

The Basics: ProQuest, UW and Your ETD (Electronic Thesis or Dissertation)



Quick review of the submission process

- You submit your thesis or dissertation through ProQuest's ETD Administrator system
- ProQuest provides a second copy to UW Libraries for the ResearchWorks repository
- ProQuest and UW both provide
 - Long-term preservation
 - Distribution/access to other researchers
- Both offer you some control but require your decisions

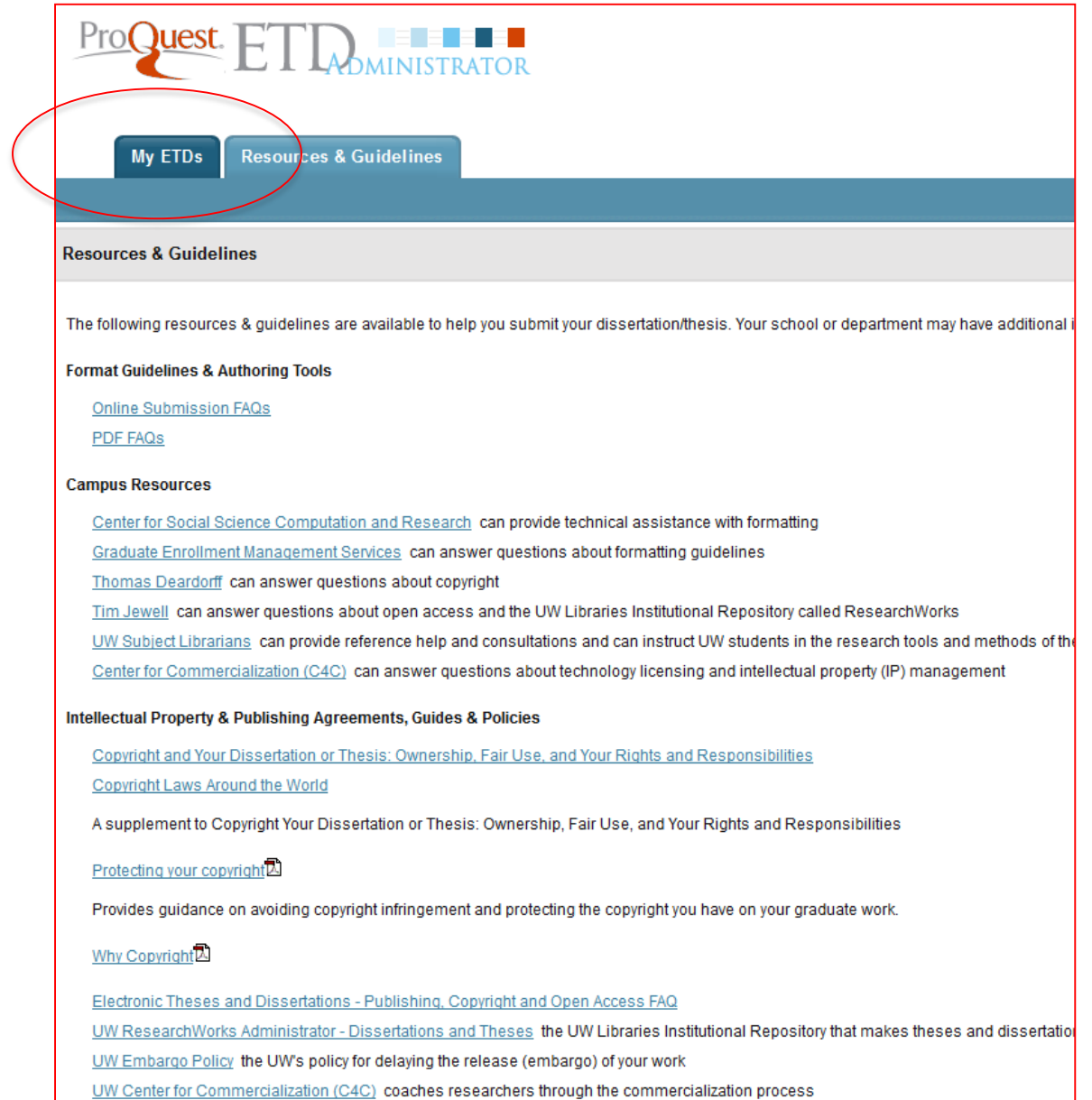
ETD Administrator Resources tab highlights

