

### Electronic Thesis and Dissertation Information

There are strict deadlines to ensure the graduation and posting of a degree on a student's official transcript. Missed deadlines may cause the graduation date to be moved to the next semester. Please confirm deadlines on the [Graduate College website](#). In order to graduate, the following requirements must have been met by 11:59 pm on the last day of term:

1. The committee chair must have submitted the *Oral Defense Form - Part 1* (a pass/fail form) and the *Oral Defense Form - Part 2* (a verification form) to the ETD Coordinator.
2. The student must have uploaded the final version of their thesis or dissertation to ProQuest.
3. PhD students must have completed the *Survey of Earned Doctorates* (does not apply to EdD students).

### General Information

#### What is an ETD?

An ETD is an electronic thesis or dissertation document expressed in a form simultaneously suitable for machine archives and for worldwide retrieval. The document is similar to its paper predecessor but differs in that ETDs provide a technologically advanced medium for expression. ETDs eliminate the university wide requirement to submit multiple copies on cotton bond paper. ETDs consume virtually no library shelf space. Furthermore, with the student's approval, they can be available to anyone browsing the internet. **Note: Individual departments may require bound copies; please check with the academic department on its policy regarding bound copies for the department and/or committee chair(s).** Even when bound copies are not required, students should, as a courtesy, determine whether the chair and other members of the thesis or dissertation committee would like a bound copy of the dissertation.

#### How are ETDs created?

Dissertations, theses, and selected projects are created using a word processor or other document preparation system, including but not limited to Microsoft Word, Adobe Framemaker, and any other system that can output to a print file (postscript) and be easily converted to a PDF (Portable Document Format) file. Students submit their dissertations, theses, or selected projects as a single PDF document (file). PDF documents retain all formatting information about a document while providing an electronic structure that allows for the addition of embedded multimedia elements. Further details can be found on the [ProQuest FAQ page](#).

#### What are the accepted file formats for ETDs?

The title page, abstract, and entire thesis or dissertation should be formatted as a single PDF; supplemental files (e.g., music, multimedia) can also be uploaded.

### Formatting the Thesis/Dissertation

#### What is a Format Review?

All theses/dissertations must meet the high scholarly standards of the department and discipline. The committee, department, and the Graduate College expect to see evidence of careful attention to style and format in the thesis and dissertation that is presented as part of the culminating graduate experience. The student and committee are responsible for ensuring that the thesis or dissertation adheres to professional standards within the field and that the final product reads well and is free of typos and errors. **Format review is a university requirement** and exists to ensure that the thesis or dissertation adheres to specific standards related to publishing. The Graduate College is responsible for confirming that all format

requirements are met prior to final submission.

#### What is the Format Review process?

1. The thesis or dissertation must be emailed to the ETD Coordinator **at least 10 business days prior to the defense date**; however, earlier submissions are recommended to provide a more manageable time frame for both the ETD Coordinator as well as for the student.
2. Follow the [Format Checklist](#) on the Graduate College website.
3. A sample thesis title page and a sample dissertation title page are provided on the [Graduate College website](#).
4. Submit an electronic copy containing the following items (in one single document) to the ETD Coordinator for a format check (see the *Format Checklist*).
  - Title page
  - Abstract
  - Dissertation/Thesis (the entire document including appendices, bibliography, etc.)
5. The ETD Coordinator will check the document for compliance with the format requirements outlined in the Format Checklist and will notify the student via the student's NAU email regarding the results of the review and indicate whether any revisions need to be made and whether all degree requirements have been met.

#### What does the final manuscript look like before submission to ProQuest?

All theses and dissertations must be saved as a single PDF (Portable Document Format) for submission to ProQuest. If a student has difficulty combining multiple PDF documents, the student should reach out to NAU ITS for assistance. Any issues with the uploading of a PDF and supplemental materials onto the ProQuest website should be handled by ProQuest's technical support, not by NAU's ITS department. Please see the [ProQuest Contact Information](#) page under the *ETD Information and guidelines* tab.

#### Is there a limit to the size of the file students may submit as part of their ETD?

Currently, no absolute size limit has been set for the submitted PDF file.

### Preparing for the ProQuest Submission

#### What is required for the online submission process to begin?

Final submission can occur once the student has:

1. Submitted the thesis or dissertation to the Graduate College for a format check and the format has been approved (see *Format Checklist*).
2. Successfully defended the thesis/dissertation and the Graduate College has received from the committee chair or department the original and signed *Oral Defense Form - Part 1* and the *Oral Defense Form - Part 2* (students are prohibited from delivering or emailing the completed forms to the Graduate College).
3. Received from the committee chair or the department a copy of the *Oral Defense Form - Part 2* to assist in answering questions during the submission process.
4. Verified all content and formatting.
5. Converted the thesis/dissertation to PDF format for submission to ProQuest.
6. PhD students only: Completed the *Survey of Earned Doctorates* (available on the ProQuest website or directly through the [SED website](#)). EdD students do not need to complete this survey.

