

GRAND VALLEY STATE UNIVERSITY

# Guidelines for the Preparation of Theses and Dissertations

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2016-17



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## Introduction

The purpose of a thesis or dissertation is for a student to demonstrate competence to investigate an original research or scholarly topic and to report the findings with full documentation, development, and complete tabular presentation in a manner that can be understood by both an individual knowledgeable in the topic and an individual whose advanced training is in another discipline. Selecting a topic or question worthy of investigation for a thesis or dissertation is one of the most significant aspects of graduate education. Students should choose a topic with thoughtful consideration and with the recommendation of a graduate advisor or graduate mentor. Even though the research or creative development itself may be the most important aspect of the scholarship, the clear and effective communication of the research and scholarship is also of prime importance.

This manual defines the procedures for creating and submitting a master's thesis or doctoral dissertation at Grand Valley State University. **Adhering to the guidelines in this document will help students avoid delays in the completion and acceptance of their final document.** The final document submitted to Grand Valley State University becomes part of the university's permanent collection and contributes to scholarship in a given field. Consequently, it should be of professional quality and be free of spelling, grammatical, or formatting errors. Additionally, it must contain the requisite signatures and be received and approved by The Graduate School by the timelines detailed in this manual in order to have the degree conferred. Students are responsible for knowing their program or department's specific requirements regarding the thesis or dissertation. The content of the completed document is outside the province of this manual. When The Graduate School receives a thesis or dissertation it assumes that the research and scholarship is completed, that all required approvals and/or permissions have been acquired, and that the final draft has been examined and approved by the supervising professor and committee.

## **Section I      Process Overview for Theses and Dissertations**

A thesis or dissertation represents the culmination of research, scholarship, or creative work that significantly contributes to existing knowledge within academic fields and disciplines. The completed document is considered an original contribution to the student's professional field or discipline; therefore, it should be written to present meaningful research, scholarship, and ideas to create credible conclusions. The process for completing a thesis or dissertation is detailed throughout this manual, but a general overview includes the steps shown in the Thesis and Dissertation Process flow chart on the next page. It is important for students to maintain open communication with their committee chairperson and committee members. This will facilitate an efficient progression through the thesis and dissertation process.

Prior to beginning the process outlined in these guidelines, students must meet with an advisor or Graduate Program Director to review any department specific guidelines and proposal information.

### **Continuous Enrollment**

Students begin the **master's thesis** phase of their program by enrolling in xxx-695 (Thesis). Thereafter, they must continue to enroll in either xxx-695 or xxx-696 (Continuous Enrollment) for at least one credit every semester until they have completed all requirements for the thesis.

Students begin the **doctoral dissertation** phase of their program by enrolling in xxx-795 (Dissertation). Thereafter, they must continue to enroll in either xxx-795 or xxx-796 (Continuous Enrollment) for at least one credit every semester until they have completed all requirements for the dissertation.

*The continuous enrollment requirement also applies to Spring/Summer semesters.*

### **Thesis and Dissertation Credits and Workload**

Students should enroll in the number of thesis or dissertation credit hours per semester that is consistent with the following workload guideline: 1 credit hour is expected to average between 3-6 clock hours per week of work, or 45 - 90 hours per semester.

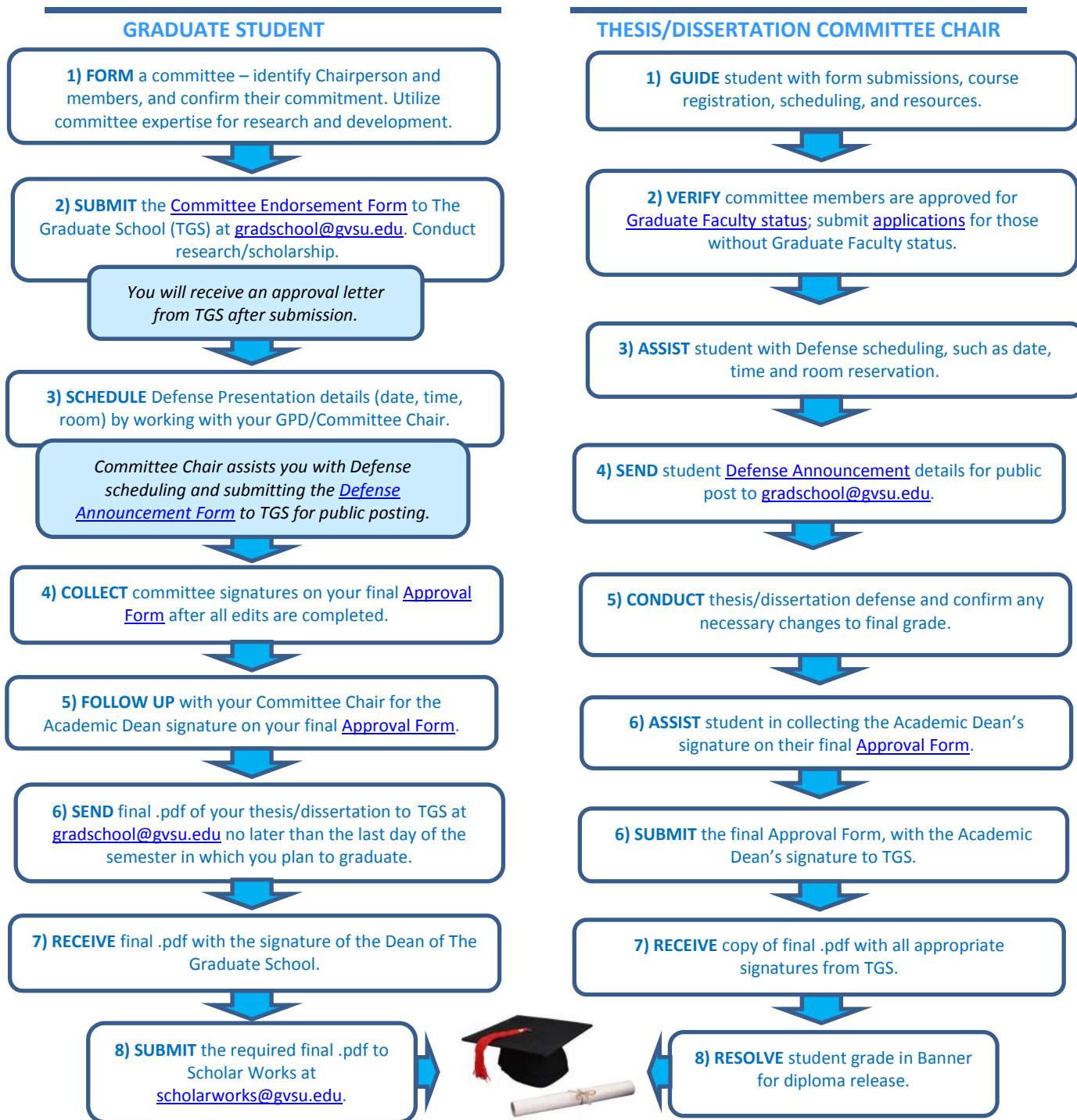
### **Responsible Conduct of Research Training**

