



# ***GUIDEBOOK***

## **For Preparation and Submission of a Dissertation**

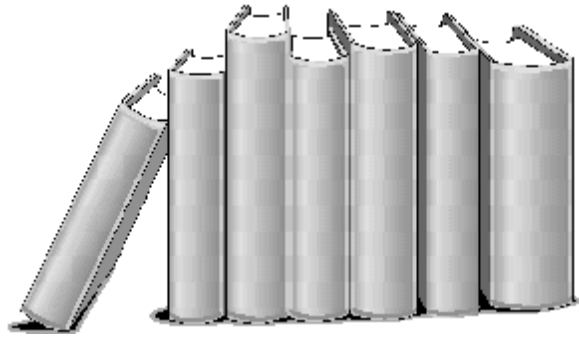
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*<http://www.unl.edu/gradstudies>*

Last updated April 2009

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**Dr. Ellen Weissinger**  
*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 preview your title page and abstract prior to submission as they must be in appropriate form for ProQuest/University Microfilms International. However, review of the format of the electronic file by the Doctoral Programs Specialist is not necessary.

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

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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

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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.  
(<http://www.math.unl.edu/~nhummel/tex.shtml>)

### 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***

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The dissertation and abstract must be typed. Acceptable type includes dark print from a letter-quality laser or inkjet printer. Copies of dissertations on CD/DVD/diskette are presented to the library at the time of depositing for backup purposes. Submission to ProQuest/UMI follows approval of dissertation when deposited.

### 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***

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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 or footers. Consult the help files for your software on how to set up "Page Headers" and "Page Footers."]

**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.

### MARGINS

All margins, with the exception of the left margin which should be 1.5", should be no less than 1 inch. This applies to all material including the abstract, headers/footers, footnotes/endnotes and images. Page numbers, which should NOT be included on the abstract, should be at ¾" from the edge of the page.

### 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**

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### **Title Page**

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#### **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**

Usually, 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**

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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***

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### 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***

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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***

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Prior to the filing of the **Application for the Final Oral Examination or Waiver** 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 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 readers and advisor(s) at that time. If the oral examination is waived, the deadline is three weeks prior to the last published date for holding oral examinations.

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

## ***SUBMISSION***

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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.
2. Complete a preliminary review of your title page and abstract, checking for conformance to format requirements. The title page and abstract may be submitted on paper or as attachments to an email message.
  - The **title page** format should be prepared in form according to Sample A on page 11. See also the listing of graduate majors on page 9.
  - 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 double-spaced and formatted according to Sample B on page 12. **Do not** number the pages of the abstract. The abstract should be placed immediately after the title page of the thesis.
  - The **dissertation** is not reviewed by Graduate Studies at this stage but should be formatted according to the electronic dissertation instructions in this guidebook.
3. Give final oral examination instructions, including how to obtain the Report on Completion, Signature Page, Survey of Earned Doctorates, UNL Exit Survey, the ProQuest/University Microfilms International Dissertation Agreement form, and the Electronic Dissertation Information.

## ***CHANGES***

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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***

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After the final oral examination, 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 title page (one set is attached to the ProQuest forms)
- D. ProQuest Dissertation Submission and Publishing Options form
- E. ProQuest's copyright form (optional)
- F. Electronic Dissertation Information Form
- G. CD/DVD/diskette with PDF version of dissertation (see description below)
- H. 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.**

The PDF-format copy of the dissertation (item H above) must be one file including title page, abstract and complete dissertation (including references, charts, figures) on a CD/DVD/diskette. This will be left with the library for backup purposes of the electronic submission. If the dissertation does not fit on one CD/DVD/diskette, call 472-2526 for options.

## PERMISSION LETTERS

If permission letters were needed for use of items within the dissertations, those should accompany the CD/DVD/diskette to the library.

## HOLDING THE DISSERTATION

If the dissertation is to be held pending patent issuance, etc., a letter of request from the author's advisor must accompany the dissertation. The letter should state why the dissertation is to be held and the specific date it can be released.

## ADDITIONAL COPIES

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

## ***DEPOSITING THE DISSERTATION***

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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 H) 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, and that the abstract meets all published requirements.

### **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 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.)

The digital copy of the dissertation submitted to Love Library will be placed on deposit there for storage and servicing. The abstract will be published in a print index by ProQuest.

### **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
Abstract	\$65.00
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 copies are deposited in Love Library.

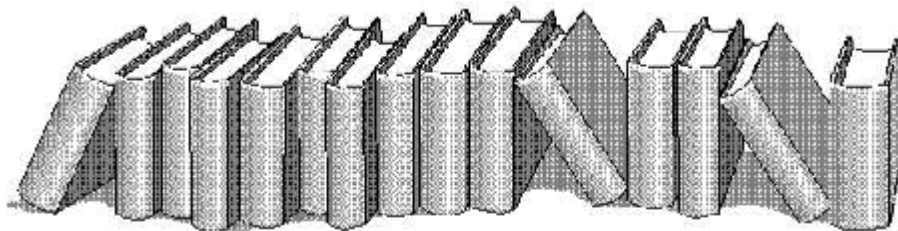
### **4. RETURN TO GRADUATE STUDIES**

After payment of fees, take the Report on 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.

### **5. DIGITAL PUBLICATION OF THE DISSERTATION**

Your final submission of your dissertation document is to ProQuest, as required. Instructions are found on the website given in the final instructions. You should do this within two weeks of depositing to avoid omission of this step.

There will be **no** opportunity for editorial changes or other changes in the manuscript after it has been submitted.



# DOCTORAL PROGRAM NAMES AND TERMINOLOGY

## DOCTORAL DEGREES GRANTED AT UNL

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Doctor of Education (Ed.D.)

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

Doctor of Philosophy (Ph.D.)

## DOCTORAL MAJORS

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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.

### Education

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.

\* = Interdepartmental Area

Environmental Health, Occupational  
Health & Toxicology - Ph.D. (joint  
program with UNMC)

Political Science - Ph.D.

## SPECIALIZATIONS

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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***

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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.

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, 2009  
(*Date should be either month and year of oral  
examination or month and year of graduation*)

***SAMPLE B: DISSERTATION ABSTRACT***

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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, 2009 (Year of Graduation)

Adviser: Rodger S. Edmunds

(The abstract for the thesis or 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, with line spacing double for theses and 1.5 for dissertations.)

XX  
XX  
XX  
XX  
XXXX

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

1

***SAMPLE PAGE FORMAT***

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All text and diagrams must be printed within these margins.

(1.5")

(1")

(1")

***SAMPLE LAYOUT FOR LANDSCAPE-ORIENTED TABLE***

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TITLE of TABLE

Contents of Table

# DISSERTATION BINDING PROCEDURES

## WHAT TO DO

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

Please bring your file

- in PDF format to insure the formatting or
- hard copy to 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

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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

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Hard Bound	\$24.08 including tax (many color 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

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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.

May 2009