

# Thesis and Dissertation Submission Instructions

2017-2018



UNIVERSITY *of*  
DENVER

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OFFICE OF RESEARCH AND GRADUATE EDUCATION

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## Section I. Electronic Thesis and Dissertation

As of spring quarter 2008, all theses and dissertations must be submitted electronically to ProQuest (UMI) unless an exemption is granted. ProQuest/UMI is widely known and respected as the main searchable database for scholarly work. The University of Denver strongly encourages students to submit their dissertations/theses to ProQuest.

If you and your dissertation/thesis chair believe submitting the work to ProQuest will create serious ethical, publishing or other issues, please request an exception to this process by submitting a memo to the Vice Provost for Graduate Education that explains the concerns. For more information, please review [Thesis and Dissertation Publication Options](#).

Faculty should review the instructions before advising students about the submission arrangements of their thesis/dissertation.

### Submission to ETD/ProQuest

Following the oral defense and after receiving confirmation from the advisor that the dissertation/thesis is ready for publication, you must officially submit the dissertation/thesis to an online submission site, ETD Administrator.<sup>1</sup> ETD Administrator provides guidance through each step. Complete instructions are also listed below.

After the document has been successfully submitted to ETD Administrator, ETD Administrator will send an email to the Office of Graduate Education. The Office of Graduate Education will review and approve the formatting of your thesis or dissertation to ensure that DU's formatting standards are met. A confirmation will be sent to you once the submission is fully complete.

Please read the [Electronic Thesis and Dissertation policy](#) carefully to completely understand the electronic submission implications for your scholarly work.

Follow the steps listed below once your thesis or dissertation is approved by the advisor following the oral defense. After each step, click *Save & Continue*.

1. Go to the DU ETD Administrator [website](#).
2. Click on *Submit My Dissertation/Thesis* and log in using the username and password.
  - a. Click on *Create an Account* and enter the information requested to create a new account.
  - b. A confirmation email will be sent. Click on the link in the email to confirm the account and continue with the submission.

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<sup>1</sup> If the student has made prior arrangements with the Vice Provost to Opt Out of submitting to ProQuest, please consult [Section III](#) of this document.

3. Check the checklist on the left side of the page. As steps are completed, the checklist will be checked off. The dissertation/thesis cannot be submitted until all items are checked.
4. Read the Submission Instructions page and click *Continue*.
  - a. Use the PDF conversion tool on this page if the document needs to be converted to a PDF.
  - b. Instructions for converting the document to a PDF before uploading in ETD Administrator are available in the [formatting guidelines](#) or through an [online tutorial](#) from ETD.
5. On the Publishing Options page, select the *Traditional Publishing* option. Read the information below BEFORE clicking *Save & Continue*.
  - a. It is not necessary to select *Open Access* publishing. The dissertation/thesis will be available *Open Access* through the University of Denver Libraries, who may choose a 3<sup>rd</sup> party system. There is no need to pay the additional fee to make it *Open Access* through ProQuest.
  - b. To delay the release of the dissertation/thesis, please read and follow the instructions in [Section II. Embargo](#) of this document. An approved embargo prevents ProQuest and the University of Denver Library from making the dissertation/thesis available for viewing or purchase and can be granted for six months, one year, or two years by the Vice Provost.
6. Read and accept the Publishing Agreement.
7. Complete the Contact Information and click *Save & Continue*.
8. Enter the Dissertation/Thesis Details and click *Save & Continue*.
9. Upload the PDF version of the dissertation/thesis and click *Save & Continue*.
10. In the rare event that additional files must be uploaded, such as music or movie clips, upload them and click *Save & Continue*, otherwise skip this screen and continue.
11. Enter any notes about the dissertation or thesis in Notes to Administrator and click *Save & Continue*.
12. Check the preference for copyrighting the dissertation/thesis and click *Save & Continue*. The copyright service is optional.
13. Ordering bound copies through ProQuest is not cost effective. Hard bound copies of the thesis or dissertation can be ordered from the Denver Bookbinding Company, via the Office of Graduate Education. Detailed instructions are available on the [Binding Order form](#). After the copies have been bound, they will be returned to the department. Click *Decline – do not order* if ProQuest’s binding service will not be used.

14. Review the information on the Submit and Pay page and if everything is correct, click *Continue with submission*.
15. Review any applicable charges and click *Pay with credit card*.
16. Enter the payment information and click *Submit Dissertation/Thesis & Pay*.
17. Congratulations, the dissertation/thesis submission process is complete!

