

University of Kansas
Electronic Thesis/Dissertation Submission Workshop
Spring 2023

<https://graduate.ku.edu/theses-dissertations>



Copyright 2023 by the authors. These slides are licensed under a [Creative Commons Attribution-NonCommercial 4.0 International License](https://creativecommons.org/licenses/by-nc/4.0/).

Introduction

- [Mary Roach](#), Executive Associate Dean, KU Libraries
- [Michaela Russell](#), Graduate Affairs Coordinator, College Office of Graduate Affairs
- [Marianne Reed](#), Digital Publishing & Repository Manager, KU Libraries
- [Paul Thomas](#), Center for Graduate Initiatives & Engagement, KU Libraries

Path to Completion

Start

Apply for Graduation:

Graduation:

- Log in to your Enroll & Pay account
- Click **Graduation**
- Click **KU Apply for Graduation**
- Follow the steps

This step can be done at any point in the semester, but deadlines may apply if you aim to meet the early graduation deadline or for inclusion of your information in graduation publications.



Plan defense:

1. Finalize your defense date and time with your committee. *
2. Notify your department for committee approval and scheduling.
3. Dept announces the dissertation defense.
4. Create the title and acceptance pages for your thesis or dissertation and take these to your defense. **



Defend:

1. Successfully defend
2. Get title and acceptance pages signed by your committee members

*Oral exams may be conducted with all participants remote, using videoconferencing. If you prefer to have an in-person exam, departments will do their best to honor your preference, but this may delay your time to degree until a later semester.

**Electronic signatures on the title, acceptance, and ETD Release Form are valid.

Paperwork:

Contact the staff member in your department and/or school dean's office for a list of the materials you must submit in order to graduate.

Most schools require at least the following:

- Signed title and acceptance pages
- Signed ETD release form
- Doctoral Completion Survey and SED – proof of submission (*Doctoral only*)



Electronic Submission:

Submit your thesis or dissertation electronically to ProQuest (KU also publishes it in KU ScholarWorks), using the process we are reviewing today.



Celebrate!

Take the time to celebrate with friends and family!

Check online regularly for information and updates about department and school recognition ceremonies as well as university-wide Commencement Exercises.

<https://doctoral-hooding.ku.edu>

<http://commencement.ku.edu>

Finish

Administrative Timeline

Start

ProQuest:

Student submits the final version of thesis or dissertation on the ProQuest website, ETD Administrator



Administrator Assignment:

Graduate Studies assigns to school administrator for formatting review



Staff Review:

School administrator reviews the final version for formatting and procedural requirements. They may communicate with you regarding revisions (will send you a link to upload revised version) and indicates when thesis or dissertation is *accepted*.



Finish

Publication:

After degree conferral, school administrator delivers files to ProQuest and student receives an email confirmation

Paperwork to Submit

Required documents to deliver to your school:

- Title page – signed by all committee members
- Acceptance page – signed by committee chair
 - [Formatting Requirements and samples for both pages](#) (Graduate Studies website)
 - [MS Word Templates for both Mac and PC](#) (KU Thesis and Dissertation Formatting guide)
 - [LaTeX KU Thesis Template \(including both these pages\)](#) (Graduate Studies website)
- [Electronic Theses and Dissertations \(ETD\) Release Form](#) (Graduate Studies website)
- *Doctoral only:* [Doctoral Completion Survey \(DCS\) and the Survey of Earned Doctorates \(SED\)](#)
 - Submit certificate of completion at end of SED

The deadlines to submit these materials can be found on the [Graduate Calendar](#) on the Graduate Studies website. **Electronic signatures on the title, acceptance, and ETD Release Form pages are valid.**

