Heller School for Social Policy and Management
Brandeis University

Guidelines for Dissertation Submission and Publication 2016-2017

Table of Contents

I. The Most Important Section: The Heller School Formatting Guidelines

You should read this entire packet, but if you choose not to then be sure to READ THIS ENTIRE SECTION. You will do yourself a disservice and cause yourself unnecessary problems/stress if you do not read it.

A. **What You Need to Know and Do**

Congratulations! If you're reading this then you're close if not ready to deposit your dissertation. Before delving into the fine details of formatting your dissertation, take note of the following important and time-saving steps/pieces of information:

1. **SAVE** a Microsoft Word .doc/.docx version of your dissertation in addition to the PDF file you will eventually create in Adobe Acrobat. DO NOT replace the .doc/.docx version with the PDF as it will make the editing process (should there be errors in your formatting) much harder than it needs to be. File name should be last name and graduation year. (e.g. Sweeney Dissertation 2014)

2. **CHECK** your table of contents whenever you make changes to your dissertation. Make certain that fonts do not change in your dissertation. Auto Format in Word sometimes changes the fonts randomly to whatever your default font is set as. Turn off this function to eliminate the issue (see page 4 for instructions).

3. **REVIEW** the guidelines presented in this packet. Should you make an error related to pagination, margins, content order, or font you will be referred back to these guidelines.

4. **STAY IN TOUCH.** Do not assume that once you deposit your dissertation into the repository that you are done. Students typically still have revisions to make after this initial deposit.

5. **DEPOSIT EARLY. Do not wait** until the last minute to deposit your dissertation; such an approach rarely works in your favor and causes unnecessary chaos and stress during the revision process, and could lead to you not receiving your degree in February, May, or August. Assume that you will have to make revisions and allow ample time to make those revisions.

6. Submit your dissertation here:

   http://www.etdadmin.com/cgi-bin/school?siteID=7

7. **Who to contact if....**
   a. you have a problem with Microsoft Word or Adobe Acrobat: *LTS @ Brandeis via e-mail, phone, or in-person.*
   b. you are confused about the formatting guidelines, deadlines, and/or depositing process: *Cheryl Sweeney in the Heller PhD Program office via e-mail-- csweeney@brandeis.edu*
   c. you have a question about the content of your dissertation: *your dissertation chair or committee.*

B. Pages and Documents which MUST be Included in Your Dissertation Templates are Attached at the End of the Packet (pages 13-21).
1. Title Page
2. Signature page (unsigned version goes on your on-line submission; signed version is turned into Heller PhD Office).
3. Copyright page
4. Acknowledgements (optional)
5. Abstract
   a. Must be 350 words or less, otherwise ProQuest might edit your Abstract.
   b. Double-space content.
   c. Include a statement of the problem, procedure and/or methods, results, and a conclusion. Present information in that order.
   d. If multi-media elements are used in the document that cannot be embedded within the PDF, they should be identified in the Abstract.
6. Table of Contents
7. Dissertation Text
8. Reprint Permission Letters (if applicable/required)
9. Third party software licenses (if applicable/required)

As previously mentioned, you will probably be working with several documents that are easiest to combine first in Microsoft Word and then save a new copy as a PDF.

C. Order of Prefatory Materials, Text, and Respective Pagination

Section/Page	Page Numbering
Title Page	**number not printed** on the page, but is still considered page i
Signature Page	**number not printed** on the page, but is still considered page ii
Copyright Page	**number not printed** on the page, but is still considered page iii
Acknowledgements (Optional) (The first page showing a page number)	**number is printed** on the page, start with iv or iii if no Copyright page is used
Abstract	Continue with Roman numerals, printed
Preface (Optional)	Continue with Roman numerals, printed
Table of Contents	Continue with Roman numerals, printed
List of Tables	Continue with Roman numerals, printed
List of Illustrations/Figures	Continue with Roman numerals, printed
Introduction	Start Arabic Numerals, beginning with page 1, printed on the page
Main Body, Appendices, Bibliography	Continue with Arabic numerals, printed

EXPLANATION OF PAGINATION—Printed v. Not-Printed: While page numbers are not printed on the Title, Signature, and Copyright pages, these pages still count (they are pages i, ii, and iii), which is why your Acknowledgements page is page iv (or iii).