#### May I submit my thesis or dissertation if I defend and complete revisions prior to the semester I plan to graduate?

No. Students must submit the thesis or dissertation during the semester in which they plan to graduate and date the title page for the semester of graduation, even if the student defends prior to the semester in which he or she graduates. The final document will not be forwarded to ProQuest until the degree is posted on the transcript.

### What materials do I need to have ready before I start the online submission process?

1. Title Page, Abstract, entire Dissertation/Thesis (all in a single PDF)
2. Any additional material, including multimedia files that accompany the manuscript
3. Accurate spelling of committee members' names
4. Credit card as form of payment
5. A copy of the *Oral Defense Form - Part 2*, which the committee chair or department should have provided to the student. This form provides the information on open access, copyright, embargo, and bound copy selections that the student and committee chair previously discussed.

### What is the purpose of the *Oral Defense Form - Part 2*?

The *Oral Defense Form - Part 2* serves two purposes:

1. To verify that all revisions specified during the final oral examination (i.e., defense) have been made and that the thesis or dissertation is in its final form and ready for publishing.
2. To assist with answering questions regarding ProQuest selections: open access publishing, embargoes, copyright, and bound copies.

This form can only be submitted by the committee chair or the department administrative staff. The Graduate College will not accept the form if submitted by a student. The committee chair should provide the student with a copy because, when uploading the final thesis/dissertation to ProQuest, the student will be asked to make selections regarding these options when creating a personal account.

### What are the four options about which I will need my committee's input during the ProQuest online submission process?

There is no charge for *traditional publishing* of a thesis or dissertation, which disseminates the student's work as soon as it is published and serves to index, preserve, and archive the thesis or dissertation. Traditional publishing provides free global access to the electronic copy of the thesis or dissertation via search engines available at most university libraries.

There are four additional options about which the student must respond during the ProQuest submission:

- **Open Access Publishing:** Open access (OA) is when a book, article, thesis, or dissertation is provided digitally, online, free-of-charge, and free of most copyright and licensing restrictions. Making publications *open access* ensures the widest distribution and thus increases the chances that the research will be used and cited by others, rather than requiring a purchase or subscription to gain access. NAU's Open Access option, [OpenKnowledge@NAU](mailto:OpenKnowledge@NAU), is free of charge and provides long-term storage and free public access. If you wish to make your work open access within the ProQuest delivery platform as well, a fee will be applied by ProQuest.
- **Copyright Registration:** All documents are protected by copyright (see below). However, copyright registration with the US Office of Copyright provides more formal protection against usage infringements. ProQuest can register your copyright for a fee. You may also self-register your thesis or dissertation with the [US Office of Copyright](#).
- **Embargo:** If your thesis or dissertation contains patentable, publishable, or sensitive material, you may wish to prevent access temporarily (called an *embargo*). When an embargo is placed, only the abstract and metadata will be viewable. ProQuest allows embargo increments of 6 months, 1 year, and 2 years. If the student wishes to do so, an embargo can be renewed by contacting the administrator at [OpenKnowledge@NAU](mailto:OpenKnowledge@NAU) ([openknowledge@nau.edu](mailto:openknowledge@nau.edu)) and ProQuest ([disspub@proquest.com](mailto:disspub@proquest.com)). Discuss the advantages and disadvantages of this option with your committee chair; no additional petitions or permissions are required by the Graduate College. See the [ProQuest Support website](#) on selecting an embargo period.
- **Bound Copies:** Please check with your department regarding its policy on bound copies for the department and/or committee chair(s). There is a cost associated with bound copies. If your committee chair(s) and/or department require bound copies, you will be responsible for ensuring that the copies are made and physically delivered. Copies cannot be shipped to the Graduate College for delivery.

### What are the policies regarding copyrights?

The student author retains ownership rights to the copyright of the dissertation, thesis or selected project, as well as the right to use all or part of the dissertation, thesis or selected project in future work (such as in articles or

books). However, the student grants to Northern Arizona University and its agents the non-exclusive license to archive and make accessible, under the conditions specified on the *Oral Defense Form - Part 2*, the dissertation, thesis, or selected project in whole or in part in all forms of media, now, or hereafter known.

If the student intends to work with a publisher regarding journal or book publications, the student should understand any policies and agreements that might be required. Students should discuss all issues with their committee chair. Public record of the copyright claim is required before an infringement suit may be filed in court. 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. Students may file for a copyright on the ProQuest website; copyright can also be filed separately from the ETD submission. See the [Copyright](#) link for more information.

