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### CONTENTS

| The Importance of Publishing Graduate Works | i  |
| The Submission Process                     | ii |
| Submission Checklist                        | iv |
| ProQuest/UMI Publishing Agreement           | 1  |
| Submission Form                             | 4  |
| Copyright Registration Form                 | 5  |
| Order Form for Copies                       | 6  |
| ProQuest/UMI GradWorks Guides               |    |
| Guide 1: Preparing Your Manuscript for Submission to ProQuest/UMI | I  |
| Guide 2: Subject Categories                 | IV |
| Guide 3: Open Access versus Traditional Publishing | VI |
| Guide 4: Embargoes & Restrictions           | VIII |
| Guide 5: Copyright and Your Dissertation or Thesis | XI |
| Guide 6: Sample Permission Letter (for use of previously copyrighted material) | XIII |

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THE IMPORTANCE OF PUBLISHING GRADUATE WORKS

- Doctoral dissertations and master's theses are primary literature. They are valuable contributions to the discourse in every field of inquiry and to the culture of all creative fields.
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The Submission Process

STEP 1: Know your institution's submission procedures

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This agreement grants ProQuest/UMI the right to reproduce and disseminate your work according to the choices you make. This is a non-exclusive right; you may grant others the right to use your dissertation or thesis as well. You retain your copyright.

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In this step, you will also choose your options for release, dissemination and distribution, and restrictions. NOTE: your institution may require you to choose open access publishing and may have explicit policies regarding embargoes and restrictions. Check with your graduate school or program if you are not sure. Also see Guide 3: Open Access versus Traditional Publishing and Guide 4: Embargoes & Restrictions.

STEP 5: Sign the publishing agreement.

Publication of your work may be delayed or impossible if your signature is missing.

STEP 6: Provide your personal information, contacts, and degree data.

We require a limited amount of personal information to process your submission, provide records to your institution, and to communicate with you if necessary. We request your Country of Citizenship because libraries and researchers are often interested in searching for all dissertations published by authors of a given nation or region. We use your personal information solely for publishing and dissemination purposes, and do not sell or supply your personal information to any third party. The name you provide on the Submission Form should be identical to the name on your title page.

We know you are likely to relocate after you graduate. We ask for both your current contact information, and for permanent or stable contact information (e.g. your parents or another relative unlikely to move) to increase the chances of reaching you if there is an issue with your submission and to pay you royalties when/if you are eligible. If we are not able to reach you during the publishing process, the release of your dissertation or thesis and production of any print copies you order may be substantially delayed. If you have one, please provide us with your non-academic/non-professional email address; e.g. a hotmail-type web mail address.
Please use full and official names when completing the information about your university, school or college and department or program; e.g., The University of California at Berkeley, Graduate Division, Department of Integrative Biology. Please also use the correct abbreviation for the degree you earned. Finally, please provide the full name of your advisor/committee chair; e.g. James H. Smith, not Jim Smith.

**STEP 6: Provide information about your dissertation or thesis.**

We require this information to create the bibliographic data that establishes your dissertation or thesis in the primary literature. It is important that this information is accurate and corresponds precisely with the information in your manuscript. Discrepancies between the data you provide in this form and your manuscript can delay publication of your work and/or make it difficult for other researchers to discover your work.

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Make sure that the title you provide on the submission form is the same as the title on your manuscript’s title page. For the sake of standardization, your title will appear in sentence case regardless of the conventions of your discipline; e.g., "The long and short of it: a sample title." Whenever possible, use full proper names of people, organisms, places, etc. For example: "Samuel Clemens" not "S. Clemens"; *Hyla arenicolor*, not *H. arenicolor*. Try to spell out abbreviations for specialized vocabulary; e.g., "Triassic" rather than "Tr." Use word substitutes for formulas, symbols, superscripts, subscripts, Greek characters, etc. For example, use "potassium", not "K"; "first", not "1st"; "delta", not "Δ". Be sure to include all appropriate accents and diacritical marks.

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The first (primary) subject category that you enter is the one under which your dissertation or thesis will occur in our citation and abstract indices. Using Guide 2, choose the category that most closely corresponds with the subject of your research. If you add one or two more subject categories, these will be associated with your work and may increase its exposure to search engines.

**Keywords**

Adding good keywords is another way to increase the chances that your work will be discovered. For example, geographic locations or specialized terms that do not occur in your title or abstract can increase exposure of your work.

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You may order bound copies or microfiche of your dissertation or thesis at a discount. Your copies will be produced and shipped after the publication process is complete and your work is released for dissemination.

**STEP 9: Make sure your manuscript is correctly organized**

Follow your institution’s guidelines for organization and required sections. Do NOT include the signature page in your submitted manuscript. This prevents a likeness of signatures from being distributed digitally.

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**STEP 11: Attach Pages 3 and 4 (Agreement signature page and Submission Form page) to your manuscript and submit according to your institution’s instructions.**
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| ☐ | Have you included the full names of your advisor/committee chair? |
| ☐ | Have you indicated the appropriate subject category on the submission form? |
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Select ONE of the options below.
For help in deciding among these options, see the guides for Open Access versus Traditional Publishing and Embargoes & Restrictions.

Open Access Publishing Options

- OA-1
  OPEN ACCESS
  IMMEDIATE* Release
  Retail copy sales
  Accessible to search engines
  I want the broadest possible dissemination of my work as soon as it is published, and I want to provide free global access to the electronic copy of my work via the internet. I want people to be able to buy a copy of my work via commercial retailers, and I want major search engines to discover my work. I understand that there is an additional fee for Open Access Publishing, and that I will not be eligible to receive royalties.

