

## PREPARATION OF THE DOCTORAL THESIS/PROJECT

After passing your final oral examination, you must submit **ONE UNBOUND** copy of your thesis to the Graduate School. Listed below are the specifications for preparing the copies of your thesis.

If you are not going to prepare the manuscript yourself, be sure to find a typist who is familiar with the Graduate School's requirements, or supply your typist with a copy of these requirements. **THE GRADUATE SCHOOL WILL ACCEPT ONLY THESE THAT MEET THESE REQUIREMENTS.** If you or your typist have any questions, contact the Graduate School staff in 316 Johnston Hall (612/625-0168).

### A. FORMAT OF THE THESIS

You must submit **ONE UNBOUND** copy of your thesis to the Graduate School. This copy will be sent to University Microfilms International in Ann Arbor, Michigan, for microfilming and will then be returned to circulate in the University library system. (Note: Your departmental office or your adviser(s) may require you to provide them with additional copies.) Your thesis must contain an adviser's signature page (see section 7. below), title page, a table of contents, list of tables and figures if you have them, and a bibliography; a page containing a copyright statement is optional. See the SAMPLE TITLE PAGE and FORMAT FOR COPYRIGHT NOTICE attached for the format to be used for the title page and the page carrying the copyright statement. **If your thesis is more than 2 inches thick, you must separate it into two or more volumes. A title page in correct format must appear at the beginning of each volume and must include the volume number (underneath the title) and each volume must have a complete table of contents.**

Music students only : For musical scores in an oversized format, the requirement that the thesis be submitted on 8½-x-11-inch paper will be waived. However, you must then submit **two** copies of your thesis to the Graduate School because it will not be microfilmed and thus we need a copy for the University Archive. This archival copy must be printed on 100% cotton 20# weight paper. In all other respects, including margins, typeface, etc., the thesis must conform to the format specifications described in this information sheet. In such cases, only the abstract, not the score itself, will be microfilmed. Contact the Graduate School in 316 Johnston for further information.

#### 1. PAPER

Your thesis must be printed on standard white copy or printer paper. Although we no longer require your thesis to be on archival paper (100% cotton or acid free 20# weight paper), you may still submit your thesis on this paper if you prefer.

G.S.#16 (6/00)

## 2. TYPE

Your thesis may be prepared on a typewriter or with a word processor. In either case, any easily readable standard type in pica or elite measure (10 or 12 pitch respectively), or of 10 points or larger, is acceptable. Print from a computer printer must be letter quality or near letter quality; standard "line printer" type is not acceptable. Script type is not acceptable. All print must be in permanent black ink and must appear on only one side of each page.

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.

In the body of the thesis, different typefaces may be used to set off examples, quotations, tables, and charts from the rest of the text, as long as all typefaces are of a similar size and are easily readable.

Footnotes, section headings, and chapter titles may be printed in typefaces and sizes different from those in the body of the thesis as long as they are easily readable. As with the rest of the thesis, print must appear on only one side of the page.

If photocopies are submitted, care must be taken to insure an acceptable reproduction (see #8 Illustrative Material). Photocopies must be made from the original, not from another copy, and all pages must have high contrast with consistently dark print throughout the thesis. The print must be permanent; it must not smudge. It is recommended that you work with a reputable copying firm or bindery when having your thesis reproduced.

## 3. MARGINS

Every page of the thesis, including all appendices, all notes, and the bibliography, must have a LEFT margin of 1½ inches (to allow room for binding) and TOP, RIGHT, and BOTTOM margins of 1 inch. Absolutely nothing must appear in the margins. This means that all page numbers, text, tables, parts of illustrations, etc, must be contained completely within the area bounded by the margins.

## 4. SPACING

The body of the thesis must be double-spaced (three lines of the text per inch) or 1½-spaced (four lines of text per inch). Long quotations, notes, and the bibliography may be single-spaced (six lines of text per inch).

