

University of Kansas  
Electronic Theses and Dissertation Workshop  
Spring 2016

<http://www.graduate.ku.edu/electronic-thesis-and-dissertation>

# Introduction

- Mary Roach, Interim Co-Dean, KU Libraries
- Marianne Reed, Shulenburger Office of Scholarly Communication & Copyright, KU Libraries
- Amber Roberts Graham, Policy Coordinator, Graduate Studies
- Scott McEathron & Pam Rooks, Center for Graduate Initiatives and Engagement, KU Libraries

# Think about copyright issues NOW, long before you submit

- **Make sure that your thesis or dissertation does not violate another author's copyright.** Using graphs, large portions of text or music, images, pictures, and 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:**
  - 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' Shulenburger Office of Scholarly Communication & Copyright: [lib.oscc@ku.edu](mailto:lib.oscc@ku.edu)**

# Resources for Users of Copyrighted Materials

- University of Kansas copyright assistance offered through the KU Libraries' Shulenburger Office of Scholarly Communication & Copyright:  
<http://www.copyright.ku.edu>
- KU Medical Center Copyright Compliance Policy and Guidelines:  
<http://policy.ku.edu/KUMC/information-technology/copyright-policy>
- K.D. Crews--Copyright Law and Graduate Research:  
[http://media2.proquest.com/documents/copyright\\_dissthesi\\_ownership.pdf](http://media2.proquest.com/documents/copyright_dissthesi_ownership.pdf)

# Copyright: Protecting your work

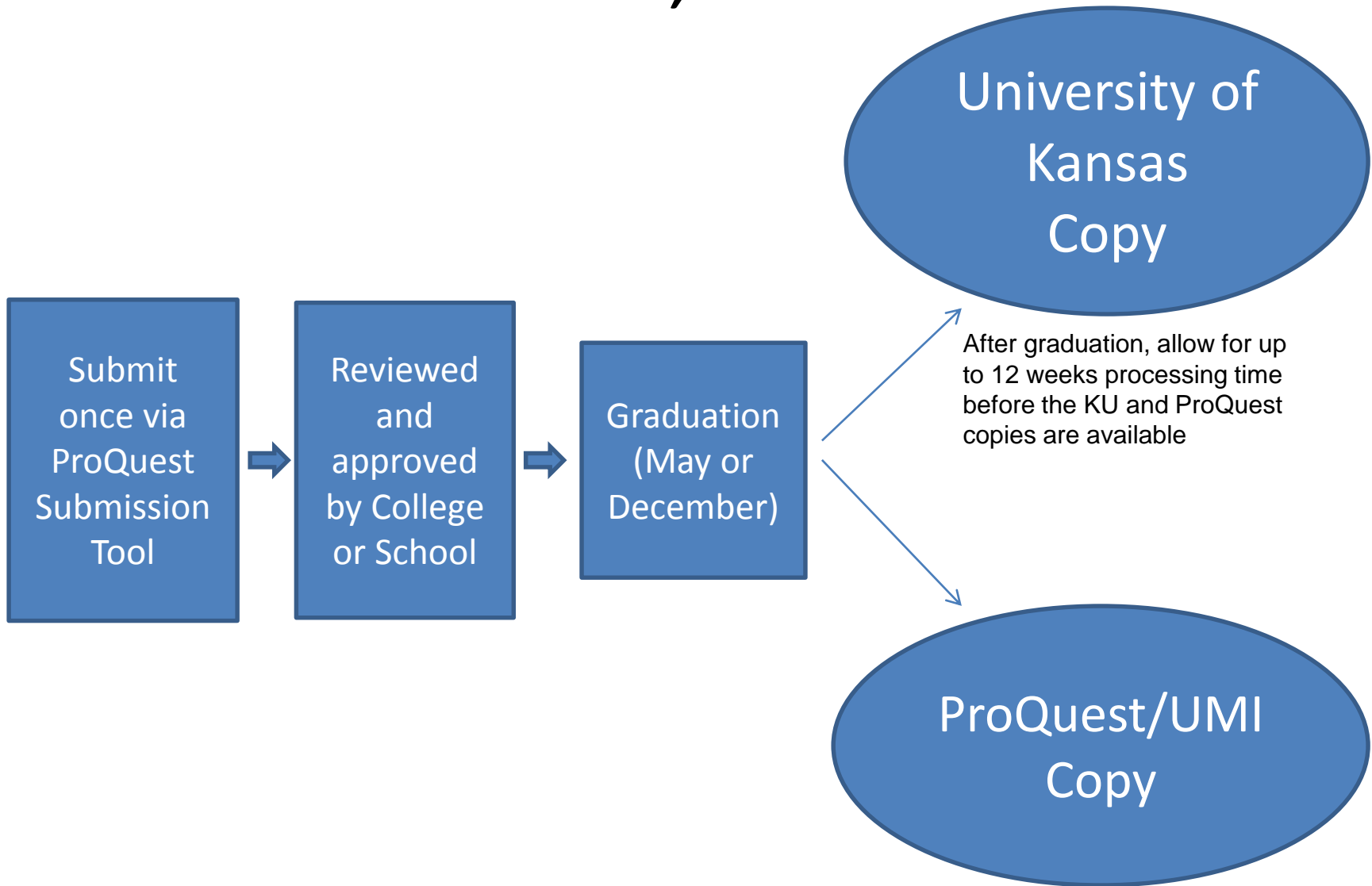
Copyright is a way to protect your work; you already have copyright to your work without registering it with the U.S. Copyright Office, BUT..

