



# Thesis and Dissertation Preparation Guide



UNIVERSITY OF  
CENTRAL  
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GRADUATE SCHOOL

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# **THESIS & DISSERTATION PREPARATION AND PROPOSAL GUIDE**

## **INTRODUCTION**

Earning a doctoral degree or a master's degree with thesis option requires the graduate student, in collaboration with a faculty research advisor and thesis or dissertation committee, to design and conduct an original research project. Scholarly activity and research should be encouraged from the outset of the student's graduate program and should continue to play an important role until completion. The process of designing, writing, and completing the thesis or dissertation affords the student an opportunity to draw upon and consolidate knowledge obtained from classroom lectures, research projects, teaching, and other experiences. However, the thesis or dissertation should be viewed as the beginning of the student's scholarly work, not its culmination. Thesis or dissertation research should provide the student with hands-on, directed experience in the primary research methods of the discipline and should prepare the student for research and scholarship that will be expected after receipt of the degree.

This preparation guide includes specific format requirements for the thesis or dissertation, as well as information about related policies and procedures. In most disciplines, a professional manual is acknowledged as the accepted format guide for publication manuscripts. Graduate students are encouraged to use professional manuals for their disciplines in preparing the thesis or dissertation. However, the format requirements outlined in this guide take precedence over those in professional manuals for disciplines. This policy ensures uniformity for Graduate School documents.

## **INTEGRITY IN RESEARCH**

The graduate student is expected to adhere to the highest standards of academic integrity in research and scholarship. Plagiarism, falsification of data, or other unethical behaviors will not be tolerated. The following sections will help students understand the rights and responsibilities with regard to their own work and procedures and policies which must be followed to observe the rights of others.

Compliance with federal regulations governing the use of human subjects, animal care and use, radiation, drugs, recombinant DNA, or the handling and disposal of hazardous materials in research is monitored by a number of federal agencies. Because of these regulations, research compliance is another area of importance to graduate students and to the conduct of their research. If approval is relevant to the research, a student must verify that he or she has complied with the appropriate approval procedure(s) prior to the initiation of the thesis- or dissertation-related research. This will include review and approval by the Institutional Review Board for use of human subjects, the Animal Care and Use Committee if the research involves animals, or the Radiation Safety Committee if the research involves radioactive materials. Specific information regarding procedures for obtaining appropriate review of proposed research projects involving human subjects is available <http://uca.edu/sponsoredprograms/researchcompliance/> Graduate students conducting research involving any of the areas listed above should consult with the research advisor, department chair, and/or the UCA Research Compliance Officer to determine the required compliance.

## **RESPONSIBILITIES**

The thesis or dissertation represents a capstone project for many graduate students. Although the graduate student must assume primary responsibility for content and format of the thesis or dissertation, faculty members are expected to provide guidance.

The University of Central Arkansas offers many avenues of help for the graduate student writing a thesis or dissertation. Accesses to computers and printers, Torreyson Library, laboratory equipment, and assistance from the thesis or dissertation committee are available to students who choose to take advantage of these opportunities. The responsibility for maintaining a high level of scholarship and writing and for producing a quality document rests with the student as the author of the thesis or dissertation.

Departments offering a Ph.D. must prepare handbooks for Ph.D. students and faculty advisors of dissertations that codify the departmental and disciplinary expectations of graduate education in general and the dissertation in particular. Guidelines should focus on the mutual responsibilities of advisors and students and on a time-frame for completing each major stage of doctoral studies. Similar handbooks are recommended for master's programs, particularly those with a thesis option.

The goal of the Graduate School, as well as the student's thesis or dissertation committee, is to ensure that a manuscript has been produced that will reflect positively on the student, the student's committee and department, the Graduate School, and the University of Central Arkansas.

## **GENERAL INFORMATION**

Departments determine whether they require, or provide an option for, master's students to submit a thesis. All Ph.D. candidates will complete a dissertation. The following sections outline the general timeline, policies, and procedures for producing a thesis or dissertation at the University of Central Arkansas. It is important to read and understand fully the contents of this manual. The student must allow sufficient time for the logistics of conducting the research and writing the thesis or dissertation.

### **Graduate School Deadlines**

It is the student's responsibility to complete the following requirements according to the established schedule:

#### **Master's Degree Candidates**

- A thesis proposal (generally containing the first three chapters of the thesis) should be completed and filed with the department chair as early in the thesis process as

possible, but at least by the end of the first semester in which the student registers for thesis credit.

- Continuous Enrollment: Master's students must register for at least one hour of graduate thesis credit each semester (Fall, Spring, and Summer) after enrolling in their first thesis course, whether the student is in residence or away from the campus.
- *Application for Graduation* must be completed by the deadline set for each term. This is typically very early in the term and includes payment of a graduation fee. The *Application for Graduation* specifies the title of the student's thesis.
- The thesis, in final form with signatures of all committee members, must be submitted to the Graduate Dean at least three weeks prior to the date of graduation. One routing form (**Sample Document page 39**) signed by the Thesis Committee Chair, Department Chair and College Dean **must** accompany the two final copies of the thesis.
- Verification of successful completion of the comprehensive examination and/or the defense of the thesis must be submitted to the Graduate School office two weeks prior to the date of graduation.
- Two final copies of your thesis must be submitted to the Graduate School and electronic submission to ProQuest must be complete before your degree will be awarded.

### Ph.D. Candidates

- Approval of the dissertation topic by the major research professor/advisor and a dissertation committee is recommended as early as possible within the guidelines established by the department and a notice of appointment of the dissertation committee. (**Sample Document page 9**). Following approval, dissertation work can proceed at any time during a doctoral student's course of study.
- Continuous Enrollment: Doctoral students must register for a least one hour of dissertation credit each semester (Fall, Spring, and Summer) following approval of dissertation proposal until the work is completed, whether the student is in residence or away from the campus.
- *Application for Graduation* must be completed by the deadline set for the term in which the dissertation is expected to be completed. This is typically very early in the term and includes payment of a graduation fee. The *Application for Graduation* specifies the title of the student's dissertation.

- The dissertation, in final form with signatures of all committee members, must be submitted to the Graduate Dean at least three weeks prior to the date of graduation. One routing form (**Sample Document page 39**) signed by the Dissertation Committee Chair, the Department Chair, and the College Dean **must** accompany the two final copies of the dissertation.
- Verification of successful completion of the comprehensive examination, scholarly project, and/or the defense of the dissertation must be submitted to the Graduate School office two weeks prior to the date of graduation.
- Two final copies of your dissertation must be submitted to the Graduate School and electronic submission to ProQuest must be complete before your degree will be awarded.

### Selecting a Topic

Selection of a thesis or dissertation topic is the responsibility of the student. The student is advised to consult with an advisor and other faculty members to explore possible fields of interest and available resources and expertise that may exist within the discipline and the University. The potential contributions of faculty members to the development of the student's thesis or dissertation should be thoroughly investigated before the topic is selected.