- OA-2
  OPEN ACCESS
  I want the broadest possible dissemination of my work and I want to provide free global access to the electronic copy of my work via the internet. I may provide further instructions as indicated below. I understand that there is an additional fee for Open Access Publishing and that I will not be eligible to receive royalties.

If no boxes are checked below, your work will be released immediately with no restrictions.

<table>
<thead>
<tr>
<th>Release Options*</th>
<th>Restriction Options</th>
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<tbody>
<tr>
<td>6 month embargo</td>
<td>No search engine access</td>
</tr>
<tr>
<td>1 year embargo</td>
<td>No sales via third-party</td>
</tr>
<tr>
<td>2 year embargo</td>
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</table>

Traditional Publishing Options

- TR-1
  TRADITIONAL Publishing
  IMMEDIATE* Release
  Retail copy sales
  Accessible to search engines
  I want to make my work widely available for purchase as soon as it is published, and I want to be eligible to receive royalties on the sale of my work. I want people to be able to buy a copy of my work via commercial retailers, and I want major search engines to discover my work. I understand that I must maintain a current mailing address with ProQuest/UMI in order to be eligible to receive royalties.

- TR-2
  Traditional Copy Sales & Royalties
  I want to make my work widely available for purchase and I want to be eligible to receive royalties on the sale of my work. I may provide further instructions as indicated below. I understand that I must maintain a current mailing address with ProQuest/UMI in order to be eligible to receive royalties.

If no boxes are checked below, your work will be released immediately with no restrictions.

<table>
<thead>
<tr>
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<td>No sales via third-party</td>
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<td>2 year embargo</td>
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* Embargoes start from the date we receive your manuscript at ProQuest/UMI. Note that there can be a delay of up to a semester at your institution before the work is forwarded to us.

Section V. Author's signature.

Acknowledgment: I have read, understand and agree to this Publishing Agreement, including all rights and restrictions included within the publishing option chosen by me as indicated above.

Author's signature___________________________________________________________Date____________________

INCLUDE THIS PAGE WITH YOUR SUBMISSION
# Master's Thesis Submission Form

Please type or print in block letters.

## Personal Information

<table>
<thead>
<tr>
<th>Last Name</th>
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<tr>
<td>First Name</td>
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<td>Middle Name or Initial</td>
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<tr>
<td>Country (ies) of Citizenship</td>
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## Current Contact Information

<table>
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<th>Street Address</th>
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<td>Country</td>
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<td>Daytime Phone</td>
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<td>Evening Phone</td>
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<td>Email Address</td>
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## Future and/or Stable Contact Information

<table>
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<td>Street Address</td>
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<td>Daytime Phone</td>
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<td>Evening Phone</td>
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## Degree Information

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<tr>
<td>Year degree awarded</td>
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<tr>
<td>Official name of College, School, or Division (if applicable)</td>
<td></td>
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<tr>
<td>Official name of Department or Program</td>
<td></td>
</tr>
<tr>
<td>Year manuscript completed</td>
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</tr>
</tbody>
</table>

## Thesis Information

- **IMPORTANT!** Attach copies of your thesis title page and abstract to this form.

<table>
<thead>
<tr>
<th>What language is your thesis written in?</th>
<th></th>
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</thead>
<tbody>
<tr>
<td>Primary Subject Category: Enter the 4-digit code and category name from Guide 2 that most closely corresponds with the subject of your research.</td>
<td></td>
</tr>
</tbody>
</table>

Your abstract will be listed in our citation index products under this category.

Optional: Enter up to two secondary subject category codes and descriptors that may aid in the discovery of your work in our digital database.

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<table>
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<th>Bound Size</th>
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</table>

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Subtotal

Sales Tax

Order Total

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Guide 1: Preparing Your Manuscript for Submission to ProQuest/UMI

Abstract
As a section of your dissertation or thesis, your abstract (if you include one; check with your institutions requirements) must meet the specifications provided below for your manuscript.

Please supply an additional copy of your abstract in English, if the primary language of your dissertation or thesis is NOT English.

We no longer have a word limit on your abstract, as this constrains your ability to describe your research in a section that is accessible to search engines, and therefore would constrain potential exposure of your work. However, we continue to publish print indices that include citations and abstracts of all dissertations and theses published by ProQuest/UMI. These print indices require word limits of 350 words for doctoral dissertations and 150 words for master's theses. Additionally, our print indices allow only text to be included in the abstract. In the editorial process for these print publications, we will simply truncate your abstract if it exceeds these word limits and remove any non-text content. You may wish to limit the length of your abstract if this concerns you. The abstract as you submit it will NOT be altered in your published manuscript.

Manuscript Specifications
Regardless of how you submit your dissertation or thesis, it will eventually be produced in digital, microform and or microfiche, and probably print media. Your library may have a standing order for reduced (6" x 9") size bound copies. Achieving a legible copy of acceptable quality in all of these formats and sizes requires a conservative approach to paper size and quality, fonts, font sizes, spacing, images and graphics. Your institution may provide you with specifications for some or all of these details, in addition to specifications for required sections, organization, pagination, and others. In cases of variation, your institution's specifications supersede ours. Please adhere to either/both your institutional specifications and those that follow here to ensure the highest quality reproduction of your work.

