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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.
- UMI-published dissertations and theses become part of the single most comprehensive collection of graduate-level creative work and research in the world.
- The UMI Collection is the safest, most sustainable repository for dissertations and theses, archiving this component of the primary literature in perpetuity.

For these reasons, and others important to the mission of your institution, publishing your dissertation or thesis with ProQuest Information and Learning's UMI® Dissertation Publishing is a graduation requirement in your program.

It is also in your best interests to publish your dissertation or thesis with ProQuest/UMI. You have many options for widely disseminating your published work, or restricting dissemination if that is in your best interests.

- Publishing your dissertation or thesis provides you with a legitimate citation for your curriculum vitae and for other scholars who refer to your work. Otherwise, scholarly convention requires that your work be listed as an "unpublished manuscript."
- Reference to your published dissertation or thesis appears in the world's most widely used sourceworks for graduate-level research, increasing the impact of your contribution to your field.
- You may also choose to make your work available to society, through open access publishing, ensuring that it is discoverable through major search engines, and through reliable third party retailers.

This document contains instructions on how to submit your manuscript and information about the dissemination options available to you, copyright issues, your rights as an author and our rights and obligations as your publisher, and a Publishing Agreement, which you must sign and provide to us along with your manuscript. PLEASE READ THIS INFORMATION so that your choices accurately reflect how you want ProQuest/UMI to manage your published work.

If you have questions that are not covered in this document, contact our Author Relations staff at disspub@il.proquest.com or call 1-800-521-0600, ext. 7020.
The Submission Process

**STEP 1: Know your institution’s submission procedures**

Your institution’s graduate school or its equivalent determines how your dissertation or thesis will actually be delivered to ProQuest/UMI. If your graduate school uses our ETD Administrator, you will be uploading your manuscript online and providing us with all necessary submission information via the web. If not, you will be filling out the paperwork in this document and providing it to us through your graduate school or library or other designated campus office.

**STEP 2: Secure any necessary co-authorship and/or copyright permissions**

If you share authorship with anyone else for any part of your dissertation or thesis, you need to acquire his or her permission to include that content. Likewise, if any content in your manuscript, including appendices, is already under another copyright, you need to acquire permission from the copyright holder to use that content. All such permissions must accompany your submission. See Guide 5 for more information, Guide 6 for a sample permission letter, and Copyright Law & Graduate Research: New Media, New Rights, and Your New Dissertation by Kenneth D. Crews for a comprehensive guide to copyright issues relative to your dissertation or thesis. You may view and/or download a free copy of Crews’ book at www.proquest.com/products_umi/dissertations/copyright/. ProQuest/UMI may elect not to distribute your dissertation or thesis if, in its reasonable judgment, it believes all necessary rights of third parties have not been secured.

**STEP 3: Read and understand the Licensing and Rights sections of the publishing agreement.**

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.

**STEP 4: Choose your publishing option.**

You may choose either open access or traditional publishing. If you choose Open Access Publishing, the published version of your dissertation or thesis will always be available for free download to anyone who has access to the Internet. The Traditional Publishing option works on a standard copy-sales and royalty-payments model. We sell copies of your work (in any format) and pay royalties as described in the Publishing Agreement. Either option gets your graduate research out where other scholars can find and use it through the ProQuest® Dissertations and Theses (PQDT) database, subscribed to by more than 3000 libraries worldwide.

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.

**Title**

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.

**Subject Categories**

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.

**STEP 7: OPTIONAL: Instruct us to file your application for copyright registration.**

We can prepare and file the application to register your claim of copyright to your dissertation or thesis. You acquire copyright through the act of creating your manuscript, regardless of registering with the U.S. Copyright Office. A registered copyright, however, allows a court of law to award you monetary damages if your copyright is infringed. For more information, see the section on Copyright and Your Dissertation or Thesis.

**STEP 8: OPTIONAL: Order copies.**

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.

**STEP 10: Provide your dissertation or thesis.**

Provide your manuscript and abstract in the form and format described in Guide 1: Preparing Your Manuscript for Submission to ProQuest/UMI to ensure that your manuscript will reproduce well in both print and microform. MAKE SURE all your fonts are embedded fonts. Guide 1 includes 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.

