



GUIDEBOOK

For Preparation and Submission of an Electronic Dissertation

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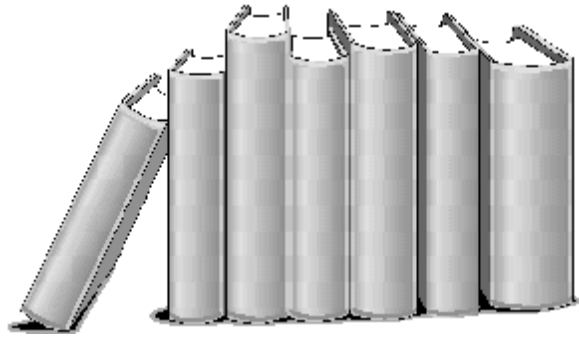
<http://www.unl.edu/gradstudies>

Last updated November 2011

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Dr. Laurie Bellows
Assistant Dean of Graduate Studies



STATEMENT OF PURPOSE

This Guidebook summarizes the procedures followed by the Office of Graduate Studies in assisting doctoral students in preparing their dissertations for final approval and submission to ProQuest and the University. It is important that the student be familiar with the information presented within this Guidebook and observe all the regulations and procedures governing the preparation and submission of the abstract and dissertation.

INTRODUCTION

An electronic dissertation is a document that is expressed in a form simultaneously suitable for machine archives and worldwide retrieval. Preparation of these documents may be done using nearly any word processor or document preparation system, incorporating relevant multimedia objects, without the requirement to submit multiple copies on paper.

In many ways the submission of an electronic dissertation is the same as submission of a “hard copy” dissertation. It is important that the Doctoral Programs Specialist review the document prior to submission as it must be in appropriate form for ProQuest/University Microfilms International.

Please refer to the deadline dates relative to each graduation date found at <http://www.unl.edu/gradstudies/current/degrees/doctoral.shtml> to insure timely submission of documents.

ACADEMIC INTEGRITY

Plagiarism is defined as presenting the work of another as one's own (i.e., without proper acknowledgment of the source) and submitting examinations, theses, reports, speeches, drawings, laboratory notes or other academic work in whole or in part as one's own when such work has been prepared by another person or copied from another person.

Each student is responsible for adhering to the highest standards of academic integrity. In support of that expectation, the Office of Graduate Studies encourages any student with concerns or questions to discuss them with our Doctoral Programs Specialist, a faculty advisor, or other qualified faculty or staff. For more information, go to <http://www.unl.edu/gradstudies/current/plagiarism.shtml>.

STYLE

STYLE MANUALS

Dissertations should conform to one of the following style manuals:

- American Mathematical Society. *A Manual for Authors of Mathematical Papers*. Providence, RI: Author.
- American Political Science Association Committee on Publications. *Style Manual for Political Science*. Washington, DC: Author.
- American Psychological Association. *Publication Manual of the American Psychological Association* (revised). Washington, DC: Author.
- Campbell, William Giles. *Form and Style in Thesis Writing*. Boston: Houghton-Mifflin Company.
- Modern Language Association. *MLA Handbook for Writers of Research Papers*. New York: Author.
- Turabian, Kate L. *A Manual for Writers of Term Papers, Theses, and Dissertations*. Chicago: University Press.

Please keep in mind that some style manuals have as their purpose the preparation of manuscripts for publication, not the preparation of dissertations. Therefore, some dissertation features (i.e., title page, abstract format, table of contents, absence of running heads) will be different than those suggested for manuscript preparation. If you have any questions concerning style, please contact the the doctoral program specialist at 402-472-2875. Also, some departments have designated a specific style manual for their dissertations. These are listed below.

DEPARTMENTAL STYLE MANUALS

The following major departments have designated a specific style manual for their theses and dissertations. *Always check with your advisor or department chair to determine which style/format is preferred.*

Actuarial Science

- *A Manual for Authors of Mathematical Papers*

Anthropology

- *American Anthropologist*

Business College, Accountancy

- *A Manual for Writers of Term Papers, Theses, and Dissertations or Form and Style in Thesis Writing*

Business College, Marketing

- Current style sheet of *The Journal of Marketing Research* or *The Journal of Consumer Research*

Communication Studies

- *Publication Manual of the American Psychological Association* or *MLA Handbook for Writers of Research Papers, Theses, and Dissertations*

Community and Regional Planning

- *A Manual for Writers of Term Papers, Theses, and Dissertations*

English

- *MLA Handbook for Writers of Research Papers, Theses, and Dissertations*

Geosciences

- *Geowriting or Suggestions to Authors*, U.S. Geological Survey or *Suggestions to Authors*, Canadian Geological Survey, supplemented by *A Manual for Writers of Term Papers, Theses, and Dissertations*.
- A paper may be prepared in format required by a specific journal if the paper is to be submitted as is for publication.

