Processing Theses/Dissertations

I. Receiving and Checking

Theses/dissertations (T/Ds) are delivered from the Grad. School and placed in their boxes on the desk near the Supply Cabinet. They need to be processed as soon as possible; at least the following steps 1-4 should be done within three days after we receive them. Contact Joni Teddleton in the Graduate School (Email: jmarvel@uark.edu Telephone: 575-6607) if there are problems with the manuscripts.

A student is requested to turn in two copies for his thesis / dissertation. One copy must be on cotton paper, another copy could be either paper copy, CD/DVD with supporting documents, or submitted online.

1. Record the author’s last name, degree, and date of check-in on check-in sheet. T/Ds are accompanied by 1 Library Transmittal Form, 1 Intellectual Property disclosure form; 1 Thesis/Dissertation Submission Form and 1 Publishing Options Form (With 1 extra title page, abstract, and thesis/dissertation approval page clipped to them) and an extra copy of the forms.

If one copy is in CD/DVD format, extra supporting documents on regular paper are required. They should be forwarded with the CD/DVD in an 8.5 X 11 envelope. These supporting documents include: 1 title page, abstract, table of contents, specifications of hardware and software versions required to run the electronic component (if applicable).

2. Check the Intellectual Property Disclosure Form if applicable. If the student has checked “This T/D does contain an invention of commercial interest,” this manuscript is a Patent Pending (also known as an “IP” or “intellectual property” manuscript) if it is signed by a TLO Officer. If there is no such signature, email Mark Swaney (mswaney@uark.edu) from the Technology Licensing & Transfer Office, with a cc to Susie Engle (sengle@uark.edu) and to the cataloger. Mark will tell us what the real IP status is. Here is a sample email:

| Subject: Possible IP claim - [author’s name] |
| Hi, Mark! |
| We have a new IP thesis/dissertation just arrived but there is no signature of TLO Officer. |
| **Author:** Bielke, Lisa Renee |
| **Title:** Evaluation of non-chemical treatments… in poultry |
| **Advisor:** Billy Hargis |
| **Department:** Poultry Science |
| **Graduate date:** December 2006 |

Can you please confirm its status for us? Thanks very much.
3. Collate the manuscripts or CD/DVDs (don’t forget there are two copies of each, usually in the same box, but occasionally in separate boxes). Check each copy for:
   - Blank page
   - Half title page
   - Title page
   - Abstract
   - Approval page (see the note below)
   - Duplication release form (only for cotton copy)

Note: on the approval page, the cotton paper copy should have original signatures of the committee members. The regular paper copy MUST NOT include the signatures.

Make sure the student signed the Publishing Options Form. If students are requesting copyright, there should be a signed Copyright Form, attached with a cashier’s check or money order (NOT a personal check) of $65. If there are problems with the paperwork, send the T/D back to the Grad School with a note explaining the problem.

4. Sign and date the library transmittal form. Place original Transmittal Form in basket labeled “To Grad School,” next to where incoming T/Ds are placed. Make one copy of the transmittal form put it in the box.

II. Adding Brief Records in Millennium

Create 1 brief bibliographic record and 2 item records (1 for Internet copy and 1 for Special Collection Copy) for each T/D. Print 1 copy of brief bib record.

To create the brief record, log in to Millennium. Click New button, a window of thesis bib template will pop up, allow you to fill the following fields:

100 = Last name, first name (take directly from title page)

- Example: 100 1# Kluttz, Kathryn Marie
- Don’t include additions to people’s names here, such as “Jr.”, “Sr.”, or a previous degree “B.A.”

245 = Title (take from title page) and statement of responsibility

- Example: 245 10 Effect of UFOs on sugarcane growth: study by Kathryn Kluttz
- Don’t include designations of previous degrees after the author’s name, even when they appear on the title page. However, in 245 |c you may include “Jr.”, “Sr.”, “III”, etc.
- Pat pend: do not enter title. Enter only “PATENT PENDING” in the 245
- Indicators: 1st indicator =1 if 100 field exists;
  2nd indicator = the # of non-filling characters. For examples:
2nd indicator = 2 if a title starts with the article A
2nd indicator = 3 if a title starts with the article An
2nd indicator = 4 if a title starts with the article The
2nd indicator = 1 if a title starts with “

260 = date of graduation
Example: 260 c1997
No need to type the field since it is generated by template automatically, remember to change the year in the template accordingly

300 = Physical description (take from scrap sheet). Examples:
300 xv, 220 leaves ;bill. ;c28 cm
300 xv, 220 leaves ;bill. (some col.), maps ;c28 cm
300 xv, 220 leaves ;bill. ;c28 cm. +e6 maps [Use this for separate maps that are not included in thesis, add a 500 note. i.e., 6 folded maps are inserted in the back pocket]
300 xv, 220 leaves ;bill. ;c28 cm. +e1 CD-ROM ([37] slides ; 4 3/4 in.)

