University of Kansas
Electronic Theses and Dissertation Workshop
Fall 2013

Introduction

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Long Before You Submit

• Make sure that your thesis or dissertation does not violate another author’s copyright.

• Using graphs, images, pictures, tables, where the copyright is held by someone other than you may be a copyright violation.

• From the ETD Release Form required for graduation:

  COPYRIGHT: You affirm that the content of your submission does not, to the best of your knowledge, infringe upon anyone’s copyright through, but not limited to, plagiarism, unapproved reproduction of materials or improper citation.
  I understand and agree:
  ____ Yes
  ____ N/A – document does not contain copyrighted materials and includes proper citations.
  ____ Material usage falls under fair use (legally binding, keep fair use checklist on file)

Need Help with this? Contact staff in the Libraries’ Office of Scholarly Communication & Copyright: kuscholarworks@ku.edu
Resources for Users of Copyrighted Materials

• University of Kansas copyright assistance offered through the KU Libraries’ Office of Scholarly Communication & Copyright: http://www.copyright.ku.edu

• KU Medical Center Copyright Compliance Policy and Guidelines: http://www.kumc.edu/Pulse/copyright.html

Electronic Submissions

• Improves visibility and accessibility of your work
• All submitted ETDs are simultaneously and automatically made accessible in two ways:
  • ProQuest Dissertations and Theses – available only by subscription
    – KU theses and dissertations in ProQuest are easily found in Dissertations & Theses @ University of Kansas (Lawrence campus) and Current Research @ KU (KUMC campus)—both available only by subscription
  • KU ScholarWorks, a public, open digital archive: http://kuscholarworks.ku.edu
• Ability to include supplemental data and media like audio and video
One submission, two destinations

Submit for Review and Approval via ProQuest Submission Tool

Reviewed and approved by College or School

Graduation

University of Kansas Copy

After graduation, allow for up to 12 weeks processing time before the KU and ProQuest copies are available

ProQuest/UMI Copy
Electronic Access

KU’s copy

- Made available through KU ScholarWorks
- No additional cost
- Required for graduation
- Copyright protection
- Public access to your work
- ETD Release/Permission Form: [ETD Release Form](#)

ProQuest/UMI’s copy

- Generally ProQuest’s access is subscription-only
- For additional fee ($95) ProQuest/UMI’s Open Access option offers:
  - Copyright protection
  - Public access to your work (but duplicates already open version in KUSW)
- No reason to choose this.
Select Publishing Options

Publishing Options

Select the publishing options below that best fit your interests and scholarly publishing obligations. Required fields are marked with an asterisk (*).

For assistance, consult your graduate school, and read our Publishing Guides.

Select Type of Publishing *

○ Traditional Publishing View agreement
  • I want to make my work widely available and I want to be eligible to receive royalties on the sale of my work.
  • I understand that I must maintain a current mailing address with ProQuest/UMI in order to be eligible to receive royalties.
  • I understand that ProQuest/UMI does not charge a fee for Traditional Publishing.
  • I understand that my work will be available through ProQuest Dissertations & Theses, Udini and Dissertation Express, and that a citation/abstract may appear in some indexes (e.g. SciFinder, MathSciNet, PsydINFO, etc.).

○ Open Access Publishing PLUS View agreement
  • I want the broadest possible dissemination of my work, and I want to provide free global access to the electronic copy of my work via the internet.
  • I understand that I will not be eligible to receive royalties.
  • I understand that the ProQuest/UMI fee for Open Access Publishing PLUS is $95.00 USD.
  • I understand that I will pay the fee, unless notified by my graduate institution that the school will pay.
  • I understand that my work will be available through ProQuest Dissertations & Theses, Udini and Dissertation Express, and that a citation/abstract may appear in some indexes (e.g. SciFinder, MathSciNet, PsydINFO, etc.).
Select Publishing Options

Access options (e.g., delaying the release of your work)

If you choose to delay the release of your work, access to the full text of your work will be delayed for the period of time that you specify. The citation and abstract of your work will be available through ProQuest and may be available through your institutional repository.