**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.**
SUBMISSION CHECKLIST

| ☐ Is your full name on the title page of the work, the abstract, and the submission form? Are all three identical? (If not, we will use the name on your title page). |
| ☐ Have you indicated your choice of Open Access or Traditional Publishing? |
| ☐ Have you included the full names of your advisor/committee chair? |
| ☐ Have you indicated your choice regarding third-party sales? |
| ☐ Have you indicated the appropriate subject category on the submission form? |
| ☐ Have you indicated any necessary embargo or restriction? |
| ☐ Have you attached a copy of your abstract and title page to the Submission Form? These must be identical to the abstract and title page in your manuscript. |
| ☐ Have you attached permission letters for materials under another copyright attached? Do they state that the materials may be included in the published version of your work? |
| ☐ Have you substituted words for formulas, symbols, and abbreviations in the title? Are accents included? |
| ☐ If you choose to have us register your copyright, have you provided all necessary information on the submission form? |
| ☐ Did you make sure your fonts are embedded? |
| ☐ If you want personal copies, did you fill out the order form? |
| ☐ Have you included an abstract and title page in English, if the original is in another language? |
| ☐ Have you enclosed any payments that you will make directly to us? NOTE: please ensure that the form of payment you use will not expire in the 6 months following your submission! |
| ☐ Are all pages of your manuscript present and appropriately numbered? (The most common problem with submissions is missing pages). |
| ☐ Have you signed the publishing agreement in the space provided and ATTACHED PAGES 3 AND 4 TO BE SUBMITTED WITH YOUR MANUSCRIPT? |

PLEASE ALLOW UP TO 16 WEEKS FOR THE RELEASE OF YOUR DISSERTATION OR THESIS

As with any scholarly publication, there is substantial lag time between submission of your manuscript and release of the published work. The actual time between submission and release can vary widely, depending on your institution's process and workflow, and the time of year. Most universities hold all submitted dissertations and theses until the end of the semester or quarter, then deliver them to us all at once. This is also true for your institution's transmission of ETD's using our online submission system.

Once your manuscript actually arrives at UMI, another 6 to 10 weeks can pass before its release. While there is no peer review process on our end (your committee serves the same purpose prior to submission), our editorial, bibliographic, reproduction and archiving processes all require individual attention to each individual dissertation and thesis. We publish more than 60,000 graduate works each year (72,000 in 2006), and most of them arrive at UMI between the middle of May and the end of June. While most submissions are processed without complication, approximately 20% on average are problematic. Handling problem submissions slows down the process for an entire cohort.

You can increase the chances of a speedy publishing process by following all instructions, guidelines, and requirements precisely. Use the Submission Checklist above. And if you have any questions, call our Author Relations Team at 1.800.521.0600 x.7020.
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- **Restrictions.** ProQuest/UMI will use commercially reasonable efforts to restrict the distribution of the Work as provided under the publishing option selected by Author in Section IV (below) or as later elected by Author through direct contact with ProQuest/UMI. Such election is subject to Author's Degree Granting Institution Directives (see below). With respect to restrictions requested after submission of the Work, Author acknowledges that ProQuest/UMI cannot recall or amend previously distributed versions of the Work. Refer to Guides 3 and 4 for information about access and restrictions.

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- **Degree Granting Institution Directives.** Author is solely responsible for any conflict between policies and directions of Author's degree-granting institution, Author's choice of publishing model, and/or any restriction Author places on the use of the Work. For the avoidance of doubt, ProQuest/UMI is not responsible for access to the Work that is provided by Author's degree-granting institution through its library or institutional repository. Author must work directly with Author's degree granting institution to ensure application of any restrictions to access relating to the Work by Author's degree granting institution.

- **Copyright and Deposit with the Library of Congress.** At Author's option as indicated in Section V below, and upon payment of the applicable fee, ProQuest/UMI will submit an application for registration of Author's copyright in the Work in Author's name. In addition, regardless of whether copyright registration of the Work is sought, ProQuest/UMI may make a copy of the Work available to the Library of Congress in digital, microform or other format as required by the Library of Congress.

- **Publishing Fees and Royalties.** Author shall remit the publishing fees and the optional copyright registration fees as appropriate for the publishing option chosen in Section IV (below), and as specified by Author's degree-granting institution. Except as provided under the Traditional Publishing options, no royalties shall be due from ProQuest/UMI to Author.