To prevent the release of digital signatures, do NOT include the signature page in your submitted manuscript.

MAKE SURE all your fonts are embedded fonts. See the end of this guide for instructions on embedding fonts. Manuscripts without embedded fonts can cause ALL punctuation and formatting to disappear when the document is printed from the digital file, and causes delays in our publishing process.

<table>
<thead>
<tr>
<th>DIGITAL MANUSCRIPT</th>
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</thead>
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<tr>
<td><strong>File Format:</strong> Manuscript</td>
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<tr>
<td><strong>Multimedia files and formats</strong></td>
</tr>
<tr>
<td><strong>Images</strong></td>
</tr>
<tr>
<td><strong>Video</strong></td>
</tr>
<tr>
<td><strong>Audio</strong></td>
</tr>
<tr>
<td><strong>Margins</strong></td>
</tr>
<tr>
<td><strong>Fonts</strong></td>
</tr>
</tbody>
</table>
### Embedding Fonts

This guidance assumes you are writing your manuscript in MS Word on a PC. If you are using a Mac, similar guidance should exist in help files.

To begin with, create your manuscript using a TrueType font—NOT a scalable font. See below for a list of recommended TrueType fonts and point sizes. Then:

1. On the **Tools** menu, click **Options**, and then click the **Save** tab.
2. Select the **Embed TrueType fonts** check box.
3. Save the document.

Alternatively, if you have Acrobat Professional available to you, you can follow the excellent instructions provided by the Graduate Thesis Office at Iowa State University:

1. Open your document in Microsoft Word.
2. Click on the Adobe PDF tab at top. Select "Change Conversion Settings."
3. Click on Advanced Settings.
4. Click on the Fonts folder on the left side of the new window. In the lower box on the right, delete any fonts that appear in the "Never Embed" box. Then click "OK."
5. If prompted to save these new settings, save them as "Embed all fonts."

---

<table>
<thead>
<tr>
<th><strong>Line spacing</strong></th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Double-space: abstract, dedication, acknowledgements, table of contents, and body of the manuscript, except for quotations as paragraphs, captions, items in tables, lists, graphs, charts. Single-space: footnotes/endnotes, bibliographic entries, lists in appendices.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Color</strong></th>
<th>Description</th>
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<tbody>
<tr>
<td>Native digital manuscripts will appear in color when viewed electronically. Microfilm and print reproductions will NOT preserve color; colors will appear in shades of gray and may compromise legibility of figures, illustrations, photographs, and graphics. Data and information that is color-coded or based on color shading may not be interpretable. For best results, have color photographs reprinted in black and white by a professional lab.</td>
<td></td>
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<tr>
<th><strong>PAPER MANUSCRIPT</strong></th>
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</thead>
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<td>Laser printed copy with crisp, dark black characters</td>
</tr>
<tr>
<td><strong>Paper Size</strong></td>
<td>8 ½ &quot; x 11&quot;</td>
</tr>
<tr>
<td><strong>Paper Type</strong></td>
<td>High-quality, 24 lb bright white; high contrast</td>
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</table>

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<tr>
<th><strong>Margins</strong></th>
<th>Description</th>
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<tbody>
<tr>
<td>Left: 1 ½”; Right: 1”; Top: 1”; Bottom: 1”. ALL material, including figures, headers/footers, footnotes/endnotes, and full-page images must appear within the margins of the manuscript. Page numbers are the only exception; these must appear at least ¾” from the edge of the page, but do not need to appear within the margins.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Line spacing</strong></th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Double-space: abstract, dedication, acknowledgements, table of contents, and body of the manuscript, except for quotations as paragraphs, captions, items in tables, lists, graphs, charts. Single-space: footnotes/endnotes, bibliographic entries, lists in appendices.</td>
<td></td>
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</tbody>
</table>

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<tr>
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</thead>
<tbody>
<tr>
<td>Preferred for paper submissions</td>
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<table>
<thead>
<tr>
<th><strong>Color</strong></th>
<th>Description</th>
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<tbody>
<tr>
<td>Acceptable. Microfilm and print reproductions will NOT preserve color; colors will appear in shades of gray and may compromise legibility of figures, illustrations, photographs, and graphics. Data and information that is color-coded or based on color shading may not be interpretable. For best results, have color photographs reprinted in black and white by a professional lab.</td>
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</table>

<table>
<thead>
<tr>
<th><strong>Oversize materials</strong></th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Acceptable. Fold maps and other material larger than 8 ½” x 11” to manuscript size, or roll and place in a mailing tube clearly identified as part of your submission.</td>
<td></td>
</tr>
</tbody>
</table>
6. Now the Change Conversion Settings window should show "embed all fonts" in the Conversion Settings drop down list and it should be selected. Click "OK" again.

7. Click on the Adobe PDF link at the top again. This time select Convert to Adobe PDF. Depending on the size of your document and the speed of your computer, this process can take 1-15 minutes.

8. After your document is converted, select the "File" tab at the top of the page. Then select "Document Properties."

9. Click on the "Fonts" tab. Carefully check all of your fonts. They should all show "(Embedded Subset)" after the font name.