Additional Instructions for Pagination

1. Your dissertation MUST include page numbers. All pages are numbered, whether printed or not. However, page numbers must begin being printed with either the Acknowledgements (if you include this page) or Abstract.
2. Page numbers should appear **centered at the bottom** of each page.
3. For placement of footnotes or endnotes, refer to the APA Manual in print or the *Chicago Manual of Style*, either online or in print. Link: http://www.chicagomanualofstyle.org/home.html. Please consult with your chair if you have questions on footnotes or citations.
4. **Over 300 pages?** A second volume is recommended. <u>Each volume should contain a title page duplicating the title page of the first volume.</u> Label the title page Volume I of II, Volume II of II, etc. under the title. Place the table of contents at beginning of the first volume (you do not need more than one table of contents). <u>Page numbering should continue from one volume to the next, not counting the second title page.</u> The bibliography may be placed at the end of the final volume.

   Helpful links for pagination: University of Michigan Library Guides: http://guides.lib.umich.edu/content.php?pid=245394

D. MARGINS AND FONTS
Margins should be formatted as follows:
Left Margin: 1 inches
Top, Bottom, and Right margins: 1 inch

The top margin of the first page of each chapter must be 2 inches

Fonts: Times New Roman, Arial, Cambria, or Calibri are recommended fonts. Size 12 for any of these fonts is recommended for the text, but you may use sizes 11 or 10 (but no smaller) for notes, bibliographic references, and long quotations.

E. Spacing and Single-Sided Printing
   a. Your document should be arranged for single-sided printing.
   b. There should be no blank pages following your title page, abstract, etc.
   c. **Double-space all text material,** preliminary pages, including your abstract.
   d. **Single-space all notes, bibliographic references, and long quotations.**

F. Charts, Graphs, Tables, and Photographs

1. Photographs and images should be produced at a high resolution of at least 300 dpi.
2. Charts, graphs, tables, and other illustrations can be digitized in high quality color.
3. Images can either be embedded inside the PDF or attached separately (depending on whether you plan to convert the files to PDF before or at the time of submission). If you choose to use UMI/ProQuest's online conversion, please make sure that all of your electronic files conform to their type requirements.

PDF Conversion

When submitting online at UMI / ProQuest, your Microsoft Word file(s) must be converted into a single PDF.
   a. Embed all fonts
   b. Save all JPEG images into PDF
   c. In the abstract, list any electronic files that cannot be embedded inside the PDF
   d. If you have not used Microsoft Word's Table of Contents generator, and are hand-typing the table of contents, please set it within a two-column table.

A tutorial on converting to PDF is available at:
www.etadmin.com/cgi-bin/main/createpdf?siteID=0
UMI/ProQuest offers a PDF conversion tool which is available within the submission site and last, you may also contact Research & Instruction Services in Goldfarb Library at infopoint@brandeis.edu (781-736-4739) to schedule an appointment for individual assistance.

G. Acceptable File Formats

Your document should appear in Adobe PDF format. You should carefully check the PDF file after conversion, regardless of which software you use to convert to PDF! No compression or password protection and no digital signature should be used. UMI Dissertation Publishing can make no changes to the document. Therefore, the burden of how the document looks when it is accessed or printed is entirely the responsibility of the author.

All fonts used should be embedded in the document. External or internal links to multi-media files are acceptable. If multi-media elements are used in the document, file formats should be identified in the dissertation/thesis abstract. Acceptable file formats include the following:

Images:	Audio:
• GIF (.gif) • JPEG (.jpeg) • PDF (.pdf) use Type 1 PostScript fonts • TIFF (.tif)	• AIF(.aif) • CD-DA • CD-ROM/XA • MIDI (.midi) • MPEG-2 • SND (.snd) • WAV (.wav)
Video: • Apple Quick Time (.mov) • Microsoft Audio Video Interleaved (.avi) • MPEG (.mpg)	

II. Publishing Your Dissertation for the 2014-15 Academic Year

A. Overview and Publication Information

As part of the requirements for the PhD degree, the The Heller School requires electronic submission of your dissertation. Along with the finished dissertation, The Office of the

University Registrar and The Heller School require that specific paperwork be submitted by the specified deadline. A **TimeLine** of deadlines is available at:

http://www.brandeis.edu/registrar/calendar/gradkeydates14-15.html

Brandeis only accepts electronic submission and participates in a program for archiving electronic versions of dissertations through a division of University Microfilm International (UMI) called ProQuest Information and Learning. Authors find this advantageous since an electronic version of the dissertation may include photographs, simulations, video clips and sound, thumbnail pages, and links to aid navigation through the document. Adding color to diagrams of molecules and simulating three-dimensional models would enhance the impact and possibly clarify for readers some of your ideas.