Campus Resources

- Graduate Enrollment Management Services (GEMS)
- UW Libraries Scholarly Communication and Publishing (copyright and embargo help)
- UW CoMotion (patent support and advice)

Copyright Information

- Copyright and Your Dissertation or Thesis (ProQuest)
- Electronic Theses and Dissertations - Publishing, Copyright and Open Access FAQ (UW Libraries)



The screenshot shows the ProQuest ETD Administrator interface. At the top, the logo reads "ProQuest ETD ADMINISTRATOR" with a colorful bar to the right. Below the logo are two navigation tabs: "My ETDs" and "Resources & Guidelines". The "Resources & Guidelines" tab is highlighted with a red circle. The main content area is titled "Resources & Guidelines" and contains the following text: "The following resources & guidelines are available to help you submit your dissertation/thesis. Your school or department may have additional information." Below this, there are three sections: "Format Guidelines & Authoring Tools" with links for "Online Submission FAQs" and "PDF FAQs"; "Campus Resources" with links for "Center for Social Science Computation and Research", "Graduate Enrollment Management Services", "Thomas Deardorff", "Tim Jewell", "UW Subject Librarians", and "Center for Commercialization (C4C)"; and "Intellectual Property & Publishing Agreements, Guides & Policies" with links for "Copyright and Your Dissertation or Thesis: Ownership, Fair Use, and Your Rights and Responsibilities", "Copyright Laws Around the World", "Protecting your copyright", "Why Copyright", "Electronic Theses and Dissertations - Publishing, Copyright and Open Access FAQ", "UW ResearchWorks Administrator - Dissertations and Theses", "UW Embargo Policy", and "UW Center for Commercialization (C4C)".

Key actions via My ETDs tab

ProQuest and UW agreements

- Review and agree to both

Creative Commons

- If desired, choose conditions for sharing your work

Register U.S. Copyright

- If desired, pay ProQuest to register your copyright

PQ and IR Publishing Options

- Accept immediate access or delay via ProQuest and UW IR publishing options

ProQuest ETD ADMINISTRATOR

My ETDs Resources & Guidelines

My Dissertations/Theses List Submit my ETD My profile

Submission steps

Publishing information:

- Instructions
- PQ publishing options
- ProQuest agreement
- IR publishing options
- University agreement
- Creative Commons
- Contact information

About my dissertation/thesis:

- Dissertation/Thesis details
- PDF
- Supplemental files (optional)
- Administrative documents
- Notes (optional)

Submission & payment:

- Register U.S. Copyright
- Order copies
- Shipping address
- Submit

Welcome to the ETD Administrator @ University of Washington

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- Abstract
- Optional Supplementary files (images, data, etc.) that are an integral part of the dissertatio
- Advisor and other Committee Members' Names
- Subject Categories - 1 - 3 that best describe your dissertation/thesis' subject area. ([Subjec](#)

Prior to continuing with your submission:

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- **PhD Students:** Complete [Committee Approval Form](#) (Print the form, sign it, and obtain y
- Review [ETD Checklist](#)
- Review Formatting for [Required Sections](#)
- Refer to [ETD deadlines](#)

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Copyright and Your Thesis or Dissertation



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Two basic questions for authors

1. How to recognize and use copyrighted materials produced by others
2. How to register and manage copyright for your own work.



Why think about copyright now?

“Taking the time to learn a little about copyright can give you the insight to know your options under the law, to make your dissertation more successful, and to help you avoid possible copyright conflicts and dilemmas in the future.”