10. If you see "(Embedded Subset)" after all fonts, you have succeeded.

**Some recommended TrueType fonts and point sizes**

<table>
<thead>
<tr>
<th>Font</th>
<th>Point Size</th>
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<tbody>
<tr>
<td><em>Arial</em></td>
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<tr>
<td>Century</td>
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<tr>
<td><em>Courier New</em></td>
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<tr>
<td>Garamond</td>
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<tr>
<td><em>Georgia</em></td>
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<td>10 pt</td>
</tr>
<tr>
<td><em>Times New Roman</em></td>
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<td>10 pt</td>
</tr>
<tr>
<td><em>Verdana</em></td>
<td>10 pt</td>
</tr>
</tbody>
</table>

* Web font. Designed for easy screen readability. Since many readers are likely to view and/or use your dissertation or thesis onscreen, you may wish to improve the readability of your text by using one of these fonts.
Guide 2: Subject Categories

The ProQuest® Dissertations and Theses (PQDT) database and the ProQuest/UMI citation indices are arranged by subject categories. Please select the one category below that best describes the overall subject of your dissertation or thesis. You may add one or two additional categories on your submission form that will also be associated with your work as secondary subjects.

THE HUMANITIES AND SOCIAL SCIENCES

COMMUNICATIONS AND THE ARTS
- Architecture 0729
- Art History 0377
- Cinema 0900
- Dance 0378
- Design and Decorative Arts 0389
- Fine Arts 0357
- Information Science 0723
- Journalism 0391
- Landscape Architecture 0390
- Library Science 0399
- Mass Communications 0708
- Music 0413
- Speech Communication 0459
- Theater 0465

EDUCATION
- General 0515
- Administration 0514
- Adult and Continuing 0516
- Agricultural 0517
- Art 0273
- Bilingual and Multicultural 0282
- Business 0688
- Community College Curriculum and Instruction 0727
- Early Childhood 0518
- Educational Psychology 0525
- Elementary 0524
- Finance 0277
- Guidance and Counseling 0519
- Health 0680
- Higher 0745
- History of 0520
- Home Economics 0278
- Industrial 0521
- Language and Literature 0279
- Mathematics 0280
- Music 0522
- Philosophy of 0998
- Physical 0523
- Reading 0535
- Religious 0527
- Sciences 0714
- Secondary 0533
- Social Sciences 0534
- Sociology of 0340
- Special 0529
- Teacher Training 0530
- Technology 0710
- Tests and Measurements 0288
- Vocational 0747

LANGUAGE, LITERATURE, AND LINGUISTICS
- Language 0679
  - General 0679
  - Ancient 0289
- Linguistics 0290
- Modern 0291
- Rhetoric and Composition 0681
- Literature
  - General 0401
  - Classical 0294
  - Comparative 0295
  - Medieval 0297
  - Modern 0298
  - African 0316
  - American 0591
  - Asian 0305
  - Australia, New Zealand, and Oceania 0356
  - Canadian (English) 0352
  - Canadian (French) 0355
  - Caribbean 0360
  - English 0593
  - Germanic 0311
  - Latin American 0312
  - Middle Eastern 0315
  - Romance 0313
  - Scandinavian and Icelandic 0362
  - Slavic and East European 0314
- PHILOSOPHY, RELIGION, AND THEOLOGY
  - Philosophy 0422
  - Religion
    - General 0318
    - Biblical Studies 0321
    - Clergy 0319
    - History of 0320
    - Philosophy of 0322
    - Theology 0469
- SOCIAL SCIENCES
  - American Studies 0323
  - Anthropology
    - Archaeology 0324
    - Cultural 0326
    - Medical and Forensic 0339
    - Physical 0327
  - Biography 0304
  - Black Studies 0325
  - Business Administration
    - General 0310
    - Accounting 0272
    - Banking 0770
    - Management 0454
    - Marketing 0338
    - Canadian Studies 0385
- Economics
  - General 0501
  - Agricultural 0503
  - Commerce-Business 0505
  - Finance 0508
- History 0509
- Labor 0510
- Theory 0511
- Folklore 0358
- Geography 0366
- Gerontology 0351
- Gender Studies 0733
- Hispanic American Studies 0737
- History
  - General 0578
  - Ancient 0579
  - Medieval 0581
  - Modern 0582
  - African 0331
  - Asia, Australia, and Oceania 0332
  - Black 0328
  - Canadian 0334
  - Church 0330
  - European 0335
  - Latin American 0336
  - Middle Eastern 0333
  - Military 0722
  - Russian and Soviet 0724
  - United States 0337
- History of Science 0509
- Jewish Studies 0751
- Law 0398
- Military Studies 0750
- Museology 0730
- Native American Studies 0740
- Political Science
  - General 0615
  - International Law and Relations 0616
  - Public Administration 0617
- Recreation 0814
- Social Work 0452
- Sociology
  - General 0626
  - Criminology and Penology 0627
  - Demography 0938
  - Ethnic and Racial Studies 0631
  - Individual and Family Studies 0628
  - Industrial and Labor Relations 0629
  - Organizational Public and Social Welfare 0703
  - Social Structure and Development 0630
  - Theory and Methods 0344
- Transportation 0709
- Urban and Regional Planning 0999
- Women's Studies 0453
THE SCIENCES AND ENGINEERING

BIOLOGICAL SCIENCES

Agriculture
General 0473
Agronomy 0285
Animal Culture and Nutrition 0475
Animal Pathology 0476
Fisheries and Aquaculture 0792
Food Science and Technology 0359
Forestry and Wildlife 0478
Horticulture 0471
Plant Culture 0479
Plant Pathology 0480
Range Management 0777
Soil Science 0481
Wood Technology 0746