To submit electronically, upload your manuscript to the ProQuest Information and Learning site at:

http://www.etdadmin.com/cgi-bin/main/home?siteId=7

Once your degree has been conferred, The Heller School will release your dissertation to ProQuest. ProQuest will publish your work to the World Wide Web and produce three soft bound copies. The Brandeis Library will each receive one soft cover reproduction for their archives. You and your chair will also receive a soft cover reproduction. It takes approximately four months for dissertations to be published. If you submit your dissertation well before the submission deadline, it will **not** go into the ProQuest system until your degree has been conferred by the Registrar. If you wish to order and pay for copies, an order form is available on page 7 in the ProQuest publishing agreement guide, or go to:

http://www.etdadmin.com/cgi-bin/main/resources?siteId=7#guides

Your ETD (Electronic Thesis and Dissertation) will be uploaded into the UMI / ProQuest searchable Dissertation Abstracts database consisting of approximately 1.6 million entries and will receive an ISBN (International Standard Book Number) and titles will be listed in the UMI Dissertation Abstracts database as well as other online and web-based book distributors and databases. Both paper copy and online electronic submissions of dissertations are available to the general public via this service.

Full text of dissertations submitted by Brandeis students will be available online **only** to Brandeis University faculty, staff, and students at http://wwwlib.umi.com/cr/brandeis/main. When an author selects the 'Traditional Publishing' option, UMI's ProQuest Digital Dissertations program lets web users search and preview the first 24 pages and order full-text digital copies in Adobe PDF format for immediate downloading for a fee. Royalties will be paid to author's selecting the 'Traditional Publishing' option. To read about an author's publishing access options, go to: http://www.etdadmin.com/UMI_PublishingOptionsGuide.pdf

B. Publishing an ETD

Electronic theses and dissertations, or ETDs, are defined as those theses and dissertations submitted, archived, or accessed primarily in electronic formats. Publishers are concerned about the relationship of ETDs to other forms of publication. Often a dissertation becomes the basis for a scholar's first book. While most of those works are considerably revised for publication, some are published with relatively few changes. Even though paper theses and dissertations are available on-line, most academic presses are not as concerned that on-line publication represent prior publication, probably because of the barriers of time, distance, and cost. However, the prospect of having full texts available online, given that the market for scholarly books is very small, may worry some publishers.

On the other hand, greater access might be seen as a way to induce readers to preview a book. According to The Chronicle of Higher Education (Winkler, 1997), some academic publishers consider online publication to be "great advertising": "For each of our electronic books, we've approximately doubled our sales," says Marney Smyth, electronic-productions editor of the MIT Press. "The plain fact is that no one is going to sit there and read a whole book online. And it costs money and time to download it." The National Academy Press has already put nearly 2,000 of its books online, and has found that the electronic publication of some books has boosted sales of paper copies often by as much as two to three times from previous levels.

Another concern is the use of copyrighted material in an ETD. Scholars sometimes include graphics and other copyrighted material in their theses and dissertations without acquiring permissions (unless the work was accepted for commercial publication). If ETDs are published on the Web, authors will need to ensure compliance with copyright law and fair-use guidelines. That may include acquiring permission to use copyrighted material, which can sometimes be costly. Although UMI and other services have long made theses and dissertations available to the public, the access was limited enough that inclusion of copyrighted materials did not seem to have been an issue in most cases. However, copyright issues and fair-use guidelines are being debated hotly in light of the explosion of electronic publishing. ETD authors must consider the impact of that debate on their ability to use copyrighted materials.

[The above section is an excerpt from an article in the Journal of Electronic Publishing, *Electronic Theses and Dissertations: Digitizing Scholarship for Its Own Sake* by Christian R. Weisser and Janice R. Walker, http://www.press.umich.edu/jep/03-02/etd.html. The article covers other areas germane to this topic like the history of ETDs, access and distribution, so you might want to read it.]