All graduate students are required to complete the Responsible Conduct of Research training prior to initiating any research or scholarly activities.

*For all policies related to Thesis and Dissertation completion, please see the Graduate Education Policies and Procedures Manual at [www.gvsu.edu/gs/manual](http://www.gvsu.edu/gs/manual).*

## THESIS and DISSERTATION Process

- BEFORE beginning the process below, students must meet with an advisor or Graduate Program Director to review the department specific guidelines and proposal information.
- **Students are required to remain continuously enrolled** in either 695/696 or 795/796 once a thesis/dissertation is started, until the end of the semester of graduation.



For Resources, such as policies, guidelines, forms and templates, visit:

[www.gvsu.edu/gs/thesis](http://www.gvsu.edu/gs/thesis) or [www.gvsu.edu/gs/dissertation](http://www.gvsu.edu/gs/dissertation)

Email the GVSU Thesis and Dissertation Coordinator with questions: [gradschool@gvsu.edu](mailto:gradschool@gvsu.edu)

## **Section II      Roles and Responsibilities**

### **Student**

As illustrated in Figure 1, it is the student's responsibility to know the program requirements pertaining to the culminating experience expected for the degree. These are usually detailed in the program materials and contained in the Student Handbook provided by each graduate degree program. At some time, usually between 30% to 60% completion of degree course requirements, the student will need to identify a graduate faculty member to serve as the Committee Chairperson. The student should work with the Committee Chairperson, to identify additional graduate faculty who would make meaningful contributions to the development and completion of a worthwhile project. Throughout the thesis or dissertation it is the student's responsibility to fulfill the expectations of the entire Committee with regards to deadlines, completion of all necessary forms and approvals, and the responsible conduct of scholarly or creative work with academic integrity. Regardless of the form of scholarly or creative activity required for the degree, the student is expected to credibly defend all decisions regarding the purpose of the study, methodology, interpretation of results and conclusions, in a public defense meeting with the Thesis or Dissertation Committee.

### **Thesis or Dissertation Committee Chairperson**

The primary responsibility of the Chairperson of the Committee is to mentor the student with the goals of having the student complete a worthwhile project that has rigor, is appropriate for the student to complete within a reasonable amount of time during the academic program, and challenges the student to develop and use the skills of critical inquiry, evidenced-based decision making, reflection, presentation, and scholarly writing. The Committee Chairperson is required to hold full graduate faculty status and be capable of, and/or experienced in, mentoring graduate students in scholarly activities. The Committee Chairperson is responsible for calling Committee meetings, coordinating the activities of the Committee, and setting the tone for fair, honest and equitable assessment of the student's academic work. Finally, the Committee Chairperson has the key responsibility of working to ensure a successful, satisfactory outcome both for the student and the Committee.

### **Thesis or Dissertation Committee Members**

The responsibilities of the Committee members are to work with the student and the Committee Chairperson to ensure a successful, satisfactory outcome that is assessed in a fair, honest, and equitable manner. Members shall hold graduate faculty status and make active contributions to improve the project given their expertise and knowledge. Members also are expected to critically read and evaluate both the initial proposal and final documents, providing constructive feedback, editorial comment, and suggestions for improvement to the student and the Committee Chairperson in a collegial and timely manner. These responsibilities are completed when they sign the final copy submitted to The Graduate School.

### **Section III    Preparing the Thesis or Dissertation**

#### **Committees**

As illustrated in Figure 1, the student and the Committee Chairperson need to identify appropriate graduate faculty willing to serve on the committee. The following govern the selection of committee members:

- Masters theses must be overseen by a committee consisting of at least three (3) members.
- Doctoral dissertations must be overseen by a committee consisting of at least four (4) members.
- All committee members must hold graduate faculty status at GVSU. The chair of the committee must hold full graduate faculty status. At least one committee member must be from outside the specific research or disciplinary area of study. The Graduate School must review and endorse the committee membership.
- The Dean of The Graduate School must approve non-graduate faculty as members for thesis or dissertation committees.
- Non-graduate faculty members may include persons external to the university that are approved for adjunct graduate faculty status.

Once the committee membership is determined, the student should complete the Committee Membership Endorsement for Thesis or Dissertation Form (Appendix A) and submit the signed form to The Graduate School no later than the third week prior to the start of the semester in which the student registers for a thesis or dissertation course.

\*The College of Education further requires that any student earning a Master's in Education and electing the thesis option have a thesis committee consisting of at least two College of Education faculty, including the Committee Chairperson. The Committee Chairperson will assist the student in coordinating an appropriate committee structure.

#### **Selecting a Subject Area or Topic**

The student will select a subject area or topic with the guidance of the committee chairperson and/or committee members. The topic selected should be of interest to the student and one that can be completed with academic rigor and within a reasonable time period of the student's graduate studies.