Biology
General 0306
Anatomy 0287
Animal Physiology 0433
Bioinformatics 0715
Biostatistics 0308
Botany 0309
Cell 0379
Ecology 0329
Entomology 0353
Genetics 0369
Limnology 0793
Microbiology 0410
Molecular 0307
Neuroscience 0317
Oceanography 0416
Parasitology 0718
Physiology 0719
Plant Physiology 0817
Veterinary Science 0778
Virology 0720
Zoology 0472

Biophysics
General 0786
Medical 0760

EARTH SCIENCES

Atmospheric Sciences 0725
Biogeochecmistry 0425
Geochemistry 0996
Geodesy 0370
Geology 0372
Geophysics 0373
Hydrology 0388
Mineralogy 0411
Paleobotany 0345
Paleoecology 0426
Paleontology 0418
Paleozoology 0985

Palynology 0427
Physical Geography 0368
Physical Oceanography 0415
Remote Sensing 0799

HEALTH AND ENVIRONMENTAL SCIENCES

Environmental Sciences 0768

Health Sciences
General 0566
Audiology 0300
Dentistry 0567
Education 0350
Epidemiology 0766
Health Care Management 0769
Human Development 0758
Immunology 0982
Medicine and Surgery Mental Health 0564
Nursing 0569
Nutrition 0570
Obstetrics and Gynecology 0380
Occupational Health and Safety 0354
Oncology 0992
Ophthalmology 0381
Pathology 0571
Pharmacology 0419
Pharmacy 0572
Public Health 0573
Radiology 0574
Recreation 0575
Rehabilitation and Therapy 0382
Speech Pathology 0460
Toxicology 0383
Home Economics 0386

PHYSICAL SCIENCES

Pure Sciences

Chemistry
General 0485
Agricultural 0749
Analytical 0486
Biochemistry 0487
Inorganic 0488
Nuclear 0738
Organic 0490
Pharmaceutical 0491
Physical 0494
Polymer 0495
Radiation 0754
Mathematics 0405

Physics
General 0605
Acoustics 0986
Astronomy and Astrophysics 0606
Atmospheric Science 0608

Atomic 0748
Condensed Matter 0611
Electricity and Magnetism 0607
Elementary Particles and High Energy 0798
Fluid and Plasma 0759
Molecular 0609
Nuclear 0610
Optics 0752
Radiation Theory 0753
Statistics 0463

Applied Sciences

Applied Mechanics 0346
Artificial Intelligence 0800
Computer Science 0984
Energy 0791

Engineering
General 0537
Aerospace 0538
Agricultural 0539
Automotive 0540
Biomedical 0541
Chemical 0542
Civil 0543
Electronics and Electrical 0544
Environmental 0775
Industrial 0546
Marine and Ocean 0547
Materials Science 0794
Mechanical 0548
Metallurgy 0743
Mining 0551
Nuclear 0552
Packaging 0549
Petroleum 0765
Robotics 0771
Sanitary and Municipal System Science 0790
Geotechnology 0428
Operations Research 0796
Plastics Technology 0795
Textile Technology 0994

PSYCHOLOGY

General 0621
Behavioral 0384
Clinical 0622
Cognitive 0633
Developmental 0620
Experimental 0623
Industrial 0624
Personality 0625
Physiological 0989
Psychobiology 0349
Psychometrics 0632
Social 0451
Guide 3: Open Access versus Traditional Publishing

What is Open Access?

The now-common usage of the term "open access" means freely available for viewing or downloading by anyone with access to the internet. Sometimes a distinction is made for "limited open access" meaning that material is available free of charge to a limited group of authorized users. Our usage of "open access" means the former; that is, dissertations and theses published for Open Access with ProQuest/UMI will be available at no charge for viewing or downloading by anyone with access to the internet, indefinitely.

What is Traditional Publishing?

Traditional publishing at UMI® corresponds with the model that generated the publishing industry as soon as mass-reproduction of printed material was possible. That is, the owner of intellectual property and author of the work contracts with the publisher to reproduce, distribute, and sell copies of the work. The publisher pays the author a certain portion of the revenue thus generated. That is why we also refer to our Traditional Publishing model as the "copy sales and royalty payments" model. It's been our business model since 1938, and we've paid out hundreds of thousands of dollars in royalties to the authors of dissertations and theses over the decades.

Why do we offer both options for publishing your work?

Just as the modern printing press stimulated the modern publishing industry, technology and the ubiquity of the worldwide web have revolutionized the dissemination of intellectual property—including graduate works. The scholarly community in particular has benefited as more and more of its reference materials and the latest literature in every discipline becomes available online—especially when it's free whether or not you or your institution subscribe to the publication. The primary literature is accelerating toward open access as scholarly publishers work to create new business models that will support this demand while sustaining the quality of their product. Where the primary literature goes, so does ProQuest/UMI, because we believe graduate works are primary literature.

At the same time, society is rapidly altering its notion of intellectual property, as access to information becomes a mouseclick rather than a trip to the library or bookstore. There is a strong and growing notion that information should be free to all members of society. While academia has long argued that there is a difference between information and intellectual property, it is clear that the distinction becomes ever more blurred as the Web grows and search engines become increasingly intelligent and powerful. The notion that information is a global commons, that society has a right to access the results of research that it supports, and the increasing call for academic accountability are together generating powerful forces that will affect how you publish as a scholar from this point forward. For example, search the internet under the term "Federal Research Public Access Act" and you will see that Congress may soon require the published results of all federally funded research to be held in open access repositories. In a nutshell, it is time for ProQuest/UMI to offer an open access publishing option to the authors of graduate works.