After the thesis or dissertation is submitted to ETD Administrator, the Office of Graduate Education will review its formatting and information provided. You will receive an email when the document has been accepted by the University. If you are asked to make changes or corrections, you will use your account information to log back in and make the changes. When making the requested changes, you should not begin a new submission. If a new submission is completed, you will be charged the submission fees again. Instead, log back into the initial submission and click on the revision button. A new PDF can be uploaded without having to reenter all of your personal information and without submitting a new payment.

Please contact the Office of Graduate Education with any questions at [gststu@du.edu](mailto:gststu@du.edu) or 303-871-2706.

## Section II. Embargo

Students should be advised that a thesis or dissertation may be considered to be “previously published” by some publishers if it is put into a searchable digital/electronic repository (e.g. ProQuest). However, it should be noted that the student, not ProQuest (UMI) retains the copyright.

You should discuss your future thesis/dissertation publication goals with your advisor. If you are planning to publish your thesis or dissertation, you should consider requesting an embargo of your work.

You and your thesis/dissertation director will submit a memo to the Vice Provost for Graduate Education explaining the issue and stating that access to the work needs to be restricted. The Vice Provost must approve the final decision for permission to embargo the work.

During an “**embargo,**” ProQuest will completely restrict access to the document for **a specified time period**. The thesis or dissertation will be held in the ProQuest repository with *no access* until the embargo expires.

### Reasons for Embargo

- The student is interested in pursuing the option of an academic or commercial press in acquiring the rights to publish the dissertation or thesis as a book.
- The student is interested in submitting work from the thesis/dissertation to a peer-reviewed journal.
- There are patentable rights in the work in which disclosure may be detrimental to the rights or interests of the author.
- There is an ethical need to prevent disclosure of sensitive or classified information about persons, institutions, technologies, etc. for a time-limited period.

If a student believes that they will need to restrict access for a limited time period they can request a six month, one year, or two year embargo.

When an embargo expires, the thesis or dissertation will be automatically made available electronically by ProQuest.

### Renewing an Embargo

If a student wishes to continue to restrict access for a limited time period, the student can request a six month, one year, or two year renewal on the embargo. A student and his/her thesis/dissertation chair director will submit a memo to the Vice Provost for Graduate Education explaining the issue and stating that access to the work stills needs to be temporarily restricted. The Vice Provost must approve the final decision for permission to renew an embargo. A student may only request two embargo renewals for a maximum of a six year embargo period. Students with extenuating circumstances should consult the Vice Provost for Graduate Education.

If the embargo extension is approved, the student should contact ProQuest directly at 1-800-521-0600 x77020 or via email at [disspub@proquest.com](mailto:disspub@proquest.com).

### University Libraries

ProQuest makes the thesis/dissertation available electronically to the University Libraries. The level of access to the student's work through the University Libraries depends upon embargo choices as described below.

- If the student does not embargo the work, the library will make the work available through the library's online catalog, with links to both ProQuest and the library's digital repository.

If the student embargos the work for the following two reason, University Libraries will make the work available only to the DU Community and through Inter-Library Loan in a PDF format. The work will not be made available outside the DU Community or over the internet:

- The student is interested in pursuing the option of an academic or commercial press in acquiring the rights to publish the dissertation or thesis as a book.
- The student is interested in submitting work from the thesis/dissertation to a peer-reviewed journal.

If the student embargos the work for the following two reason, University Libraries will restrict access to the work until such time that they are notified by ProQuest that the embargo has been released, or when the author provides written permission directly to University Libraries:

- There are patentable rights in the work or other issues in which disclosure may be detrimental to the rights or interests of the author.
- There is an ethical need to prevent disclosure of sensitive or classified information about persons, institutions, technologies, etc. for a time-limited period.

After the embargo period, the work will be made available through University Libraries online catalog, with links to ProQuest and the library's digital repository.