The thesis or dissertation topic must be approved by the major professor and committee. The student will submit a written statement outlining the scope of the proposed study and procedures to be followed for approval. These procedures must be in compliance with University policies regarding research and the use of human subjects, animals, and radioactive materials in research. The original approval statement and outline are to be maintained in the department office with copies distributed to the Graduate Dean, college dean, major professor, and student.

### Selecting a Committee

Every graduate student who is writing a thesis or dissertation works under the direction of a committee of graduate faculty at the University of Central Arkansas. The committee should be selected within the timeline of the particular degree program in which the student is enrolled. The student should investigate the interests and abilities of faculty and their ability to assist in the particular project which the student proposes to undertake and may suggest faculty for consideration as members of the committee. Appointments are made by the chairperson of the academic department after considering the student's recommendations.

**Master's Thesis Committee.** A Master's student who is planning to complete a thesis must indicate his/her intent by filing a "Thesis or Dissertation Committee Selection Form" with his/her department chair. The committee shall be composed of a minimum of three members: the major professor, a second member of the graduate faculty of the discipline involved, and a third

graduate faculty member *who may be* from outside the student's department. Following approval of the thesis committee by the department chair, the form will be submitted to the Graduate School.

**Doctoral Dissertation Committee.** The dissertation committee shall be established according to departmental guidelines. The committee will consist of a minimum of five members of the graduate faculty, at least one from outside the student's department. Following the appointment of the committee, the form, Notice of Appointment of Dissertation Committee (**Sample Document page 9**), will be submitted to the Graduate School.

## **THE RESEARCH PROPOSAL**

When the student has selected a topic, a formal proposal is prepared and must be approved by the thesis or dissertation committee. The proposal details the student's proposed research and provides the opportunity for review and feedback from the committee. The committee may require revisions prior to approval. Following approval, the student has reasonable confidence that the committee will approve the thesis or dissertation if it is carried through competently according to the proposal. Copies of the approved proposal are to be distributed to the department chair for the departmental file, the major professor, and the student. Any modifications to the proposal require the approval of the student's committee. MFA students please refer to the Thesis and Dissertation Alternate Format Guide for required elements of the Script and Proposal.

### **Format for the Proposal**

**Chapter Format - Quantitative Research.** Proposals that are written in chapters are the most common but will differ in their content by disciplines and also by the type of proposal (i.e. quantitative or qualitative research). Students should work closely with the research advisor to determine the specific content required for the type of research to be conducted and for the discipline. The proposal is often the first three to four chapters of the student's thesis or dissertation. The proposal is discussed in terms of what "will be" done in conducting the research. Table 1 (page 7) presents an example outline of contents generally found in a proposal for quantitative research organized in chapter format.

**Chapter Format - Qualitative Research.** Qualitative research proposals may vary considerably, yet they do contain some common features. The specific theoretical framework selected for qualitative studies significantly influences the content of the proposal. Table 2 (page 8) presents a sample outline of components for a qualitative research proposal organized in chapter format.

**Alternate Formats.** A department may choose to allow the student to submit portions of a thesis or dissertation in a format ready for submission to a journal in the student's field. If an alternate format will be used for the final thesis or dissertation, the student may also submit the research proposal in the form of a publishable article; however, it must include comparable information to the examples given for the chapter formats described above. Furthermore, this format may be adapted as appropriate for historical or analytical research.

The emphasis in this guide is primarily on scientific/social-scientific research reporting. A typical thesis or dissertation in the humanities or arts may not be described in these terms. It is assumed, however, that various parts of a thesis or dissertation in the humanities or arts are mostly analogous to the parts described in this manual. It may be necessary for departments in these areas to assist students in making the necessary conversion in terminology.



<b>Table 1</b> <b>Sample Outline for Quantitative Research Proposal Using a Chapter Format</b>	
<b>CHAPTER I</b>	<p><b>INTRODUCTION</b></p> <p>A. Introduction (provides a brief orientation to the reader)</p> <p>B. Statement of the problem</p> <p>C. Significance of the problem (addresses the importance of the problem to the discipline)</p> <p>D. Statement of the purpose (a clear, concise statement of the purpose of the study)</p> <p>E. Theoretical/Conceptual framework (provides a framework for examining the problem and for linking it to relevant literature)</p> <p>F. Objectives, hypotheses, research questions (to be derived from the purpose and framework and provide specific direction for data analysis and interpretation)</p> <p>G. Assumptions/theoretical limitations</p> <p>H. Definition of relevant terms</p> <p>(subparts E - H are sometimes contained in a single chapter)</p>
<b>CHAPTER II</b>	<p><b>REVIEW OF THE LITERATURE</b> (Provides an overview of essential information that will guide the study and illustrates that the researcher has a command of current knowledge regarding the proposed problem.)</p> <p>A. Review of relevant literature</p> <p>B. Review of relevant research literature</p> <p>C. Summary</p>
<b>CHAPTER III</b>	<p><b>METHODS AND PROCEDURES</b> Description of the research design (the general strategy for conducting the study)</p> <p>A. Population and sample (population to which the findings will be generalized and from which the sample will be selected, how the sample will be selected)</p> <p>B. Setting (where the study will be conducted)</p> <p>C. Protection of subjects' rights (illustrates recognition and protection of rights and welfare of subjects)</p> <p>D. Measurement methods (methods of measuring study variables described, including instruments)</p> <p>E. Plans for data collection (the procedure by which the data will be collected, and who will collect it)</p> <p>F. Plan for data analysis (statistical analysis techniques which will be used)</p> <p>G. Limitations (methodological limitations)</p> <p>H. Study budget and timetable (might be in an appendix)</p>
<b>REFERENCES</b>	
<b>APPENDICES</b>	

<b>Table 2</b> <b>Sample Outline for Qualitative Research Proposal Using a Chapter Format</b>	
<b>CHAPTER I</b>	<b>INTRODUCTION</b> A. Identification of the phenomenon B. Study purpose C. Theoretical framework or philosophy D. Study questions or aims E. Significance of the study F. Identification of assumptions G. Limitations
<b>CHAPTER II</b>	<b>REVIEW OF LITERATURE</b> Relevant literature reviewed (as appropriate for the type of qualitative study planned).
<b>CHAPTER III</b>	<b>METHODS</b> A. Researcher's credentials (demonstration of researcher's ability to conduct the type of study proposed) B. Site and population (description of site for study and population to be used) C. Sample (description of sample and its selection) D. Data collection process E. Data analysis (techniques to be used to analyze data) F. Study budget and timetable (might be located in appendix)
<b>REFERENCES</b>	
<b>APPENDICES</b>	

### **Formal Presentation of the Research Proposal**

Graduate students conducting a thesis or dissertation are required to present their proposal to their committee, providing members the opportunity to evaluate the student's knowledge and understanding of the proposal as well as the student's ability to reason and present logical explanations to questions related to the research.