Journalism

- *Publication Manual of the American Psychological Association*
- *MLA Handbook for Writers of Research Papers, Theses, and Dissertations*
- *Harvard Law School Blue Book*

Mathematics and Statistics

- *How to write mathematics* (Steenrod, Halmos, Schiffer and Dieudonne'), for style.
- *AMS Author Handbook* for general advice on TeX.

Physics and Astronomy

- *American Institute of Physics Style Manual*

Political Science

- *Style Manual for Political Science*, American Political Science Association Committee on Publications

Sociology

- Current style sheet of the *American Sociological Review* or *American Journal of Sociology*, supplemented by *A Manual for Writers of Term Papers, Theses, and Dissertations*

Theatre Arts

- *MLA Handbook for Writers of Research Papers, Theses, and Dissertations*

FORMAT

OVERVIEW

The dissertation and abstract must be typed. Acceptable type includes dark print from a letter-quality laser or inkjet printer. Dissertations in PDF format are submitted to ProQuest/UMI once approved as final by the supervisory committee chair/advisor and approval of the format has been received by the Doctoral Programs Specialist. This is done prior to beginning the depositing process in the Graduate Studies office.

SIGNATURE PAGE

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

FORMAT: GLOBAL PAGE SETTINGS

After you have written your dissertation, you must prepare the electronic version for submission. Overall, it is important to submit a dissertation that has a consistent appearance throughout. All the pages in your dissertation should follow a general format regarding page numbering, margins, and line spacing.

PAGE NUMBERING

Except for the title page and abstract, number all pages in your dissertation. [Page numbers appear in page headers. Consult the help files for your software on how to set up "Page Headers."]

Number the pages in the front matter with small roman numerals (i, ii, iii, iv, etc.), placed at the upper right of the page. However, the page number for the Title Page (i) and the pages of the Abstract (ii...) should not appear on the page(s).

Number all pages through the body and back matter with arabic numerals (1, 2, 3, etc.). You should number these pages at the upper right.

The page number should be no less than $\frac{3}{4}$ " (prefer one (1) inch) down from the top of the page and one (1) inch from the right side (see page 13). Running heads should not be used. For **landscape-oriented tables**, the bottom of the table should be on the outside (right) edge of the page. The page number must still be in the upper right corner of the page (See Sample on page 14.)

MARGINS

All margins, with the exception of the left margin which should be 1.5", should be no less than 1 inch. (See Sample A on page 13.) This applies to all material including the abstract, headers, footnotes/endnotes and images. If plates or tables are included, they must have the same margins as the text.

SPACING

Your dissertation line spacing should be double-spaced. Single space footnotes/endnotes, bibliographic entries, lists in appendices.

FONTS

For best readability, normal body text should be 12 point and in the Times-Roman fonts. Font size should be no less than 10 point. Embedded fonts are required. No italics, script, or ornamental fonts. Italics may be used for non-English words and quotations.

DOCUMENT DIVISIONS

The dissertation is divided into *front matter*, *body matter*, and *back matter*. Read further for specific instructions.

FORMAT: FRONT MATTER

Title Page

TITLE PAGE FORMAT

The format should be prepared according to Sample A on page 11. See also the listing of graduate majors on page 9.

TITLE

This is the full title of your dissertation.

AUTHOR

You alone are the author of your dissertation.

SCHOOL

The official name of your University is "University of Nebraska". You should not add "-Lincoln" after it.

DEGREE

This is either "Doctor of Philosophy", "Doctor of Education", or "Doctor of Musical Arts."

MAJOR

Put the official name for your major. If you are in doubt regarding the name of your major, you may talk to the Doctoral Programs Specialist in the Graduate Studies office.