500 = Month and year of graduation.
Example: 500 “December 1997”
No need to type the field since it is generated by template automatically, remember to change the year in the template accordingly

502 = Dissertation note (See Table of Graduate Degree Programs and Degrees). Examples:
502 Thesis (M.S.)--University of Arkansas, Fayetteville, 1997
502 Thesis (Ph.D.)--University of Arkansas, Fayetteville, 1997
Please watch the degree designation carefully. Sometimes the student has made a mistake and puts “Master of Science” when they really received a “Master of Science in Electrical Engineering.” The engineering theses are especially problematic in this way, for some reason. If you think the degree designation is incorrect, either send the manuscript back to the Grad School or email Joni Teddleton (Jmarvel@uark.edu) in the Grad School and ask her what the degree is supposed to be (she will usually send you a replacement title page, when necessary, but we can type up our own if we must)

504 = Bibliography note (take from scrap sheet). Examples:
504 Includes bibliographical references (leaves 218-220)
504 Includes bibliographical references
Use the latter note if references appear in several different places
**690** = Local subject heading for department. Examples:

- 690 Dept.: History.
- 690 Dept.: Electrical Engineering.

The field always begins with the word “Dept.:” followed by the department’s name.

The information should come from the Library Transmittal Form. The department indicated on the form by the student must be checked against the InfoLinks authority file to see if it matches the heading for that department. Do not simply take it from the transmittal form, as it is often abbreviated on the form. Also be careful to get the most “recent” version of the department heading when necessary—for example, Geology and Geography are not valid for recent theses; they have merged into Geosciences. Look at the authority record for this information. If you can’t find an authority record for the department or aren’t sure, check with a cataloger.

Be sure to save changes you have made. (Ctrl S)

**III. Adding Item Records in Millennium**

Click on the Summary tab and then Attach New Item, the system will prompt you to select template for two item records:

1st Item Record:
- Select “TDInter: Theses Diss. Internet” for Inter Copy
- Location = Inter, Status = b (In Process), and 099 will be generated automatically
- Save your changes (Ctrl S)

2nd Item Record:
- Select “Lisas: LisaThes/Diss” for Lisas Copy
- Itype = 28 (dissertation) or 29 (thesis)
- Location = lisas, Status = b (In Process), and v=Archival copy will be generated
- Save your changes (Ctrl S)

**IV. Labeling and Shelving**

Identify the regular paper copy (Copy 1). Put the original Thesis/Dissertation Submission Forms and Copyright Form (if applicable) on the top of manuscript, wrap them in 1 manila folder and rubberband it. Write student’s last name on the folder.

If this copy is in CD/DVD format, check the supporting documents (1 title page, abstract, table of contents, and specifications of hardware and software versions if applicable). They should be put in an 8.5 X 11 envelope with the CD/DVD.
Leave the cotton paper copy (Copy 2) in the box (or put it in a smaller box) with the copy of brief bib record, Library Transmittal Form, Intellectual Property Form, Thesis/Dissertation Submission Forms, and Copyright Form (if there is any).

Label the box’s spine with the author’s last name, degree, and graduation date. Bind two copies together and put them on shelf and arrange them alphabetically by author within each semester’s group.

V. Patent Pending Theses/Dissertations

1. Make sure the bib record has just PATENT PENDING in the 245, not a full title.
2. Make sure the item record for each copy has status “b”
3. Both copies remain in box with the Library Transmittal Form. Add IP notes to a printed brief bib record, tape it to the top of the box, and give it to the cataloger to be put in the “vault”. They will be released and go through the rest of their processing when informed by TLO Officer.

VI. Count Statistics

Record under “New Manuscripts Accepted & Processed” on the Annual Thesis/Dissertation Statistics sheet.