The presentation is conducted as a scholarly seminar. The student provides an overview of the proposal highlighting salient points of the proposed research. Audio-visual aids may assist in communicating essential points.

Following the presentation, there is normally a period for questions and answers. For example, the student might be asked to explain the rationale and considerations used in selecting particular theoretical frameworks, instruments, or data analysis techniques.

As a result of the meeting, committee members may suggest changes in the proposal and will approve or disapprove the proposal for implementation. A committee may ask for revisions to a proposal before approval.

## THESIS & DISSERTATION FORMAT GUIDE

### THESIS/DISSERTATION ELEMENTS AND STYLE

This section of the guide is designed to be a basic source of information for thesis or dissertation preparation. It establishes the technical parameters within which all students should work, such as quality of paper, margins, the sequence of pages within the manuscript, and the number of copies to be submitted. Since many graduate students will publish during and after their graduate education, they are encouraged to use leading professional publications to help establish specific formatting conventions. Students are also encouraged to use publications within their field — journals and textbooks — to assist them in establishing the format, bibliographic form, use of numbers, and other conventions that are discipline oriented. However, in cases where disciplinary conventions contradict this guide, the guide always takes precedence.

#### Style Guides

The student preparing a master's thesis or a doctoral dissertation will use the style manual acknowledged in his/her discipline as the guide for notes, bibliographies, charts, figures, etc. Departments will inform students which style manual is appropriate. Manuals frequently used include the *MLA Handbook for Writers of Research Papers*; the *Publication Manual of the American Psychological Association*; *Manual for Writers of Term Papers, Theses, and Dissertations*; *The Chicago Manual of Style*; the *American Medical Association Manual of Style*; and *The American Physical Society's AIP Style Manual*. These manuals may also offer guidance on grammatical questions.

In contrast, previously accepted theses and dissertations should never be used as the final guide to style. Examples taken from other theses or dissertations may be out of context or may be incorrect. The existence of a particular style or usage in a previously accepted thesis or dissertation does not establish a precedent for its continuation.

It is the responsibility of the student and the thesis or dissertation advisor to ensure that the thesis or dissertation meets standards required by this manual and, at the same time, recognizes the conventions of the student's discipline. Regardless of the discipline-specific format selected for the thesis or dissertation, certain format requirements are mandatory and are outlined in the following paragraphs. In addition to the mandatory requirements, suggestions are also provided.

The chart below provides a summary of page assignments for components of the thesis or dissertation.

<b>Outline and Pagination for the Thesis or Dissertation</b>		
<b>Components of the Thesis or Dissertation</b>	<b>Page Assignment</b>	
Title Page Approval Sheet Statement of Permission to Use	Lower Case Roman Numeral  (Assigned, <u>Not</u> Typed)	
*Copyright *Acknowledgment *Vita	Lower Case Roman Numeral  (Typed -Bottom Center)	
Abstract Table of Contents List of Tables [if applicable] List of Figures [if applicable] List of Symbols and/or Abbreviations		
Main Text of Thesis or dissertation		Arabic Numerals
Bibliography or Literature Cited Appendices		Starting with 1 (First page of each chapter – and Subsequent pages - bottom center. Suppress page numbers on title pages for appendices)

\* Denotes components that are optional. All other components are mandatory.

**Please note:** Sample Documents are for margin and spacing guidelines only. The typeface should match your thesis or dissertation.

## **Typeface**

The typeface is to be clear, non-distracting, and consistent throughout the thesis or dissertation. Note that although there are specific formats to follow for title pages, appendices, etc., the FONT MUST BE CONSISTENT THROUGHOUT THE TEXT. Exceptions to the selected typeface are allowed for graphs or other illustrations and appendix materials. Script, Old English or other decorative typefaces are not acceptable. A 10 to 12 point font size is required. Italics may be used, consistent with the style being followed.

## **Margins and Justification**

To allow for binding, all left-hand margins, including those of appendices, must be 1½ inches wide. The other margins should conform to the recommendation of the discipline style being followed. If margins are not provided in the selected style guidelines, use 1 inch for each of the top, bottom, and right margins. Right-hand justification is not allowed. Full or left justification may be used, following the selected style guide. Justification must be consistent throughout the manuscript. Hyphenating words between lines is to be avoided.

## **Line Spacing**

The body of the text must be double spaced, except for blocked quotations, references, footnotes, and similar elements. In the case of these elements, follow the selected style manual. If the selected style manual does not specify line spacing for references, single space within the item and double space between items. Do not split an item from one page to the next.

## **Ink Color**

Black ink is to be used for the thesis or dissertation. Though colored ink may be used for graphs and illustrations, it will fade over time and so is not recommended. If used, it must be used for all copies.

## **Paper**

The Graduate School requires two (2) copies be submitted, one on twenty (20) pound weight acid-free or equivalent bond paper, 8½ by 11 inches and one copy may be good grade photocopy. The thesis or dissertation may either be printed initially on this type of paper or may be professionally photocopied onto it. Consult your department to determine whether the copies for committee members and the department's copy must be on the same paper or if a good grade photocopying paper will be acceptable. Erasable paper is not acceptable, nor is a carbon copy.

## **Illustrations**

Follow the selected style manual for the titling and formatting of illustrations, including tables, graphs, figures, drawings, and photographs. In theses or dissertations using a chapter format, illustrations are normally placed in the text as close as possible to the first narrative referencing them.

## Computer Generated Tables and Graphs

Tables and graphs generated from a statistical program may be integrated into the thesis or dissertation. Margins of tables must be consistent with the main body of the thesis or dissertation, and reproductions must be clear and distinct.

## Photographs

Photographs may either be reprinted for each copy or professionally photocopied showing all of the shading, colors, and clarity of the original. Affix photographs securely with mounting fixative. Do not use tape or photo corners.

## Original Documents

Original letters or other similar documents, such as permission to use an instrument or to collect data in a certain institution, are not normally submitted in the thesis or dissertation. They should be photocopied on the required paper and the copy submitted as part of the thesis or dissertation. The originals are retained by the student with the primary research records. The documents may need to be reduced in order to maintain required margins.

## Oversized Documents, Tables, Tapes, Computer Discs, Maps

Oversized materials should be photocopied and reduced to fit within the required margins. Horizontal (landscaped) orientation is allowed. If necessary, oversized pages may be used, providing when folded they are no more than 11 inches vertically and do not fold into the binding margin ( $\frac{1}{2}$  inch on the left). A pocket envelope affixed to the thesis or dissertation may be used for materials that cannot be folded within the constraints of the thesis or dissertation.

## Printing

The thesis or dissertation is to be printed one-sided, using a laser printer, another letter-quality printer, or typewriter. Dot matrix printing is not acceptable, nor is poor photocopying, poor ribbon, or uneven toner.