<https://graduate.ku.edu/>

The screenshot shows the Graduate Studies website interface. On the left is a blue vertical sidebar with the text 'THE UNIVERSITY OF KANSAS' and a 'MENU' icon. A red arrow points to the 'Student Graduation Hub' link in this sidebar. The main content area features a top navigation bar with links for 'MYKU | EMAIL | CANVAS | BLACKBOARD | ENROLL & PAY'. Below this is a primary navigation menu with the following items: Home, Contact Us, About, Admissions, Welcome Guide & Info Hub, Academics, **Student Graduation Hub** (highlighted in red), Funding & Employment, Fellowships, Scholarships & Awards, News, Events & Programming, and Alumni & Giving. To the right of the main menu is a 'Student Graduation Hub' sub-menu with items: Preparing to Graduate, Graduate Calendars & Key Dates, **Theses & Dissertations** (highlighted in red), and Graduate Certificates. Further to the right is a 'GO TO' dropdown menu with the following options: **Theses & Dissertations**, Workshop, Formatting, Submissions, Embargos, Binding Instructions, and Published Research.

Think about copyright issues NOW, long before you submit

- **Make sure that your thesis or dissertation does not violate another author's copyright.** Using graphs, large portions of text or music, images, pictures, and tables where the copyright is held by someone other than you may be a copyright violation.
- From the [ETD Release Form](#) required for graduation:
COPYRIGHT: You affirm that the content of your submission does not, to the best of your knowledge, infringe upon anyone's copyright through, but not limited to, plagiarism, unapproved reproduction of materials or improper citation.
I understand and agree:
 - Document does not contain copyrighted materials and includes proper citations.
 - Material usage falls under fair use (legally binding, keep fair use checklist on file)
 - Copyrighted material used with owner's permission (provide documentation of permissions)

Need Help with this? Contact staff in the Libraries' Shulenburger Office of Scholarly Communication & Copyright: copyright@ku.edu

Copyright & your publications

- Copyrights for articles that you have published are usually transferred to the publisher
- It is common in some disciplines to include previously published articles as chapters in a dissertation or thesis
- For those disciplines where this is common, the publisher policies usually allow this
- Check your publisher's policies to see if this is allowed and get permission if necessary
- See [Using Previously-Published Materials as Chapters](#) for tips

Resources for Users of Copyrighted Materials

- **Copyright for Dissertations & Theses:**
<https://guides.lib.ku.edu/copyright/etd>
- **Copyright Resources** guide, including Copyright Decision Tree:
<http://guides.lib.ku.edu/copyright>
- KU Medical Center Copyright Compliance Policy and Guidelines: <https://kumc-publicpoliciesandprocedures.policystat.com/policy/5063629/latest>
- K.D. Crews--Copyright Law and Graduate Research:
http://media2.proquest.com/documents/copyright_dissthesis_ownership.pdf