From Kenneth Crews: *Copyright and Your Dissertation or Thesis: Ownership, Fair Use, and Your Rights and Responsibilities*. © 2013.

Copyright-related submission tasks

1. Review and agree to ProQuest and UW distribution agreements
2. Decide whether to apply a Creative Commons license to your work
3. Decide whether to pay ProQuest to register your copyright

Task 1: ProQuest and UW agreements

- Review and agree to both of these

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Some items to have on hand:

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- Abstract
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ProQuest and UW Agreement Essentials

- You allow ProQuest and UW to distribute your work
- You retain copyright
 - You don't "assign" or give it to ProQuest or UW
- You state that the work is yours
- You state that you have obtained any necessary permission to include any material you don't own.
 - This means understanding some copyright fundamentals

A Few Copyright Basics

- It's the "Law of Authorship" (Title 17, U.S. Code)
- Covers original works of authorship "fixed in a tangible medium of expression"
- It begins "at the moment of creation" and lasts author's lifetime + 70 years
- No requirement to display a copyright notice (©) or to register
- Confers rights to control reproduction, distribution and derivative works
 - Not "absolute" – important exceptions apply, especially "Fair Use"

Fair Use Basics

The “Fair Use” section of copyright law allows for some unauthorized use without asking permission, for such purposes as

- criticism
- comment
- news reporting
- teaching (including multiple copies for classroom use)
- scholarship
- research

The “Four Factors” of Fair Use

- To be confident your use of someone else’s work is fair you need to consider the “balance” of:
 - Purpose and Character of your use
 - Educational and research uses vs. commercial uses
 - Nature of the work used
 - Published, non-fiction, fact-based and academic vs. creative works
 - Amount and “substantiality” of the work used
 - Small quantities vs. a significant portion
 - Effect on the market for the work used
 - No or minimal impact vs. a significant one

Permissions to use copyrighted work

- Fair Use provides wide latitude for thesis and dissertation authors, but when it doesn't apply you should request, receive and document permission for your use
- For more information, including sample permission letters, see the information ProQuest provides at
 - http://www.proquest.com/assets/downloads/products/UMI_CopyrightGuide.pdf

Copyright: Using Your Own Works

- If you want to include previously-published articles of yours in your thesis or dissertation you will need to determine if you need permission.
 - Typically you would have assigned your copyright to the publisher.
 - Most publishers do allow inclusion of articles in theses and dissertations
 - Check your publication agreement, authors' rights pages or contact the publisher for permission and any specific requirements.

Permissions: Non-Copyright Issues

- Culture of your discipline
- Relationships with colleagues
- Future relationships with individuals and organizations

Task 2: Apply a Creative Commons License?

ProQuest ETD ADMINISTRATOR

My ETDs Resources & Guidelines

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Creative Commons Licenses

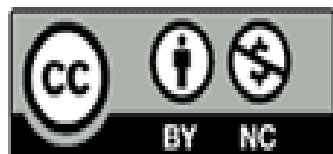
- Give others permission to share and use your creative work – on conditions of your choice,
- Examples:
 - Allow any re-use with attribution
 - Allow only noncommercial re-use
- Two steps:
 - Include a statement on the copyright page before you submit
 - Apply Creative Commons license when you submit

Sample Copyright Page Creative Commons Statement

Example

©Copyright 2013

Joe Student



This work is licensed under a Creative Commons Attribution-
Noncommercial 3.0 United States License

<http://creativecommons.org/licenses/by-nc/3.0/us/>

Task 2: Choosing a particular Creative Commons license

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ProQuest Creative Commons License Page

