point or larger is used; the manuscript is double or 1½ spaced.
- The bibliography is comprehensive and included as the last section of the thesis (unless bibliographies are included at the end of each chapter).
- The first page of the body of the text starts with Arabic numeral one (1) and is numbered consecutively, on every page, through the rest of the body, including bibliography, and appendices.

SUBMITTING AND PUBLISHING

* Submitting the Thesis

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

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

1. The thesis is in its final version. Once submitted, revisions cannot be made unless the student is instructed to do so.
2. The full text of the thesis is in **one** file.
3. The full text of the thesis is in PDF format.
4. The complete file size of the document is less than 1000MB (subject to change).
5. You must have an active email account to create a ProQuest account (students must monitor that email on a regular basis).

Once the above steps have been completed, the thesis is submitted at z.umn.edu/umnthesis.

* Supplementary Files

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

* U of M Digital Conservancy

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

* Materials Submitted Online

In addition to submitting the thesis online, students must submit the additional documents no later than the last business day of the intended month of degree completion.

THESIS/DISSERTATION APPROVAL AND DEPOSIT AGREEMENT FORM

Students must sign and submit the online form for Thesis/Dissertation Approval and Deposit Agreement:

z.umn.edu/thesis-dissertation-approval-deposit.

The form includes the deposit agreement for the University Digital Conservancy, the University of Minnesota's open access digital repository. (See "University of Minnesota Digital Conservancy" above.) It also includes the signature page, which is signed by the advisor (and co-advisor if applicable). The advisor(s) will confirm they have seen and approve of the final version of the thesis.

UMNSEED (doctoral students only)

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

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

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

* Materials for Submission Quick Reference Guide

ITEM TO SUBMIT	FORMAT	WHERE TO SUBMIT	NOTES
Thesis Approval and Deposit Agreement Form	Electronic	Online at z.umn.edu/thesis-dissertation-approval-deposit	
UMNSED	Electronic	Online at z.umn.edu/umnsted	DOCTORAL STUDENTS ONLY
Thesis	Electronic	Online at z.umn.edu/umnthesis	Must be one file in PDF format
Abstract	Electronic	Online at z.umn.edu/umnthesis	Masters: 150 words or less Doctoral: 350 words or less
Payment	Electronic	Online at z.umn.edu/umnthesis	\$75 copyright fee (optional) <i>Fees are subject to change</i>

Publication

The University of Minnesota requires publication of all theses. To meet this requirement, the Publishing Agreement must be completed as part of the online submission to ProQuest.

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

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

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

ABSTRACT

1. Submission of the abstract is done online with the thesis submission.
2. ProQuest does not have a word limit on the abstract submitted separately from the thesis. They will publish print indices. These print indices have a required word limit of 350 words for doctoral abstracts and 150 words for masters abstracts. If the abstract exceeds these word limits, ProQuest will

truncate the abstract and remove any non-text content.

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

COPYRIGHT

Copyright ownership

Copyrights come into existence at the same time a creative work does, so all theses and dissertations have a copyright automatically, and it usually belongs to the student. Submission of the thesis or dissertation does not change that.

A copyright statement or notice (typically the symbol © or the word "copyright," the name of the owner of the copyright, and the year that the work was created) is not required under current U.S. law but can be optionally included.

Some students' theses or dissertations may include work they have previously published. In these cases, the copyright for that portion of the thesis or dissertation that was previously published may belong to the previous publisher. Details will differ depending on the publication agreement, and the student/author is responsible for knowing whether they may legally include the material in the thesis. More information is available at <https://www.lib.umn.edu/services/copyright/acaduse#student>, or contact copyinfo@umn.edu for assistance.

Registration and Costs

Copyright registration is optional. It may convey some benefits to the author, especially if they might ever pursue legal action related to the work. If you don't register, and a legal issue arises later, you can

still register later, but late registration may reduce some of your legal options.

If you choose to register your work, there are two ways to do so; each involves a fee. Proquest offers an opportunity to register your work for a \$75 fee as part of the online submission process. You can also register the work directly with the Copyright Office (<http://www.copyright.gov/registration/>), for a \$45 fee. These fees are subject to change; check with ProQuest or on Copyright.gov for current rates.

Quoting or copying from existing works

Many theses and dissertations include existing material copied from other sources. Copyright may sometimes require legal permission in using those materials, although the doctrine of “fair use” does allow for some copying in the non-profit, research and education context.

Authors may also be able to copy from existing materials that are shared with open licenses (like Creative Commons licenses), that do not currently have a copyright, or when the author has permission. The author bears the responsibility of determining whether they can legally copy from existing materials.

Appropriate citation or credit is expected as a matter of academic ethics, but copyright is a separate issue. Citation/credit does not resolve copyright permissions issues.

More information is available at <https://www.lib.umn.edu/services/copyright/acaduse#students> or contact copyinfo@umn.edu for assistance.

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

*** Thesis/Dissertation Hold Request**

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

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

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

The student is required to request a hold by completing a Thesis/Dissertation Hold Request form at z.umn.edu/thesis-dissertation-hold-request. The form must be submitted by the last business day of the intended month of degree completion. It will be routed to the student’s advisor(s) for approval. Students requesting a hold are still required to submit the official thesis and Thesis/Dissertation Approval and Deposit Agreement before degree conferral.

After the requested hold time expires, the thesis will be released to ProQuest and the University Libraries, including the University Digital Conservancy, for circulation. Students will not be contacted once the hold has expired and are solely responsible for requesting to renew the hold before the expiration date. To have the hold lifted before to the expiration date, students must contact GSSP at gssp@umn.edu. To renew the hold, submit a hold extension at

z.umn.edu/thesis-dissertation-hold-request-extension.

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

ORDERING THESIS COPIES

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

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

*** University of Minnesota Bindery**

Provides Class A and soft cover binding as well as photocopy services. Several University of Minnesota Bindery centers are located around campus. Contact 612-625-9500 or visit the Bindery website <http://www.printing.umn.edu/printing/thesis-printing-binding.html> for up-to-date prices and services.

*** ProQuest/UMI**

Provides hard cover and soft cover binding. Copies are only available printed double-sided. For more information regarding pricing, contact ProQuest at 800-521-0600. Delivery times may vary, with an average delivery time of 3-4 months.

Students who embargo their thesis will not have thesis copies shipped until after the embargo period expires. For questions regarding thesis orders or delivery, contact ProQuest at 800-521-0600, ext. 77020.