ADVISOR/CHAIR NAME(S)

This is the faculty member(s) who supervised your doctoral program and dissertation. Their title(s) for this page is Professor. No "Dr." please. No rank should be listed (i.e., Associate, Assistant, etc.).

CITY, STATE

This should always read "Lincoln, Nebraska". Do not abbreviate Nebraska.

DATE OF DEFENSE OR GRADUATION DATE

Put the date you defended or the date of your graduation (e.g., "October, 1996.") Please make sure you have the comma between the month and the date. No specific day is required.

Other Front Matter

These items are listed in the order they would come after the title page.

ABSTRACT

Each dissertation must be accompanied by an abstract that has been approved by the student's committee. Abstracts will be part of the bibliographic record in the library's online catalog. Abstracts must be limited to 350 words. Additionally, abstracts for dissertations will be published in *Dissertation Abstracts*.

COPYRIGHT PAGE

In any work, copyright implicitly devolves to the author of that work. One may make this statement of ownership explicit, however, by including a copyright notice, such as "Copyright 1998, John J. Smith." Additionally, you may pay to register your copyright with the U.S. Copyright Office through UMI.

DEDICATION (OPTIONAL)

You may provide a dedication.

AUTHOR'S ACKNOWLEDGMENTS (OPTIONAL)

Here you may acknowledge those that assisted you in your work.

GRANT INFORMATION (OPTIONAL)

You may acknowledge any granting institution here.

TABLE OF CONTENTS

Include the chapter and section numbers and title along with the page on which each chapter or section begins.

LISTS OF MULTIMEDIA OBJECTS

For each multimedia type (table, graph, diagram, equation, etc.) list the number and title of the object and the page on which it occurs.

FORMAT: BODY MATTER

CHAPTER

At the beginning of each chapter, place the word "Chapter," the chapter number, and the chapter title in large type.

PARAGRAPHS

Separate paragraphs by a line of horizontal space if you choose to single-space your dissertation (not recommended). Indent block quotes on the left and right.

FOOTNOTES

You may use footnotes and/or end notes. Lengthy footnotes are probably better formatted as end notes.

Place any footnotes on the same page as the items that refer to them. Footnotes in main body text should be numbered consecutively in arabic numerals, starting with 1.

MULTIMEDIA OBJECTS

Multimedia object types include tables, complex equations, graphs, diagrams, digital pictures, digital video, digital audio, virtual reality, and even computer software that you have developed.

Simple Objects: Most simple objects like tables, graphs, and diagrams can be embedded in your dissertation using your word processor.

- Put the object at the point of reference or "float" it to the top or bottom of the page or to the top of the next page.
- Center the object between the left and right margins of the page.
- Directly below the object for figures and above for tables, center the type and number according to its position in the chapter (e.g., in Chapter 5 we may have Table 5.1, Table 5.2, and Figures 5.1, 5.2, and 5.3).
- Give the object a concise, descriptive title.

Complex Objects: More complex multimedia objects require special treatment. They either do not fit naturally on a page or the file size is too large to fit reasonably within a document. For complex objects you must place the type and number of the object along with its concise, descriptive title, centered on a line by itself. In parentheses, include the media encoding (e.g., JPEG) and file size (e.g., 1.5 megabytes). Then you must connect each object title to a separate file containing the object. Many complex multimedia object types have a simple object version (often called "thumbnail") that is a reduction of the picture or one frame of video. If possible, we recommend that you include this reduction in the main document *along with* a PDF link to the complex object. Be sure that you submit the object file(s) along with your dissertation.

FORMAT: BACK MATTER

The back matter contains the references (bibliography) and appendices.

REFERENCES

Consult your departmental guidelines for the standard forms for citation.

APPENDICES

The student may include the source code or output of computer programs as an enumerated appendix. Place figure references with PDF links to multimedia objects here also.

Exactly as you treated each chapter, place the word "Appendix," the appendix letter or letters, and the appendix title in large type at the beginning of each appendix.

Appendices are enumerated alphabetically from A to Z, then AA, AB, and so on to ZZ, then AAA, AAB, etc.