Copyright: Protecting your work

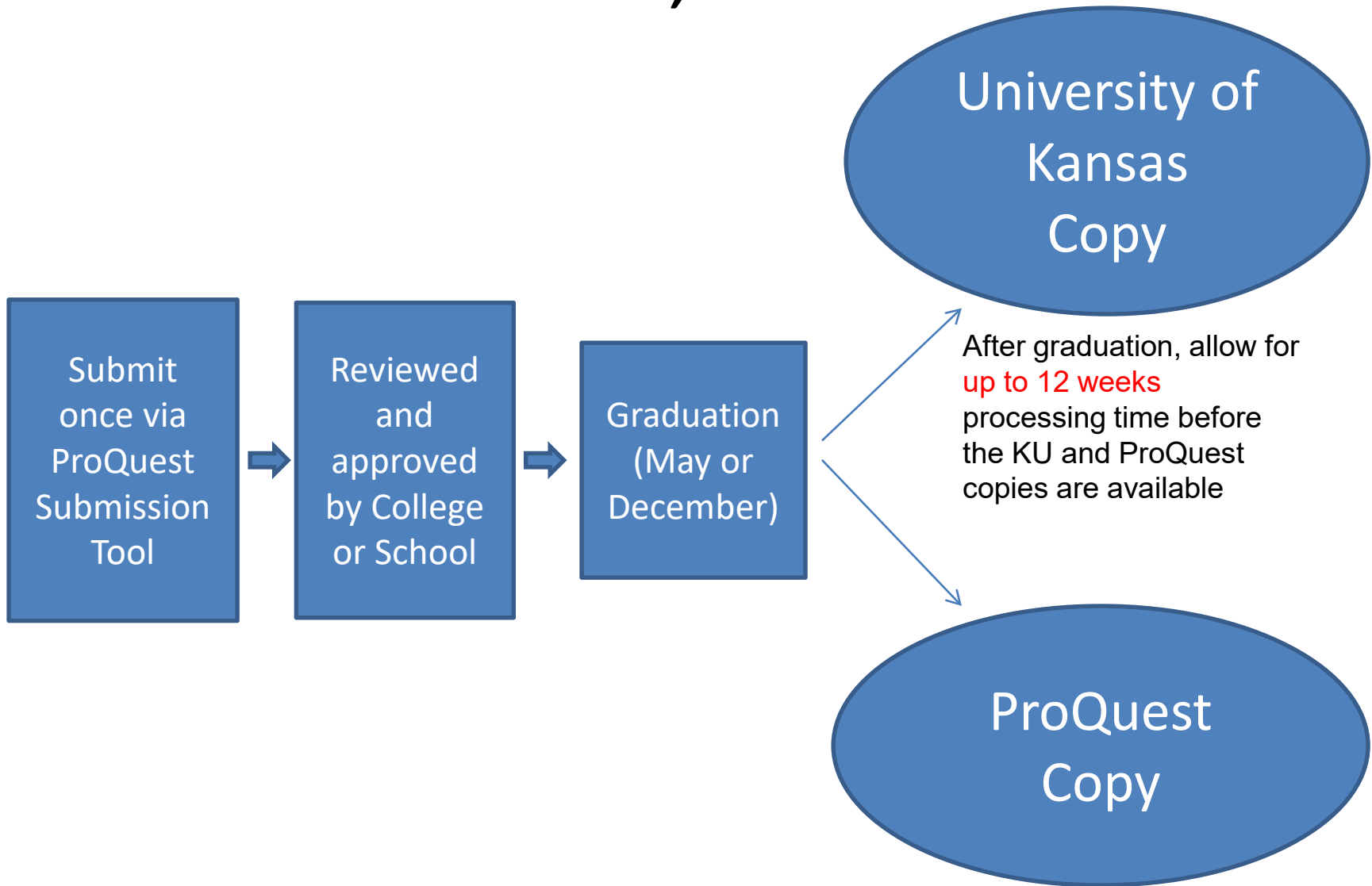
Copyright is a way to protect your work; you already have copyright to your work without registering it with the U.S. Copyright Office, BUT...

- Registering your work allows you to seek statutory damages from those that use your work without permission
- Two ways to register your work:
 - [United States Copyright Office](#) (fee: \$45 for online submission)
 - ProQuest will do it for you for a fee during submission. (fee: \$75)

Electronic Submissions

- Improves visibility and accessibility of your work
- All submitted ETDs are made available in two places:
 - [ProQuest Dissertations and Theses](#) – available only by subscription
 - KU theses and dissertations in ProQuest are easily found in [Dissertations & Theses @ University of Kansas](#) (Lawrence campus) and [Current Research @ KU](#) (KUMC campus)—both available only by subscription
 - [KU ScholarWorks](#), KU’s public, open digital archive
- Ability to include supplemental data and media like audio and video, as well as any permission forms

One submission, two destinations



Electronic Access

KU's copy

- Open Access: Made available through [KU ScholarWorks](#)
- No additional cost
- Required for graduation
- Public access to your work

ProQuest's copy

- Access to ProQuest's copy is by subscription only
- For additional fee (\$95) ProQuest's Open Access option offers:
 - Public access to your work
 - **No reason to choose this because your work is automatically going to be publicly available in ScholarWorks (no charge)**

Select Publishing Options

Publishing Options

Select the publishing options below that best fit your interests and scholarly publishing obligations. Required fields are marked with an asterisk (*).

