**THESIS FORMATTING CHECKLIST: MINES SPRING 2022**

Updated 6/25/22 by the Office of Graduate Studies. Please refer to the **Sample Thesis pdf** and the **GSG Thesis Template** (LaTeX) accessible on the Mines Thesis Writer’s Guide website for examples.

**LEGAL REQUIREMENTS**

Each graduate student is expected to be the primary and lead author of the work included in their thesis. To appropriately acknowledge other individuals who have served as contributors and/or co-authors of portions of the work, follow Mines’s Authorship Guidelines at<https://research.mines.edu/responsible-conduct/>

**Copyright Permission**

* + Required in thesis, even when you cite sources, if:
    - A Figure or Table you are including has been reproduced from another published source
      * Cite the source in the caption
      * Need publisher/author permission in thesis (if source is not in public domain)
    - A chapter is an article you authored that has been published
      * Need publisher permission in thesis
    - A chapter is an article you authored that has been accepted for publication
      * Need publisher permission in thesis

**Coauthor Permission**

If co-authored articles are included as chapters after they have been published or accepted for publication:

* + - * Co-authors’ roles should be briefly described in footnotes or subsections
      * Co-authors’ permission to include these articles should be obtained in writing from any co-author not on your committee
        + This permission may be saved in your personal files, or (optionally) included in the thesis in an appendix or as a supplemental file
      * Need publisher permission in thesis

If co-authored chapters are included that were prepared for or submitted to journals, but not yet accepted:

* + - * Co-authors’ roles should be briefly described in footnotes or subsections
      * No permission is needed from the journal or co-authors

**Adding Permissions to thesis**

Permissions can be an email or statement or form obtained from publisher and/or author

* Permissions can be added at the end of your thesis in an appendix
* OR permissions can be uploaded separately in ProQuest as Supplemental Files
  + In this case you must include an appendix in the thesis that describes the permissions and refers to the supplemental file by name.

**FORMATTING REQUIREMENTS**

**GENERAL**

* **Font-Must be consistent throughout thesis**
* Color: Black
* Type: Times New Roman or Arial
* Size: 10-12 point font
* No handwritten symbols in text or equations
* **Page Numbers**
  + Must be in numerical order
  + Placement is centered at bottom of page
  + **Front Matter:** lower case Roman numerals (i, ii, iii, etc)
    - Title page is not numbered
    - “Submittal page” (with student/faculty signature lines) is page ii
  + **Rest of Thesis:** Arabic numerals (1, 2, 3,etc)
    - Begins with chapter 1 to end of thesis
* **Margins**
* 1 inch margin on all sides (top, bottom and both sides) throughout document
* Text, figures, tables, equations, etc. may not go beyond the 1 inch margins
* **Line Spacing and Indenting-Must be consistent**
  + Indent at the beginning of each new paragraph
* Use 1.5 or double spacing on all text in paragraphs
* Exceptions:
* Figure and Table captions are single spaced
* Multi-line entries in the Table of Contents, List of Figures, List of Tables and References are single spaced; however each entry is separated with a double space (or 1.5 space)
* Add spacing consistently between regular text and captions of Figures/Tables to differentiate the Figures/Tables and their captions from the surrounding text
* **Text Alignment**
  + Left margin is justified
  + Right margin is not justified
    - Exception: right margin can be justified if the word spacing is correct and consistent throughout the document – there should be no lines with extra-large spaces between words
* **Captions of Figures/Tables** 
  + Should be left-aligned throughout
  + May be centered if 1 line
  + No figure/table captions should appear as an inverted pyramid
* **Titles** (These appear at the top of the Title Page, Table of Contents, List of Figures/Tables, start of each chapter, References, etc.)
* Each title must be centered horizontally
* Use ALL CAPITAL LETTERS for title
* No bold font for titles
* Title on Title page is centered both horizontally and vertically
* Titles should be in an inverted pyramid if longer than 1 line
* Chapter titles should have the words CHAPTER # on the first line, then the title in inverted pyramid and all capitals centered on the line(s) below; use double (or 1.5) line spacing
* **No Excess White Space**
* Text should fill the entire page or more than ¾ of it in most cases
* White space is allowed:
* At the end of a chapter
* When a figure/table fills more than 50% of the page and no other text is added to the page
  + Table or Figure should be centered vertically and horizontally in these cases
* If 2 lines of a new paragraph won’t fit at the bottom of the page
* If a subheading plus 2 lines of text won't fit at the bottom of the page
  + Move the text to start on the next page
* **Numbers**
  + Numbers at the beginning of a sentence should be spelled out (One, Two, Four hundred)
  + Later in sentences, spell out numbers one through nine; 10 and above use numerals (10, 11, etc)