After choosing a subject area or topic, the student will proceed with development of a proposal that details the research, scholarly, or creative work.

#### **Thesis and Dissertation Proposal**

All thesis and dissertation proposals must be publicly presented. A thesis or dissertation announcement (Appendix B) must be posted electronically on an academic program or departmental website. To have an announcement posted on The Graduate School website, email the announcement to [gradschool@gvsu.edu](mailto:gradschool@gvsu.edu).

A thesis and dissertation proposal is considered to be complete when all committee members agree that the proposal is of sufficient quality and merit to warrant conducting the research,

scholarship, or creative work. Committee members will document the approval of the proposal to the student.

Committee approval of the research proposal is an important step in your degree program and should be completed as early as possible in the research process. This will allow time to obtain approval from the Human Research Review Committee (HRRC) ([www.gvsu.edu/hrrc/](http://www.gvsu.edu/hrrc/)) if the research involves the use of human subjects, or from the Institutional Animal Care and Use Committee (IACUC) ([www.gvsu.edu/iacuc/](http://www.gvsu.edu/iacuc/)) if the research involves the use of animals. No subject recruitment or data collection can begin until the student receives written approval from the appropriate Institutional Review committee. If the research project involves using humans or animals, the student must submit an electronic application to these committees at [www.irbnet.org](http://www.irbnet.org).

### **Thesis and Dissertation Defense**

All theses and dissertations must be publicly defended. A thesis or dissertation announcement (Appendix C) must be posted electronically on an academic program or departmental website. To have an announcement posted on The Graduate School website, email the announcement to [gradschool@gvsu.edu](mailto:gradschool@gvsu.edu).

A thesis or dissertation defense should consist of the following components:

- 1) an oral presentation by the student,
- 2) an open question period for members of the audience in attendance,
- 3) a closed question period that consists of committee members and the student, and
- 4) a closed session consisting of only committee members who deliberate on the performance of the student.

A thesis or dissertation has been successfully defended when a majority of the committee members approve both the public defense and the written document. Committee members will document the approval of the research, scholarly or creative work with written signatures on the approval page of the thesis or dissertation once all necessary changes and edits to the written document have been completed. The academic college dean and the graduate dean attest to the acceptability of the document from all standpoints when they sign the approval page (Appendix D or Appendix F).

### **Thesis and Dissertation Proposal and Defense Attendance Requirements**

The student and all committee members are required to be physically present for the public proposal and defense meetings for programs that are delivered face-to-face or in a hybrid format. Theses and dissertations completed for a program delivered entirely online are allowed to be proposed and defended remotely, but must be conducted in real time (not prerecorded). If a committee member is unavailable the committee chairperson, in consultation with the student, will select one of the following options:

- a. Postpone the proposal or defense until all members of the committee are available to attend the meeting
- b. Substitute an appropriate member of the graduate faculty to serve as the committee member's proxy during the public presentation and closed session



- c. Use electronic media (audio or video conferencing) that allows for all committee members to actively participate in the proposal or defense meeting

### **Credit Hours**

Graduate students must enroll in the course(s) appropriate to their academic unit for the semester(s) they are working on a thesis or dissertation. Consult the academic unit or contact the graduate program director for guidelines on registration for classes and credit hours for each particular degree.

Students should enroll in the number of thesis or dissertation credit hours per semester that is consistent with the following workload guideline: 1 credit hour is expected to average between 3-6 clock hours per week of work, or 45 - 90 hours per semester.

### **Fees**

Graduate students will be charged the applicable graduate tuition rate for work on their thesis or dissertation based on their degree program. Students who do not complete the work after registering for all required credit hours will be required to maintain continuous enrollment (XXX-696 or XXX-796) during each semester until final approval of the thesis or dissertation is granted.

### **Deadlines**

Students should work with their committee to establish a schedule for completion of the thesis or dissertation. Regardless of the established schedule, students must adhere to The Graduate School deadlines for the final submission of the thesis or dissertation documents:

- The thesis or dissertation must be successfully defended three weeks before the last day of finals week of the semester in which the student intends to graduate.
- Submission of a signed approval form and the completed document in a PDF format must occur on the last day of the semester in which the student intends to graduate.
- Failure to meet these deadlines will require enrollment in a continuation course (696/796) in all subsequent semesters until the project is completed.

Semester of Thesis or Dissertation Defense:	Final Day to Defend Thesis or Dissertation:	Final Day to Submit Final Documents to The Graduate School:
Fall 2016	November 28, 2016	December 16, 2016
Winter 2017	April 7, 2017	April 28, 2017
Spring/Summer 2017	July 18, 2017	August 8, 2016

## Section IV Formatting the Manuscript and Arrangement of Pages

### Thesis and Dissertation Preparation

Students **must use an approved format** for the thesis and dissertation document. Examples of approved formats are found in Appendix H (Traditional Format) and Appendix I (Manuscript Format). **Failure to use an approved format may result in the thesis or dissertation being returned to the student for changes. This could result in a delay in the graduation date.** Students should consult their thesis/dissertation committee chairperson or their graduate program director to identify which format and which writing style to use. In fields of study that demand a specific style guide, students should follow it consistently, except where its instructions conflict with the guidelines in this manual as this manual supersedes an academic unit's style guide. If questions arise which are not answered by departmental style guides or by this manual, consult *A Manual for Writers of Term Papers, Theses, and Dissertations* (8<sup>th</sup> ed., 2013), Kate L. Turabian.

**!**  
Do *not* model your thesis from those submitted in past years, as changes in university policy and style requirements may have rendered past practices obsolete.

In some disciplines, it is common practice to follow a manuscript format (Appendix I – Manuscript Format) for theses and dissertations. If that is true for the student's area of study please contact your thesis or dissertation advisor to determine which journal format you will use. Follow the journal's instructions for authors, or the equivalent, as well as current journal practices for all matters not explicitly explained in this manual (including guidelines for textual citations, references, tables, figures, form and hierarchy of headings, treatment of special terms, etc.).