- Registering your work allows you to seek statutory damages from those that use your work without permission
- Two ways to register your work:
  - 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)

# 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



# Electronic Access

## KU's copy

- Open Access: Made available through KU ScholarWorks
- No additional cost
- Required for graduation
- 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:
  - 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, PsycINFO, 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, PsycINFO, etc.).



# 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

- Use the [ETD Release Form](#) on the Graduate Studies web site to 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.
- Embargos can be renewed upon request. Use the online form below to request this at least one month before the existing embargo expires and the work is made available to the public.  
<http://www.graduate.ku.edu/embargo-renewal>
- Must get approval and signature of the director of graduate studies in your department
- More information is available: [Embargo Policy](#)

# Select Publishing Options

## Access Options

While you're submitting to ProQuest, you'll see the following options:

- I want my work to be available as soon as it is published.\*

Yes



Most people  
will choose  
this option

No - I have patents pending or another reason why I need to delay access to the full text of my work for the following period of time.

- How long would you like to delay the release to ProQuest?

- 6 months

- 1 year

- 2 years

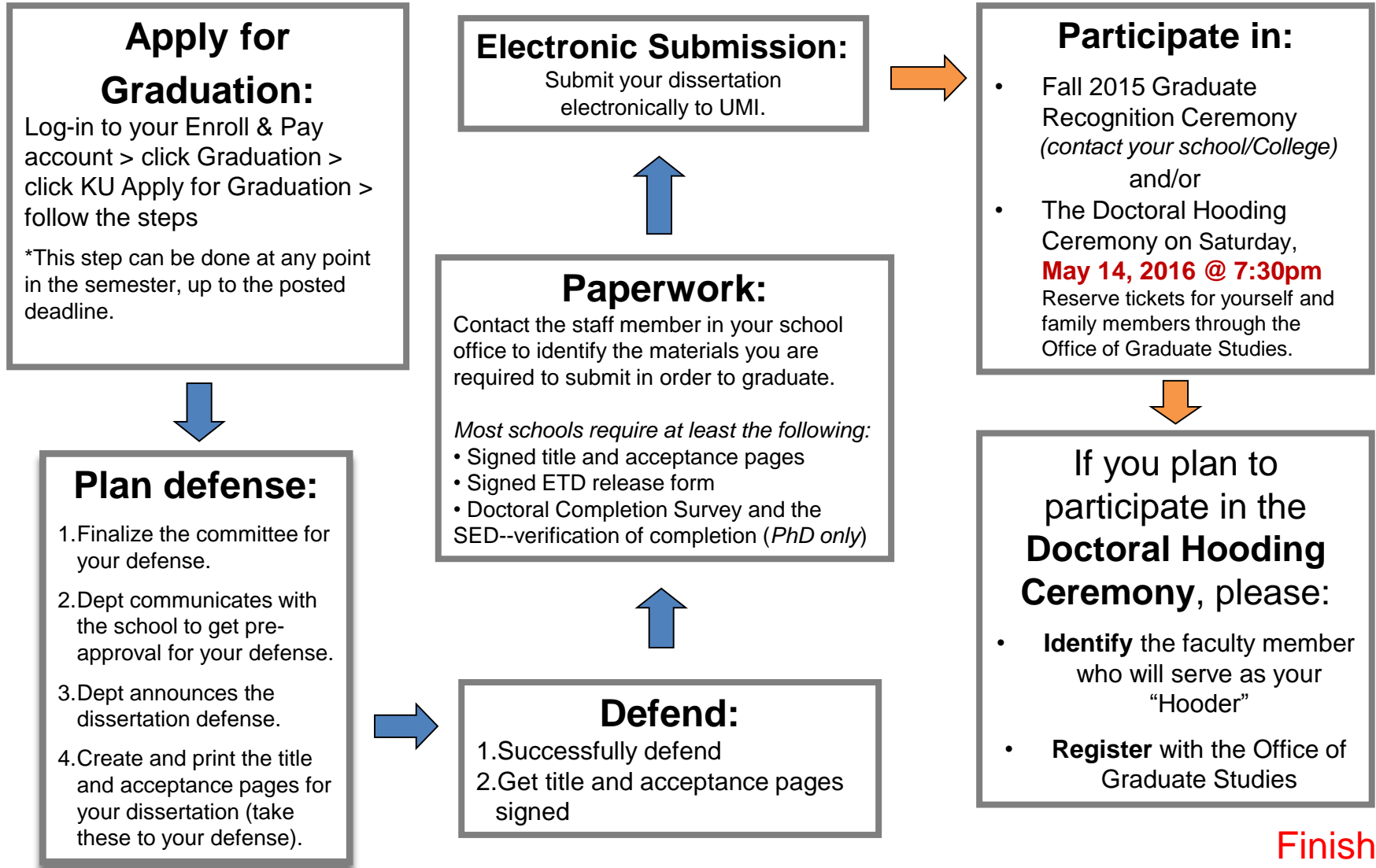


This is the "embargo": This is rarely chosen by students and can only be chosen with the signed permission by the director of the graduate studies in your department.