## 5. PAGE NUMBERING

Every page in the body of the text must be numbered sequentially from the first page of the text right through the bibliography and appendices. Any materials before the body of the thesis -- such as acknowledgments, dedication, abstract, table of contents, or list of figures -- **must be numbered** with lowercase Roman numerals and must be arranged in that order after the copyright page (or title page if you do not include a copyright page). The signature, title, and copyright pages, however, **must not be numbered or counted**.

## 6. STYLE

Because stylistic conventions vary greatly from one field to another, you should consult with your adviser or director of graduate studies regarding recommended style manuals. If your field has no preferred style manual, the staff of the University Libraries can assist you in choosing one.

Your thesis must contain an adviser's signature page (see section 7. below), title page, a table of contents, list of tables and figures if you have them, and a bibliography; a page containing a copyright statement is optional. See the SAMPLE TITLE PAGE and FORMAT FOR COPYRIGHT NOTICE attached for the format to be used for the title page and the page carrying the copyright statement. **If your thesis is more than 2 inches thick, you must separate it into two or more volumes. A title page in correct format must appear at the beginning of each volume and must include the volume number (underneath the title) and each volume must have a complete table of contents.**

For music students submitting musical scores in an oversized format, the requirement that the thesis be submitted on 8½-x-11-inch paper will be waived. In all other respects, including the type of paper, margins, etc., the thesis must conform to the format specifications described in this information sheet. In such cases, only the abstract, not the score itself, will be microfilmed. Contact the Graduate School in 316 Johnston for further information.

## 7. SIGNATURE PAGE

The signature page must be the first page in the volume, immediately preceding the title page. Your adviser(s) must sign it in order to assure that he/she has seen and approved the final version of the thesis. If you have co-advisers, **both** faculty members must sign. See SAMPLE SIGNATURE PAGE attached for the format used for the signature page; a specially designed signature page also is available from the Graduate School in 316 Johnston Hall.

## 8. ILLUSTRATIVE MATERIAL

Photographs: You may insert photographs into the thesis in three ways. Photographs printed directly on 8½-x-11-inch photographic paper, double-weight with a glossy finish on which the image conforms to the margin specifications described above and includes the figure number and page number (in this instance only we will except the figure number and page number on the back of the photograph given the difficulty many students encounter putting it on the front).

You may photocopy the image as long as it is clearly legible, conforms to the margin specifications described above and includes the figure number and page number.

Photographs may also be permanently mounted using a heat- or pressure-sensitive dry-mounting process, such as Kodak Dry Mounting Tissues or Scotch 568 Positionable Mounting Adhesive Sheets. The adhesive material must be used on the entire back of the photograph, and the photograph must be permanently attached to the page. Other methods, such as library paste, rubber cement, spray mounting, or tape, are not acceptable: such mounting techniques are not permanent, and the adhesives used will eventually destroy both the paper and the photograph.

Label the backs of all photographs for identification if they become detached.

The description or title of an illustration may appear on the page facing the illustration if the reverse side of that facing page is blank. All figures must have a figure number and a page number on them regardless of where the figure caption is located.

Tables, charts, and graphs prepared on transparent film or produced by computer graphics devices should be photocopied onto the white paper you are using for the rest of your thesis. Reduced photocopies of tables, charts, and graphs are acceptable if legible and within the specified margins. If the material is illegible after reduction, full-sized fold-out copies must be used (contact the Graduate School for instructions). Oversized material submitted separately, as in a mailing tube, is not acceptable. If hand lettering or drawing is necessary a black ink pen may be used. Felt tip pens must not be used, since the ink will bleed through to adjacent pages.

Computer printouts must conform to the margin specifications and must be legible with high black and white contrast.

## 9. APPENDICES

The appendices are an integral part of the thesis and must conform to all the format specifications described in this information sheet including consecutive page numbering that continues from the numbering of the main text.