### Plagiarism and Copyrights

#### *Plagiarism*

Properly citing sources can help students avoid plagiarism. The style guide used by an academic unit should address plagiarism; for additional information, consult the GVSU Library's plagiarism guide (<http://tinyurl.com/c9wo9f>).

According to the GVSU Student Code (section 3.1) plagiarism is defined as:

Any ideas or material taken from another source for either written or oral presentation must be fully acknowledged. Offering the work of someone else as one's own is plagiarism. The language or ideas taken from another may range from isolated formulas, sentences, or paragraphs to entire articles copied from books, periodicals, speeches or the writings of another individual. The offering of materials assembled or collected by others in the form of projects or collections without acknowledgment also is considered plagiarism. Any student who fails to give credit in written or oral work for the ideas or materials that have been taken from another is guilty of plagiarism.

#### *Copyright protection*

Copyright protection is granted automatically under current U.S. law to “original works of authorship... fixed in any tangible medium of expression.” Copyright notices (e.g. © 2011 John

H. Jones) are not required to appear on copies of a work for it to be protected. While copyright does not need to be registered with the U.S. Copyright Office for the work to be protected, there are practical and legal advantages to both notice and registration (for more information, see [www.copyright.gov/help/faq](http://www.copyright.gov/help/faq))

Students who incorporate copyrighted works of others into their thesis or dissertation are responsible for ensuring that their use of this material is lawful, whether the material is included under a written grant of permission by the copyright owner or whether the student's use of the work is covered by one of the statutory limitations on copyright, such as fair use.

The fair use provisions of copyright law provide the opportunity to make limited and reasonable use of copyrighted materials in a thesis or dissertation. However, being a student does not make one exempt from the limits that fair use places on the use of copyright materials. It is also not adequate to simply cite a work when the use of that material exceeds fair use and the original author or copyright holder has not granted permission. University Libraries provides a Fair Use Checklist, which is available in Appendix J.

Each instance of incorporating a copyrighted item in a thesis or dissertation requires a fair use assessment that takes into account the purpose, nature, amount, and effect of that use. When a use is determined to be outside of fair use, permission from the copyright holder must be obtained to use the material and evidence of received permission should be included in the appendix of the thesis or dissertation. A sample of a Copyright Permission Letter can be found in Appendix K.

In addition to applying fair use and requesting permissions, students can also consider including content that has been licensed for reuse under Creative Commons licenses or content that is in the public domain. The University Libraries have developed resources to provide information and assist authors in the areas of fair use, requesting permissions, and using and identifying content that is licensed for reuse or in the public domain. This and additional information on copyright can be found on the University Libraries website at [www.gvsu.edu/library/copyright](http://www.gvsu.edu/library/copyright).

### **Research Misconduct**

Research misconduct is the fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results, and/or engaging in ordering, advising or suggesting that subordinates engage in misconduct in research, scholarship or creative activities.

### **Electronic Filing of Completed Work**

All theses and dissertations must be electronically filed in the GVSU electronic repository (currently ScholarWorks@GVSU). After the committee has approved the thesis or dissertation and signed the approval page (Appendix L or M), students must submit a pdf of the entire document to the Office of Graduate Studies.

Once the thesis or dissertation is approved by the Office of Graduate Studies, the student must submit his or her work to the university libraries for inclusion in ScholarWorks@GVSU. This

will make the thesis or dissertation openly available online to a global audience of researchers, furthering scholarship in the student's field of study. In 2015-2016, scholars around the world downloaded theses and dissertations from ScholarWorks@GVSU more than 230,000 times!

If students wish, release of their thesis or dissertation may be embargoed for a specified period of time from when the library receives it. Contact the library's ScholarWorks@GVSU coordinator for more information regarding embargos.

Students are strongly encouraged to contact the ScholarWorks@GVSU administrator if their thesis or dissertation could lead to a patent application, includes sensitive or confidential information, or might be submitted for publication.

The current ScholarWorks@GVSU coordinator can be reached at [scholarworks@gvsu.edu](mailto:scholarworks@gvsu.edu).

## General Formatting

### *Pagination*

Arabic numbers are used for thesis pagination. Page numbers do not appear on Page 1 (Title Page) and page 2 (Approval Page). Please see Table 1 for page order and pagination information.

**Table 1:** Preliminary pages formatting.

Page Name	Required?	Print page number:	Page counts as:
Title page	Yes	No	1
Approval page	Yes	No	2
Dedication page ( <b>limited to two pages</b> )	No, optional	Yes	3
Acknowledgments ( <b>limited to two pages</b> )	No, optional	Yes	3 or 4
Preface	No, optional	Yes	(next number in sequence)
Abstract ( <b>limited to 350 words</b> )	Yes	Yes	(next number in sequence)
Table of contents	Yes	Yes	(next number in sequence)
Lists of tables, figures, key to symbols or abbreviations (each a separate section)	Yes, if applicable	Yes	(next number in sequence)
Text and supplementary pages	Yes	Yes	(next number in sequence)
Appendices	Yes, if applicable	Yes	(next number in sequence)
Bibliography/References	Yes	Yes	(next number in sequence)
Vita	No, optional	Yes	(next number in sequence)
Submission agreement for ScholarWorks@GVSU	Yes	No	Not included in page count

### *Typeface and spacing*

Acceptable fonts for the thesis and dissertation documents are:

- Ariel
- Calibri
- Courier
- Garamond
- Times New Roman

Use a single 12 point font consistently for the entire document including the body text, footnotes, and page numbers. A different font for scientific notations and tables may be used as needed. All general text is double-spaced.