For assistance, consult your graduate school, and read our [Publishing Guides](#).

Select Type of Publishing *

Traditional Publishing [View agreement](#)

- I want to make my work widely available and I want to be eligible to receive royalties on the sale of my work.
- I understand that I must maintain a current mailing address with ProQuest/UMI in order to be eligible to receive royalties.
- I understand that ProQuest/UMI does not charge a fee for Traditional Publishing.
- I understand that my work will be available through ProQuest Dissertations & Theses, [Udini](#) and [Dissertation Express](#), and that a citation/abstract may appear in some indexes (e.g. SciFinder, MathSciNet, PsycINFO, etc.).

Open Access Publishing PLUS [View agreement](#)

- I want the broadest possible dissemination of my work, and I want to provide free global access to the electronic copy of my work via the internet.
- I understand that I will not be eligible to receive royalties.
- I understand that the ProQuest/UMI fee for Open Access Publishing PLUS is \$95.00 USD.
- I understand that I will pay the fee, unless notified by my graduate institution that the school will pay.
- I understand that my work will be available through ProQuest Dissertations & Theses, [Udini](#) and [Dissertation Express](#), and that a citation/abstract may appear in some indexes (e.g. SciFinder, MathSciNet, PsycINFO, etc.).

Embargo

- Embargo: Delayed release or delayed availability
 - Reasons may include:
 - Patents pending
 - Sensitive data
 - Pending publication (usually requested by scholars in the humanities)
 - Restricted research
 - Embargo options
 - 6 months
 - 1 year
 - 2 years
- Must request embargo for KU ScholarWorks copy and ProQuest copy separately (details on next slides)

Requesting an Embargo (KU ScholarWorks copy)

- Use the [ETD Release Form](#) on the Graduate Studies web site to request an embargo ASAP if you want to delay making your thesis or dissertation available to the public so you can publish it.
- Request the embargo BEFORE you graduate. It is difficult to withdraw the work once it is found by search engines like Google.
- Embargos can be renewed upon request. Use the online form below to request this at least one month before the existing embargo expires and the work is made available to the public. <http://www.graduate.ku.edu/embargo-renewal>
- Must get approval and signature of the director of graduate studies in your department
- More information is available: [Embargo Policy](#)

Requesting an Embargo (ProQuest copy)

While you're submitting to ProQuest, you'll see the following options:

- I want my work to be available as soon as it is published.*

Yes ← Most people will choose this option

No - I have patents pending or another reason why I need to delay access to the full text of my work for the following period of time.

- How long would you like to delay the release to ProQuest?

6 months
1 year ←
2 years

This is the "embargo": This is rarely chosen by students and can only be chosen with the signed permission by the director of the graduate studies in your department.

Please note: This is the "embargo" for the ProQuest copy only. To request an embargo of the copy that will be put in KU ScholarWorks, you must fill out the [ETD Release Form](#), available on the Graduate Studies web site.