## 10. FINAL REVISIONS, CORRECTIONS, PREPARATION FOR MICROFILMING

Since acceptance of the thesis by the final oral committee constitutes approval for publication on microfilm, the copies must be ready for microfilming when submitted to the Graduate School. Thus, any revisions required after the examination must be made before the copies are submitted to your adviser(s) for signature.

Neither correction fluid nor white correction tape may be used in any copy submitted to the Graduate School. These materials destroy the paper, and correction fluid is transparent in microfilming.

## B. PUBLISHED WORK INCLUDED IN OR IN LIEU OF THE THESIS

Your thesis may include materials that you have published while a University of Minnesota graduate student. In this case you must obtain from the publisher a letter authorizing your use of this material; a copy of this letter must be included as part of your thesis.

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

1. the research must have been carried out under the direction of the graduate faculty and approved by your adviser for incorporation into the thesis;
2. your adviser should notify the Graduate School in writing of the intention to publish a part of the material (the Graduate School's approval is not required);
3. you 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 prefatory materials; more specific contributions should be acknowledged by footnotes where appropriate);
4. for manuscripts including more than your research, you must make your contribution clear to the committee;
5. a suitable introduction is required, as are transition sections that might not ordinarily be included in the published manuscript;

6. where appropriate, a comprehensive literature review, not usually permitted by journals, should be part of the submitted thesis;
7. appendices should be added to the manuscript as necessary to provide the comprehensiveness not ordinarily permitted by scholarly journals;
8. use of reprints of the manuscripts or the published articles themselves is acceptable if they are satisfactorily (and legally) reproduced on thesis-quality paper and conform to all the format specifications described in this information sheet.

## **C. PUBLICATION, COPYRIGHT, AND DISTRIBUTION OF THE THESIS**

The University of Minnesota requires publication of doctoral theses. To meet this requirement, you need to complete and sign the Doctoral Dissertation Agreement form. University Microfilms International (UMI) will produce and store a microfilm negative, print the abstract in Dissertation Abstracts, and sell microfilm positives or hard copy upon request. Publication by microfilm does not preclude publication later by other methods. Please note that the Doctoral Dissertation Agreement form grants UMI the right to distribute dissertations and abstracts by electronic means. If you do not wish to grant UMI that right, cross out and initial "electronic format" in the second paragraph on the back page of the form.

### **1. COST**

The fee for microfilming a thesis is currently \$75.00. If you wish UMI to register the copyright on your behalf, there is an additional fee of \$45.00. These fees are subject to change; contact the Graduate School for current rates. Checks or money orders must be made payable to the University of Minnesota and submitted to the Graduate School, 316 Johnston Hall, along with the signed Doctoral Dissertation Agreement form and two copies of your title page. The university will in turn pay UMI, as well as all shipping costs.

### **2. ABSTRACT**

One copy of the abstract (**not** your thesis prospectus) must be submitted to the Graduate School, 316 Johnston Hall. It must be signed by your adviser below the body of the text (you do not need a signature line). An additional copy of your abstract may be included in the thesis, if desired. Pages must be numbered and your full name and the number of words must be printed in the upper right-hand corner of the first page. The abstract must be double-spaced or 1 1/2-spaced and must conform to the same margin requirements as the body of the thesis. However, your name, the number of words and the adviser(s)' signature can be outside the margin. The abstract must not exceed 350 words; abstracts

exceeding 350 words will not be accepted. You do not need the title of your thesis on your abstract – just the word abstract centered above the text.

### **3. COPYRIGHT RELATED TO THE THESIS**

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

- a. With respect to the first, 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. While registration with the U.S. copyright Office 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 and you may forfeit the initial copyright.

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. For example, a notice would appear as "© Jane A. Doe 1997." This notice should be affixed "in such manner and location as to give reasonable notice" of the copyright claim. See the SAMPLE TITLE PAGE and FORMAT FOR COPYRIGHT NOTICE attached for the format to be used for the page carrying the copyright statement.

