

Policy: 450

Page 450.1

Subject: UM THESES

Approved by: LMAC

Contact: Associate Director, Collections

Prepared by: Jan Horner

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Definition

For purposes of this policy, the term "thesis" refers to any thesis, dissertation, or practicum submitted by students to the Faculty of Graduate Studies in fulfilment of graduate level degree requirements at the University of Manitoba. It does not refer to other submissions in fulfilment of graduate level degrees (e.g. architectural building programmes and PMTs (photo mechanical transfers) which are submitted by Faculties directly to unit libraries.

Policy

The University of Manitoba Libraries collects and maintains three copies of each thesis as follows:

- a) The University of Manitoba Libraries serves as the archive for all University of Manitoba theses. In fulfilment of this mandate, one copy of every thesis is designated a depository copy and is held in the Depository Collection under the administration of Archives & Special Collections.
- b) In addition, the Libraries' objective is to provide a circulating copy of each thesis as part of its collection. In most cases, the circulating copy is a bound paper copy. However, for most theses produced in 1986 and 1987, the circulating copy is in microfiche format. Some theses are now being produced in electronic formats. Circulating collections are housed in the following locations:
 - ▶ theses (print and microfiche) completed by students in the Faculty of Architecture are housed in the Architecture/Fine Arts Library;
 - ▶ print theses completed by students in the Faculty of Education are housed in the D.S. Woods Education Library, however, the microfiche is housed in the Elizabeth Dafoe Library;
 - ▶ theses (print and microfiche) completed by students in the Faculties of Medicine and Dentistry are housed in the Neil John Maclean Health Sciences Library (NJMHSL);

- ▶ print theses completed by students in the Faculty of Law are housed in the E.K. Williams Law Library, however the microfiche is housed in the Elizabeth Dafoe Library;
 - ▶ all other circulating theses are housed in the Elizabeth Dafoe Library.
- c) The University of Manitoba participates in the National Library of Canada's Canadian Theses Service Program. The University of Manitoba Libraries makes available a paper copy of each University of Manitoba thesis to the National Library for microfiching and for inclusion in the National Library's bibliographic databases. The National Library retains the microform master and returns a microfiche copy which is added to the University of Manitoba Libraries collection. The returned paper copy is bound and added to the Archives Depository collection.

Note: Due to format restrictions a small number of theses cannot be ficed.

General Responsibilities

1. Acquisitions

- a) Once the Gifts and Preservation Librarian in conjunction with the Binding Assistant in Dafoe Circulation approves invoices from the National Library of Canada for the microfiching of University of Manitoba theses, Acquisitions pays the invoices out of Fund ID GT BBT 00 3906.
- b) Acquisitions pays invoices from the designated bindery for the binding of University of Manitoba theses out of Fund ID GT BBT 00 3904.

2. Faculty of Graduate Studies

The Faculty of Graduate Studies provides the Libraries with two unbound paper copies of each thesis submitted. The Faculty is responsible for ensuring that each thesis submitted is complete and free of collation errors such as duplicate paging or missing information, as well as obtaining the necessary copying agreements from the thesis author. The Faculty forwards the unbound copies directly to the Thesis Assistant in Bibliographic Control.

3. **Bibliographic Control.**

Bibliographic Control is responsible for providing the catalogue records and the accompanying products such as labels and barcodes, for all theses in Group 1 Libraries. Full descriptive cataloguing is provided and subject access is added to the record by means of a subject heading that includes the name of the department awarding the thesis (e.g. University of Manitoba Dept. of Anthropology - Dissertations).

4. **Resource Management, NJMHSL and Technical Services, Law Library**

After Bibliographic Control provides the descriptive cataloguing for a thesis, Resource Management at NJMHSL and Technical Services in the Law Library assign call numbers, subject access, etc. to the records for theses in their collections.

5. **National Library**

The National Library acts as our agent in the ficing of University of Manitoba theses by UMI (a subsidiary of Bell & Howell) and enters information on them into *Canadiana* and AMICUS Web, Canada's national online catalogue. Through UMI, theses are also entered in *Dissertation Abstracts International* and in the Proquest Digital Dissertations database. The National Library retains the microform master and returns a microfiche copy which is added to the University of Manitoba Libraries collection. The returned paper copy is bound and added to the Archives Depository collection.