## Pagination

Follow the requirements of the selected style manual for numbering the pages. If the style manual does not provide guidelines for documents with chapters, title pages, and similar elements, use the following guidelines: a) do not print the page number on title pages, but count them in the sequence of numbers; b) number the additional pages **before the text** in the lower center of the page, using lower case Roman numerals; c) beginning with the first page of the text through to the end of the text, use Arabic numbers starting with the number 1; d) the number is placed at the bottom center of the page; e) do not number the title pages of appendices, but count them in the sequence of numbers. Continue using Arabic numbers for the appendices, progressing from the last number of the text, placing them in the bottom center of the page. Numbers of landscaped pages must also show the page number in the bottom center of the page when bound.

## Elements of the Thesis/Dissertation

Elements which were included in the proposal (introduction, review of the literature, methodology, references, and appendices) are also included in the final thesis/dissertation. In the proposal, these were discussed in terms of what “will be” done in conducting the research but are now discussed in terms of what “was” completed in the research. Also included are a summary of the results of the research and a discussion of the implications of the research. These sections appear as chapters 4 and 5 in a chapter format document. The following are brief descriptions of the common elements of a thesis or dissertation.

### Preliminary Pages

**Title Page.** This page marks the beginning of the actual thesis or dissertation. **The wording and format of the title page must conform exactly to that shown in Sample Document page 18.** The title of the thesis or dissertation should clearly describe the contents of the thesis/dissertation and should facilitate ease of location on a subject index through the use of keywords. The student must use the same name that he/she uses to register at the University. The title page is considered page “i” in the front matter Roman numeral sequence but is left unnumbered. The first line of the title is typed in the center of the general page margins in all-capital letters on a line two inches from the top of the page. The remaining title page copy is centered, as illustrated in **Sample Document page 18**, and is spaced vertically to present an optical balance on the page. The date indicated on this page must correspond to the month and year of official graduation (commencement) even if this does not correspond exactly with the actual date of completion of the thesis.

**Approval Sheet.** The approval sheet documents that the student's advisory committee has recommended the approval of the thesis or dissertation to the Graduate School. **Each** copy of the thesis or dissertation submitted to the Graduate School must have an original approval sheet conforming to the same paper and format requirements as the main text of the thesis or dissertation. The first line of the approval page rests on a line two inches from the top of the page and is flush with the left margin. The second line begins six spaces in from the left margin. Three spaces separate the first signature line (typed as a solid underline) from the last line of the approval statement and each subsequent signature line from the name above it. Names of the committee members are typed one space below the signature lines.

**The approval page must be exactly as shown in Sample Document page 19** and must have a number of signature lines equal to the number of thesis or dissertation committee members. **All copies** must bear the **original signatures** of the thesis or dissertation committee. Approval sheets are not numbered but are counted in the Roman numeral numbering sequence.

**Statement of Permission to Use.** Torreyson Library is the only avenue of access to complete theses/dissertations at the University of Central Arkansas. The Statement of Permission to Use allows the library to provide copies of the thesis or dissertation for scholarly purposes without the need to secure further permission from the author. All copies of the thesis or dissertation submitted to the Graduate School for consideration must include a completed and signed Statement of Permission to Use. The wording and format shown in **Sample Document page 20** must be adhered to strictly. (See Thesis/Dissertation Defense Guide section for information on copyright.) See **Sample Document page 21** for formatting information.

**Acknowledgment.** This page provides the author an opportunity to thank those who have assisted in the attainment of the graduate degree. In addition to mentioning individuals, this section may also include acknowledgments to agencies that have provided financial support for the project. Bear in mind that the thesis or dissertation is a professional document and that the tone of the acknowledgment must be appropriate for scholarly work.

**Vita.** The vita provides the reviewer with academic and professional information about the author. The inclusion of the vita is optional.

**Abstract.** The abstract provides a brief summary of the main text of the thesis or dissertation. Appropriate components of the abstract include a statement of purpose of the project, brief summary of the methodology used during the course of the project, a concise summary of the findings, and conclusions reached based upon the results obtained.

As previously noted, it is strongly recommended that the main text of the thesis or dissertation conform to the manuscript guidelines for an appropriate disciplinary journal to facilitate submission of the work for publication. In line with this recommendation, the abstract should also conform to the same guidelines. Abstracts should fall within the range of 100 to 200 words.

**Table of Contents.** The Table of Contents should include a list of all preliminary pages to which page numbers have been assigned and all other components included in the thesis or dissertation. Subsections and individual chapters corresponding to the main text should be listed individually. Page numbers must be included for all listed items. An example can be found in **Sample Document page 22**.

**List of Table/List of Figures.** All tables appearing in the document (including those located in appendices) should be listed by **title and page number**. Similarly, on a separate page, all figures appearing in the document should be listed. The titles used should correspond exactly to the titles given to the tables and figures in the body of the thesis or dissertation.

**List of Symbols and/or Abbreviations.** Definitions of special symbols or abbreviations are of significant benefit to the reader of the thesis or dissertation. While this does not relieve the author of the responsibility of defining abbreviations and symbols within the text the first time they are used, it does provide a convenient source of reference.



## Main Text

“Text” is a generic term to refer to the main body of the thesis or dissertation. The manuscript must be divided into a logical scheme that is followed consistently throughout the work. Chapters are the most common major division, but sections and parts are also permissible (see Alternate Format Guide Section page 25). Any logical system of subdivision within chapters or sections may be used, but the scheme must be consistent throughout the manuscript.

## Bibliography/List of References

The thesis or dissertation must include a list of materials used in the preparation of the manuscript. This may consist only of references cited in the text (List of References) or it may include works consulted as well (Bibliography). The format for citations is determined by the style guide selected by the department.

## Appendices

In carrying out any research endeavor, many activities are conducted that may not be reported as part of a formal manuscript but may provide additional insight as to the completeness of the project. The number and type of appendices that are to be included should be determined by the thesis candidate in consultation with his/her thesis advisor and advisory committee. The title page of each appendix should include a brief explanatory bridge statement that links the information contained in the appendix to the main text of the thesis. The format of the appendices should be consistent with that used throughout the remainder of the text.

**Discipline- and Project-Specific Appendices.** The following example appendices are listed to illustrate instances where the inclusion of additional information in the thesis/dissertation may be mandatory. This list is not comprehensive and should not be used to justify the omission of information required by a particular discipline.

1. Institutional Animal Care and Use Committee. All protocols involving the use of warm-blooded vertebrate animals must receive approval from this committee prior to the initiation of the experiments. Include the approval letter.
2. Institutional Review Board for the Use of Human Subjects. All research involving human subjects must be approved by this committee. Do not include materials that would allow human subjects to be identified. Include the approval letter.
3. Letter of Permission to Collect Data. (If privacy/confidentiality needs to be maintained, white out the site name, address, etc.)
4. Data Collection Instruments.
5. Others as required by discipline and/or by unique characteristics of the individual study.