C. The Publishing Agreement Form
The UMI Publishing Agreement grants UMI non-exclusive rights to reproduce your dissertation but does not prevent you from granting other publishing rights as you choose. If you, your dissertation advisor, or your publisher decides that you should place access restriction on your publication with UMI, you can do so when you fill out the *Publishing Agreement Form* (required by UMI/ProQuest). UMI offers two publishing options – Open Access or Traditional Access. **Brandeis recommends 'TR' 1 or 2 (Traditional Publishing).** A complete explanation is available in the UMI Dissertation Publishing Guidelines, see page 3. To limit access to your original work, restrictions are available under the '**Traditional Publishing Option**':
  - **Electronic Restriction**: No search engine access

- **Release Options:** 6 month embargo; 1 year embargo; 2 year embargo. We can manually increase the length of your embargo as well if it is beyond 2 years.

Questions about **patentable invention** or new technologies disclosed in your thesis, should be directed to Office of Technology Licensing at Brandeis, 781-736-2128, before your thesis is published or publicly disclosed.

D. Copyright and Intellectual Property Issues

UMI offers an option to register the copyright for your dissertation with the Library of Congress Copyright Office. Please note that copyright privileges reside with the author immediately upon creation of the work and that any work of original authorship is protected by copyright even without registration. If you choose to file for copyright, the copyright filing fee of $65 is sent to the U.S. Copyright Office on your behalf by ProQuest. The student is responsible for paying this fee.

Registration is not a prerequisite to copyright protection, but if a work is not registered within three months of first publication, attorney's fees may not be recovered if a suit is brought nor can you collect statutory damages which the law provides in cases where real damage is difficult to show. It is your choice whether to register for copyright, but we strongly encourage you to do so. For information on copyright registration through UMI, requesting permission, or if you want more general information on copyrighting, please visit the United States Copyright Office at www.copyright.gov/.

E. UMI Information to Users

Below is a note to UMI Users from UMI that is inserted into all photocopied dissertations. We include this to underscore the **scrupulous care** you must take in following the guidelines for submission of your dissertation. To underscore how careful you must be, UMI reports that 15% of all submitted dissertations do not have the correct page numbers! The Heller School encourages you to check each of the preceding guidelines twice.

UMI INFORMATION TO USERS

This manuscript has been reproduced from the microfilm master. UMI films the text directly from the PDF or copy submitted.

The quality of this reproduction is dependent upon the quality of the copy submitted. Broken or indistinct print, colored or poor quality illustrations and photographs, print bleed through, substandard margins, and improper alignment can adversely affect reproduction.

In the unlikely event that the author did not send UMI a complete manuscript and there are missing pages, these will be noted. Also, if unauthorized copyright material had to be removed, a note will indicate the deletion.

Oversize materials (e.g., maps, drawings, charts) are reproduced by sectioning the original, beginning at the upper left-hand corner and continuing from left to right in equal sections with small overlaps.

III. Online Submission of Your Dissertation

A. Advantages of Electronic Submission

UMI guarantees the quality of the ETD stored at ProQuest so that future researchers will see your archived dissertation just as you have created it. Your dissertation will look better on the Web, where UMI is making dissertations available to researchers. Additionally, printed copies will be of a much higher quality than is available through scanning technology.

Another virtue of electronic submission is that you may submit from an off-campus location. If you defend your dissertation and are based off campus, you can make any necessary revisions from your home PC, finalize your document, and electronically submit by the given deadline for graduation.

Some information in this document was taken from the ProQuest Information and Learning publication, *Publishing Your Doctoral Dissertation with UMI Dissertation Publishing.* This publication is available at:
 http://www.etdadmin.com/cgi-bin/main/resources?siteId=7#guides.

Please refer to these guides for dissertation submission information.

B. Print and Electronic Access to Dissertations in Electronic Format

Dissertations received in digital format will be processed in a manner identical to paper documents. Bibliographic citations and abstracts for these documents will be published in Dissertation Abstracts International in print, on-line, CD-ROM, and microform. Bibliographic information concerning these documents will also be made available through the UMI Dissertation Abstracts Database and to a worldwide network of online information providers including OCLC and Dialog®. The print output of the document will be microfilmed and stored with the electronic segment of the document in UMI's vaults. The PDF format of the document will be loaded into ProQuest Digital Dissertations, a digital archive of dissertations and theses. UMI Dissertations Publishing will check for document integrity and copyright compliance. <u>If the document appears to be incomplete or if there are questions about the reproduction of previously copyrighted materials, publication will be delayed until those concerns are resolved.</u> Go to: http://www.etdadmin.com/cgi-bin/main/resources for access to ProQuest's Resources and Guidelines page or Frequently Asked Questions page .

IV Additional and Useful Resources!