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**THESIS COMPONENTS**

**Page Sequence**

* Title page (not numbered)
* Front matter (pages numbered with lower case Roman numerals- i, ii, iii, iv, etc)
* Copyright page (optional) - not numbered
* “Submittal” page with lines for student/faculty signatures (always numbered page ii)
* Abstract (always numbered page iii)
* Table of Contents
* List of Figures
* List of Tables
* List of Symbols, Abbreviations, etc (if applicable)
* Acknowledgments (if applicable)
* Dedication (if applicable)
* Content begins with Chapter 1 (pages numbered with Arabic numerals: 1, 2, 3, etc.)
* Chapters
* Each new chapter begins on a new page
* References (if applicable; can choose to group by chapter rather than placing all at end)
* Appendices (if applicable)
  + If included, Appendices must follow formatting guidelines

**FRONT MATTER of THESIS**

* **Title Page**
  + No page number
  + Title in all CAPITAL letters
  + Title is centered both vertically and horizontally
  + Multi-line titles appear in an inverted pyramid shape with double (or 1.5) line spacing
  + At bottom of page, Author’s name appears in sentence case, centered, with the word “by” above it
* **Copyright Page (optional)**
  + Students automatically own the copyright to their thesis, but you may wish to also register your work with the Library of Congress; ProQuest can do this for a fee at the time of submission (check the ProQuest website and the U.S. Copyright Office website)
* If you obtain an official copyright, put in a simple copyright page just after the title page
  + - See Sample Thesis/Template for example
    - The copyright page has no page number
* **‘Submittal’ (signature) Page**
  + Page ii
  + Has lines for signatures of student, advisor, and dept./program head, but no actual signatures
  + See Sample Thesis/Template for layout
  + Must include the name of your degree program (not a track or specialty within program)
* **Abstract**
  + Page iii
  + Concise summary of your thesis that includes the questions you addressed, a brief description of your methods, and a summary of your major findings.
  + Generally 200-300 words
  + Do not repeat thesis title
* **Table of Contents, List of Figures, List of Tables, etc.**
  + Required
  + Table of Contents must include everything except the Title page, the Submittal (Signature) page, the Copyright page and "Table of Contents"
  + In the Table of Contents and any List, the layout formatting (spacing, dots, page numbers, list items) must be clear, easy to read, and match the examples in the Sample Thesis/Template
* Each item in each list needs to be separated by a double (or 1.5) space; be consistent
* Lines in a multi-line item are single spaced
* Page numbers for each entry are preceded by leader dots (…..)
* Page numbers must be aligned on the right side of the page
* Text in one line cannot extend past leader dots (…….)
* In the Table of Contents, subheadings should be indented below Chapter titles
* In the Table of Contents, Chapter titles should be in all capital letters (to match how they appear in the main body)
* **Acknowledgements**
  + Typically included to acknowledge advisors, committee members, mentors, family, sources of funding, support and other key resources.
* **Dedication**
  + Optional. Typically very brief. Centered on page horizontally and vertically.

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**MAIN BODY of THESIS**

* **Thesis Text**
  + Each chapter begins on a new page
  + Text alignment must be left-justified
  + If you choose to also justify text on the right, remove any extra-large spaces between words.