So why will we continue to offer the traditional copy-sales and royalties publishing option? The landscape of scholarly publishing is evolving—not changing overnight—so we are evolving with it by offering a range of options to suit the best interests of all graduate student authors.

How do you choose between Open Access and Traditional publishing?

- Check in with your graduate school or its equivalent first. Your university may require that you publish for Open Access, particularly if your research was supported by federal funds.
Check into any restrictions imposed by a funding source. If your work was funded by industry or a corporate interest, as part of their research and development efforts, there may be some restrictions on the dissemination of all or part of your published dissertation or thesis.

If you have a patent pending, or there is patentable work in your dissertation or thesis, you should already be working with your institution's technology transfer office or higher-level research office. If this is the case, see Guide 4: Embargoes and Restrictions and take appropriate steps to ensure that any patentable rights are protected.

Next, check in with your advisor, committee chair, and any trusted mentors in your field. Your disciplinary community may share strong sentiments either for or against open access publishing. In some disciplines, open access is seen as a threat to the peer-review system because of the financial stress it causes for non-profit scholarly societies who publish journals. Other fields share a common and strong ethic for open access, particularly if its contributions are important to individual and societal decision-making. While you may not wish to have your decision governed by the norms of your discipline, you should at least be aware of any strong culture for or against open access in your field. Your mentor should also be able to advise you on whether or not your work is commercially viable in and of itself. If, for example, it is likely that your dissertation or thesis would sell well, you may not want to forgo earned royalties. Finally, your mentor should be able to help you decide if there is content in your work that should remain within academic circles, at least for a while. In such cases, you could still choose to publish for open access, but delay the release of your work for a fixed time (see Embargoes and Restrictions).

Lastly, check in with your own value system and your professional goals. Do you believe that society will benefit from your research? Was your graduate work supported by public funds or by a charitable source with a strong social mission? If so, you may feel like giving back by making your work free to anyone who wants or needs it. Are you on your way to a career in the fine or performing arts? If so, you may not want to give away the unique platform you’ve built through your graduate work, and prefer to let interested readers or viewers pay for the privilege. Did you create or develop something with tangible value to industry or business? Again, perhaps you should start requiring payment for your expertise now.

In the end, there is no right or wrong to either open access or copy sales and royalties as a basis for disseminating your work. We have developed the means for you to choose the model that best serves your professional and personal interests.

Open Access graduate works will be maintained in the new PQDT Open database, comprising the subset of our collection for which authors have paid the one-time fee for open access (currently $95). 2007 graduates will be the first cohort to have the Open Access Publishing option. For more information on PQDT Open and Open Access Publishing with ProQuest/UMI, go to www.proquest.com/products_umi/dissertations/ and click on "New! Open Access Publishing."

**What about Copyright and Open Access publishing?**

We have been asked whether there is any benefit in retaining your copyright or registering your claim to copyright with the U.S. Copyright Office if you publish anything for open access. There certainly is good reason, if not more reason to retain and protect your copyright if you publish open access, though you must decide for yourself about registering your claim (see the following section). By giving open access to your work, you are inviting people to read, reference, think about, build upon, refute, and perhaps even enjoy your work. You are NOT granting the right to take your work as one's own and/or to use it as one's own and/or to use it for commercial purposes without your permission. That is a copyright infringement.
### Guide 4: Embargoes & Restrictions

<table>
<thead>
<tr>
<th>Consideration</th>
<th>Recommended Action</th>
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</thead>
<tbody>
<tr>
<td>Choose Traditional Publishing</td>
<td>Place an embargo of 6-months, 1 year, or 2 years</td>
</tr>
<tr>
<td>Likely submission to a peer-reviewed journal</td>
<td>✓</td>
</tr>
<tr>
<td>Interested/potential interest by an academic or commercial press</td>
<td>✓</td>
</tr>
<tr>
<td>Ethical need to prevent disclosure</td>
<td>✓</td>
</tr>
<tr>
<td>Patenable rights in the work/other commercial potential</td>
<td>✓</td>
</tr>
</tbody>
</table>

### University Policies

Many universities enforce explicit policies regarding the delayed release (embargo) and/or restriction of dissemination of dissertations and thesis. These policies may also apply to the delay or restricted shelving of a copy of your work in the university library. Such policies serve the scholarly convention of sharing one’s research with others. Simply put, you are not contributing to your field or to general knowledge if others cannot examine the results of your scholarly work.

When you instruct us to embargo or restrict dissemination of your dissertation or thesis, we assume that you are complying with the policies of your institution.

University policies generally require that you petition for permission to embargo or restrict the dissemination of your dissertation or thesis. You will need to substantiate the reason for your request, and receive approval from the required persons and/or authorities. Considerations that are likely to be deemed reasonable for granting permission to embargo and/or 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 dissertation or thesis as a book*.
- Content that is likely to be submitted to a peer-reviewed journal*.