**Please note:** 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](#), available on the Graduate Studies web site.

# Path to Completion

Start



Finish

# Administrative Timeline

Start

## 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



## Publication:

After degree is conferred, UMI/ Proquest is notified and the student is sent an email.

Finish



## Staff Review:

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

# Paperwork to Submit

## Deliver to your school:

- Title page – signed by all committee members
- Acceptance page – signed by committee chair
  - » Template on [ETD webpage](#)
- Electronic Theses and Dissertations (ETD) Release Form
  - » Form on [ETD webpage](#)
- Doctoral Completion Survey (DCS) and the Survey of Earned Doctorates (SED) – verification of completion (*PhD only*)
  - » Link to the online survey at [ETD webpage](#)

The deadlines to submit these materials can be found at the Graduate Studies website here:

[http://graduate.ku.edu/sites/graduate.drupal.ku.edu/files/docs/studentresources/Graduate\\_calendar\\_2015-2016.pdf](http://graduate.ku.edu/sites/graduate.drupal.ku.edu/files/docs/studentresources/Graduate_calendar_2015-2016.pdf)

# Formatting Tips

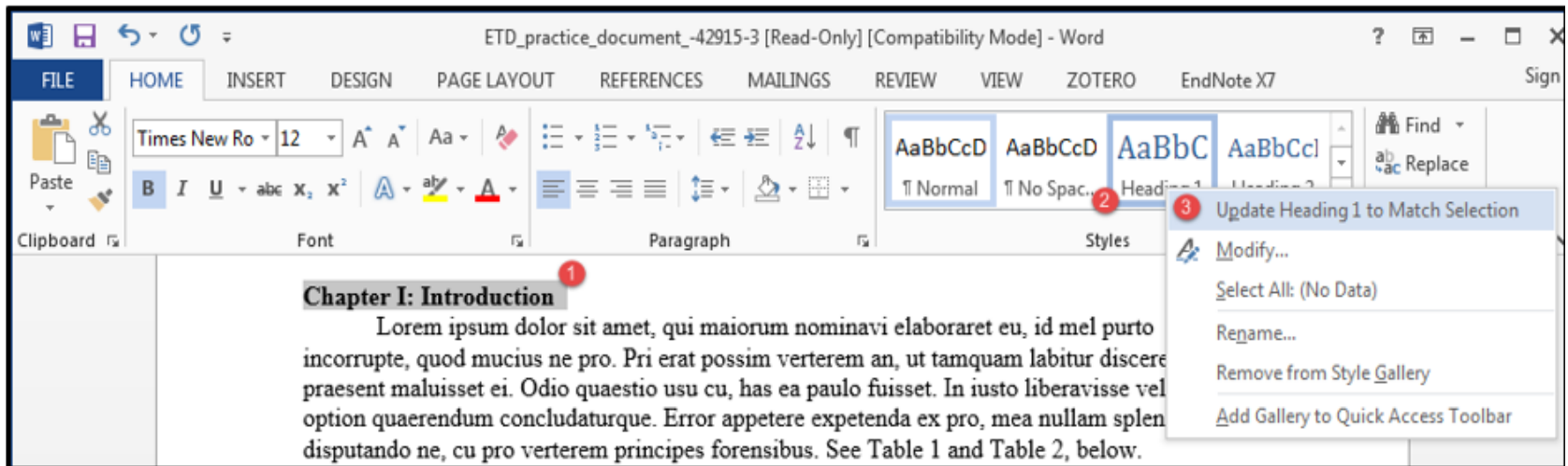
- Page formatting
  - Page margins have to be at least one inch on all sides.
  - No landscape page orientations (long tables can be rotated 90 degrees on the page, but all pages must be in portrait orientation).
  - No blank pages.
- Page numbers
  - No number on title page.
  - Second page to table 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).
  - Visit [http://guides.lib.ku.edu/etd/ETD\\_Page\\_Numbers](http://guides.lib.ku.edu/etd/ETD_Page_Numbers) for step-by-step instructions
- Embed your fonts before converting to a PDF
  - For embedding your fonts on a PC: [Creating PDFs](#)
  - Word 2011 (Mac only) and Word 2016 (Mac and PC) automatically embed fonts.