- **Delivery of the Work.** Author shall provide to ProQuest/UMI the Work and all necessary supporting documents according to the Instructions for Providing Your Dissertation or Thesis to ProQuest/UMI (Guide 1).
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A. Open Access Publishing. In addition to the rights granted under Section I of this Publishing Agreement, ProQuest/UMI may reproduce, distribute, display and transmit the Work in electronic format in the ProQuest® Dissertations and Theses Open database (PQDT Open) or successor database(s), where it will be made available for free download. PQDT Open may be accessed by the academic community as well as through major search engines and open access harvesters. ProQuest/UMI may also provide an electronic copy of the Work to Author's degree-granting institution where it may also be posted for free open access.

B. Copy Sales: ProQuest/UMI and its agents and distributors may offer copies of the Work for sale in tangible media, including but not limited to microform, print and CD-ROM, as well as in electronic format either individually or as part of its subscription-based electronic database and reference products. No royalties shall be due to Author.

C. Publishing Fees: Author’s payment of the additional Open Access fee is a one-time, up-front fee in addition to the UMI® dissertation or thesis publishing fee. Author's institution may assess additional fees to be collected along with the Open Access and publishing fees.

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Author's signature below and election of option TR-1 or TR-2 in Section IV below confirm Author's choice to have ProQuest/UMI publish the Work according to the Traditional Publishing option described below.

A. Traditional Publishing. ProQuest/UMI may reproduce, and distribute, and sell the Work, in whole or in part, in accordance with the rights granted under Section I above, in such tangible and electronic formats as may be in existence now or developed in the future, whether individually or as part of subscription-based electronic database and reference products.

B. Publishing Fees and Royalties. Author’s payment of the dissertation or thesis publishing fee is a one-time, up-front fee. Author’s institution may assess additional fees to be collected along with the publishing fee. ProQuest/UMI will pay royalties of 10% of its net revenue from sales of the Work, conditioned on Author maintaining a current address on record with ProQuest/UMI. Royalties are paid in any year in which royalties accrued during such year reach at least $10.00. No royalties shall be due for periods in which Author has failed to maintain a current mailing address with ProQuest/UMI.

Section IV. Publishing Options

Most accredited institutions that offer graduate degrees adhere to the principle that scholars are obligated to make the results of their research available to other scholars. A growing proportion of institutions and scholarly disciplines actively promote an extension of this principle: that scholars are obligated to make the results of their research available to society at large. We help your institution meet its mission, and you to meet your scholarly obligations, by publishing and disseminating your dissertation or thesis. After almost 70 years of dissemination primarily to the academic community, we now also provide options for you to make your work available beyond scholarly avenues. Please read the options on the next page carefully, and choose those that best serve both your interests and your scholarly obligations.
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.

<table>
<thead>
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<th>Open Access Publishing Options</th>
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<td>☐ OA-1</td>
<td>☐ TR-1</td>
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<td>Accessible to search engines</td>
<td>Accessible to search engines</td>
</tr>
<tr>
<td>I want the broadest possible</td>
<td>I want to make my work widely</td>
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<tr>
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<tr>
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</table>

☐ 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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<tr>
<td>1 year embargo</td>
<td>No sales via third-party</td>
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<tr>
<td>2 year embargo</td>
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</tr>
</tbody>
</table>

☐ 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>
<th>Release Options*</th>
<th>Restriction Options</th>
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<td>1 year embargo</td>
<td>No sales via third-party</td>
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<td>2 year embargo</td>
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</tbody>
</table>

* 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
**Form PQS07DPA**

**Dissertation Submission Form**

Please type or print in block letters.

### Personal Information

- Last Name: ____________________________
- First Name: ____________________________
- Middle Name or Initial: __________________
- Country (ies) of Citizenship: ____________________________

### Current Contact Information

- Street Address: ____________________________
- City, State, Zip: ____________________________
- Country: __________________
- Daytime Phone: ____________________________
- Evening Phone: ____________________________
- Email Address: ____________________________

### Future and/or Stable Contact Information

- Effective Date: ____________________________
- Street Address: ____________________________
- Daytime Phone: ____________________________
- City, State, Zip: ____________________________
- Evening Phone: ____________________________
- Country: __________________
- Email Address: ____________________________

### Degree Information

- Full name of university conferring degree: ____________________________
- Abbreviation of degree awarded: ____________________________
- Year degree awarded: ____________________________
- Official name of College, School, or Division (if applicable): ____________________________
- Official name of Department or Program: ____________________________
- Year manuscript completed: ____________________________

### Dissertation Information

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

What language is your dissertation written in?