### Your Decisions

We provide you additional choices about dissemination and restriction that your university may not be concerned about, as long as you are fully informed of your options. These involve the extent to which you make your dissertation or thesis available to non-academic readers, through our own distribution channels, third-party distributors, and major search engines such as Google and Google Scholar.
For example, if you wish your work to be available to the largest potential population of interested readers, both general and academic, you would choose Open Access Publishing with immediate release, opt to have it available through third party retailers for sale to the non-academic reader, and not restrict access by Google and other search engines (Option OA-1 on page 1). You will choose this option if you feel that society has an interest in and a right to view the results of the research it supports by funding higher education. You should not choose this option if considerations such as those described above would make such wide access a detriment to your scholarly, professional, or personal future.

We began allowing Google and Google Scholar to search the bibliographic data and abstracts of dissertations and thesis in 2006. Internet search engines are quickly becoming a preferred tool for all of academia, and we believe graduate works should be easy for researchers to find. Therefore, if you need to limit dissemination of your work, you will need to exclude it from the data that we provide to select internet search engines. We provide you the ability to "opt out" of such exposure through the Publishing Agreement (Page 3). PLEASE NOTE, however, that internet search engines are likely to find your dissertation or thesis through other access points, especially through the library or institutional repository at your graduate institution. If you truly need exclusion from search engines, you will need to petition for restriction at your graduate institution in addition to restricting such access through ProQuest/UMI.

*Publishing with UMI® Dissertation Publishing: Effects on publishing your content elsewhere*

The first thing to remember is that YOU own your copyright; unlike most scholarly publishers, ProQuest/UMI does NOT acquire copyright when we publish your dissertation or thesis. You are free to re-publish your work in whole or in part, with whomever you choose without asking our permission.

Some authors are concerned that journals and other publishers will not accept content that has been published in or as a dissertation or thesis. This concern is less valid in the case of peer-reviewed journals, and potentially more valid in the case of commercial book publishers. While every case is unique, here are some general rules of thumb in examining this issue with regard to your own work:

- In most cases, you will not be submitting your dissertation or thesis as is to a peer-reviewed journal (unless it is a journal that publishes a monograph series). Most often, the content submitted for journal publication is an excerpt, chapter, or section of your dissertation or thesis. At the very least, it would be a significantly shorter distillation of your graduate work. The content is likely to be rearranged and reformatted to fit the style of the journal to which you submit. Finally, the content is likely to be revised and updated through the peer-review process and finally the editorial process if it is accepted. All of these processes mean that the material as finally published by a journal is substantively and substantially refined and therefore different from the content that is published as your dissertation or thesis. For this reason, journals are not historically concerned about your content having appeared and been distributed as a published graduate work. This is particularly true in the STEM disciplines (science, technology, engineering, and mathematics).

- Academic presses, monograph publishers, and commercial presses are more likely to consider your dissertation or thesis as a book. This is more often the case with the humanities, social sciences, and arts. Still, even if not peer-reviewed, the editorial process that turns your graduate work into a book is likely to change it substantially. The key in this consideration is whether the content changes substantively; i.e., is there a real difference in the content that makes the press comfortable with investing its resources in producing a book from your dissertation/thesis. Historically, presses have not been terribly concerned that distribution of your graduate work would harm potential sales as a book. However, as dissertations and theses have become widely available over the internet through libraries,
consortia and institutional repositories as well as from our subscription database, more presses may look more carefully at the question of marketability.

As with exercising caution around open access, you should seek the advice of well-established mentors in your field if you feel that your future ability to publish dissertation/thesis content might be jeopardized by wide dissemination. If you decide that it might, you will want to take one or more of the precautions shown in the table below.
Guide 5: Copyright and Your Dissertation or Thesis

"Copyright is one of the most confounding and misunderstood laws affecting colleges and universities."

Kenneth D. Crews, Indiana University, wrote these words in 1992 in the preface to his book on copyright law for graduate research and repeated them in the first line of the 2002 edition of Copyright Law & Graduate Research: New Media, New Rights, and Your New Dissertation (© Copyright 2000, ProQuest Information and Learning).

In terms of your dissertation or thesis and copyright, there are two considerations: how to avoid infringing on someone else's copyright, and how to protect your own copyright. Outside of becoming an expert yourself, the best way to handle these to necessities is to read and refer often to Crews guide, which he wrote with the cooperation and support of ProQuest Information and Learning and the Council of Graduate Schools. Dr. Crews is a Professor at Indiana University, in the School of Law-Indianapolis, and the School of Library and Information Science, and serves as Associate Dean of the Faculties for Copyright Management. Crews' guidance is far superior to any advice we can offer here. You can view and/or download a free copy of the book at http://www.proquest.com/products_umi/dissertations/copyright/.

We have excerpted a few of the most general guidelines from Crew's book to help you determine when and how to seek further guidance in addressing copyright issues.

Avoiding Copyright Infringement in Your Dissertation or Thesis

Copyright law protects "original works of authorship" that are "fixed in any tangible medium of expression." Legal use, without permission, of copyrighted work is limited to "fair use" of the work. Educational and research use is not necessarily "fair use", especially if the work is published, as your dissertation or thesis will be with ProQuest/UMI and as (hopefully) many of your future journal articles or books will be. You may be better off acquiring permission to use the work in question from the start, or to figure out how not to use material of questionable copyright in your dissertation or thesis. The table here, taken from Crew's book, shows general guidelines for determining whether the age, authorship, and status of a work means that it is, or is not likely to be copyrighted. At the end of this section is a sample permission letter (again, taken from Crews) that will satisfy our requirements for using material under another copyright in your dissertation or thesis.