Draft of the Petition to the Vice Provost for Embargo

[Student Name]  
[Phone number]  
[Email address]  
[ID number]  
[Date]

To: Corinne Lengsfeld, Vice Provost for Graduate Education

With your approval and my advisor's support, I would like to file an embargo of my [Thesis/Dissertation] with ProQuest. I wish to embargo my work for {indicate the requested time period}

- 6 months
- 1 year
- 2 years

I am a [master/doctoral] candidate in [Department and Unit] and my reasons to request the embargo are as follows: {student should give a sound reason for opting out, examples are}

- *The student is interested in pursuing the option of an academic or commercial press in acquiring the rights to publish the dissertation or thesis as a book.*
- *The student is interested in submitting work from the thesis/dissertation to a peer-reviewed journal.*
- *There are patentable rights in the work in which disclosure may be detrimental to the rights or interests of the author.*
- *There is an ethical need to prevent disclosure of sensitive or classified information about persons, institutions, technologies, etc. for a time-limited period.*

For these reasons I feel that access to my work must be temporarily restricted. Please grant my request to file an embargo in ProQuest for the reasons stated above.

Sincerely,

[Student Name]

## Section III. Opt Out and Permanent Suppression

*These procedures are used for submission to the University of Denver Libraries only.*

### Opt Out

In some instances a student may wish to use only the University Libraries as the repository of their work. In such cases the student will submit their work digitally to the Library via the Office of Graduate Education, and it will be made available only to the DU community and through Inter-library Loan in a PDF format.

A student and the thesis/dissertation director will submit a memo to the Vice Provost for Graduate Education explaining the issue and stating that access to the work needs to be restricted. The Vice Provost must approve the final decision for permission to restrict access to the work.

### Permanent Suppression

In rare cases, where the work includes proprietary information such as company data and records or confidential information that should never be made public, such as client records/interviews or some other serious condition that justifies such an action, it may be appropriate for a student to *permanently suppress* work. In such cases the student will submit their work electronically to University Libraries via the Office of Graduate Education. The work will be retained by the Library and listed in the catalog system but will not be accessible without permission from the author.

A student and the thesis/dissertation chair director will submit a memo to the Vice Provost for Graduate Education explaining the issue and stating that access to the work needs to be restricted. The Vice Provost must approve the final decision for permission to restrict access to the work.

### Opt Out and Permanent Suppression Procedures

In both of these cases, a student will submit a petition for an academic exception. The student's thesis/dissertation chair (advisor) will also submit a supporting statement to the Vice Provost for Graduate Education explaining the issue and stating that access to the work needs to be restricted. Petitions are submitted via [PioneerWeb](#) through the [Academic Exceptions Process](#). A sample petition is available on the next page.

**Once the student's petition is approved by the Vice Provost,** the student's dissertation/thesis will be electronically submitted to the Library via the Office of Graduate Education. The Office of Graduate Education will provide the student with a form to complete. This form collects information for the metadata affiliated with the student's work. The form must be completed and returned to the Office of Graduate Education accompanying the final, approved version of the student's dissertation/thesis in PDF format by the submission deadline.

Draft of the Petition to the Vice Provost for Opt Out or Permanent Suppression

[Student Name]  
[Phone number]  
[Email address]  
[ID number]  
[Date]

To: Corinne Lengsfeld, Vice Provost for Graduate Education

With your approval and my advisor's support, I would like to opt out of filing my [Thesis/Dissertation] with ProQuest and to ask permission to {student should select one of the following options }

1. *Opt Out: use only the University of Denver Libraries as the repository of my work. I will submit my work electronically to the Library via the Office of Graduate Education, and it will be made available only to the DU community and through Inter-Library Loan in a PDF format.*
2. *Permanent Suppression: permanently suppress my work because it includes proprietary/confidential information that should never be made public. I will submit my work electronically to the Library via the Office of Graduate Education with the understanding the work will be retained by the library and listed in catalog system, but will not be accessible without permission from the author.*

I am a [master/doctoral] candidate in [Department and Unit] and my reasons to opt out of ProQuest are as follows: {student should give a sound reason for opting out, examples are }

- *The work includes proprietary information (company data and records) and/or confidential information (client records/interviews) or (some other serious condition) that justifies permanent suppression.*
- *Sections of my manuscript have already been published (or are forthcoming in print or online journals) and the digital availability of these sections in ProQuest may create copyright conflicts, particularly in cases where I have already sold/granted first serial and/or online rights to the work.*
- *I am actively seeking publishers for the manuscript and I am hopeful that the manuscript will be picked up by a commercial press in the short term.*
- *ProQuest is not the appropriate venue for my work and it is unlikely that my work would be used as a research resource.*

For these reasons I feel that access to my work must be restricted. Please grant my request to opt out of ProQuest for the reasons stated above.

Sincerely,  
[Student Name]