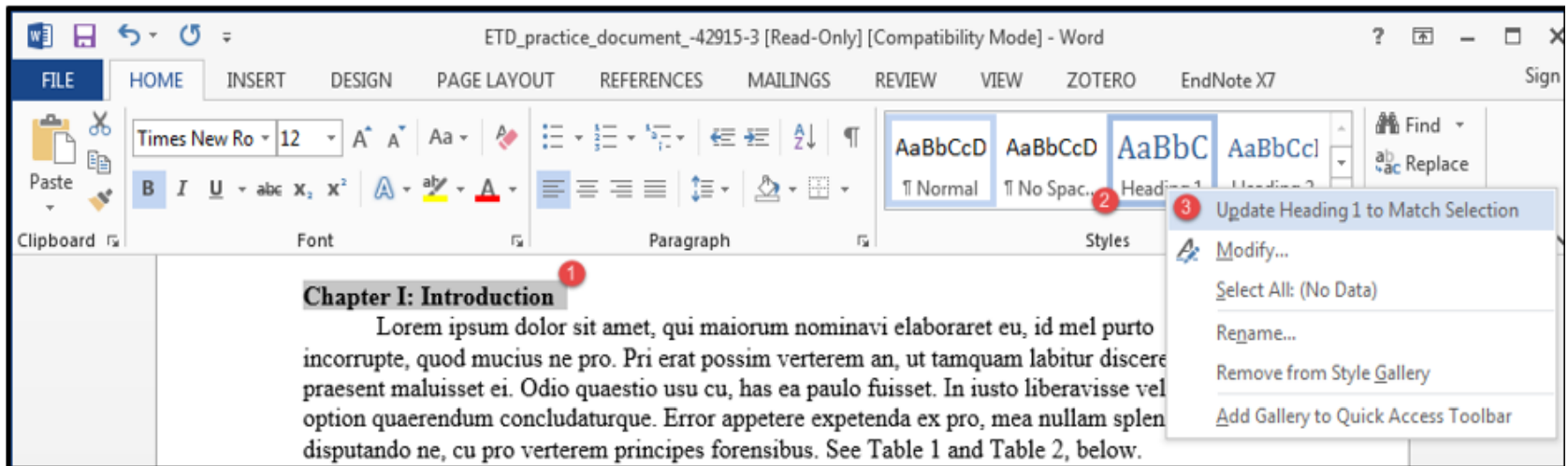
Formatting Tips

- [Formatting Requirements and Sample Documents](#) are on the Graduate Studies website
 - KU Thesis template for LaTeX meets all KU Formatting Requirements without adjustment
- Page formatting
 - Page margins have to be at least one inch on all sides.
 - No landscape page orientations (long tables can be rotated 90 degrees on the page, but all pages must be in portrait orientation).
 - No blank pages.
- Page numbers
 - No number on title page.
 - Second page to table of contents use lowercase roman numerals (e.g. ii, iii).
 - Add a next page section break before your first chapter
 - Starting with the first chapter insert Arabic page numbers (e.g.1, 2, 3).
 - Visit http://guides.lib.ku.edu/etd/ETD_Page_Numbers for step-by-step instructions in MS Word
- Embed your fonts before converting to a PDF
 - For embedding your fonts on a PC: [Creating PDFs](#)
 - Word 2011 (Mac only) and Word 2016 (Mac and PC) automatically embed fonts.

Using Heading Styles to Create an Automatic Table of Contents in MS Word: Part I

First, set the heading styles in the style gallery

1. Use the usual font tools to set up the heading as it is supposed to appear.
2. In the Style Gallery, *hover* over the correct Heading (Heading 1 through 9).
3. *Right-click* and then select **Update Heading to Match Selection**.



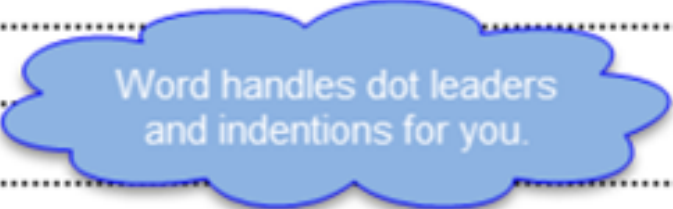
For the remainder of the document, now, clicking on any line and then clicking on its intended heading style in the style gallery will update the appearance of that line.

Using Heading Styles to Create an Automatic Table of Contents in MS Word: Part II

Second, pull these marked heading styles into an automatic table of contents.