Note: Most institutions have delayed release (or embargo) policies. Please consult with your Graduate School for more information.

Delaying release in ProQuest

I want my work to be available in ProQuest as soon as it is published. 

- Yes
- No - I have patents pending, or another reason why I need to delay access to the full text of my work.

How long would you like to delay the release to ProQuest? *(more info)*

- 6 months
- 1 year
- 2 years

If a longer embargo is necessary, please indicate in the Note to administrator.

Note to administrator (optional): 200 characters

Reason for delaying release to ProQuest *

Select

Save & Continue

This is the "embargo" for the ProQuest/UMI copy only. To request an embargo of the copy that will be put in KU ScholarWorks, you must fill out the ETD Release Form.
Embargo

• Embargo: Delayed release or delayed availability
  – Reasons may include:
    • Patents pending
    • Sensitive data
    • Pending publication (especially important for Humanities majors)
    • Restricted research
  – Embargo options
    • 6 months
    • 1 year
    • 2 years
Important Embargo Details

• Request an embargo ASAP if you want to delay making your thesis or dissertation available to the public so you can publish it.
• Request the embargo BEFORE you graduate. It is difficult to withdraw the work once it is found by search engines like Google.
• Must get approval and signature of the director of graduate studies in your department.
• Embargos can be renewed if a publisher requires it. Request this before the existing embargo expires and the work is made available to the public.
• Embargo renewal can be done online at: http://www.graduate.ku.edu/embargo-renewal
• More information is available, http://www.graduate.ku.edu/etd/submitting
Copyright: Protecting your work

• Copyright is a way to protect your work; you already have copyright to your work without registering it with the U.S. Copyright Office, BUT..

• Registering your work allows you to seek statutory damages from those that use your work without permission. Options include:
  – United States Copyright Office (basic fee: $35 for online submission)
    http://www.copyright.gov/
  – UMI ProQuest will do it for you for a fee during submission. (fee: $55)

• Additional Copyright Information
  • University of Kansas Copyright assistance: http://www.copyright.ku.edu
  • KU Medical Center Copyright Compliance Page: http://www.kumc.edu/Pulse/copyright.html
Path to Completion

Start

Apply for Graduation:
Log-in to your Enroll & Pay account > click Graduation > click KU Apply for Graduation > follow the steps
*This step can be done at any point in the semester, up to the posted deadline.

Plan defense:
1. Finalize the committee for your defense.
2. Dept communicates with the school to get pre-approval for your defense.
3. Dept announces the dissertation defense.
4. Create and print the title and acceptance pages for your dissertation (take these to your defense).

Electronic Submission:
Submit your dissertation electronically to UMI.

Paperwork:
Contact the staff member in your school office to identify the materials you are required to submit in order to graduate.

Most schools require at least the following:
• Signed title and acceptance pages
• Signed ETD release form
• Doctoral Completion Survey - verification of completion (PhD only)

Defend:
1. Successfully defend
2. Get title and acceptance pages signed

Participate in:
• Spring 2013 Graduate Recognition Ceremony (contact your school/College) and/or
• The Doctoral Hooding Ceremony on Saturday, May 17th, 2013 @ 3:30pm

If you plan to participate in the Doctoral Hooding Ceremony, please:
• Identify the faculty member who will serve as your “Hooder”
• Register with the Office of Graduate Studies

Finish
Administrative Timeline

UMI:
Student submits the final version of Thesis/ Dissertation on the UMI/Proquest website

Administrator Assigned:
School contact assigned by the Office of Graduate Studies

Staff Review:
School contact reviews the final version for format and/or additional changes. School contact indicates when Thesis/Dissertation is accepted.