My ETDs | **Resources & Guidelines**

My Dissertations/Theses List | Submit my ETD | My profile

Submission steps	Creative Commons License
Publishing information:	Have you licensed, or are you interested in licensing, your thesis or dissertation under a Creative Commons (CC) license?
<input checked="" type="checkbox"/> Instructions	Your University is presenting you with the opportunity to use a Creative Commons License. Your Creative Commons License selection will be sent to you about Creative Commons .
<input checked="" type="checkbox"/> PQ publishing options	Please note that the Creative Commons License selection does not apply to ProQuest's use of your dissertation or thesis. ProQuest's use of your work is part of our submission process.
<input checked="" type="checkbox"/> ProQuest agreement	Select one of the following options:
<input checked="" type="checkbox"/> IR publishing options	<input type="checkbox"/> No thank you!
<input checked="" type="checkbox"/> University agreement	<input type="checkbox"/> Attribution CC BY:
<input type="checkbox"/> Creative Commons	<input checked="" type="checkbox"/> Selected Attribution CC BY
<input checked="" type="checkbox"/> Contact information	<input type="checkbox"/> Attribution-NonCommercial CC BY-NC
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Submission & payment:	
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Task 3: Have ProQuest Register Your Copyright?

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Register U.S. Copyright option

- Although not required, UW Libraries recommends it
 - For example, if someone were to infringe your copyright you would be in a stronger legal position
- Two options:
 - You agree to pay ProQuest \$55 during submission
 - Do it yourself online through the Library of Congress (currently \$35 for most situations)

Resources on Copyright

- Proquest: *Copyright and Your Dissertation or Thesis:*
http://media2.proquest.com/documents/UMI_CopyrightGuide.pdf
- UW Libraries: *Electronic Theses and Dissertations - Copyright, Open Access and Publishing FAQ.*
<http://digital.lib.washington.edu/etd-faq.html>
- For questions, contact UW Libraries at uwlib-etd@uw.edu

Publishing, Open Access and Access Restrictions



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ETD Submission and Access Policy

- Like most other ETD programs, UW policy is for all theses and dissertations to be Open Access within a few years of submission.
- Students can exercise some control over the timing and pattern of release.

<http://www.grad.washington.edu/students/etd/policy.pdf>

What is Open Access?

- Your thesis or dissertation will be freely available on the web via UW Libraries' Researchworks repository.
- Your thesis or dissertation will still be protected by copyright.

Why Open Access?

- Sharing research with the world is core to UW's mission as a public university
- Open access provides many benefits to authors
 - Builds UW's reputation for research and scholarship
 - Open access works are used and cited by others more frequently

ETD's and ProQuest

- ProQuest is the largest distributor of theses and dissertations
- Provides full-text access via library database subscriptions
 - Does not make UW ETD's available open access
 - Access can be delayed temporarily
- Sells copies to individuals if you permit it
 - Royalties unlikely due to sales threshold

ETD's and UW ResearchWorks Archive

- Contains 10K+ UW theses and dissertations
 - <http://researchworks.lib.washington.edu/>
- Provides access to full-text of UW ETD's
 - All must eventually be made available open access, but
 - Access can temporarily be restricted to UW and/or delayed

Delayed Release (Embargo) Options

- Different for
 - ProQuest
 - Access to their full-text database limited to subscribing institutions
 - Future publishers hardly ever concerned an ETD is available
 - UW ResearchWorks
 - Open access is a key goal
 - Some future publishers may have concerns about a thesis or dissertation being available open access, so authors need (and have) more flexibility

Release Options: ProQuest

- Immediate access via ProQuest database
- 6 month delay
- 1 year delay
- 2 years delay

Students can request extensions via email to *disspub@proquest.com*

Release Options: UW ResearchWorks

- Immediate Open Access
- UW only access, followed by Open Access
 - 1 year
 - 2 years
 - 5 years
- No access to anyone, followed by Open Access
 - 1 year with possible 1 year extension

Request extensions from *rworks@uw.edu*

Some Reasons You May Want to Consider Delayed Release . . .