APPROVAL PRIOR TO THE ORAL EXAMINATION

PREPARATION

Prior to the filing of the **Application for the Final Oral Examination** in the Office of Graduate Studies, the abstract and dissertation must be approved by the Supervisory Committee Chair and the two readers. They indicate their approval by signing the application form. The form may be found at: <http://www.unl.edu/gradstudies/current/degrees/Doctoral-FinalOral.pdf>

The deadline for presentation of the application to the Doctoral Programs Specialist in the Office of Graduate Studies is **three weeks prior to the date of the oral examination**. The form must be signed by the two readers and advisor(s) at that time. Their signatures indicate they have read the dissertation and approve of the scheduling of the defense.

For specific deadline dates, refer to <http://www.unl.edu/gradstudies/current/degrees/doctoral.shtml>.

SUBMISSION

When you submit your application to Graduate Studies, the Doctoral Programs Specialist will:

1. Review your application form, confirming that the necessary approvals and arrangements have been made.
 - The **dissertation** is not reviewed by Graduate Studies at this stage but should be formatted according to the electronic dissertation instructions in this guidebook.
 - Please submit a rough draft of your title page and abstract at this time a rough draft. This may done electronically as an attachment to email. It prevents problems later in the process.
2. Give final oral examination instructions, including how to obtain the Report on Completion, Signature Page, Survey of Earned Doctorates, upload instructions for ProQuest and Digital Commons, and the Electronic Dissertation Information. Some of these are important for your defense so these instructions should be read prior to your scheduled defense.

CHANGES

The Supervisory Committee has the right to recommend changes in the abstract and the dissertation at the time of the final oral examination. Such changes, should they be requested, normally are made by the student in consultation with the Supervisory Committee Chair and are incorporated in the final versions of the abstract and dissertation that will be deposited in Love Library.

PROCEDURES AFTER THE ORAL EXAMINATION

PREPARATION

After your final oral examination, you will need to prepare your dissertation for depositing. Once you have received final approval from your committee chair, you will need to convert your entire dissertation, including the title page and abstract, into one file, PDF format for upload to ProQuest. This file should be sent to the Doctoral Program Specialist for final approval of the formatting. After receiving approval from the specialist you will be required to upload your dissertation to ProQuest. If you encounter problems, first check the FAQ under the Digital Commons instructions on the UNL Library web site, <http://digitalcommons.unl.edu/faq.html>.

ProQuest will send an email confirming receipt of your submission within a few minutes of your upload. Please print that and bring it with your as proof (item D) of upload to ProQuest. There will be **no** opportunity for editorial changes or other changes in the manuscript after it has been submitted.

Once all approvals have been received, prepare and gather the following items.

- A. Report on Completion, signed by those attending the oral examination
- B. One signature page, signed by Supervisory Committee members
- C. Two copies of the abstract and one copy of the title page (one set is attached to the ProQuest forms)
- D. Copy of the Email of the confirmation of upload to ProQuest
- E. ProQuest's copyright form (optional)
- F. Electronic Dissertation Information Form
- G. Survey of Earned Doctorates (PhD Degree seeking students only, all others exempt as June 2009)

Information on accessing the necessary forms is provided by the Office of Graduate Studies at the time the Application for Final Oral Examination or Waiver is approved.

Be certain that the electronic version of your dissertation is exactly as you wish it. The body of the dissertation is not checked for formatting, pagination, spelling, grammar, or typos by anyone other than the author.

PERMISSION LETTERS

If permission letters were needed for use of items within the dissertations, those should accompany the forms to the library.

HOLDING THE DISSERTATION

An "embargo" may be placed on the release of the dissertation pending patent issuance, etc., for up to two years. This is requested during the upload to ProQuest. Creative Writing majors should contact the Doctoral Specialist for more information.

HARD BOUND COPIES

Each student also should check with the Supervisory Committee Chair and departmental office regarding any hard bound copies of the dissertation that must be prepared. You may obtain them through ProQuest or by contacting Printing Services at 17th and Y Streets (see information at the end of this Guidebook). **The library will not bind Hard Bound copies.** The student must make arrangements for binding these additional copies. Personal copies ordered from ProQuest or Printing services should be done directly by the student. Forms are not to be turned in with the rest of the materials at the time of depositing.

DEPOSITING THE DISSERTATION

The process for depositing dissertations must begin in the Office of Graduate Studies before 4:00 PM.

1. OFFICE OF GRADUATE STUDIES, 1100 SEATON HALL

Bring all items listed above (A through G) to the Office of Graduate Studies, where the Doctoral Programs Specialist will check to make sure the paperwork is correct, complete, and signed by those attending the oral examination.