**Headings and Subheadings within chapters**

- Must be consistently formatted with consistent spacing before/after

- Use either Double Numbering System or Three Level System

- Use bold font and title case for all

* **Chapters that have been published in or accepted by journals**
  + Format first page of each as in the Sample Thesis, with full information on coauthors and journal
  + The rest of the chapter needs to follow all formatting rules of the thesis, not the journal
  + Include permissions from coauthors/journal as applicable in an Appendix (see first & last sections of this checklist)
  + Including the Abstract is optional
* **Figures and Tables**
* Figures must be listed in the List of Figures and Tables must be listed in List of Tables
* Must be numbered and have a caption describing the figure/table
* Must fit within margins and be centered between margins on the page
* Should be scaled so text size generally matches rest of thesis (no extra large or small fonts)
* Do not wrap text of thesis around figures/tables
* Do not place separate figures or tables side-by-side
* Each figure/table does not need to directly follow the text referring to the figure/table, but it should be close
* If a figure/table won’t fit easily on the page where you first mention it, add text to refer the reader to the page where the figure/table can be found (ie. “see Table 2.4 on page 3”)
* **Captions for Figures/Tables**
* Single spaced
* Font size and type must match font size and type throughout thesis
* Font color must be black
* Align captions with left margin, or if one line, caption may be centered
* Figure numbers & captions are placed below the figure
* Table numbers & captions are placed above the table
* Add line spaces to set figures/tables/captions clearly apart from thesis text
* The number is part of the figure/table’s caption
* Do not split a caption over 2 pages
* For large Figures/Tables, see additional caption rules below
* **Numbering**
* First number = chapter number
* Second number = number within chapter
  + For example: Figure 2.4 = the 4th figure in chapter 2
* **Large Figures/Tables:**
* If they take up more than 50% of a page, may stand alone on the page with caption
* If they fill the page with no room for caption, place caption alone and centered on preceding page
* Figures or Tables that fill more than one page (ie. continue on to a 2nd or 3rd page) need to have:
  + Figure/table number and caption on first page
  + Figure/table number, followed by the word “Continued” on each subsequent page at top left
    - For example, Figure 2.4 Continued
* If larger than 6.5x9”, must be shrunk to fit the page, or uploaded as Supplemental File
* Figures/tables formatted wider than they are high must be in landscape mode.
  + Page number is placed at the bottom of the page, along the long 11” side
* **Equations**
  + Place on separate lines (unless in running text)
  + Center each equation on its line
  + Place a number in parentheses, flush right on each line containing a major equation
    - Example: x = 3y (2.4)
    - Numbers follow same rules as Figure/Table numbers
    - You do not need to number every intermediate equation if you have many total

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**BACK MATTER OF THESIS**

* **References- Must be consistently formatted**
* Can be cited in text in one of 3 ways
  + using the format (author, year) consistent with the style of your department/field
  + using footnotes
  + using numbers for each reference
* All references can be placed as a complete list in a single section at the end of the thesis, or the references for each chapter can be listed in subsections at end of each chapter
* In list(s) of References
  + use single line spacing within each individual reference
  + use double (or 1.5) spacing between each reference (same as you used throughout thesis)
* Use the style of reference preferred by your department
  + this may entail following the style of a major journal in your field
  + every single reference must represent the same style
  + different reference types must be distinguished (e.g. books vs. articles vs. websites)
  + follow department/journal guidelines carefully for less common reference types (e.g. technical manuals, popular press articles, personal communications)
* URLs must be in black type, not blue
* Use same font as rest of thesis
* **Appendices-optional unless you need to include Permissions (see below)**
  + May contain any type of content approved by your committee
* Must be listed in the Table of Contents
* Formatting must be the same as the main thesis
* Page numbering continues from main body of text
* Figures and Tables in an appendix are treated like all other Figures/Tables
* Must be labeled with a number and a caption, e.g.
  + Figure A.1 (1st figure in Appendix A), Table B.4 (4th table in Appendix B)
* Must be listed in the List of Figures or List of Tables
* **Supplemental Files-optional**
* Must be uploaded separately from thesis in ProQuest
* Can contain any type of content approved by your committee, from data to permission statements
* If you have supplemental files, the thesis must include an Appendix that lists the contents of the supplemental files.
* Upload all supplemental files, including permission files, where ProQuest asks for Supplemental Files
* **Placement of Copyright Permissions in Appendices and/or Supplemental Files**
  + If your thesis includes a) figures/tables that you are reproducing from other cited sources, or b) published articles that you have authored that have co-authors not on your committee, you may:
    - EITHER add the required permission statements/emails from publishers and/or authors at the end of your thesis in an Appendix
      * Bear in mind that these will be readily visible within the thesis to all readers
    - OR upload the permissions into ProQuest in a Supplemental File, then create an Appendix that references that file by name and lists the permissions it contains.
      * Readers of the digital thesis may choose to access Supplemental Files, but they are not incorporated into the thesis itself.