Publication:
After degree is conferred, UMI/Proquest is notified and the student is sent an email.
Paperwork to Submit

Deliver to your school:

– Title page – signed by all committee members
  • Template on ETD webpage

– Acceptance page – signed by committee chair
  • Template on ETD webpage

– Electronic Theses and Dissertations (ETD) Release Form
  • Form on ETD webpage

– Doctoral Completion Survey - verification of completion
  • Link to the online survey at ETD webpage

The deadlines to submit these materials can be found at the Graduate Studies website under 2013-2014 Graduate Studies Calendar.
Requirements for Electronic Submission

1. Convert thesis or dissertation to a PDF
   Page order:
   • Title page *(typed names of committee members, no signatures)* *
   • Acceptance page *(typed names of committee chair, no signatures)* *
   • Abstract
   • Acknowledgements *(optional)*
   • Table of contents
   • Dissertation/Thesis *(your content)*
   • References
   • Appendices

* These pages have required templates and formatting guidelines, see the ETD webpage for more information.

2. Submit through the ProQuest/UMI website
Creating the PDF file

• Why PDF
  o PDF preserves the layout and formatting of your original document
  o Allows anyone with the free Adobe Reader, or comparable program, to access it
  o Better format for long-term preservation and access; ensures that your document can continue to be read years from now.

• Word and LaTeX to PDF Instructions
  • http://www.etdadmin.com/cgi-bin/main/createpdf

• Free PDF Converters
  o Microsoft Word usually has the option to save as PDF
  o http://createpdf.adobe.com/
  o http://www.primopdf.com/index.aspx

• UMI ETD Tutorial:
  o http://www.etdadmin.com/cgi-bin/main/createpdf?siteId=73
Formatting Tips

• Page Numbers
  – No number on title page.
  – Second page to table of contents use lowercase roman numerals (e.g. ii, iii).
  – Add a next page section break before your first chapter
  – Starting with the first chapter insert Arabic page numbers (e.g. 1, 2, 3).

• Embed your fonts before converting to a PDF
  – For embedding your fonts on a PC: Creating PDFs
  – Macs automatically embed fonts.
Submitting the Thesis/Dissertation

• Start here: Submit to UMI ProQuest
• How the submission process works
  – Submitting very large files
  – Connectivity questions
  – Copyright registration: Retaining your rights
  – Instructional video on how to submit
• When are ETDs available in the ProQuest Dissertations & Theses (PQDT) database and the KU ScholarWorks repository?
ETD Publication Timeline

• After you submit your ETD – you will receive a confirmation that your submission was successful.
• Your ETD will be reviewed by your ETD administrator in your School or the College Graduate Office. You must also complete any necessary paperwork.
• You may receive a request for minor revisions.
• Your will receive a confirmation of the final submission to ProQuest by your ETD administrator.
• Your ETD Administrator will forward your ETD to ProQuest after you have met all of the graduation requirements but not until after your official graduation date May, Aug., or Dec.
• After submission to ProQuest, ProQuest will process and make your work available in its ETD Database. This may take 8-12 weeks depending on the time of year.
• A copy of your ETD comes to the Library at the time of submission to ProQuest. Your ETD is loaded into KU ScholarWorks after the Library receives a copy of your ETD Release Form.
Resources

• Support Services for Writers
  – Workshops: http://apps.ku.edu/~infotrain/

• Writing Center Resources: http://www.writing.ku.edu/graduate/

• Copyright assistance: copyright@ku.edu or http://www.copyright.ku.edu

• Support for Data Analysis
  – GIS and Data Lab: http://www.lib.ku.edu/gis/

• Software
  – www.technology.ku.edu/software

• Working with multimedia files
  – http://www.graduate.ku.edu/formatting

• Graduate Division Contacts

• ETD questions – email: etd@ku.edu
Thank You!

• Thank you for attending
• Please fill out survey (if joining us online please fill out and send to etd@ku.edu)
• Feel free to send any questions to etd@ku.edu