ETD (Electronic Theses and Dissertations)
Information for Departments

Does the university require the submission of ETDs?
Yes, all dissertations and theses must be published electronically. Neither Cline Library, nor the Graduate College accept bound copies for storage. Academic departments, and dissertation or thesis committees may have independent requirements regarding printing and binding of theses/dissertations.

What is the role of the Graduate College?
The Graduate College monitors the ETD process for departments and students submitting ETDs through the ProQuest/UMI website. The ETD Coordinator is a Graduate College staff member who represents the college in this role. The ETD Coordinator facilitates compliance with ETD policies and facilitates the submission and publication of finalized theses/dissertations. The Graduate College coordinates with the Registrar's Office to finalize grades in all Thesis (699) or Dissertation (799) courses.

Also, Graduate College staff work closely with the department graduate coordinators and thesis/dissertation chairs on all ETD submission issues that may be encountered with their graduate students.

What policies may an academic unit or department have in place?
1. Departments should publish policy governing printed and bound copies of theses/dissertations in their respective department graduate student handbooks. The bound copy policy must be applied uniformly to all thesis and dissertation students within the department or academic unit. If bound copies will be required, the department's graduate student handbook should clearly delineate the following:
   a. Who will receive mandatory copies (the department, the committee chair(s), etc.)?
   b. Who will pay for the department and/or chair copies or will the cost be split between the student and the department?
   c. Where will the copies be delivered?

2. Academic departments and advising faculty are responsible for advising thesis and dissertation students on department requirements. Regardless of departmental requirements, students are encouraged, as a courtesy, to determine whether the chair and other members of the thesis or dissertation committee would like a bound copy of the dissertation.

3. If copies are required, printing and binding services are provided by ProQuest/UMI, and are embedded in the ETD publishing process. Please consult the ProQuest/UMI website for current printing and pricing options.

4. Thesis and dissertation students and committees should be directed to familiarize themselves with ETD information and instructions available on the Graduate College ETD website.
What is the role of the committee chair regarding ETDs during the oral exam/defense process?

The dissertation/thesis committee approves the final copy of a thesis or dissertation, and provides documentation of its approval to the Graduate College via the Oral Defense Form Part 1 & 2.

a. The Oral exam reports are accepted only from faculty on the committee or designated department staff; the Graduate College accepts no documentation from students or student workers.

b. The committee chair must collaborate with the student to address several publishing options when completing the Oral Defense Form—Part 2. The student must choose these options during ProQuest/UMI ETD submission at the NAU ETD website. Associated fees are subject to change. The committee chair should make sure to provide the student with a copy of the Oral Defense Form—Part 2 for the student’s reference during ETD submission.

i. **Traditional Publishing**: There is no charge for traditional publishing of ETDs, and it is the most basic form of publishing through ProQuest/UMI. Traditional publishing serves to disseminate, index, and archive the student’s work as soon as it is published. Traditional publishing provides global access to the electronic copy of theses and dissertations through the ProQuest database.

ii. **Open Access**: Open Access is a term used to describe content that a reader can access free of charge. The ultimate goal of open access publishing is to ensure the widest possible distribution of a given publication. If a dissertation or thesis will contain patentable or other sensitive material, this option should not be used. There is a one-time charge by ProQuest/UMI when choosing Open Access. See the Open Access link for more information.

iii. **Copyright Registration**: Public record of the copyright claim is required before an infringement suit may be filed in court. Choosing copyright registration allows statutory damages and attorney's fees to the copyright owner in court actions and recording with the U.S. Customs Service for protection against importation of infringing copies. There is a one-time fee associated with copyrighting through ProQuest. Students may choose to file their copyright personally through the US Copyright Office. See the Copyright link for more information.

iv. **Embargo**: A student may choose to restrict access to the full text of their work for six months, one year, two years, or longer by special request. See article link for questions on Embargo.

v. **Bound Copies**: The student will have an opportunity to order bound copies of the thesis or dissertation for personal use and/or the use of department/committee chair(s) through ProQuest/UMI. There is an extra cost associated with bound copies. The faculty and students should consult department policies before ordering printed and bound copies.
What is the role of the committee chair during the ETD final submission process?
Final submission will occur once the student has successfully defended the thesis/dissertation and the Graduate College has received the Oral Defense Form—Part 1 (Pass/Fail form) followed by the Oral Defense Form—Part 2. In order to graduate during a given term, Theses/Dissertations must be complete, and Part 2 must be on file at the Graduate College by the Last Day of Session posted by the Registrar’s Office.