### *Margins*

The body of the manuscript, including appendices, must adhere to the following margins:

- Left margin: 1 inch for PDF or spiral binding; 1.5 inch for hardback binding
- Right margin: 1 inch
- Top margin: 1 inch
- Bottom margin: 1 inch

Top and bottom margins are measured to the first and last lines of type.

Center page numbers one-half (1/2) inch from the bottom of the page. The page number position should be the same on all pages where page numbers appear.

Justify the left margins but do *not* justify right margins.

Students should follow their academic program's style for the main text/body of the document pages, endnotes, reference lists and/or bibliographies. There are specific formatting requirements for individual pages, as noted below.

**!**  
Every major division—  
chapters, references,  
etc.—should begin on  
a new page.

### **Formatting for Individual Pages**

Samples of the following pages can be found in Appendix D, E, F, and G of this handbook, and are also available as MS Word documents on The Graduate School website ([www.gvsu.edu/gs/thesis](http://www.gvsu.edu/gs/thesis) or [www.gvsu.edu/gs/dissertation](http://www.gvsu.edu/gs/dissertation)).

#### *Title page*

The date on the title page must indicate the month and year in which the student will receive his or her degree. The title page must conform to the requirements listed in Table 2.

**Table 2:** Title page formatting.

Page element	Margins & placement
Left margin	1" or 1.5" (must be consistent throughout document)
Right margin	1"
Top margin	1"
Bottom margin	1"
<Title of Thesis>	At the top margin, centered; the title must be less than 200 characters total
<student's name>	Two lines below the last line of the title, centered
<A Thesis Submitted to the Graduate Faculty of>	Nine lines below student's name, centered
GRAND VALLEY STATE UNIVERSITY	Two lines below previous line, centered
In	Two lines below previous line, centered
Partial Fulfillment of the Requirements	Two lines below previous line, centered
For the Degree of	Two lines below previous line, centered

<title of degree>	Two lines below previous line, centered
<name of academic unit>	Four lines below previous line, centered
<month of graduation> <year of graduation>	Eight lines below previous line, centered
Pagination	Page 1 (page number does not appear)

### *Approval page*

The approval page certifies that the committee chairperson, committee members, academic dean, and graduate dean all agree that the student's completed work satisfies the requirements for the thesis or dissertation. The student must use the sample approval page (Appendix D or F) contained in this Manual (download in MS Word available on The Graduate School website) as a template for the title page, replacing the text in <brackets> with the student's thesis title. The sample has signature lines for committee members in addition to the committee chairperson; if the committee has additional members, contact The Graduate School for a revised template.

### *Dedication page (optional)*

The dedication page, which is optional, follows the title page, is limited to one page, and is numbered (Table 3).

**Table 3:** Dedication page(s) formatting

Page element	Margins & placement
Left margin	1" or 1.5"(must be consistent throughout document)
Right margin	1"
Top margin	1"
Bottom margin	1"
Dedication	centered, bold face type
<dedication text>	Two lines below the last line of the title, flush left, double spaced
Pagination	3, centered, .5" from bottom of page

### *Acknowledgment (optional)*

The acknowledgment page provides the student a venue to recognize individuals who helped with the thesis. Acknowledgments should not exceed one page (Table 4).

**Table 4:** Acknowledgement page(s) formatting

Page element	Margins & placement
Left margin	1" or 1.5"(must be consistent throughout document)
Right margin	1"
Top margin	1"
Bottom margin	1"
Acknowledgment (use Acknowledgments if there are more than	Centered, bold face type

one)	
<acknowledgment text>	Two lines below the last line of the title, flush left, double spaced
Pagination	3 or 4 (depending on if there was a dedication page); centered, .5" from bottom of page

### *Preface (optional)*

A preface, which is optional, contains brief remarks describing what preceded the undertaking of the work and may be written in the first person. It is not to be used in lieu of the introduction and should not exceed three pages (Table 5).

**Table 5:** Preface page formatting

Page element	Margins & placement
Left margin	1" or 1.5"(must be consistent throughout document)
Right margin	1"
Top margin	1"
Bottom margin	1"
Preface	Centered, bold face type
<preface text>	Two lines below the last line of the title, flush left, double spaced
Pagination	Next in sequence, centered, .5" from bottom of page

### *Abstract*

The abstract presents a summary of the thesis or dissertation (Table 6). It should contain:

- A short statement of the problem or area(s) of investigation
- A brief discussion of the methods and procedures used in gathering data or information
- A summary of findings
- Recommendations or conclusions

Abstracts may not exceed 350 words.

**Table 6:** Abstract page formatting

Page element	Margins & placement
Left margin	1" or 1.5"(must be consistent throughout document)
Right margin	1"
Top margin	1"
Bottom margin	1"
Abstract	Centered, bold face type
<abstract text>	Two lines below the last line of the title, flush left, double spaced
Pagination	Next in sequence, centered, .5" from bottom of page



### *Table of contents*

The titles of chapters or sections, and at least the primary and secondary subdivisions, should be listed. They must be worded exactly as they appear in the body of the thesis or dissertation (Table 7). Approved outlines for Table of Contents organization in the traditional format (Appendix H) and the manuscript format (Appendix I) can be found in the Appendices.

**Table 7:** Table of contents formatting

Page element	Margins & placement
Left margin	1" or 1.5"(must be consistent throughout document)
Right margin	1"
Top margin	1"
Bottom margin	1"
Table of Contents	Centered, bold face type
<text>	<ul style="list-style-type: none"><li>Two lines below Table of Contents, flush left</li><li>Single-space within each entry and double-space between</li><li>Page number should correspond with text</li><li>Use leader dots before the page number</li></ul>
Pagination	Next in sequence, centered, .5" from bottom of page.

### *General text*

The general text should be double spaced throughout the document (Table 8). The general text contains all of the information for the thesis or dissertation excluding any material that would be contained in the appendices.

**Table 8:** General text formatting

Page element	Margins & placement
Left margin	1" or 1.5"(must be consistent throughout document)
Right margin	1"
Top margin	1"
Bottom margin	1"
<text>	Double-spaced throughout the entire document
Pagination	Next in sequence, centered, .5" from bottom of page.