## **Sample Documents**

<b>SAMPLE TITLE PAGE.....</b>	<b>18</b>
<b>SAMPLE APPROVAL PAGE.....</b>	<b>19</b>
<b>SAMPLE PERMISSION PAGE.....</b>	<b>20</b>
<b>SAMPLE COPYRIGHT.....</b>	<b>21</b>
<b>SAMPLE TABLE OF CONTENTS.</b>	<b>22</b>

2 inch top margin

1 ½ inch  
left margin  
(for binding)

A DISCRIMINATIVE STUDY OF METHODS FOR THE  
QUANTITATIVE DETERMINATION OF FLUORINE

Title in all  
CAPITALS,  
double  
spaced,  
same font size  
as main body

by

William Harold Robert

A thesis presented to the Department of Biology  
and the Graduate School of University of Central Arkansas in partial  
fulfillment of the requirements for the degree of

Master of Science  
in  
Biology

Conway, Arkansas  
May 2009

← Month & Year  
of commencement,  
not defense

2 inch bottom margin

2 inch top margin

TO THE OFFICE OF GRADUATE STUDIES:

The members of the Committee approve the thesis of

[insert name of student here] presented on [insert date of thesis defense here].

1 ½ inch  
left margin  
(for binding)

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[insert name], Committee Chairperson

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[insert committee member name here]

---

[insert committee member name here]

---

[insert committee member name here]

2 inch top margin

PERMISSION

Title           A Discriminative Study of Methods for the Quantitative Determination of Fluorine

Department   Biology

Degree        Master of Science

1 ½ inch  
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(for binding)

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[type your name here]

April 15, 2009 [today's date]

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# THESIS & DISSERTATION MFA & ALTERNATE FORMAT GUIDE

## MFA in Digital Filmmaking

Alternate Formatting Guidelines for Required Elements of the Proposal and Thesis

The Script and Proposal:

-Students submit a proposal and script in Spring of their second year. These must be presented and defended in an oral meeting before approval is given by the thesis committee to begin the thesis project.

-The script should be 20 to 30 pages long and conform to all formatting guidelines and stylistic features of the standardized spec script. These include a plain font (Courier or Times New Roman), pagination in the upper right-hand corner of the page, and 1.5 margins.

-The proposal should be 10-15 pages (1.5-inch left margin, 1 inch all other margins, double spaced, upper right corner pagination). The proposal should include the following elements:

1. Abstract - Executive Summary about the elements of the proposal
2. Artist's Statement
  - a. This statement is about the filmmaker rather than the film. Discuss your goals as a filmmaker in general. Why have you chosen to be a filmmaker? How do you expect to use your skills as a filmmaker for your career?
  - b. Discuss your personal objective of the film being produced for the Thesis (besides fulfilling the requirements for the degree of course). Why are you doing this film? Is there a personal and/or intellectual goal driving the development of your film?
3. Production Treatment
  - a. Story Summary
  - b. Concept Statement – this is your one to two sentence pitch that encapsulates the story and style of your film (basically the film's logline)
  - c. Intended Audience and Genre
  - d. Scenery and/or Location Needs
  - e. Required Resources - Camera(s), Lighting, Audio, Studio, etc.
  - f. Limitations
    - i. Describe known limitations for the project. This may include budget constraints and/or talent availability.
    - ii. Other limitations could exist in facility or infrastructure use and availability.
  - g. Style
    - i. Mise en scene – production design, costumes, props, locations, etc.
    - ii. Cinematography – composition, camera movement, tonal qualities, etc.



- iii. Editing – pace, rhythm, etc.
  - iv. Sound – music, sound effects, etc.
4. Literature Review – This section is required for films that rely on research, such as historical, scientific, technological, and/or location references.
    - a. Briefly discuss your sources for information, such as the Internet, library resources, and/or personal interviews.
    - b. Include information regarding which sources were the most useful and provide some insights on how this information informs your script, such as which aspects of the references are most useful and which parts you will omit.
    - c. Bibliography
  5. Script Analysis
    - a. A breakdown of the film with protagonist’s goal for the film, the protagonist’s goal for each scene, and a breakdown of action/conflict beats for each scene.
  6. Conclusion - This section is added to the proposal after post-production has completed.
    - a. Details how well the finished film accomplished the original vision the student set out to achieve.

Thesis Materials:

-The completed thesis project will include the following elements, which must be submitted prior to the defense meeting:

1. Three copies of the completed 20 to 30-minute film. Two standard definition copies on a playable DVD, and one QuickTime version in its original High-Definition resolution on a data DVD.
2. One bound original on bond paper of the production proposal, with a new, added Conclusions section, and all language changed to past tense and the final script in proper format with original signatures of thesis committee on the approval page. Bound copies can be made at the Periodicals/Serials Department of the library for \$7.95 per copy. The thesis approval page will not be signed until these items are turned in and the thesis is approved by the committee.
3. A production book containing all relevant pre-production and production paperwork, including, but not limited to: script breakdown sheets, storyboards, shooting schedule, element lists (props, costumes, etc.), and all necessary release forms (actor, location, music, etc.), as well as creative documents, including shot lists, set plans, and script analysis.

-After all the corrections requested by the thesis or dissertation committee have been made, the student must submit the following to the Graduate School:

- 1) Two copies of the movie on a playable DVD-R.
- 2) Two unbound copies on bond paper of the production proposal and script with original signatures of the thesis committee on the approval page.
- 3) The signed routing form (Appendix A).

Formatting guidelines, samples of the approval page and other documents, and relevant forms such as the routing form can be found in the Thesis and Dissertation Handbook.

## The Creative Writing MFA Thesis

All Creative Writing MFA candidates will turn in a thesis that demonstrates growth and proficiency in the core areas (forms, theory, and practice) of Creative Writing. The thesis will be assessed through the attached rubric:

### Requirements:

Theses must include the following materials:

- A 5-10 page introduction on how the student’s experience as a creative writing major has transformed the student as a literary and/or mixed media artist, or a 5-10 page critical introduction to the work which addresses relevant theory, artistic influences, and/or historical context. Endnotes will be expected and a bibliography if appropriate.
- At least 50 pages of poetry or 100 pages of prose (not including the intro, notes, and/or bibliography) formatted to the expectations of UCA’s Graduate School.
- The approval of the thesis advisor, members of the thesis committee and the Chair of the Department of Writing.

### Item 3:

In addition to a traditional letter grade, students will also be assessed according to the following Assessment Grid:

<b>Rating Guide</b>	
E	Exceptional
A	Acceptable
U	Unacceptable

All MFA graduates should achieve at least the “acceptable” level for all criteria. For the “exceptional” level, the target is 30% of all Creative Writing MFAs.