# Using Heading Styles to Create an Automatic Table of Contents: Part I

First, set the heading styles in the style gallery

1. Use the usual font tools to set up the heading as it is supposed to appear.
2. In the Style Gallery, *hover* over the correct Heading (Heading 1 through 9).
3. *Right-click* and then select **Update Heading to Match Selection**.



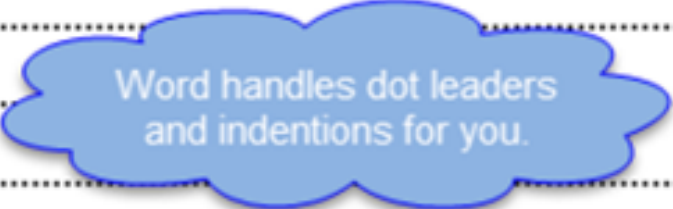
For the remainder of the document, now, clicking on any line and then clicking on its intended heading style in the style gallery will update the appearance of that line.

## Using Heading Styles to Create an Automatic Table of Contents: Part II

**Second, pull these marked heading styles into an automatic table of contents.**

1. Place the cursor where you want the table of contents to appear.
2. For Word 2013 and 2016, click the **References** tab then **Table of Contents** then **Custom Table of Contents**. For Word 2011 (Mac), click **Insert** then **Index and Tables** then **Table of Contents**.
3. In the **Show Levels** box, choose the number of levels of heading style that you would like to include in the table of contents.
4. Click **OK** to add the table of contents. (Instructions for modifying the appearance of the table of contents are available at: [http://guides.lib.ku.edu/etd/ETD Table of Contents](http://guides.lib.ku.edu/etd/ETD_Table_of_Contents)).

Chapter I: Introduction.....	8
Chapter II: Literature Review .....	9
Chapter III: Methods .....	10
Qualitative Methods .....	11
Statistical Methods.....	12



5. Update changes to the table of contents by clicking **References** then **Update Table**. (Word 2011 for Mac users click **Document Elements** then **Update**.)



# Center for Research Methods and Data Analysis

## LyX and LaTeX tools and templates

LaTeX site with links

The KU Thesis Template (example and documentation)

<http://graduate.ku.edu/etd-formatting-and-working-multimedia-files>

“Using the KU Thesis and Dissertation Template with LaTeX and LyX” workshop

<http://crmda.ku.edu/latex-20151024>

CRMDA Events (Watch for another workshop in the spring)

<http://crmda.ku.edu/events>

# 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 *Formatting Instructions and Title/Acceptance Page* at the [KU Grad School ETD website](#).

## 2. Submit through the [ProQuest/UMI website](#)

# 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.
- You will receive a confirmation of the final submission to ProQuest by your ETD administrator

# ETD Publication Timeline, cont.

- 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 in 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 *(see handout)*

- Support Services for Writers
  - ETD Formatting Workshops: <http://apps.ku.edu/~infotrain/>
  - Online ETD formatting guide: <http://guides.lib.ku.edu/etd>
- Writing Center Resources: <http://www.writing.ku.edu/ku-graduate-students>
- Copyright assistance: [copyright@ku.edu](mailto:copyright@ku.edu) or <http://www.copyright.ku.edu>
- Support for Data Analysis
  - GIS and Data Lab: <http://lib.ku.edu/services/gis-data>
  - CRMDA consulting services: <http://crmda.ku.edu/consulting-faq>
- EndNote software
  - <https://technology.ku.edu/software/endnote>
- Formatting ETDs and working with multimedia files
  - <http://www.graduate.ku.edu/formatting>
- Graduate Division Contacts
  - <http://www.graduate.ku.edu/electronic-thesis-and-dissertation>

# Thank You!

- Thank you for attending
- Please fill out survey (If joining us through Skype for Business, please fill out [online survey link](#) provided.)