

**Submitting an Electronic Thesis or Dissertation**  
College of Graduate and Professional Studies  
Indiana State University

As of the Spring semester 2010 all final theses and dissertations must be submitted electronically. No paper copies will be required or accepted. Until January 1, 2010 a student may still submit a thesis or dissertation on paper.

Once you have successfully defended your thesis or dissertation, made the required changes, and are assured that the document formatting meets the discipline requirements and ISU College of Graduate and Professional Studies (CGPS) requirements, you must get approval from your Department Chair, or appropriate authority, your College Dean, or appropriate authority, and finally from the CGPS. Please note, individual departments and colleges may require hard copies be submitted as part of the approval process. The ETD policy refers only to final submissions.

**A. SUBMITTING YOUR THESIS/DISSERTATION FOR INITIAL REVIEW & APPROVAL**

The initial CGPS review and approval process will remain unchanged as a hard copy “print-out” will accompany the “Approval of Thesis or Dissertation”. Please note, CGPS will not review any submissions without receiving a signed approval of thesis or dissertation form. If corrections are necessary prior to creating a final PDF, the Graduation Coordinator will contact both you and your advisor. However, only a single hard copy will be required for the initial CGPS review. Should a document require multiple “revisions”, additional copies can be submitted via email as a PDF to the Graduation Coordinator. If you are requesting that your thesis or dissertation not be made publically available for a year because of publication or patent rights issues you must include your request at this time in writing to CGPS.<sup>1</sup>

**B. CREATING A PDF/A FILE**

Once your document has been approved by the CGPS, you will need to create a final PDF. All theses and dissertations must be submitted to the CGPS in PDF/A format using the ProQuest/UMI submission process. To create the PDF/A file format required by the CGPS it is easiest to use Word 2007 and the add-in called “Microsoft Save as PDF” downloadable from Microsoft. There is also an add-in called “Microsoft Save as PDF and XPS” which will provide the same capability. Alternatively students may use Acrobat software that is available in the ISU labs.

To create a PDF/A file using the template developed in Microsoft Word 2007 click on the “Office Button”, select Prepare, and then select Properties. Make sure that all of the information in the properties window is correct. This PDF document will be made available publicly on the Internet.

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<sup>1</sup> Once you have received permission for “closed”, you will need to select “restrictions required” under the Proquest/UMI publishing options. For more information on “closed” access please refer to the approved ETD policy located at: [http://www.indstate.edu/sogs/forms/elec\\_thesis\\_dissertation\\_policy\\_2009.pdf](http://www.indstate.edu/sogs/forms/elec_thesis_dissertation_policy_2009.pdf)

To use Word 2007 to create the appropriate PDF/A format after you have installed the add-in, select "Save as" from the Office Button on the upper left, select PDF, select PDF in the "Save as type" window, select "Options . . ." and make sure to select the check box that indicates ISO 19005-1 compliant (PDF/A).

#### C. UPLOADING THE FINAL CGPS APPROVED DRAFT

Once your thesis or dissertation has been approved by the Graduation Coordinator you must submit it electronically to ProQuest/UMI and all fees will be paid at this time using a credit card. Bound copies are available from ProQuest/UMI for a fee. ISU no longer provides a binding service.

## ETD Approval Submission Process

Step 1. Student receives all approvals and signatures at the committee, department, and academic college



Step 2. Student submits signed approval of thesis/dissertation form and a hard copy of the approved document to the College of Graduate & Professional Studies (CGPS)



Step 3. Student works with the CGPS Graduation Coordinator to finalize the document (i.e., formatting). If multiple drafts are required, electronic copies may be submitted via email.



Step 4. Student's document is approved by CGPS and is instructed to submit to Proquest/UMI.



Step 5. Student creates PDF-A file of the approved document. Student submits document and pays associated fees to Proquest/UMI at [www.etsadmin.com/indstate](http://www.etsadmin.com/indstate)



Step 6. CGPS Graduation Coordinator reviews document submitted online and submits to Proquest/UMI and ISU Cunningham Memorial Library. Additional submissions may be required depending on PDF quality.

## INSTRUCTIONS

### Submitting to ProQuest/UMI

To submit to ProQuest/UMI you should have the following ready:

- The PDF copy of your thesis or dissertation that has been approved by the CGPS in your submission;
- A copy of your abstract to copy and paste;
- Your advisor and committee member names; and
- A credit card to pay the fees.

Step 1. To begin, go to [www.etdadmin.com/indstate](http://www.etdadmin.com/indstate) and select submit. This will take you to a page where you can create an account, or login if you have an account already. New users should create an account. Once an account has been created you will receive an email within a few minutes to activate your new ProQuest/UMI account. Confirming your new account will take you to the submission page.

