Electronic Thesis and Dissertation (ETD) Submission using ProQuest: An Instructional Manual

# Electronic Thesis and Dissertation (ETD) Submission using ProQuest

### **Background:**

Electronic archiving of original research serves to both preserve and facilitate its dissemination. The Division of Graduate Studies of the University of Oregon uses ProQuest to administer the submission process that results in the archiving of data and publications in the UO institutional repository, <u>Scholars' Bank</u>.

These instructions will guide you through the ProQuest submission process. While you can complete all of the steps required by the University for ETD submission at no cost, you should be aware that ProQuest offers *optional* features that will incur costs. See instructions below for details, as well as for any options that may affect the licensing and accessibility of your work. If you have any questions about the archiving process in either ProQuest or Scholars bank, please contact Institutional Repository Manager, <u>Cathy Flynn-Purvis</u>.

In order to complete the submission process, you will need to have the following prepared:

- A single PDF file of your thesis or dissertation
  - ProQuest FAQs about PDFs
- Your abstract
- Supplemental material, including data sets. (\*\*\*Note, you can directly upload your supplemental materials to Scholars' Bank for free. *See Step 16 for more information*.)
- Thesis Approval forms (for Masters level only)
- Subject Category (see Step 7 below)
- Your ORCiD ID. From ORCID <u>website</u>: "ORCID provides a persistent digital identifier that distinguishes you from every other researcher and, through integration in key research workflows such as manuscript and grant submission, supports automated linkages between you and your professional activities ensuring that your work is recognized." If you do not have an ORCiD ID yet, you can create one <u>here</u>.
- If supplementary materials—such as audio, video, and spreadsheets—are an integral part of your ETD, you can submit them as supplementary files. Add a description of each supplementary file to your abstract and list them at the end of your ETD Table of Contents.



Step 2: Select "Sign Up" to create and account with ProQuest (if you have not already)



### Step 3: Select Country: United States

This will narrow results to only universities within the U.S.

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#### Step 7: Return to ProQuest by the email link above or <a href="http://www.etdadmin.com">http://www.etdadmin.com</a>

At this stage, ProQuest provides a list of items to have ready to complete the submission process. In order to proceed, please ensure you have the following ready:

- A single PDF file of your thesis or dissertation
- Your abstract
- Supplemental material, including data sets
- Thesis/Dissertation Submission and Document Approval forms
- Your ORCiD ID
- Subject Category: Use the link provided (see arrow) to select 1-3 appropriate subject area descriptions.

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#### **Step 8: Select Publishing Options**

- ProQuest provides two publishing options: Traditional Publishing and Open Access Publishing PLUS. We recommend choosing Traditional Publishing in order to retain the greatest level of control of the dissertation or thesis. Regardless of the option you choose, open access of the ETD would still be available through UO's institutional repository called <u>Scholars' Bank</u>.
  - a. <u>Traditional Publishing</u>: Traditional Publishing is free to UO students. You enter into an agreement granting ProQuest a non-exclusive license to publish your abstract and to duplicate and distribute your ETD. ProQuest pays you a royalty on sales of your work.
  - b. <u>Open Access publishing through ProQuest PLUS</u>: This publishing option requires you to pay a \$95 fee. You enter into an agreement granting ProQuest a non-exclusive license to publish your work on the ProQuest Dissertations and Theses Open Database and make it available for free download. You do not receive royalties with this option. All ETDs are part of the UO's institutional repository called Scholars' Bank. Scholars' Bank automatically provides open access to dissertations/theses without charge.
- 2. You may select to embargo your ETD for 6 months, 1 year or 2 years. An embargo is a delayed release and/or restriction of the dissemination of the ETD.



### Step 9: Confirm Traditional Publishing or Open Access publishing through ProQuest PLUS Agreement

Traditional Publishing Ag	reement
This Agreement is between the author (A (the Work) provided by Author to ProQue	Author) and ProQuest LLC, through its ProQuest® Dissertation Publishing business (ProQuest). Under this Agreement, Author grants ProQuest certain rights to preserve, archive and publish the dissertation or thesis, abstract, and index terms est.
Section I. License for Inclusion	of the Work in ProQuest® Publishing Program.
Grant of Rights. Author hereby grants ProQuest the right to include the abstract	to ProQuest the non-exclusive, worldwide right to reproduce, distribute, display and transmit the Work (in whole or in part) in such tangible and electronic formats as may be in existence now or developed in the future. Author further grants to t, bibliography and other metadata in the ProQuest Dissertations and Theses database (PQDT) and in ProQuest's Dissertation Abstracts International and any successor or related index and/or finding products or services.
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<ul> <li><u>Restrictions</u>, ProQuest will use of Granting Institution Directives (se restrictions.</li> </ul>	commercially reasonable efforts to restrict the distribution of the Work as provided under the publishing option selected by Author or as later elected by Author through direct contact with ProQuest. Such election is subject to Author's Degree e below). With respect to restrictions requested after submission of the Work, Author acknowledges that ProQuest cannot recail or amend previously distributed versions of the Work. Refer to Guide 4 for information about access and
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Copyright and Deposit with the Libre the Work in Author's name. In addition, re	rary of Congress. At Author's option, as indicated in the Register U.S. Copyright screen of the online submission process, and upon payment of the applicable fee, ProQuest will submit an application for registration of Author's copyright in egardless of whether copyright registration of the Work is sought, ProQuest may make a copy of the Work available to the Library of Congress in digital, microform or other format as required by the Library of Congress.