### *Additional information*

Additional information such as appendices and data tables may be included in the thesis or dissertation. Please be sure to adhere to the appendices formatting guidelines shown in Table 9.

**Table 9:** Appendices or data table formatting

Page element	Margins & placement
Left margin	1" or 1.5"(must be consistent throughout document)
Right margin	1"

Top margin	1”
Bottom margin	1”
<text>	Title of appendix should appear centered at the top of the page
Pagination	Next in sequence, centered, .5” from bottom of page.

### **Sources Consulted for these Guidelines**

- College of Graduate Studies and Research. (2009). *Guidelines for preparing theses and dissertations*. Towson MD: Towson University.
- Cratis D. Williams Graduate School. (2008). *Student handbook for dissertation & thesis preparation*. Boone, NC: Appalachian State University.
- Graduate School. (2010). *Thesis guidelines*. Bellingham, WA: Western Washington University.
- Montclair State University. (2009). *Procedures and guidelines for the preparation of master's theses at Montclair State University*. Montclair, NJ: Montclair State University.
- The Graduate School. (2010). *Thesis and dissertation manual*. Harrisonburg, Virginia: James Madison University.

## Appendix A: Committee Membership Endorsement Form for Thesis or Dissertation

Committee Membership Endorsement Form for  
( ) Thesis                      ( ) Dissertation                      (select one)

Student Name:	Date:
Email:	G Number:
Graduate Degree Program:	
Thesis Title:	

	Committee Members:	Graduate Faculty Status:	Department/Program:
Chairperson:			
Member:			
Member:			
Member:			
Member:			

Comments:
-----------

Approval:

\_\_\_\_\_  
Dean of The Graduate School

\_\_\_\_\_  
Date

Please send the completed information electronically to: [gradschool@gvsu.edu](mailto:gradschool@gvsu.edu)

## **Appendix B: Thesis or Dissertation Proposal Announcement Form**

Thesis or Dissertation Proposal Announcement Form  
(posted electronically on Academic program or Departmental website, distributed electronically to appropriate list-serves, and posted on appropriate bulletin boards at least 7 days prior to scheduled date)

---

Student's Name

---

Date and Time

---

Location

**<TITLE OF THESIS/DISSERTATION>**

**Committee members include: <names of all committee members>**

**To post on The Graduate School's website, email this form to [gradschool@gvsu.edu](mailto:gradschool@gvsu.edu).**

## **Appendix C: Thesis or Dissertation Defense Announcement Form**

Thesis or Dissertation Defense Announcement Form  
(posted electronically on Academic program or Departmental website, distributed electronically to appropriate list-serves, and posted on appropriate bulletin boards at least 7 days prior to scheduled date)

---

Student's Name

---

Date and Time

---

Location

**<TITLE OF THESIS/DISSERTATION>**

**Committee members include: <names of all committee members>**

**To post on The Graduate School's website, email this form to [gradschool@gvsu.edu](mailto:gradschool@gvsu.edu).**

## Appendix D: Thesis Final Approval Form



The signatories of the committee below indicate that they have read and approved the thesis of <your full legal name> in partial fulfillment of the requirements for the degree of <Master of XXXX>.

---

<name of thesis advisor>, Thesis committee chair                      Date

---

<name of member>, Committee member                                      Date

---

<name of member>, Committee member                                      Date

Accepted and approved on behalf of the  
<Name of Academic College>

Accepted and approved on behalf of the  
Graduate Faculty

---

Dean of the College

---

Dean of The Graduate School

---

Date

---

Date

## **Appendix E: Thesis Title Page**

<Title of thesis>

(title can be no more than 200 characters in length double spaced)

<Student's full legal name here, double spaced after title>

A Thesis Submitted to the Graduate Faculty of

GRAND VALLEY STATE UNIVERSITY

In

Partial Fulfillment of the Requirements

For the Degree of

<name of the degree here>

<the academic unit>

<Month of graduation> <Year of graduation>



## Appendix F: Dissertation Final Approval Form



The signatories of the committee below indicate that they have read and approved the dissertation of <your full legal name> in partial fulfillment of the requirements for the degree of. <Doctor of XXXX>.

---

<name of dissertation chair>, Dissertation committee chair      Date

---

<name of member>, Committee member      Date

---

<name of member>, Committee member      Date

---

<name of member>, Committee member      Date

Accepted and approved on behalf of the  
<Name of Academic College>

Accepted and approved on behalf of the  
Graduate Faculty

---

Dean of the College

---

Dean of The Graduate School

---

Date

---

Date

## **Appendix G: Dissertation Title Page**

<Title of dissertation>

(title can be no more than 200 characters in length double spaced)

<Student's full legal name here, double spaced after title>

A Dissertation Submitted to the Graduate Faculty of

GRAND VALLEY STATE UNIVERSITY

In

Partial Fulfillment of the Requirements

For the Degree of

<name of degree here>

<the academic unit>

<Month of graduation> <Year of graduation>

## **Appendix H: Table of Contents – Traditional Format**

Title Page  
Approval Page  
Dedication (Optional)  
Acknowledgments (Optional)  
Preface (Optional)  
Abstract  
Table of Contents  
List of Tables (required if tables are used)  
List of Figures (required if figures are used)  
Key to Symbols (required if symbols are used)  
Abbreviations (required if abbreviations are used)  
Chapter 1 Introduction  
    Introduction  
    Purpose  
    Scope  
    Assumptions  
    Hypothesis or Research Question  
    Significance  
    Definitions (required if applicable)  
Chapter 2 Review of Literature  
Chapter 3 Methodology  
Chapter 4 Results  
Chapter 5 Discussion and Conclusions  
Appendices  
Bibliography/References  
Vita/biosketch (Optional)