The student and committee must be sure to recheck all sections of the document to ensure it is:
1. the most recent draft,
2. complete, and,
3. error-free regarding format, style and grammar.

Once documents are submitted, they cannot be modified. The student must contact the NAU ETD coordinator if the student needs to withdraw the submission for any reason. The student must then restart the process by uploading a new version of a previously submitted document. This will apply to the abstract, title page, the thesis or dissertation, and any additional materials, including multimedia files.

The document will not be sent to publication until:
1. The department delivers the original Pass/Fail and Verification forms directly to the Graduate College;
2. The ETD Coordinator verifies that the student has complied with the Graduate College format check and departmental requirements regarding open access, copyright, embargo and bound copies indicated on the Verification form;
3. The student’s degree has posted to the student’s transcript.

The student will receive notification via email regarding the status of their document, which may include required revisions. Students must monitor the email associated their ProQuest account. The student will not be required to pick up anything in person. The email must be retained as confirmation of successful submission.

Printing, binding and website (technical) questions should be directly addressed to ProQuest/UMI.

What is the role of Cline Library regarding ETDs?
Libraries traditionally have performed several basic functions in managing graduate theses and dissertations. These functions include making theses and dissertations available to the university and the scholarly community at large, and ensuring their preservation as a permanent record of the degree requirement and as a resource for other scholars. In the digital environment, the library performs similar functions.

Since the inception of Electronic Theses and Dissertations at NAU, the Cline Library has retained electronic record of the bibliographic data associated with each publication, and made it electronically available through interfacing with ProQuest/UMI. Since 2011, students, faculty, and university guests with access to the university’s computer network have enjoyed access to the full text versions of NAU theses and dissertations through the library’s relationship with ProQuest/UMI, when not restricted by students’ embargo choices. The general public has enjoyed limited access to the metadata (bibliographic data) and text, but has not had access to full text versions.

Expanding its electronic resources, Cline Library has made access to NAU publications published since late 2015 an open-access resources available to the general public. The library accomplishes this task through the NAU Institutional Repository (“IR”), OpenKnowledge@NAU.Edu. OpenKnowledge offers consumers NAU academic publications and other resources through common web-based search functions such as Google™ or GoogleScholar™. The documents are made available with restriction, in full-text format, unless restricted by students’ embargo choices. The service is entirely free and embedded in the ETD publication process.
OpenKnowledge captures all NAU theses and dissertations upon publication, but is limited in retroactive effect. Over time, the library intends to capture most if not all publications published before 2015, but the process is an intensive one limited by resources and access to historical documents. Those former students wishing to include their earlier publications in OpenKnowledge may contact the library directly.

Another major function of the library concerns archives. Libraries seek to guarantee the continued availability of theses and dissertations for decades, even centuries, into the future. Many institutions are finding that the dissertations and master’s theses in their collections are in poor condition or difficult to access.

Expanding upon a relationship begun decades earlier, in 1999 ProQuest and the Library of Congress entered into a landmark agreement whereby the ProQuest Digital Dissertations Database was designated as an official offsite repository of the Library of Congress. All dissertations and theses submitted to UMI Dissertation Publishing will enter the national collection. The agreement calls for ProQuest to turn over its files to the library should ProQuest cease providing access to the collection. (Additional information is available at http://www.loc.gov/today/pr/1999/99-007.html.)

Partnership with ProQuest/UMI ensures that NAU theses and dissertations are digitally stored at the Library of Congress’ official offsite repository. ProQuest/UMI’s Digital Archiving and Access Program offers a full range of thesis/dissertation services, combining the best of bibliographic publishing and online access. For details, please see the ProQuest/UMI website.

**How can I view current ETDs via the Cline Library server?**

NAU’s ETDs are available on the Cline Library website on the dissertations and thesis page that links to the ProQuest search engine, or through OpenKnowledge@nau.edu. Students and faculty can search by author, advisor, title, university, subject or key terms. Documents may be viewed in PDF or full-text format.

**Who can help me if I have questions about the ETD process?**

Please contact the Graduate College ETD coordinator at etd@nau.edu or (928)523-8254.