If you want UMI to register a copyright for the thesis on your behalf with the Library of Congress, sign the Copyright Authorization on the Doctoral Dissertation Agreement form at the time it is submitted to the Graduate School. The cost of this method of copyrighting is currently \$45.00. This fee is subject to change; consult the Graduate School for the current rate. A check or money order for the copyright fee must be made payable to the University of Minnesota and submitted to 316 Johnston Hall. You must also attach copies of permission letters from copyright owners to the Agreement Form. These letters must state that the copyright owner is aware that UMI may supply single copies on demand. If permissions are not supplied, copyrighted materials will not be reproduced.

- b. With respect to the second aspect, 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. In determining whether the use made of a work in any particular case is fair use, the factors to be considered shall include:

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

You, as author, bear the responsibility of determining whether a use is fair or not.

Note that if in your thesis you included copies of or materials from journal articles or other publications that you authored, you must obtain from the publisher a letter authorizing your use of this material. A copy of this letter must be included as part of your thesis.

Additional questions about copyrighting your thesis or using copyrighted materials in your thesis can be directed to the Registrar of Copyrights, Copyright Office, Library of Congress, Washington, D.C. 20559. If you have complex questions, please consult legal counsel. Questions regarding copyright, patent, and trademark are of a legal nature and should not be considered lightly. The Graduate School staff is not authorized to answer legal questions.

#### **4. RELEASE OF THE THESIS TO THE PUBLIC**

In accordance with Regents' policy regarding withholding of research results, you may request a 90-day hold on the release of your thesis to the public. During this period, UMI, the University of Minnesota Library, and the University Archives will not release your thesis to the public. The hold period begins immediately after the official graduation date.

If you wish to request a hold, please complete a Thesis Hold Request form in 316 Johnston Hall. After 90 days, your thesis will be released for circulation. An additional 90 days (180-day maximum) may be requested.

**ANY QUESTIONS REGARDING THESIS STYLE AND PREPARATION SHOULD BE DIRECTED TO THE GRADUATE SCHOOL, 316 JOHNSTON HALL (612/625-0168). THE GRADUATE SCHOOL WILL REFUSE TO ACCEPT THESES NOT PREPARED ACCORDING TO THESE SPECIFICATIONS.**

**FEES QUOTED ABOVE ARE CURRENT AS OF JUNE 2000, FOR THE 2000-2001 ACADEMIC YEAR. IF YOU ARE READING THIS IN A LATER YEAR, PLEASE CHECK WITH THE GRADUATE SCHOOL, 316 JOHNSTON HALL, FOR THE CURRENT FEES.**

## **SAMPLE FORMAT FOR COPYRIGHT NOTICE PAGE**

(This should appear on a separate page following the title page)

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(The essential components of the copyright notice are the copyright symbol © or the word "copyright," the full legal name of the author, and the year of publication.)

**SAMPLE SIGNATURE PAGE**

UNIVERSITY OF MINNESOTA

This is to certify that I have examined this copy of a doctoral [thesis/project] by

[Full Name of Author]

and have found that it is complete and satisfactory in all respects,  
and that any and all revisions required by the final  
examining committee have been made.

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Name of Faculty Adviser(s)

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Signature of Faculty Adviser(s)

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Date

GRADUATE SCHOOL

**SAMPLE TITLE PAGE**

[Title of Thesis/Project]

A [THESIS/PROJECT]  
SUBMITTED TO THE FACULTY OF THE GRADUATE SCHOOL  
OF THE UNIVERSITY OF MINNESOTA  
BY

[Full name of Author; do not use initials]

IN PARTIAL FULFILLMENT OF THE REQUIREMENTS  
FOR THE DEGREE OF  
DOCTOR OF [PHILOSOPHY/EDUCATION]

[Name of Adviser(s)], Adviser

[Month and Year of Graduation (not the month you defend)]