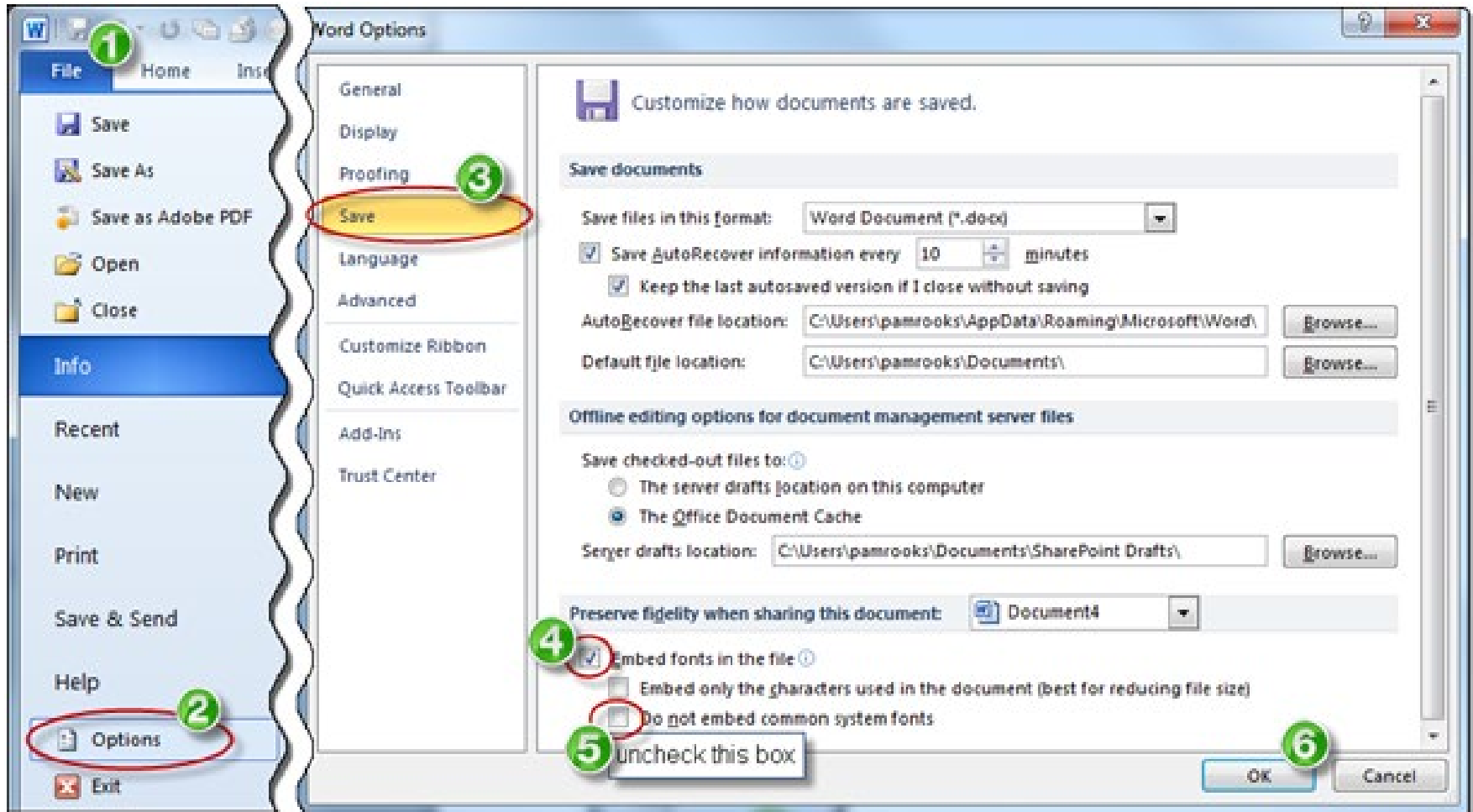
1. Place the cursor where you want the table of contents to appear.
2. For Word 2013 and 2016, click the **References** tab then **Table of Contents** then **Custom Table of Contents**. For Word 2011 (Mac), click **Insert** then **Index and Tables** then **Table of Contents**.
3. In the **Show Levels** box, choose the number of levels of heading style that you would like to include in the table of contents.
4. Click **OK** to add the table of contents. (Instructions for modifying the appearance of the table of contents are available at: [http://guides.lib.ku.edu/etd/ETD Table of Contents](http://guides.lib.ku.edu/etd/ETD_Table_of_Contents)).