<table>
<thead>
<tr>
<th>Creation/Publication of the Work</th>
<th>General Rule of Duration</th>
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<tbody>
<tr>
<td>Created in or after 1978 by a named author acting in an individual capacity, whether published or not.</td>
<td>Life of the author, plus seventy years.</td>
</tr>
<tr>
<td>Created in or after 1978 by an anonymous or pseudonymous author, or by a corporate author, or a work-made-for-hire.</td>
<td>The earlier of either ninety-five years from publication, or 120 years from creation.</td>
</tr>
<tr>
<td>Created before 1978, but not published.</td>
<td>The later of either seventy years after the death of the author, or through December 31, 2002. The expiration date is extended through December 31, 2047, if the copyright owner publishes the work before the end of 2002.</td>
</tr>
<tr>
<td>Published after 1922 and before 1978 with a copyright notice and renewed if required.</td>
<td>Ninety-five years from the date of original publication.</td>
</tr>
<tr>
<td>Created and published before 1923.</td>
<td>Copyright has expired.</td>
</tr>
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</table>

The following are the kinds of materials that we might expect to see accompanied by a permission letter if they appear in your manuscript, or that may cause us to contact you regarding permission or other resolution. You are responsible for obtaining proper permissions for all material used within your work.

- **Long quotations** from pre-existing materials that extend for more than one and one-half single-spaced pages.
- **Reproduced publications.** Examples include copies of standard survey instruments or questionnaires and journal articles. This applies even if you are the author of the original work, as the original publisher may have acquired copyright.

- **Unpublished materials.** Extensive reference to unpublished works raises a variety of issues about copyright and about privacy and access to collections.

- **Poetry and Music Lyrics.** Fair use for highly creative works is relatively limited. Lengthy excerpts will raise critical questions. Some publishers require permission for all quotations from poems.

- **Dialogue from a play, screenplay, broadcast, or novel.** While fair use is relatively narrow for creative and fictional works, it should allow brief quotations in the context of scholarly critiques.

- **Music.** Excerpts in your dissertation should be brief and should be closely tied to your research objectives.

- **Graphic or pictorial works.** The material should be closely related to your research objectives, tied to critical analysis, and not supersede the market for the original.

- **Computer Software.** Dissertations embodied in new media, such as on a website or on CD-ROM, may incorporate reader programs or other application software to make the new work accessible or useful. Reproducing such programs to accompany your dissertation will almost invariably require permission. Consult any license agreement that may apply to the programs, and prepare to seek permission from the copyright owner. "Shareware" is also not necessarily freely available for copying. Shareware is a protected work made available under generous or lenient licensing terms; read the license carefully before integrating the program into your dissertation.

- **Sources located on the Internet.** Easy availability does not change copyright status. Materials on the Web are protected by copyright just as if they appeared in a book or on tape.

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**Protecting Your Own Copyright**

Copyright privileges now vest immediately upon creating your work, without the requirement of notice or registration. However, you should still include a copyright notice on your dissertation. Your graduate school may even require that you do. Typical copyright notices take this form:

Copyright 2001, Jane Student or © 2001, Jane Student. The notice should appear in a conspicuous location, customarily just after the title page.

Registration is also technically optional, but still recommended. It establishes a public record of your dissertation and copyright. In the U.S., registration is required before you can file an infringement lawsuit. You should therefore register before that possibility ever arises then hope it never does. Registration also allows you to be awarded damages and attorney fees in an infringement action. Generally, you must have registered before the infringement occurs to have these benefits.

One final reason for registration is that you must deposit two copies of your dissertation to the Library of Congress anyway. Thus, early registration secures your rights and satisfies the deposit requirement as well. ProQuest/UMI can do the registration for you and deposit the required copies. You may instead register the copyright yourself by filing the appropriate forms.
Guide 6: Sample Permission Letter for Use of Previously Copyrighted Material

Modified from Crews, Kenneth D. 2000. Copyright Law & Graduate Research: New Media, New Rights, and Your New Dissertation

http://www.proquest.com/products_umi/dissertations/copyright/

[Letterhead stationery or return address]

[Date]

[Name and address of addressee]

Dear ________:

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The excerpts to be reproduced are: [insert detailed explanation or attach copy].

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If these arrangements meet with your approval, please sign this letter where indicated below and return it to me in the enclosed return envelope. Thank you very much.

Sincerely,

[Your name and signature]

PERMISSION GRANTED FOR THE USE REQUESTED ABOVE:

____________________________________

[Type name of addressee below signature line]

Date: ____________________
Instructions for permission letters:

1. Be sure to include your return address, telephone and fax numbers, and date at the top of the letter.
2. Spare no effort in confirming the exact name and address of the addressee. Call the person to confirm the copyright ownership.
3. State clearly the name of your university and your dissertation's title.
4. Describe precisely the proposed use of the copyrighted material. If necessary or appropriate, attach a copy of the quotations, diagrams, pictures, and other materials. If the proposed use is extensive, such as the general use of an archival or manuscript collection, describe it in broad and sweeping terms. Your objectives are to eliminate any ambiguities and to ensure that the permission encompasses the full scope of your needs.
5. The sample signature form at the end of the sample letter is appropriate when an individual grants the permission. When a company, such as a publishing house, is granting permission, use the following signature format:

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   Title: ______________________________

   Date: ________________

6. For More Information about Permissions. Various organizations grant permissions for certain works. For example, the Copyright Clearance Center offers a "Republication Licensing Service" that may prove helpful: www.copyright.com.