Step 2. You will be asked to select either Traditional Publishing or Open Access. Be aware that ISU will be providing your thesis or dissertation on the Internet for free, consequently you can choose either selection.<sup>2</sup> The CGPS recommends that you select Traditional Publishing.

Step 3. Publishing Restrictions. You will be asked to select publishing restrictions. ISU's ETD policy allows a student to request OPEN or CLOSED access. If you have been granted a one year restriction on your thesis or dissertation, or "Closed" access, by the Dean of the CGPS then your dissertation will not be released until it has become open access, and the material will not be released by ProQuest/UMI during that restricted access time. If you want your dissertation to be read and cited then we recommend that you choose "No restrictions" to encourage the timely dissemination of your research.

Step 4. Publishing Agreement. You will be directed to a Publishing Agreement page. Please read that agreement carefully. The non-exclusive agreement allows the ProQuest/UMI to distribute the document on-line and via traditional hardcopy. As the author, you will retain the copyright and may publish derivative works in the future. The decision to formally register the copyright is your decision. Registering the copyright is not required. The copyright can be registered during submission to ProQuest/UMI or by visiting <http://www.copyright.gov/register/>.

Step 5. Contact Information. Next, you will be asked to provide contact information so that ProQuest/UMI can contact you if needed.

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<sup>2</sup> As indicated in the application for graduation and the Graduate Catalog, you have permitted the non-exclusive distribution of the dissertation or thesis vis-à-vis ISU digital repository.

Step 6. Document Information and Document Upload. The ProQuest/UMI website request that you provide key information and that this information be accurate. Specifically, you will be asked to:

- Enter the title of your thesis or dissertation;
- Accurately identify (MS, MA, MM, MEd, MFA, MBA, or PhD) your ISU department and degree;
- Provide the names of all committee members;
- Identify a primary subject category based on Library of Congress categories (options provided);
- Enter up to six (6) keywords that should be the same as those on the title page of your dissertation or thesis, as appropriate;
- Copy and paste the abstract from your approved thesis or dissertation into the web form;
- Upload your document and any additional files; and
- Asked if you have already filed a registration of the copyright. If you have not it is a good idea to file for copyright. Please note, the copyright registration is optional and you as the author retain the copyright whether or not you select this option.

Step 7. Binding. You may order bound copies from ProQuest/UMI. ISU will not provide bound copies.

Step 8. Fees. As outlined in the Graduate Catalog, all students are required to pay appropriate fees associated with theses and dissertations. To that end, you will need to pay for the publishing option that you selected and for copyright registration, if selected.<sup>3</sup> This will require a credit card – either a Master Card, Visa, or American Express card. No other cards are accepted, at this time.

Step 9. Confirmation. ProQuest/UMI will send a notification to ISU that you have submitted your material and if everything is correct then your thesis or dissertation will be released. The ISU CGPS will take care of sending your thesis or dissertation to the ISU library. Please note, you may be required to re-submit if the uploaded document contains errors.

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<sup>3</sup> Students can also choose to register their copyright themselves online at <http://www.copyright.gov/register/>. To learn more about copyright issue, please visit <http://www.copyright.gov>.

## PERMISSIONS

As required by the catalog and included in the graduation application, all students submitting a thesis or dissertation will grant the following permissions to Indiana State University. Please note, the text below is included on the application for graduation. Additionally, Proquest/UMI will require you to approve similar non-exclusive rights as part of the submission process.

*I, the author and copyright owner, grant to Indiana State University the non-exclusive right to reproduce, distribute, perform, and/or display my submission (including the abstract and any supplementary materials) in whole or in part, worldwide in print or an electronic format, whether in existence now or developed in the future, in any medium, including but not limited to audio or video, for the sole purpose of preserving and providing free, open electronic access to my work. I further agree that Indiana State University will utilize evolving current best practices to ensure preservation and/or distribution.*

*I hereby state that I retain full copyright and ownership rights to my submission and have the right to exercise all rights under copyright in the work not granted herein, including for example, publishing my work in a non-electronic format, creating books, articles, or derivative works.*

*If the submission contains material for which I do not hold copyright, I have obtained the unrestricted permission of the copyright owner to grant Indiana State University the rights required by this license, and that such third-party owned material is clearly identified and acknowledged within the text or content of the submission. In the event of a subsequent dispute over the copyrights to material contained in the submission, I agree to indemnify and hold harmless Indiana State University and its employees or agents for any uses of the materials authorized by this license.*

*The Indiana State University Library reserves the right to add or edit metadata for the purpose of access, clarification and/or preservation.*

*I understand and agree that this license agreement shall become effective on the date that this document is signed and submitted for approval to the Indiana State University College of Graduate and Professional Studies; that Indiana State University will clearly identify my name as the author of the submission, and will not make any alteration, other than as allowed by this license agreement, without my express written consent.*