## **Appendix I: Table of Contents – Journal Format**

Title Page	
Approval Page	
Dedication (Optional)	
Acknowledgments (Optional)	
Preface (Optional)	
Abstract	
Table of Contents	
List of Tables (required if tables are used)	
List of Figures (required if figures are used)	
Key to Symbols (required if symbols are used)	
Abbreviations (required if abbreviations are used)	
Chapter 1 Introduction	
Introduction	
Purpose	
Scope	
Assumptions	
Hypothesis	
Significance	
Definitions	
Chapter 2 Manuscript (in specific journal style)	
Title Page	
Abstract	
Introduction	
Methodology	
Results	
Discussion	
Acknowledgements	
References	
Figure Captions	
Tables	
Figures	
Chapter 3 Extended Review of Literature and Extended Methodology	
Extended Review of Literature	
Extended Methodology	
Appendices	
Bibliography	
Vita/biosketch (Optional)	

# Fair Use Checklist

Name:

Date:

Project:

Item Description:

Prepared by:

PURPOSE	
<p><b>FAVORING FAIR USE</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Teaching (including multiple copies for classroom use)</li> <li><input type="checkbox"/> Research</li> <li><input type="checkbox"/> Scholarship</li> <li><input type="checkbox"/> Nonprofit educational institution</li> <li><input type="checkbox"/> Criticism</li> <li><input type="checkbox"/> Comment</li> <li><input type="checkbox"/> News reporting</li> <li><input type="checkbox"/> Transformative or productive use (changes the work for new utility)</li> <li><input type="checkbox"/> Restricted access (to students or other appropriate group)</li> <li><input type="checkbox"/> Parody</li> </ul>	<p><b>OPPOSING FAIR USE</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Commercial activity</li> <li><input type="checkbox"/> Profiting from the use</li> <li><input type="checkbox"/> Entertainment</li> <li><input type="checkbox"/> Bad-faith behavior</li> <li><input type="checkbox"/> Denying credit to original author</li> </ul>

NATURE	
<p><b>FAVORING FAIR USE</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Published work</li> <li><input type="checkbox"/> Factual/informational and educational in nature or nonfiction work</li> <li><input type="checkbox"/> Important to educational objectives</li> <li><input type="checkbox"/> Non-consumable</li> </ul>	<p><b>OPPOSING FAIR USE</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Unpublished work</li> <li><input type="checkbox"/> Highly creative work (i.e., art, music, novels, films, plays, poetry)</li> <li><input type="checkbox"/> Fiction</li> <li><input type="checkbox"/> Consumable work (i.e., workbook, test)</li> </ul>

AMOUNT	
<p><b>FAVORING FAIR USE</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Small portion of work</li> <li><input type="checkbox"/> Portion used is not central or significant to the entire work as a whole</li> <li><input type="checkbox"/> Amount taken is narrowly tailored to accomplish a demonstrated, legitimate purpose in the course curriculum</li> </ul>	<p><b>OPPOSING FAIR USE</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Large portion or whole work used</li> <li><input type="checkbox"/> Portion used is central to or heart of the entire work</li> <li><input type="checkbox"/> Amount taken is more than necessary to accomplish a demonstrated, legitimate purpose in the course curriculum</li> </ul>

EFFECT	
<p><b>FAVORING FAIR USE</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> User owns lawfully purchased or acquired copy of original work</li> <li><input type="checkbox"/> One or few copies made</li> <li><input type="checkbox"/> No significant effect on the market or potential market for copyrighted work</li> <li><input type="checkbox"/> No similar product marketed by the copyright holder</li> <li><input type="checkbox"/> Lack of licensing mechanism</li> </ul>	<p><b>OPPOSING FAIR USE</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Could replace sale of copyrighted work</li> <li><input type="checkbox"/> Significantly impairs market or potential market for copyrighted work or derivative</li> <li><input type="checkbox"/> Reasonably available licensing mechanism for use of copyrighted work</li> <li><input type="checkbox"/> Affordable permission available for using work</li> <li><input type="checkbox"/> Numerous copies made</li> <li><input type="checkbox"/> You made it accessible on the web or in another public forum</li> <li><input type="checkbox"/> Repeated or long-term use</li> </ul>

# Fair Use Checklist

## Introduction to the Checklist

The Fair Use Checklist and variations on it have been widely used for many years to help educators, librarians, lawyers, and many other users of copyrighted works determine whether their activities are within the limits of fair use under U.S. copyright law (Section 107 of the U.S. Copyright Act). Fair use is determined by a balanced application of four factors set forth in the statute: (1) the purpose of the use; (2) the nature of the work used; (3) the amount and substantiality of the work used ; and (4) the effect of the use upon the potential market for or value of the work used. Those factors form the structure of this checklist. Congress and courts have offered some insights into the specific meaning of the factors, and those interpretations are reflected in the details of this form.

This checklist is offered as a guide, not as an absolute protection against a charge of infringement.

## Benefits of the Checklist

A proper use of this checklist should serve two purposes. First, it should help you focus on factual circumstances that are important in your evaluation of fair use. The meaning and scope of fair use depends on the particular facts of a given situation, and changing one or more facts may alter the analysis. Second, the checklist can provide an important mechanism to document your decision-making process. Maintaining a record of your fair use analysis can be critical for establishing good faith; consider adding to the checklist the current date and notes about your project. Keep completed checklists on file for future reference.

## The Checklist as Roadmap

As you use the checklist and apply it to your situations, you are likely to check more than one box in each column and even check boxes across columns. Some checked boxes will favor fair use and others may oppose fair use. A key issue is whether you are acting reasonably in checking any given box, with the ultimate question being whether the cumulative weight of the factors favors or turns you away from fair use. This is not an exercise in simply checking and counting boxes. The more boxes checked on the left side of the list the stronger the argument for fair use, but it is not an absolute. Instead, you need to consider the relative persuasive strength of the circumstances and if the overall conditions lean most convincingly for or against fair use. Because you are most familiar with your project, you are probably best positioned to evaluate the facts and make the decision.