2. OFFICE OF THE DEAN OF LIBRARIES, 318 LOVE LIBRARY

Deposit items B through G at the Office of the Dean of Libraries. Upon accepting your materials, Library staff will sign your Report on Completion (A) and return it to you. (The Library will accept your materials only if they carry the Graduate Studies stamp of approval, so be sure to complete Step 1 before attempting Step 2.)

3. CASHIER, 121 CANFIELD ADMINISTRATION BUILDING

The Cashier will accept your fee payment and sign your Report on Completion. Fees are as follows:

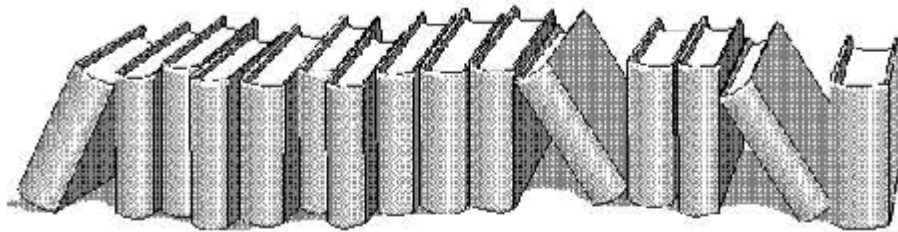
Processing	\$25.00 (required)
Copyright	\$65.00 (optional)

ProQuest/University Microfilms will apply for copyright in the name of the author, if authorized. These fees, which are subject to change, are payable to the Cashier after the forms are deposited in Love Library and their signature is received.

4. RETURN TO GRADUATE STUDIES

After payment of fees, take the Report of Completion of the Doctoral Degree form to the Office of Graduate Studies. You will be sent a short exit survey around the end of the semester regarding your graduate education.

Congratulations, you have completed the process!



DOCTORAL PROGRAM NAMES AND TERMINOLOGY

DOCTORAL DEGREES GRANTED AT UNL

Doctor of Education (Ed.D.)

Doctor of Musical Arts (D.M.A.)

Doctor of Philosophy (Ph.D.)

DOCTORAL MAJORS

A major in Graduate Studies is the area of academic or professional concentration approved by the Board of Regents in which the student chooses to qualify for the award of a graduate degree.

At the University of Nebraska-Lincoln, the following majors lead to the doctoral degrees indicated:

Agricultural Economics - Ph.D.	Food Science & Technology - Ph.D.	Psychology - Ph.D.
Agronomy - Ph.D.	Geography - Ph.D.	Sociology - Ph.D.
Animal Science - Ph.D.	Geosciences - Ph.D.	Statistics - Ph.D.
Biochemistry - Ph.D.	History - Ph.D.	Survey Research and Methodology – Ph.D.
Biological Sciences - Ph.D.	Horticulture - Ph.D.	
Business - Ph.D.	Integrative Biomedical Sciences - Ph.D.	<u>Education</u>
Chemistry - Ph.D.	Mathematics - Ph.D.	*Educational Administration - Ed.D. (joint program w/UNO)
Communication Studies - Ph.D.	Modern Languages & Literatures - Ph.D.	*Educational Studies - Ed.D., Ph.D.
Computer Science - Ph.D.	Music - D.M.A.	*Human Sciences - Ed.D., Ph.D.
Economics - Ph.D.	Natural Resource Sciences - Ph.D.	*Psychological Studies in Education - Ph.D.
English - Ph.D.	*Nutrition - Ph.D.	
*Engineering - Ph.D.	Philosophy - Ph.D.	
Entomology - Ph.D.	Physics & Astronomy - Ph.D.	
Environmental Health, Occupational Health & Toxicology - Ph.D. (joint program with UNMC)	Political Science - Ph.D.	* = Interdepartmental Area

SPECIALIZATIONS

Approved areas of specialization can be identified within certain majors (or interdepartmental areas) on a transcript as shown in the examples below:

- Major:** Interdepartmental Area of Business, with a specialization in Accountancy
 Interdepartmental Area of Engineering, with a specialization in Mechanical Engineering
 Geosciences, with a specialization in Meteorology/Climatology
 History, with a specialization in Nineteenth Century Studies

Listing the specialization on the title page of the dissertation is done by placing the official name of the specialization in parentheses on the line below the major and centering it on the page. Please note only official specializations are recognized on the dissertation. Please check with the Doctoral Program Specialist if you are unsure of the status and name of your specialization.