Primary Subject Category: Enter the 4-digit code and category name from Guide 2 that most closely corresponds with the subject of your research. ____________________________

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. ____________________________

Provide up to 6 keywords or short phrases for citation indices, library cataloging, and database searching. ____________________________

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INCLUDE THIS PAGE WITH YOUR SUBMISSION
Copyright Registration Form -- Optional

We can file your application to register your copyright on your behalf. We supply all application materials, the two copies of your dissertation or thesis required for review and deposit in the Library of Congress, pay the filing fee and additional fees for corrected filings, and monitor the registration process.

The fee for this service is $65.00, and includes the filing fee set by the U.S. Copyright Office.

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Institution where degree was conferred

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- PLEASE notify us if your address changes! If your copies are shipped to an address that is no longer valid, we must charge you again to replace the order.

<table>
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Add sales tax for the state to which your order will be shipped.

Subtotal

Sales Tax

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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>
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<tr>
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English words and quotations. Applies to all text including captions, footnotes/endnotes, citations, etc.

| Line spacing | 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. |
| Color | 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. |

### PAPER MANUSCRIPT

| Preferred | Laser printed copy with crisp, dark black characters |
| Acceptable | High-quality photocopy with crisp, dark black characters |
| Paper Size | 8 ½" x 11" |
| Paper Type | High-quality, 24 lb bright white; high contrast |

| Do NOT use erasable paper |
| Single-side printing | Required |
| Margins | 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. |
| Fonts | Any legible font except script, italic, or ornamental fonts equivalent in scale to 10pt. Arial or 12pt. Times New Roman. Italicized font may be used for non-English words and quotations. Applies to all text including captions, footnotes/endnotes, citations, etc. |
| Line spacing | 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. |
| Black & White | Preferred for paper submissions |
| Color | 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. |
| Oversize materials | 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. |

### 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."
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**

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* 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

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| Medieval | 0297 |
| Modern | 0298 |
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| Australia, New Zealand, and Oceania | 0356 |
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# 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
- Paleocology 0426
- Paleontology 0418
- Paleozoology 0985

**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

**Geology**
- General 0605
- Acoustics 0986
- Astronomy and Astrophysics 0606
- Atmospheric Science 0608

## 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 0564
- Mental Health 0347
- 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

## APPLIED SCIENCES

**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
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Fluid and Plasma 0759
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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>Choose Traditional Publishing</th>
<th>Place an embargo of 6-months, 1 year, or 2 years</th>
<th>Do NOT choose third-party distribution</th>
<th>Restrict from Google/search engines and harvesters</th>
<th>See your institution’s technology transfer or research officer. Consult with your advisor and graduate dean.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Likely submission to a peer-reviewed journal</td>
<td>✅</td>
<td>✅</td>
<td>✅</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Interested/potential interest by an academic or commercial press</td>
<td>✅</td>
<td>✅</td>
<td>✅</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ethical need to prevent disclosure</td>
<td>✅</td>
<td>✅</td>
<td>✅</td>
<td>✅</td>
<td></td>
</tr>
<tr>
<td>Patentable rights in the work/other commercial potential</td>
<td>✅</td>
<td>✅</td>
<td>✅</td>
<td>✅</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>
</tr>
</thead>
<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>
</tbody>
</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.

**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 _______:  

I am completing a doctoral dissertation at __________ University entitled "__________." I would like your permission to reprint in my dissertation excerpts from the following:

[Insert full citation and description of the original work.]  

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

The requested permission extends to any future revisions and editions of my dissertation, including non-exclusive world rights in all languages, and to the prospective publication of my dissertation by ProQuest Information and Learning (ProQuest) through its UMI® Dissertation Publishing business. ProQuest may produce and sell copies of my dissertation on demand and may make my dissertation available for free internet download at my request. These rights will in no way restrict republication of the material in any other form by you or by others authorized by you. Your signing of this letter will also confirm that you own [or your company owns] the copyright to the above-described material.

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:

   PERMISSION GRANTED FOR THE USE REQUESTED ABOVE:

   [Type name of company]

   By: ________________________________

   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.