- **UMI/ProQuest web page for submission:**
  http://www.etdadmin.com/cgi-bin/main/home?siteId=7
- **UMI/ProQuest home page:** www.proquest.com/
- **UMI/ProQuest customer service:** 1-800-521-0600, x7020.
- **UMI/ProQuest Help Page:** http://www.etdadmin.com/cgi-bin/main/support?siteId=7

- **UMI/ProQuest Brandeis Dissertations searchable database:** http://wwwlib.umi.com/cr/brandeis/main
- **Copyright Information:** www.copyright.gov/
- **More information on ETDs:**

 http://quod.lib.umich.edu/cgi/t/text/text-idx?c=jep;view=text;rgn=main;idno=3336451.0003.209

V Additional requirements

Complete Survey or Earned Doctorates – Instructions on next page.

SURVEY OF EARNED DOCTORATES (SED)

What is SED?
The Survey of Earned Doctorates (SED) is an annual census of individuals who were awarded a research doctorate from an accredited U.S. institution.

Why am I being asked to participate?
As a recipient of a research doctorate, your participation is essential to the federal agencies who sponsor this study to learn more about those who graduate with a research doctoral degree.

Who is sponsoring this study?
The study is being conducted on behalf of the National Science and Engineering Statistics of the National Science Foundation; the National Institutes of Health; the U.S. Department of Education; the National Endowment for the Humanities; the U.S. Department of Agriculture; and the National Aeronautics and Space Administration.

SED data are being collected under the contract by RTI international, a nonprofit research organization based in North Carolina.

You can complete SED at:

https://sed-ncses.org   **OR**   **877-256-8167**

Questions?

RTI International
Project SED
877-256-8167
sed@rti.org

National Science Foundation
National Center for Science and
Engineering Statistics (NCSES)
Attn: SED
4201 Wilson Blvd., Suite 965
Arlington, VA 22230
703-292-8780

VI Templates

The following templates are offered as guides: *Title Page Template, 2 Signature Page Templates- one with lines to be used at the conclusion of defense (with lines for signatures) and one without lines for inclusion in published electronic dissertation, Copyright Template, Abstract Template*

(Title)

A Dissertation

Presented to

The Faculty of the Heller School for Social Policy and Management
Brandeis University

In Partial Fulfillment
of the Requirements for the Degree
Doctor of Philosophy

by

(Name of student)

(Month and Year of Graduation)
The degree month is either February, May or August then the year (e. g. August 2014)

(Name and Title of Dissertation Chair), Chairperson

This dissertation directed and approved by (student's name) Committee, has been accepted and approved by the Faculty of The Heller School for Social Policy and Management and the Graduate Faculty of Brandeis University in partial fulfillment of the requirements for the degree of:

DOCTOR OF PHILOSOPHY

_____
Marty Wyngaarden Krauss, Ph.D.
Interim Dean
The Heller School for
Social Policy and Management

_____
Date

Dissertation Committee:

_____
(Committee Chair Name), Degree, Dept.

_____
(Committee Member 2), Degree, Dept.

_____
(Committee Member 3), Degree, Dept.

_____
(Outside Member's Name, Degree, Dept. or Title, University or Organization)

The signed version of this form is on file at The Heller School for Social Policy and Management.

This dissertation directed and approved by (student's name) Committee, has accepted and approved by the Faculty of The Heller School for Social Policy and Management and the Graduate Faculty of Brandeis University in partial fulfillment of the requirements for the degree of:

DOCTOR OF PHILOSOPHY

Marty Wyngaarden Krauss, Ph.D.,
Interim Dean, The Heller School for
Social Policy and Management

Degree date – Month, year

Dissertation Committee:

(Committee Chair Name), Degree, chairperson
(Committee Member 2), Degree, Dept.
(Committee Member 3), Degree, Dept.
(Outside Member's Name, Degree, Dept. or Title, University or Organization)

Copyright by
(Your name)

(Year Degree Earned)

Template : *Acknowledgements*

Template: *Abstract*

ABSTRACT

(Title of Dissertation)

A dissertation presented to the Faculty of The Heller School for
Social Policy and Management and the Graduate Faculty of Brandeis University
Waltham, Massachusetts

By (Your name)

(text of abstract begins here, **double-spaced**, limit to 350 words)

Do not list committee members and defense time on this abstract

Template : *Table of Contents*

Continue with Roman numerals for page numbering through list of tables

Begin using Arabic numerals for page numbering with Introduction or Chapter 1

Main body, appendices and bibliography use Arabic numerals for page numbering