1. You plan to publish results in a journal in the future
2. Your thesis or dissertation includes journal article(s) you've published or submitted for publication
3. You plan to publish your dissertation as a book
4. You or your research group may need patent/IP protection
5. Your thesis or dissertation contains sensitive or confidential information *that can be made available after some delay*

1: If you plan to publish results in a journal in the future



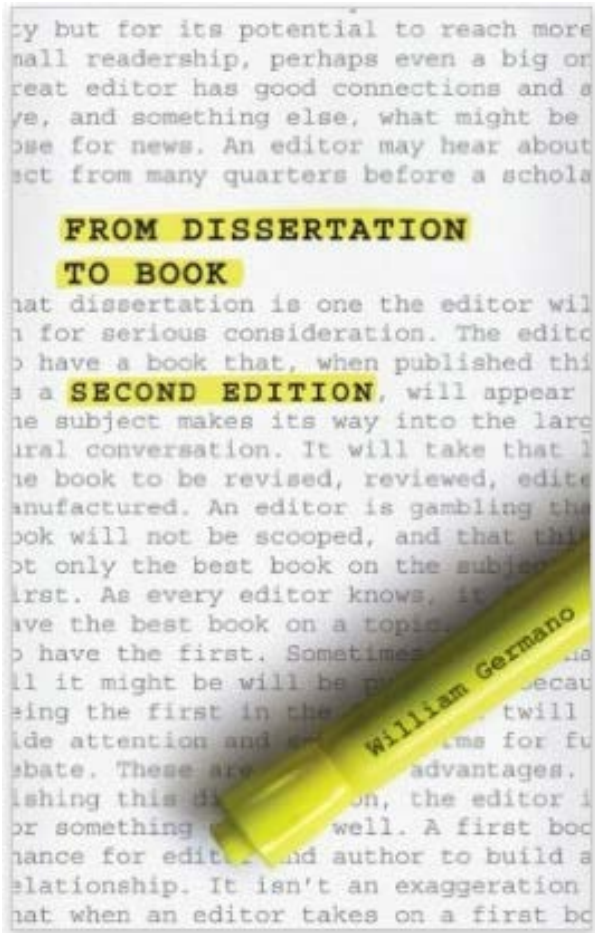
- Most journals (80%) will consider publishing articles based on open access ETD's.
- UW recommends immediate OA unless publisher objects.
- If so, consider 1 year delay for PQ and UW copies.

2: If your thesis or dissertation includes journal articles you've published or have in process . . .



- Make sure you adhere to the terms of any agreements you may have signed!

3: If you plan to publish your dissertation as a book . .



- Consider that it's actually not that common, and varies strongly by discipline.
- Know that some presses may be reluctant to publish books based on open access ETD's, but most will consider it.
- Realize what matters most to editors are the importance and originality of your topic and ideas, and the quality of your writing.
- Be prepared for a thorough revision!

Delayed release options if you plan to publish your dissertation as a book

- UW Libraries still recommends immediate open access
 - Can build interest in your work, help you revise
- If concerned, consider limiting access to ProQuest for 2 years and to UW for 5 years.
 - If still concerned near the end of a 5 year UW only embargo, you may ask for additional time.

4: If you or your lab or research group may need to protect patents . . .



- Contact Jesse Kindra at UW CoMotion for advice
- Most patent filings take less than 1 year
- Consider a 1 year ProQuest embargo and a year full (no access) embargo on the UW copy

5: If your work contains confidential or sensitive information . . .



- Don't rely on a temporary embargo to protect someone's privacy or confidentiality.
- Since all UW theses and dissertations will eventually be made public, consider very carefully what can or should be made public!

Resources on Publishing, Open Access and Access Restrictions

- Access Options for Electronic Theses and Dissertations
- Selected ETD Access Scenarios
 - <http://grad.uw.edu/for-students-and-post-docs/thesisdissertation/access-options-for-electronic-theses-and-dissertations/>
- For questions, contact UW Libraries at uwlib-etd@uw.edu