<b>Thesis Rubric</b>			
<b>Criteria</b>	<b>Unacceptable</b>	<b>Acceptable</b>	<b>Exceptional</b>
	<b>Student exhibits</b>	<b>Student exhibits</b>	<b>Student exhibits</b>
Demonstrate proficiency as critical readers of Creative Writing texts	<p>inability to employ appropriate vocabulary to describe the features of passages in poetic, prose, dramatic, nonfiction, and mixed-media texts</p> <p>inability to use such observations to formulate and support interpretive positions and offer suggestions for revision where appropriate</p>	<p>ability to employ appropriate vocabulary to describe the features of passages in poetic, prose, dramatic, nonfiction, and mixed-media texts</p> <p>ability to use such observations to formulate and support interpretive positions and offer suggestions for revision where appropriate</p>	<p>exceptional ability in breadth and depth to employ appropriate vocabulary to describe the features of passages in poetic, prose, dramatic, nonfiction, and mixed-media texts</p> <p>exceptional ability in breadth and depth to use such observations to formulate and support interpretive positions and offer suggestions for revision where appropriate</p>
Demonstrate competency in forms of poetry, fiction, nonfiction, scriptwriting, or mixed-media	inability to write original works including poetry, fiction, nonfiction, dramatic scripts, or mixed-media material	ability to write original works including poetry, fiction, nonfiction, dramatic scripts, or mixed-media material	exceptional ability in breadth and depth to write original works including poetry, fiction, nonfiction, dramatic scripts, or mixed-media material
Demonstrate competency in being acquainted with the culture of several specific forms outside the classroom	inability to grasp professional expectations of several forms pertaining to literary submissions, publishing markets, manuscript formatting, performance possibilities, technological innovations, and pedagogical theories	ability to grasp professional expectations of several forms pertaining to literary submissions, publishing markets, manuscript formatting, performance possibilities, technological innovations, and pedagogical theories	exceptional ability in breadth and depth to grasp professional expectations of several forms pertaining to literary submissions, publishing markets, manuscript formatting, performance possibilities, technological innovations, and pedagogical theories

## Alternate Formats

A department may choose to allow students to submit a thesis or dissertation in a format such that it is ready for submission to a journal in the discipline. A student using this format must also include information and forms required by the University, as outlined in this manual. This approach to the preparation of a thesis differs from the standard format in that the student will select the journal to which the paper is to be submitted and will follow the journal's guidelines for its publication style. This may result in a re-ordering of the contents of the thesis/dissertation. The literature review, for example, may appear in the appendices, while the body of the thesis/dissertation (article) appears immediately following the appropriate section (title page, acknowledgment, abstract, table of contents, a list of tables, and a list of figures).

**It is the responsibility of the student and his/her research advisor to ensure that the thesis or dissertation adheres to the particular requirements of the journal to which the manuscript is to be submitted as well as the requirements of this manual.**

### The Manuscript

Because professional journals have widely varying guidelines for manuscript preparation, the format and division of the text into sections must correspond to the chosen journal. The journal and the style must be approved by the thesis or dissertation advisor. The standard elements of most research reports include an introduction, materials and methods, results, discussion, literature cited, tables, and figures.

1. **Introduction.** A well-written introduction provides the framework for the organization of the remaining portions of the paper. The literature review contained in the introduction must provide sufficient background information to clearly show the need for the study at hand but should not be as extensive as the literature review required in the appendix (see below). The introduction should clearly define the purpose of the study or the problem being investigated. It should also describe the approach taken to investigate the problem and may conclude with a brief summary of the results of the project.
  
2. **Materials and Methods.** This section should be concise. Depending on the individual field of study, descriptions of materials may or may not be necessary. If included, the materials section should catalog the important items used in performing the research along with the source of each item. Items supplied by the same vendor should be grouped. A common mistake made by beginning authors is simply to list items used without incorporating them into the text. A materials list is part of the main text and should follow the same format used for all other parts of the manuscript.

General methodologies used in the study should be described under Materials and Methods. A sufficient description should be provided to allow the reader to replicate the work. In some instances, it may be appropriate to cite previously reported methods followed by a description of the modifications employed in the present investigation.

If University Compliance Committee approval was obtained, state this in this section. Remember to place a copy of the approval letter in the appendices.

3. **Results.** In this section, the data obtained from research are reported. The results should be presented in such to describe the project. It is not critical that individual results be reported in exactly the same sequence as they were obtained. The tables and figures should be referenced in the text of the results since they contain the primary data. The author should avoid duplicating data contained in the tables and figures and should instead summarize the information in the text. It is critical that the narrative flows from one result to the next. Solid transitional and topic sentences are essential. The results section should not include a significant
4. **Discussion.** In this section, the significance of the work is defined and discussed in the context of the literature. The discussion section does not report results. Most readers acquire an impression of the discussion section based on the material that they read at the beginning and at the end of the section. Therefore, one should start with the most important information and end with a positive conclusion concerning the most significant result from the study.
5. **Literature Cited.** The format of this section will vary depending upon the selected. Special care should be taken to ensure that all citations are correct in terms of authors, titles, dates, journal, volume and issue numbers, and page numbers.
6. **Tables.** Tables provide a convenient means of presenting significant amounts of related data in a way that has meaning independent of the text. All tables should adhere to the following general rules:
  - A) The title should be simple, clear, and descriptive of the data presented.
  - B) Column headings must be accurate and include the units for the data presented.
  - C) The data should be in an uncluttered arrangement that is easy to read.
7. **Figures.** Like tables, figures should be constructed in such a way that they have meaning independent of the text. The purpose of the figure should be readily apparent by visual inspection. Keeping in mind the guidelines set forth by the chosen journal, the following generalities should serve as a starting point for the construction of all figures:
  - A) The title should be simple, clear, and descriptive of the information presented.
  - B) The legend must contain sufficient information for interpreting the figure.

- C) The figure should be uncrowded with a balance between information and white space.
- D) The symbols used must clearly distinguish between different data sets presented in the same figure.
- E) All text in figures and legends must be proportioned to remain legible after photographic reduction.

## Appendices

In addition to the list of discipline- or project-specific appendices listed on pages 13 - 14, the thesis or dissertation using an alternate format may include appendices to provide additional insight as to the completeness of the research. The following is a list of suggested appendices that may be included in the thesis/dissertation. While only **the extended literature review is mandatory**, the remaining appendices are strongly recommended and may be required by the committee based on the nature of the thesis/dissertation. As with the thesis/dissertation written in a chapter format, the number and type of appendices to be included should be determined by the student in consultation with the faculty research advisor and the thesis or dissertation committee.

