

ETD Submission

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Where can I find submission deadlines?

During the semester the student plans to graduate, once the Pass/Fail and Verification forms have been submitted to the Graduate College, start the submission process. DO NOT DELAY! There are strict deadlines to submit the Pass/Fail and Verification forms and to submit the document to ProQuest/UMI. Missed deadlines will cause the graduation date to be moved to the next semester.

Deadlines for submission, graduation and other important dates are available online on the [Graduate College](#) website.

When does the online submission process begin?

Final submission will 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 Preparing and Formatting ETDs);
2. Successfully defended the thesis/dissertation and the Graduate College has received the original Final Oral Examination (Thesis/Dissertation Defense)—Part 1 (Pass/Fail Form) followed by the Verification of Final Thesis/Dissertation Document—Part 2 (Verification Form) form directly from the department to the Graduate College (students are prohibited from delivering the completed form to the Graduate College); The department will supply a copy of this completed form to the student to assist in answering questions during the submission process.
3. Converted the thesis/dissertation to PDF format for submission to ProQuest/UMI. This can be done at the NAU ProQuest/UMI site (please see the section on Preparing and Formatting ETDs).

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 the student plans to graduate and date the title page for the semester of graduation, even if the student defends prior to the semester he or she graduates. The final document will not be forwarded to ProQuest/UMI until the degree is posted on the transcript.

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

For the final online submission process, the student will need the following items:

1. Title Page
2. Abstract
3. Dissertation/Thesis document
4. Any additional material, including multimedia files that accompany the document
5. Accurate spelling of committee members' names
6. Credit card or gift credit card as a form of payment

7. **Copy** of the Verification of Final Thesis/Dissertation Document—Part 2 (Verification Form), which the committee chair should have provided to the student.

What is the online ETD submission process?

1. The student is required to create a new user account through ProQuest/UMI at the NAU ETD website (www.etdadmin.com/NAU). **The student must use her or his NAU email address.**
2. NAU personnel cannot provide technical assistance. For technical assistance, please contact ProQuest/UMI by clicking on their SUPPORT button in the upper right corner of the [NAU ETD website](http://www.etdadmin.com/NAU) or contacting them directly at: 1.877.408.5027, available 9am-6pm E.S.T. Monday through Friday (excluding U.S. holidays). For questions about payment to ProQuest/UMI, call 1.800.521.0600 x77020, available 8am-5pm E.S.T. Monday through Friday (excluding U.S. holidays). Their Mailing Address is: ProQuest, Customer Service, 789 E. Eisenhower Parkway, P.O. Box 1346, Ann Arbor, MI 48106-1346, U.S.A.
3. Ensure that the correct and final version is prepared to upload and that all information necessary for submission has been reviewed and spell-checked.
4. The thesis/dissertation and any additional material, including multimedia files that may accompany the document, must be in a PDF format.
5. Answer all the questions on the NAU ProQuest/UMI site. Consult the copy of the Verification of Final Thesis/Dissertation Document—Part 2 (Verification Form) that the committee chair should have provided for responses to Open Access, Copyright, Embargo and Bound Copies.
6. **Please note: If format changes are not made (see Preparing and Formatting ETDs) and/or answers to the questions regarding Open Access, Copyright, Embargo and Bound Copies vary from the Verification form submitted by the department, the student's submission will be withdrawn and the student will have to re-start the submission process.**
7. PhD students only (Ed.D. students do not complete this step): Please complete the *Survey of Earned Doctorates*. The link is available on the [NAU ETD website](http://www.etdadmin.com/NAU).
8. Upload the documents.
9. The student will need to provide credit card information if there are costs incurred during submission (e.g. if open access, copyright, or bound copies are desired). If the student does not have access to a bank card, the student may purchase a gift credit card available at any grocery store or department store and use that instead.

10. Be sure to recheck all sections of the submitted document to ensure it is (a) the most recent draft, (b) complete, (c) error free regarding format, style, and grammar. Once documents are submitted, they cannot be modified. The student must contact the NAU ETD Coordinator if there is a need 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. **Resubmissions are subject to the same deadlines as initial submissions.**

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

The NAU Graduate College ETD coordinator will review the submission for completeness and ensure that the original Final Oral Examination (Thesis/Dissertation Defense)—Part 1 (Pass/Fail Form) and the Verification of Final Thesis/Dissertation Document—Part 2 (Verification Form) have been completed and recorded with the Graduate College and that the degree has posted to the student's transcript.

The student will receive notification via email whether the submission has been approved or if there were problems with the submission. If the submission has been approved, the student will receive an email indicating that no further revisions are required to the document and it is ready for submission to ProQuest/UMI. The student will not be required to pick up anything in person. **The email should be retained as confirmation.**

Please be advised that the document will not be processed for final submission until the original Pass/Fail and Verification forms have been completed and recorded with the Graduate College and the degree has posted to the student's transcript.

When will my ETD be sent to ProQuest/UMI?

NAU submits theses and dissertations in a single batch at the end of the semester in which the degree is posted.

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

Once ProQuest/UMI receives the manuscript from the University, it can take 8-12 weeks before it is available online.

To inquire about the status of the submission after it has been approved and sent by the graduate school, the student may contact ProQuest/UMI's Author and School Relations group at disspub@proquest.com or 800-521-0600 x77020. Please include the

manuscript ID with the query; the ID is included in the confirmation email sent to the student by the ETD coordinator.

Is there a limit to the size of the files students may submit as part of the ETD?

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

May I make changes to my ETD after it has been submitted?

The student may continue to make changes to the ETD until it has been submitted for administrative review and approval (until the student has clicked the “Submit for Administrative Approval” link on the [NAU ETD website](#)).

Prior to submission, be sure to check all sections of document to ensure it is (a) the most recent draft, (b) complete, (c) 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. Resubmissions must comply with all deadlines.

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

Neither the Graduate College nor the 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 ETD is successfully submitted to ProQuest/UMI for publishing, the document becomes a University record and will be archived as such. The student cannot make any corrections. For this reason, the student and committee must check the ETD thoroughly before it has been submitted online. If problems are discovered before the document is sent to ProQuest/UMI at the end of each semester, a request may be made to the NAU ETD Coordinator (etd@nau.edu) to withdraw the document to allow the student to make corrections and resubmit.

Do I need to complete the *Survey of Earned Doctorates*?

If the student is a **PhD** student, the student must complete the *Survey of Earned Doctorates*. The [link](#) is available through your ProQuest profile. EdD students do not complete the Survey of Earned Doctorates.

What if I have questions about bound copies that I ordered?

If the student has questions about bound copies, the student should directly contact the bindery where the order was placed.

I am ready to submit. Where do I go next?

Go to the Proquest [website](#), log in, and follow the instructions.

What can I do if I have already completed the submission process and I decide I want to order additional bound copies?

Be sure to work with the department and committee chair to determine if the department and/or committee members require bound copies. They may have bindery preferences.

For personal copies, the student may contact any bindery and make independent arrangements. Some options include:

Roswell Bookbinding:

2614 North 29th Avenue
Phoenix, Arizona 85009
(602) 272-9338
<http://www.roswellbookbinding.com>

ProQuest/UMI
800.521.3042
<http://www.proquest.com/en-US/default.shtml>