Chapter I: Introduction.....	8
Chapter II: Literature Review	9
Chapter III: Methods	10
Qualitative Methods	11
Statistical Methods.....	12



5. Update changes to the table of contents by clicking **References** then **Update Table**. (Word 2011 for Mac users click **Document Elements** then **Update**.)

How to embed fonts in PC Word 2013/2016



Before submitting to ProQuest

1. Check the page order:

- Title page (typed names of committee members, no signatures)
- Acceptance page (typed names of committee chair, no signatures)
- Abstract
- Acknowledgements (optional)
- Table of contents
- Dissertation/Thesis (your content)
- References
- Appendices

2. Convert thesis or dissertation to a PDF

Questions about LaTeX, LyX, and other LaTeX tools and templates

KU Libraries has created a [website with helpful links for graduate students using LaTeX](#), including the current ETD template

Submitting the Thesis/Dissertation

Before you submit, make sure you have the following:

- Your permanent (non-KU) email address
- Your ORCID (optional but recommended)
Why ORCID? See https://youtu.be/a1Rijk_TMHA for info
- Title & Abstract
- Thesis/dissertation in PDF format
- [Subject categories](#) (from ProQuest) and 6-8 keywords
- Supplemental files (optional)
- Permission files (optional)

Submitting the Thesis/Dissertation

- Start here: [Submit to ProQuest](#)
- How the submission process works
 - Submitting very large files
 - Connectivity questions
 - Copyright registration: Retaining your rights
- When are ETDs available in the ProQuest Dissertations & Theses Global database and the KU ScholarWorks repository? **3 months after graduation**

ETD Publication Timeline

- After you submit your ETD – you will receive a confirmation that your submission was successful.
- Your ETD will be reviewed by your ETD administrator in your School or the College Office of Graduate Affairs. You must also complete any necessary paperwork.
- You may receive a request for minor revisions.
- After graduation, you will receive a confirmation of the final submission to ProQuest by your ETD administrator

ETD Publication Timeline, cont.

- Your ETD Administrator will forward your ETD to ProQuest after you have met all of the graduation requirements but not until after your official graduation date in May, Aug., or Dec.
- After submission to ProQuest, ProQuest will process and make your work available in its ETD database. This may take up to 12 weeks depending on the time of year.
- A copy of your ETD comes to the Library at the time of submission to ProQuest. Your ETD is loaded into KU ScholarWorks after the Library receives a copy of your ETD Release Form.

Resources

- ETD Administrators by school: <https://graduate.ku.edu/submitting>
- Support Services for Writers
 - ETD Formatting Workshops: <https://workshops.ku.edu>
 - Online ETD formatting guide for Microsoft Word: <https://guides.lib.ku.edu/etd>
 - Online guide for using KU Thesis template in LaTeX: <https://guides.lib.ku.edu/etd/latex>
- Writing Center Resources: <https://writing.ku.edu/theses-and-dissertations>
- Copyright assistance: copyright@ku.edu or <http://copyright.ku.edu>
- Research Data Management: <https://lib.ku.edu/data>
- GIS and Data Lab: <https://lib.ku.edu/gis/lab>
- Citation management software (EndNote and Zotero)
 - <http://guides.lib.ku.edu/citation>
- Formatting ETDs and working with multimedia files
 - <http://www.graduate.ku.edu/formatting>

Thank You!

Thank you for attending!

Please contact us if you have any questions after the workshop:

- [Mary Roach](#), Executive Associate Dean, KU Libraries
- [Michaela Russell](#), Graduate Coordinator, College Office of Graduate Affairs
- [Marianne Reed](#), Digital Publishing & Repository Manager, KU Libraries
- [Paul Thomas](#), Center for Graduate Initiatives & Engagement, KU Libraries