1. **Extended Literature Review.** As the author of a master's thesis or doctoral dissertation, the student should have a solid mastery of the subject area. A broad knowledge of the literature in the field of study must be acquired. In this section, the full review of the literature should be presented. The literature review should be independent of the introduction presented in the main text of the thesis and should be more comprehensive. This section should include the highlights of previous research relevant to the author's thesis project and should be written as a critical examination of the previous works in the field. Studies having only a slight bearing on the topic should not be included as these will give the impression that the author has simply cataloged a long list of authors and titles as opposed to having conducted a careful analysis. The review should draw general conclusions concerning the current state of knowledge in the field and should integrate the present study as an extension of this body of knowledge. References to the literature in this section should follow the format used in the manuscript section and should be continuous with the previous sections of the thesis.
2. **Supplementary Materials and Methods.** This section provides the opportunity to describe additional approaches used in the study that were not included in the main body of the thesis. In addition, descriptions of methodologies that were abbreviated in the previous section due to restrictions imposed by the journal submission guidelines can be expanded in this section. Examples of information that may be relevant include complete descriptions of unique experimental apparatus used, copies of tests or questionnaires, or specific instructions given to human subjects who participated in the study.
3. **Supplementary Results.** Data and information in support of the main body of the thesis should be presented in this section. Types of information may include the results of

preliminary studies, other supporting experiments, and extended analysis of data presented in the main text. These may include, but are not limited to, tables representing the results of statistical analysis, validity and reliability information, and additional tables and figures.

4. **Additional References.** The literature cited section described in the manuscript section above should contain citations to all the literature used in the preparation of the main text that is to be submitted for publication. The extended literature review will, in all likelihood, require more citations to be made. These additional references should be listed in this appendix and should conform to the same format guidelines as used in the main text. The opening paragraph should explain that this appendix contains only those references that are not part of the main text.



## THESIS & DISSERTATION DEFENSE GUIDE

### The Thesis or Dissertation Defense

It is important for the student to pay careful attention to the deadlines established for each step in the graduate program. When the thesis or dissertation has been completed, each committee member must be provided a copy with adequate time to read it and to provide feedback to the student. When all committee members have read the thesis or dissertation and approved it in substance, an oral examination of the candidate will be held. The oral examination is principally a defense of the thesis or dissertation. This provides an opportunity for the student to present his/her work to the committee formally and for the committee to indicate its acceptance or to require further work to make it acceptable. **This defense must be successfully completed in time for the thesis or dissertation to be in the office of the Graduate Dean at least two weeks prior to the date of graduation.** The Graduate Dean, college dean, and department chair should be provided with a copy of the thesis or dissertation and invited to attend the examination, which is also open to the public. Each department will establish and publish the protocol/procedures for the defense presentation, questioning of the candidate, and voting by the committee; the criteria for passing/failing; and policies and timelines for re-examination if the candidate fails.

### SUBMISSION OF THE THESIS OR DISSERTATION TO THE GRADUATE SCHOOL and UMI ProQuest

After all the corrections requested by the thesis or dissertation committee have been made, the student must submit to the Graduate School a hard copy draft of the document to be reviewed for formatting compliance. Once the document is in compliance with formatting requirements, the student must submit to the Graduate School; one unbound original on acid-free archival paper with original signatures of the thesis or dissertation committee on the Approval Page (**Sample Document page 21**) and original signature of the student on the Permission to Use page (**Sample Document page 22**), and one unbound copy of the thesis or dissertation with original signatures of the thesis or dissertation committee on the Approval Page and original signature of the student on the Permission to Use page. The documents are to be submitted in an appropriately-sized envelope that will accommodate both copies of the thesis/dissertation. The dissertation/thesis must be accompanied by the signed routing form (**Sample Document page 41**). Final verification that all requirements have been met will be given by the Graduate Dean who will notify the student and committee chair. The original on acid-free bond paper and its copy will be forwarded to the library where it will be bound. One copy will be archived and one will be placed in Torreyson Library for student use. Consult with your department to see if they require additional copies.

Binding of additional copies (department or personal copies) is available. These additional copies are to be taken directly to the Periodicals/Serials Department in the library. Do not bring them to the Graduate School office. Payment for these copies must be made BEFORE leaving these copies for binding. The current cost is \$8.20 per copy. Departments must submit a signed Supplies and Services Requisition form and students may pay by check or cash.

## SUBMISSION OF THE THESIS OR DISSERTATION TO PROQUEST

The website address for publishing guidelines and submission is <http://www.etsdadmin.com/uca> and technical assistance is 1-877-408-5027. Read and follow all instructions carefully. You will be contacted by email once your thesis/dissertation has been reviewed by the Graduate School and approved. Additional Resources and Guidelines can be found at <http://www.etsdadmin.com/cgi-bin/main/resources?siteId=361#guides>

### SUBMISSION STEPS:

1. Create an account on the UMI submission site <http://www.etsdadmin.com/uca>.
2. Convert your document to a PDF file. If converted properly, the conversion to PDF format should not affect the quality of the original document.
3. Agree to the ProQuest/UMI publishing agreement.
4. Upload the PDF file and any supplemental files.
  - Acceptable file formats for supplemental files can be found on the UMI requirements page.
  - Although the UMI submission site discusses mailing in documents with very large supplementary files on a CD-ROM, UCA will not accept submissions in this manner.
5. Choose whether or not you would like UMI to file a copyright on your behalf. Keep in mind that there is a charge to copyright. The following link provides guidance on avoiding copyright infringement and protecting the copyright you have on your graduate work submitted to ProQuest. [http://www.umi.com/assets/downloads/products/UMI\\_CopyrightGuide.pdf](http://www.umi.com/assets/downloads/products/UMI_CopyrightGuide.pdf)

## Open Access Compared to 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.

More information can be found at [http://www.etsdadmin.com/UMI\\_PublishingOptionsGuide.pdf](http://www.etsdadmin.com/UMI_PublishingOptionsGuide.pdf)

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## COPYRIGHT

### Understanding “copyright” rights as thesis or dissertation author

A copyright is a form of legal protection given to authors of intellectual works. This protection is provided by federal law to the owners of “Original works of authorship fixed in any tangible medium of expression, now known or later developed, from which they can be perceived, reproduced, or otherwise communicated, either directly or with the aid of a machine or device.” The Copyright Act of 1976 defines these works as including, but not being limited to, the following: literary works; musical works, including any accompanying words; dramatic works, including any accompanying music; sound recordings; motion pictures and other audiovisual works; pictorial, graphic, and sculptural works; and pantomimes and choreographic works. Copyright protection does not extend to an idea or concept: it extends only to the work in which the idea or concept is embodied. The writer of a thesis or dissertation has created an “original work of authorship” and is entitled to rights under the copyright law.

Numerous works produced by the United States Government are not copyrightable. United States Code Annotated 17-1-105 prohibits copyright protection for federal government works, including reports written by employees of federal agencies as part of their public function. Works produced by non-government officials with the aid of federal funding are often considered federal works produced by federal employees; however, they may or may not be eligible for copyright protection under this law.

The fact that the author has a federal grant does not automatically put the work in the public domain. The terms of the grant should be reviewed carefully to determine who may claim the copyright to the original work. As the law is written, the government agency concerned can determine in each case whether to allow the grantee to secure copyright in works prepared in whole or in part with the use of government funds.