#### Step 10: Determine Institutional Repository (Scholars' Bank) Publishing Options

Select the immediacy with which you would like your work released in Scholars' Bank. If you select to delay access, the second screenshot below describes the information you will need to provide.

Selecting "Open Access" here means anyone with web access will be able to view or download the material from Scholars' Bank. The "University of Oregon only" access option means that only people with a current DuckID and password, or accessing Scholars' Bank from a select IP range on campus can access your materials via a web connection.



If you choose to delay release:

Institutional Repository (IR) Publishing Opt	ions
I want my work immediately available in my school's IR	*
Yes	
No - I have patents pending, or another reason why	y I need to delay access to the full text of my work.
How long would you like to delay the release to your sc	hool's institutional repository (IR)? * (more info)
6 months	
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2 years	
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## Step 11: Read and Agree to the University's Non-exclusive Distribution Agreement

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NON-EXCLUSIVE DISTRIBUTION LICENSE
By signing and submitting this license, I ("the author") grant to the University of Oregon ("the institution") the non-exclusive irrevocable right to reproduce, display, and distribute the author's submission in electronic format via the World Wide Web, as well as the right to migrate or convert the submission, without alteration of the content, to any medium or format for the purpose of preservation and/or continued distribution, and to sublicense the work as described below.
The institution acknowledges that this is a non-exclusive license; any copyrights in the submission remain with the author or other copyright holder and subsequent uses of the submitted material by that person(s) are not restricted by this license.
The author agrees that the institution may keep more than one copy of this submission for purposes of security, backup and preservation.
The author represents that the submission covered by this license is his/her original work and that he/she has the right to grant this license to the institution. The author further represents that the submission does not, to the best of his/her knowledge, infringe upon any third-party's copyright. If the submission contains material for which the author does not hold copyright, the author represents that he/she has obtained the unrestricted permission of the copyright holder to grant this license to the institution. and that such third-party material is clearly identified and

#### Step 12: Select or Decline Creative Commons Licensing Option

As the author, you own the copyright as soon as your dissertation or thesis is "fixed in a tangible medium." Copyright automatically provides five exclusive rights commonly labeled as "all rights reserved." Creative Commons (CC) licenses allow you to assign "some rights reserved" for your work. By choosing a CC license you are not giving up the copyright of your ETD, but are selecting what rights you would like to protect and what uses by others you would like to permit without requiring your permission. Visit

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#### **Step 13: Enter Contact Information**

Much of this information is from the information you provided in your initial registration. Be sure to verify that the information provided is correct and provide additional information as needed.

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#### Step 14: Enter Thesis/ Dissertation Information

In addition to the mandatory information, such as title and abstract, you will have the opportunity to select up to three categories (subject areas) and six key words that describe your ETD. This information will make it easier

for others to find your work when searching the web.

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### Step 15: Upload the PDF of your Thesis/Dissertation

Make sure that you have met the format specifications for uploading PDFs into ProQuest. These are outlined in the PDF Help Menu on the right side of the screen. Note: these cover the PDF attributes, such as properly embedded fonts. You must also ensure that your manuscript meets the formatting specification of the Division of Graduate Studies Thesis and Dissertation Style Manual, which can be found here: https://graduatestudies.uoregon.edu/2016-2021-style-manual

In the PDF upload screen, you will see an option to upload copyright permission documents. If you are including material in your ETD that you do not hold the copyright for, you must receive permission from the original copyright holder. The permission you receive is uploaded here along with the PDF of your dissertation/thesis.

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#### **Step 16: Supplemental Files**

You have two options for uploading supplemental works. These can be put directly into Scholars' Bank for free at any time, even prior to Pro Quest submission. For assistance with this process, contact <u>Cathy Flynn-Purvis</u>.

You may also upload your supplemental materials here on ProQuest, but please note that it is optional and all submitted materials will be subject to the same <u>Traditional Publishing Agreement</u> as your thesis or dissertation.

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Submission steps	Supplemental Files (optional)
Publishing information:	If supplementary materials - like audio, video and spreadsheets - are part of your dissertation or thesis, you can submit them as supplemental files. These files will be made available in ProQuest Dissertation: Theses when your work is published.
PQ publishing options	Suppremental file requirements:
ProQuest agreement	Do not upload files that someone else holds rights to (for example, third party software such as Microsoft Excel). However, uploading your Excel spreadsheet is OK.
IR publishing options	Zip large files, a large group of files, or files that have a directory structure.
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#### Step 17: Submit ETD Approval Form (Masters only)

Complete the Thesis Approval Form and **have it signed** by your Chair (and Advisor if separate). You can either scan the signed copy and upload it here as an Administrative Document, or deliver the hardcopy to the Division of Graduate Studies before the <u>deadline</u>. You can find the Thesis Submission Approval form <u>here</u>.

Approval of the document for doctoral students is included in your committee and Chair's final approval of your successful dissertation defense via GradWeb. No additional form is required.

Note: Consider uploading your ETD in Word format as an Administrative Document so that you always have a editable copy in a safe place.



#### Step 18: Notes

Include additional instructions here, such as describing/listing relevant supplementary files that will be uploaded to Scholars' Bank, or if there is a short message you would like to send to the Division of Graduate Studies to assist with reviewing your ETD.

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This article from ProQuest outlines information on copyright for ETDs:

http://media2.proquest.com/documents/copyright dissthesis ownership.pdf

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