DUAL DEGREE PROGRAMS

The professional program leading to the juris doctor degree is provided through the University of Nebraska College of Law. A number of dual degree programs are offered in cooperation with the College of Law and the Office of Graduate Studies. Presently, joint law/graduate degree programs exist with the departmental areas of accountancy; business administration; community and regional planning; economics; educational studies; political science; and psychology.

In addition, a dual-degree program is offered by the departments of architecture (MArch) and community and regional planning (MCRP); architecture (MArch) and business (MBA); MArch/MEng with construction emphasis; and civil engineering (MS) and community and regional planning (MCRP). For more information, refer to the dual program descriptions in the Graduate Bulletin at <http://bulletin.unl.edu/> under the appropriate departmental entry.

FOR FURTHER ASSISTANCE

If you have questions regarding your graduate program or the preparation of your dissertation, contact the Doctoral Programs Specialist in the Office of Graduate Studies at 402-472-8669.

SAMPLES

The following sample pages illustrate various aspects of layout and formatting of title, abstract, and body pages. Please note, if there is a title of Professor that is how the advisor should have their title listed. If there is no title or degree listed in the examples, then there should be no title or degree listed.

A GLOBAL CLIMATE MODEL FOR RECONSTRUCTING
HOLOCENE TEMPERATURE PATTERNS

by

Robert Q. Huntington

A DISSERTATION
(DMA Students: A Doctoral Document)

Presented to the Faculty of

The Graduate College at the University of Nebraska

In Partial Fulfillment of Requirements

For the Degree of Doctor of Philosophy
(*or appropriate degree*)

Major: Geography or
Major: Interdepartmental Area of _____
(*see attached listing of Graduate Majors*)

Under the Supervision of Professor Grace M. Post

Lincoln, Nebraska

May, 2010
(*Date should be either month and year of oral
examination or month and year of graduation*)

SAMPLE B: DISSERTATION ABSTRACT

SECULAR AGNOSTICISM: THE EVOLUTION OF PUBLIC OPINION
TOWARD THE FEDERAL GOVERNMENT, 1910 - 1980

Kathryn Marie Smith, Ph.D. (or appropriate current degree sought)

University of Nebraska, 2010 (Year of Graduation)

Adviser: Rodger S. Edmunds

(The abstract for the dissertation MUST NOT CONTAIN MORE THAN 350 WORDS in its entirety, including the number of words for title, author, etc. It should be formatted as indicated here.)

XX
XX
XX
XX
XXXX

Place page number one inch (3/4") from the top.

1

SAMPLE PAGE FORMAT

All text and diagrams must be printed within these margins.

(1.5")

(1")

(1")

SAMPLE LAYOUT FOR LANDSCAPE-ORIENTED TABLE

TITLE of TABLE

Contents of Table

DISSERTATION BINDING PROCEDURES

For Personal or Departmental Copies

WHAT TO DO

Bring your dissertation to UNL Printing Services, 1700 Y Street, 472-2146.

Please bring your file

- in PDF format to insure the formatting (preferred) OR
- hard copy to be scanned

Get a binding order form from the front desk and fill it out.

Printing Services requests that all copies ready for binding be delivered to them **by 5:00 PM on Thursday**.

Copies can still be brought to Printing Services on Fridays with the hope that the Bindery has not picked up the orders. If the Bindery has already picked up the orders, your order will be sent out the following Friday. Binding orders will be returned on Friday, one week after being sent out.

Copies

If copies need to be made:

Regular Bond	\$.05 per sheet
25% Cotton Bond	\$.10 per sheet
Color Copies	\$.035 per sheet

You will be called after the copies are made so that you can proof those copies. All copies need to be proofed and signed off on before getting sent to the Bindery. This can be done either by you or by another person of your choosing.

Binding Prices

Hard Bound	\$24.08 including tax (many colors available for covers)
Soft Bound	\$14.55 including tax (covers available in red & black only)
Over 2"	add \$3.00 for each option

Mailing Costs

On Campus	<i>Free</i>
Off Campus	\$7.50 per book

Remember if you choose to order your copy from ProQuest , you will need to send them the order form directly. It does not go through the Graduate Studies or the Library.

February 2010