## Further Information

You can learn more about copyright and fair use from the University Libraries' copyright website: [www.gvsu.edu/library/copyright](http://www.gvsu.edu/library/copyright).

## **Appendix K: Sample Copyright Permission Letter**

On the following page is a sample letter for seeking permission to use copyrighted material in a thesis or dissertation. This letter is offered as a starting place for drafting a letter suitable to the student's needs. The University Libraries offers this material as a service and makes no representation or warranty about the suitability of this draft for individual purposes. Users should consult an attorney for advice concerning their specific situation.

Adapted under a Creative Commons BY-NC license from the Copyright Advisory Office of Columbia University, Kenneth D. Crews, director.

*[Insert: Today's Date and Your Address and Contact Information]*

*Name and Address of Addressee*

Dear \_\_\_\_\_:

I am requesting permission to reprint [a portion of] the following work:

*[Add here full citation information about the work, including author, title, publisher, date of publication, exact pages you are requesting, and any other identifying information.]*

This request is for permission to include the above content as part of the following project that I am preparing:

*[Add here full citation information about the project that you are preparing, including the name of the publisher and likely date of publication; also add a brief description of the subject or nature of the work.]*

I believe that you/your company, \_\_\_\_\_, are/is currently the holder of the copyright, because the original work states that copyright is held in your name/the name of the publisher, and my research indicates that \_\_\_\_\_ *[additional reason you think this person/company owns the copyright]*. If you do not currently hold the rights, please provide me with any information that can help me contact the proper rights holder. Otherwise, your permission confirms that you hold the right to grant this permission.

This request is for a non-exclusive, irrevocable, and royalty-free permission, and it is not intended to interfere with other uses of the same work by you. The permission requested extends to the prospective publication of this thesis/dissertation by the Grand Valley State University Libraries, which will make this work available to the public through its online institutional repository, ScholarWorks@GVSU. I would be pleased to include a full citation to your work and other acknowledgement as you might request.

I would greatly appreciate your permission. If you require any additional information, do not hesitate to contact me at the address and number above.

A duplicate copy of this request has been provided for your records. If you agree with the terms as described above, please sign the letter where indicated below and return one copy in the enclosed return envelope.

Sincerely,

\_\_\_\_\_

Permission is hereby granted:

Signature: \_\_\_\_\_

Name & Title: \_\_\_\_\_

Company/Affiliation: \_\_\_\_\_

Date: \_\_\_\_\_





**Grand Valley State University Libraries**  
**ScholarWorks@GVSU Institutional Repository**

**Thesis Submission Agreement**

I agree to grant the Grand Valley State University Libraries a non-exclusive license to provide online **open access** to my submitted thesis ("the Work") via ScholarWorks@GVSU. *You retain all copyright in your work, but you give us permission to make it available online for anyone to read and to preserve it in ScholarWorks@GVSU.*

ScholarWorks@GVSU is an open-access repository maintained by the Grand Valley State University Libraries to showcase, preserve, and provide access to the scholarly and creative work produced by the university community. For more information, email [scholarworks@gvsu.edu](mailto:scholarworks@gvsu.edu), or visit our webpage at <http://scholarworks.gvsu.edu/about.html>.

I warrant as follows:

- 1 I hold the copyright to this work, and agree to permit this work to be posted in the ScholarWorks@GVSU institutional repository.
- 2 I understand that accepted works may be posted immediately as submitted, unless I request otherwise.
- 3 I have read, understand, and agree to abide by the policies of ScholarWorks@GVSU. (Our policies can be found at: <http://scholarworks.gvsu.edu/about.html>)

*By typing my name into the Author field I am agreeing to the terms above and attaching my electronic signature. I understand that if I do not agree to these terms, I should not type my name.*

Title of thesis: \_\_\_\_\_

Author: \_\_\_\_\_

Date: \_\_\_\_\_

---

**Embargo Option:** *(You may choose to restrict electronic access to your work for up to three years from the date the work is submitted to ScholarWorks. When the embargo expires, your work will automatically become available.)*

Length of Embargo: \_\_\_\_\_

**Keywords:** *(six relevant words to describe the content of your thesis)*



**Grand Valley State University Libraries  
ScholarWorks@GVSU Institutional Repository**

**Dissertation Submission Agreement**

I agree to grant the Grand Valley State University Libraries a non-exclusive license to provide online **open access** to my submitted dissertation ("the Work") via ScholarWorks@GVSU. *You retain all copyright in your work, but you give us permission to make it available online for anyone to read and to preserve it in ScholarWorks@GVSU.*

ScholarWorks@GVSU is an open-access repository maintained by the Grand Valley State University Libraries to showcase, preserve, and provide access to the scholarly and creative work produced by the university community. For more information, email [scholarworks@gvsu.edu](mailto:scholarworks@gvsu.edu), or visit our webpage at <http://scholarworks.gvsu.edu/about.html>.

I warrant as follows:

- 1 I hold the copyright to this work, and agree to permit this work to be posted in the ScholarWorks@GVSU institutional repository.
- 2 I understand that accepted works may be posted immediately as submitted, unless I request otherwise.
- 3 I have read, understand, and agree to abide by the policies of ScholarWorks@GVSU. (Our policies can be found at: <http://scholarworks.gvsu.edu/about.html>)

*By typing my name into the Author field I am agreeing to the terms above and attaching my electronic signature. I understand that if I do not agree to these terms, I should not type my name.*

Title of dissertation: \_\_\_\_\_

Author: \_\_\_\_\_

Date: \_\_\_\_\_

---

**Embargo Option:** *(You may choose to restrict electronic access to your work for up to three years from the date the work is submitted to ScholarWorks. When the embargo expires, your work will automatically become available.)*

Length of Embargo: \_\_\_\_\_

**Keywords:** *(six relevant words to describe the content of your dissertation)*