6. **Circulation, E. Dafoe Library**

Binding Staff in the Elizabeth Dafoe Library process and send all theses to Art Book Bindery.

7. **Circulating Collection**

One copy of the thesis is bound immediately and placed in the appropriate circulating collection. Normally, this is done well in advance of the ficing and binding of the Depository collection.

8. **Archival (Depository) Collection**

When the unbound copy of a thesis is returned from the National Library, it is bound and placed in the Depository Collection. The catalogue record reflects the existence of the Depository

Collection copy.

Requests for retrieval of theses held in the Archives Depository Thesis Collection are made to Archives & Special Collections, Room 331, E. Dafoe Library. Retrievals will normally be carried out at the time of request unless there is inadequate staff to both supervise the Archives' Reading Room and undertake the retrieval of the thesis.

9. Circulation Services

Circulation staff provide circulation services and collection maintenance for the circulating theses collections, in both fiche and paper format. Unless permission has been obtained from a reference librarian, microfiche copies of theses in the E. Dafoe Library do not circulate.

10. Document Delivery – All Units

If the National Library does not have a copy of a University of Manitoba thesis, or it is not available for purchase from Proquest Information and Learning, Document Delivery will lend a circulating copy of the thesis to a requesting library, unless the requesting library is outside Canada or the United States.

11. Copying

The Libraries will copy University of Manitoba theses for the following purposes:

- ▶ to replace a missing copy
- ▶ for preservation purposes

If a circulating copy is not available for loan from the National Library of Canada or a UMI/Proquest copy is not available for purchase, and copyright has been cleared with the author, the University of Manitoba Libraries may copy and sell a thesis if requested at the discretion of the Head, Archives & Special Collections. The requester will be advised of the total copying and shipping charges. Upon receipt of a cheque or money order (Canadian funds) in the appropriate amount and made out to The University of Manitoba the thesis will be copied and sent to the requesting library.

12. Electronic Theses and the Faculty of Graduate Studies

Graduate Studies will accept electronic theses and dissertations as long as they meet the requirements stipulated by the Libraries. [See Attachment 1] One copy of the disk or CD-ROM should be put in the Archives Depository collection and the second copy should be available for circulation in the designated units (i.e. Architecture/Fine Arts, Education, Law, Neil John Maclean and Dafoe).

University of Manitoba theses completed since 1997 and submitted to the National Library of Canada are included in digital form in the Proquest Digital Dissertations database, accessible through NETDOC. University of Manitoba students, staff and faculty may download copies of theses completed at the University of Manitoba from 1997 to the present free of charge, though these files are in the form of large image files.

Attachment 1.1

**REQUIREMENTS OF THE UNIVERSITY OF
MANITOBA LIBRARIES FOR SUBMISSION OF
ELECTRONIC THESES OR THESES WITH
ELECTRONIC COMPONENTS**

Word-Processed Documents

Theses that are single-file, word-processed texts must be submitted as paper documents only at this time.

Text Accompanied by Electronic Materials

1. Theses that are compound documents (text on paper accompanied by electronic material) must be submitted with an 8.5 x 11 sheet of paper that indicates:

- a. what is on the accompanying disk or CD-ROM and
- b. the software that is being used on the accompanying disk or CD-ROM. The software used must be one or, a combination of those recommended by the libraries (see list below).

2. Graduate students must supply:

- a. written permission letters for any previously copyrighted images, data, video, animation, graphics, or sound on the accompanying disk or CD-ROM, and
- b. written permission letters or a license for any application on the accompanying CD-ROM allowing it to be copied or installed on a reader's machine.

3. Graduate students must submit 2 copies of the accompanying material, that is, 2 disks or 2 CD-ROMs.

Attachment 1.2

List of Prescribed Software:

Microsoft Word - no lower than Word 6

Corel WordPerfect - no lower than WordPerfect 5.1

HTML/JavaScript - versions that will work with Netscape
4.08

Microsoft Powerpoint 97

Corel Presentation 8 or 9

Corel Quattro Pro 8 or 9

Microsoft Excel - no lower than Excel 6