The effect of section 105 is intended to place all works of the U.S. Government, published or unpublished, in the public domain. This means that the “employee” or “grantee” who wrote the work could not secure copyright in it or restrain its dissemination by the government or anyone else, but it also means that, as far as the copyright law is concerned, the government could not restrain the “employee” or “grantee” from disseminating the work if he or she chooses to do so. The use of the term “work of the United States Government” does not mean that a work falling within the definition of that term is the property of the U.S. Government. To determine if this Federal Law may apply to a thesis or dissertation, the federal grant agreement should be reviewed and contact made with the appropriate federal agency if there are any questions concerning the terms of the grant.

## The Protection of a Copyright

The protection of a copyright prevents others from taking credit for or gaining profit from work without consent of the author. According to the Copyright Act of 1976, the author of the original work automatically holds copyright protection for the work without making notice or formal registration. In the case of the thesis or dissertation, the scholarly endeavor immediately becomes the property of the author and nothing further, such as publication of a copyright notice or registration with the Copyright Office, is needed to secure the copyright. The author's rights are protected automatically when the work is created. A work is "created" as soon as the work is fixed in a tangible medium for the first time. Once the work is made tangible, the author controls the right to print, sell, distribute, perform, display, and revise the work. Therefore, before anyone can copy an author's work, permission must be obtained from the copyright owner. Failure to do so would be an infringement on the owner's rights, allowing the copyright holder to seek damages against improper use of the original work.

If the work was created on or after January 1, 1978, the copyright protection extends from the moment the work was created, through the lifetime of the author, plus an additional 50 years after the author's death.

There are a few factors that limit the copyright owner's exclusive rights to the original work. The concept of "Fair Use" is one limiting factor on copyright protection. "Fair use" is a right given to others whereby they may use copyrighted material in a reasonable manner without consent of the copyright owner. Others may reproduce portions of the original work, without consent or permission, for purposes such as scholarly criticism, research, teaching, and news reporting. Also, in certain circumstances, libraries are allowed to reproduce copyrighted material without the permission of the copyright owner.

## Copyright Registration

Under current law, copyright protection begins from the first moment of its tangible existence without any formal action required on the part of the original author. As of March 1, 1989, it is no longer necessary to place a copyright notice on published copies of a work publicly distributed on or after March 1, 1989, for that work to be entitled to copyright protection. However, there are certain legal advantages that are available only if formal copyright registration is obtained. It is strongly recommended that, as the author of an original work, you give public notification and follow mandatory deposit guidelines to afford your work the highest level of protection under copyright law.

### 1. Advantages of Registration

- A) Registration (before or within five years after the first publication of the work) is *prima facie* evidence of the validity of the copyright and of the facts stated on the registration certificate;
- B) Registration required to file suit for copyright infringement;

- C) Attorneys' fees and statutory damages (*i.e.*, damages which may be collected by a successful copyright infringement plaintiff even in the absence of a showing of actual damages or lost profits) are not available where a work was unregistered at the time of infringement unless the work was registered within three months after the first publication;
- D) Registration establishes a public record of the copyright claim; and
- E) The registration may be recorded with the U.S. Customs Service which will impound (and possibly destroy) imported infringing copies of the copyrighted work.

## 2. Public Notification

Public notification is the responsibility of the author and requires no advanced registration or permission from the U. S. Copyright Office. A proper notice should be fixed in such a way as to give "reasonable notice" of the copyright claim and should contain the following elements: (**Sample Document page 23**)

- A) The symbol ©, the word "copyright," or the abbreviation "Copr."
- B) The year of first publication of the original work;
- C) The name of the owner of copyright in the work;
- D) For example, a proper notification would look like this © 2009 Jane L. Doe.

## 3. Mandatory Deposit Guidelines

Works published, with or without notice of copyright, are required to meet certain federal deposit guidelines. The term "Published" is defined as "the distribution of copies or phonorecords of a work to the public by sale or other transfer of ownership, or by rental, lease, or lending." Mandatory Federal guidelines are as follows.

- A) The Owner of a copyright is required to submit two copies of the original work to the Library of Congress along with the application form and a \$30.00 deposit fee within three months of the date of original publication.
- B) If the deposit is not made, the author could be subject to certain fines and penalties, none of which, however, would affect the copyright protection. **The Graduate Office strongly encourages students to place a notice of copyright in the thesis or dissertation and to meet the mandatory deposit guidelines.** Complying with these legal formalities will make the copyright a matter of public record, giving the author more authority over the use of the work. Furthermore, it is necessary that a copyright registration is filed before

an infringement suit can begin. A sample registration packet is located in the Office of Graduate Studies. For a copyright registration application and answers to copyright and registration questions, detailed information can be found at <http://lcweb.loc.gov/copyright/>, the official website for the United States Copyright Office.

### **Limitations of the Copyright**

Copyright statutes apply only to the expression of ideas and the body of work in which the ideas are contained. **It does not apply to the ideas, facts, processes, and discoveries themselves.** Precise duplications of the copyrighted material are protected, but the ideas within the medium can be freely copied, discussed, and/or transmitted. For example, an author may create a cookbook containing original recipes and the processes and procedures required to make each dish. The author's copyright protection would extend only to copying the book. It does not protect the processes and procedures described within. Anyone is free to follow the procedures in the book without illegally infringing upon the copyright protection. If the thesis or dissertation contains the blueprint for a mechanical device, written computer software information, details of medical discoveries, improvements in medical rehabilitation services, or an "invention" of an original nature, copyright laws will not ensure that the original author receives credit for the idea nor that the details of the idea contained within the scholarly work are protected against unwanted reproduction. Authors of a scholarly work of this nature may want to consider seeking information about other types of intellectual property protection, such as patents. Additional information for preparing your thesis or dissertation can be found at <http://www.umi.com/hp/Support/DServices/prepare/copyrigh.htm>.

### **CONCLUSION**

The master's thesis is often the student's first display of advanced scholarly writing and the doctoral dissertation for the Ph.D. candidate is a demonstration that he or she is capable of the skills required for acceptance into the select world of advanced scholarship. The quality of approved theses and dissertations affects the academic reputation of the University of Central Arkansas. The Graduate School Office staff and the Graduate Dean are available to assist graduate students and faculty in understanding the various policies and procedures that must be followed to complete the thesis or dissertation requirements successfully.

**Sample Documents**

**DISSERTATION/THESIS APPROVAL ROUTING FORM .....39**

Dissertation/Thesis Approval  
Routing Form

The (dissertation or thesis) of **[insert student's name here]** entitled **[insert title of dissertation/thesis here]** has been reviewed and approved by the (Dissertation or Thesis) committee and all departmental, college, and university policies and procedures have been followed.

\_\_\_\_\_

Dissertation/Thesis Committee Chair

\_\_\_\_\_

(Date)

\_\_\_\_\_

Department Chair

\_\_\_\_\_

(Date)

\_\_\_\_\_

College Dean

\_\_\_\_\_

(Date)

\_\_\_\_\_

Graduate Dean

\_\_\_\_\_

(Date)