ETD Processes & Deadlines: Departments

Does the university require the submission of electronic theses and dissertations (ETDs)?

Yes, all dissertations and theses must be published electronically. Neither Cline Library nor the Office of Graduate & Professional Studies (OGPS) accepts 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 OGPS?

The OGPS monitors the ETD process for departments and students submitting ETDs through the ProQuest. The ETD Coordinator facilitates compliance with ETD policies and the submission and publication of finalized theses/dissertations.

The ETD Coordinator coordinates with the Registrar's Office to finalize grades in all sections of 699 thesis courses, and 799 dissertation courses.

OGPS staff work closely with department graduate coordinators and thesis/dissertation committee 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:
   1. Who will receive mandatory copies (the department, the committee chair(s), etc.)?
   2. Who will pay for the department and/or chair copies, or will the cost be split between the student and the department?
   3. Where will the copies be delivered?

2. Academic departments and advising faculty are responsible for advising thesis and dissertation students on departmental 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, ProQuest provides printing and binding services. Students can consult the ProQuest website for current printing and pricing options. Students may also choose an independent bindery.

4. Thesis and dissertation students, faculty mentors, and committee members should be directed to familiarize themselves with ETD information and instructions available on the OGPS ETD website.

What is the role of the committee chair regarding ETDs during the oral exam/defense process?

The dissertation/thesis committee chair approves the final copy of a thesis or dissertation and provides documentation of its approval to the OGPS via the Oral Defense Form - Part 1 and the Oral Defense Form - Part 2.

These forms are accepted only from faculty on the committee or designated department staff; the OGPS does not accept forms from students or student workers.

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 ETD submission at the OGPS ETD website 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 on ProQuest.

Traditional Publishing: There is no charge for traditional publishing of ETDs, and it is the most basic form of publishing through ProQuest. 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.

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, is free of charge and provides long-term storage and free public access. If students wish to make their 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. However, copyright registration with the US Office of Copyright provides more formal protection against usage infringements. ProQuest can register a student's copyright for a fee. They may also self-register their copyright with the US Office of Copyright.

Embargo: If the student's thesis or dissertation contains patentable, publishable, or sensitive material, they 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, the student can renew an embargo by contacting the administrator at OpenKnowledge@nau.edu and ProQuest (disspub@proquest.com). Please discuss the advantages and disadvantages of this option with your student; no additional petitions or permissions are required by the OGPS. See the ProQuest Support website on selecting an embargo period.

Bound Copies: The student will have an opportunity to order bound copies of the thesis or dissertation for personal use and/or for the use of department/committee chair(s) through ProQuest. There is an extra cost associated with bound copies. The committee chair and student should consult department policies before ordering printed and bound copies. Students will be responsible for ensuring that the copies are made and physically delivered. Copies cannot be shipped to the OGPS for delivery.

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, once the OGPS has received the Oral Defense Form - Part 1 (a pass/fail form) and the Oral Defense Form - Part 2 (a verification form), and once the student's degree has posted to their transcript.

In order to graduate during a given term, all degree requirements must be complete, theses/dissertations must be complete, and the Oral Defense Form - Part 1 and the Oral Defense Form - Part 2 must be on file at the OGPS by 11:59 pm on the last day of the semester (this date is posted on the Registrar's Office website, and it is not flexible).

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.
3. Error-free regarding content, format, style, and grammar.

PLEASE NOTE: <u>CONTENT</u> 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.

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 supplementary files.

When will the thesis or dissertation be sent to publication?

The document will not be sent to publication until:
1. The department emails the original and signed Oral Defense Form - Part 1 and the Oral Defense Form - Part 2 directly to the OGPS.
2. The ETD Coordinator verifies that the student has complied with the OGPS format check and met all degree requirements.
3. The student's degree has been 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 with their ProQuest account, which must be their NAU email. The email must be retained as confirmation of successful submission.

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

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. 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, 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 available to the general public. The library accomplishes this task through the NAU Institutional Repository ("IR"), OpenKnowledge@NAU. OpenKnowledge offers consumers NAU academic publications and other resources through common web-based search functions such as Google ™ or Google Scholar ™. 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 Cline 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 ProQuest/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 ensures that NAU theses and dissertations are digitally stored at the Library of Congress' official offsite repository. ProQuest'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 website.

How can students view current ETDs via the Cline Library server?
NAU's ETDs are available on the NAU ProQuest website. 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 students if they have questions about the ETD process?
Students should contact the OGPS ETD Coordinator at etd@nau.edu or (928) 523-8254.

Who can help students if they have questions about the ProQuest website, costs, or for technical help with uploading their thesis or dissertation to ProQuest?
Students should consult ProQuest.