### What are the issues associated with ETD online publication and journal publishers?

Most journal publishers do not consider the online publication of dissertations and theses as ETDs to be any different than making the bound paper copies available to the general public on library circulation shelves. Under some rare circumstances, it might be necessary to delay the online distribution of the ETD to meet journal or monograph publishers' requirements against prior publication. This is done by selecting delayed release on the online submission form; this secures the ETD for up to a year, if necessary. Please check with your committee chair and with the specific journals for their policies.

### Submission of the ETD on ProQuest

#### What is the online ETD submission process?

- The student is required to create a new user account through ProQuest at the [NAU ETD website](#). The student must use their NAU email address, not a personal email address.
- NAU staff cannot provide technical assistance. For technical assistance, please use the [ProQuest Contact Information](#) page under the *ETD Information and guidelines* tab.
- Ensure that the correct and final version is prepared to upload and that all information necessary for submission has been reviewed and spell-checked.
- The title page, abstract, and entire thesis/dissertation must be in a single PDF; any additional material, including supplementary files that may accompany the document (e.g., music, spreadsheets), may be uploaded as well.
- Answer all the questions on the NAU ProQuest site. Consult the copy of the *Oral Defense Form - Part 2*, provided by your committee chair or department.
- **PhD students only (EdD students do not complete this step): Please complete the *Survey of Earned Doctorates*. The link is available on the ProQuest website. This is a requirement for graduation.**
- Upload all relevant documents.
- The student will need to provide payment if costs are incurred (costs are dependent on the student's selections during submission).
- Be sure to recheck all sections of the submitted document to ensure that it is the most recent draft and that it is complete and error free regarding format, style, and grammar. The student must contact the NAU ETD Coordinator if there is a need to withdraw the submission for any reason.

**Resubmissions are subject to the same deadlines as initial submissions.**

- **PLEASE NOTE: CONTENT CHANGES MUST BE APPROVED IN WRITING BY THE COMMITTEE CHAIR. ANY CONTENT HAS TO HAVE BEEN "DEFENDED" AND APPROVED WITH A PASS VOTE ON THE *ORAL DEFENSE FORM - PART 1*. NO NEW UNDEFENDED CONTENT CAN BE INCLUDED IN A CORRECTED DOCUMENT.**

#### How will I know if my ETD submission has been approved?

NAU's ETD Coordinator will review the submission for completeness, ensure that the original and signed *Oral Defense Form - Part 1* and the *Oral Defense Form - Part 2* have been received and recorded with the Graduate

College, and verify that the degree has been posted to the student's transcript.

Students will receive notifications via their NAU email indicating one of two possibilities:

- a. their thesis or dissertation has been accepted and has cleared all of the necessary checks
- b. minor or major revisions are required before the document is cleared

Please note: If the recommended format changes are not made, the student's submission may be withdrawn, and the student may need to restart the submission process.

**Resubmissions are subject to the same deadlines as initial submissions.**

#### **When will my thesis/dissertation be sent to ProQuest's publishing department?**

NAU submits theses and dissertations in a single batch at the end of the semester in which the degree is posted. After this point, all questions need to be referred to ProQuest; NAU is no longer involved in the management or processing of the document.

#### **Once my ETD has been sent to ProQuest, when may I expect it to be published?**

Once ProQuest receives the manuscript from NAU, it can take up to 8-12 weeks before it is available online. To inquire about the status of the submission, the student may contact ProQuest at [disspub@proquest.com](mailto:disspub@proquest.com) or 800.521.0600. Please include the submission ID number with the query; the submission ID is included in the confirmation email sent to the student upon submission of the manuscript to ProQuest.

#### **Am I required to submit a paper version of my ETD?**

Neither the Graduate College nor Cline Library requires paper versions. Individual departments may require bound copies; please check with the academic department on its policy regarding bound copies for the department and/or committee chair(s).

#### **Can I correct my ETD after it appears on the library server?**

No. Once the document is successfully submitted to ProQuest for publishing, the document becomes a university record and will be archived as such. The student cannot make any changes. For this reason, the student and committee must check the document thoroughly BEFORE it has been submitted online. If problems are discovered before, the document is sent to ProQuest publishing at the end of each semester, a request may be made to the NAU ETD Coordinator ([etd@nau.edu](mailto:etd@nau.edu)) for permission to withdraw the document to make corrections and resubmit. **PLEASE NOTE: CONTENT CHANGES MUST BE APPROVED IN WRITING BY THE COMMITTEE CHAIR. ANY CONTENT HAS TO HAVE BEEN "DEFENDED" AND APPROVED WITH A PASS VOTE ON THE ORAL DEFENSE PART 1 FORM. NO NEW UNDEFENDED CONTENT CAN BE INCLUDED IN A CORRECTED DOCUMENT.**

#### **Do I have to use ProQuest for bound copies?**

No. A student may choose another independent bindery. Any questions related to the order, payment, or shipping of bound copies must be directed to the bindery company (either ProQuest or the other company).