

Princeton's Online Dissertation Submission Policy and How it Affects Humanities and Social Science Graduate Students

(created by the Graduate History Association)

Dear Member of the Princeton University Community,

We are writing as graduate students who are concerned about the University's newly instituted dissertation submission policies. In general, these changes have moved to a system where dissertations are available online much faster, with essentially no option to delay online "publication" or restrict it to an abstract. These changes were clearly initiated with good intentions, but they affect the disciplines in different ways. In the humanities and social sciences, where the dissertation is almost always the kernel of a first book, online submission requirements have led to serious concern about future publication prospects.

These concerns have led to a reconsideration of Princeton's policies, which will be addressed in an April 23rd meeting of Directors of Graduate Studies. In order to make the stakes of this relatively confusing issue clear, we have conducted research into the issues involved and the policies of other universities. The letter that follows summarizes these policies and provides further information about Princeton's policies and the concern they have generated.

Why is the ability to publish a book important?

Publishing a book is key to attaining tenure in most humanities departments. For example, according to a 2003 survey of history departments in the magazine of the American Historical Association (the flagship professional organization for the discipline of History) "most history departments and programs expect faculty members coming up for tenure review to have published one or more books. While this is hardly surprising at research universities (where a published book is typically an institutional requirement), the survey findings indicate that similar expectations are held by departments and programs at almost every type of four-year college and university." According to the survey, which was conducted by the AHA research division, faculty achieving tenure at research universities had an average of 1.12 books, and 4.24 articles. Ninety-four percent of PhD-granting departments responded that they absolutely "require" that a tenure candidate have published a book. The AHA also noted that although some schools responded that a book would "help" but was not absolutely required, this "stands in marked contrast to the actual practice evidenced in the books published at tenure." (*Perspectives in History*, February 2004).

How do academic publishers feel about dissertations being available online?

Many acquisitions editors continue to say that they will still issue book contracts to dissertations available on the web. Eric Crahan, of Cambridge UP, reassured students of this at a publishing talk at the history department on April 3rd. In making this point,

publishers tend to stress that dissertations differ markedly from books and undergo substantial revisions. At the same time, Eric Crahan stated that he himself had had to ask potential authors to remove their dissertations from ProQuest.

Chronicle of Higher Education author Leonard Bassuto writes:

“Don't make your dissertation available online. Book editors seem unanimous on that point for obvious reasons. Many university libraries routinely add dissertations to their electronic holdings. If yours does, then opt out. If your thesis is already online, then have it taken down. Information may want to be free, as the earliest hacker generation first avowed, but if it's free, then you can't expect a publisher to pay for it, even in a later version.” [*see document 1]

An informal poll of Princeton junior faculty throughout the humanities and social sciences drew about 30 responses. Most indicated that their first books did end up being substantially different from their dissertations. Some offered defenses about open source availability, pointing out the benefits of having graduates' names associated with a given topic at the earliest possible date. Others, however, were strongly opposed to the practice, and said that they had been discouraged from it by publishers. A faculty member whose book is currently forthcoming from Oxford UP provided the following text from an e-mail sent to her by an acquisitions editor there: “Since I believe your book derives from a dissertation, I need to be sure, in addition, that the dissertation is not held in any electronic depository, either educational or commercial. Can you confirm that? If it is, *I'm afraid I would not be able to consider the book.*”

For academic publishers, low profit margins and reduced subsidies have affected the publishing choices they are able to make. Similar pressures impinge on academic libraries, which have begun to reduce book purchasing and may well come to see ProQuest subscription as a substitute for purchasing first books. There is clear uncertainty about what the printed book market will look like in the next decade. Given this uncertainty, it seems essential that graduate students be able to make an informed decision about whether or not they want to make their dissertations immediately available via ProQuest, and that they retain the option to delay dissertation release via digital subscription services for a *minimum* of several years.

What is Dataspace?

Dataspace is Princeton's own digital repository for the permanent electronic archiving of work produced by the Princeton University community (<http://dataspace.princeton.edu/>). Content stored on Dataspace is fully accessible on the web and can be found by search engines. Beginning in Fall 2011, Princeton implemented a policy of requiring an electronic copy of all submitted dissertations to be deposited in Dataspace. The first batch of dissertations made available in this way prompted many complaints from students; particularly troubling was the lack of the possibility of opting out of Dataspace distribution and the fact that no students were consulted about the implementation of this new policy.

In March, the Graduate School responded with a temporary measure of restricting access to Dataspace to Princeton users. At a meeting on April 10th, the Graduate School's Policy Subcommittee decided to recommend a change in Dataspace submission guidelines, allowing students the option of a 5-year embargo, with an extension to 10 years if requested, during which time dissertations on Dataspace would only be available to the Princeton community and not the entire web. This recommendation still has to be accepted by the Graduate School.

How does ProQuest work and why is Princeton's policy different?

Most universities, including Princeton, now have the policy that their students must electronically submit their dissertations to ProQuest upon completion. ProQuest allows students to choose two options: "Open Access Publishing," which gives free global access to the work, and "Traditional Publishing," which restricts access to those with a ProQuest subscription. Even under Traditional Publishing, however, anyone with a ProQuest subscription (so anyone at a university) can download a pdf of the entire dissertation for free.

ProQuest itself recommends [*see document 1] that anyone interested in publishing a journal or book based on the dissertation place an embargo on the dissertation when submitting it to ProQuest—an embargo means that only an abstract of the dissertation will appear on ProQuest. ProQuest offers 6-month, 1-year, and 2-year embargoes.

Almost all universities that we have researched give their students the opportunity to choose the embargoes offered by ProQuest [*see document 2]. Princeton does not allow its students any embargo option when they go to submit their dissertation to ProQuest [*see document 3].

Several universities also mention the possibility for students to extend the embargo on ProQuest after the 2-years are over. Through email correspondence with ProQuest, we have been told that this ability to extend an embargo is based on obtaining permission from the student's graduate school. Thus, it is the university's attitude, rather than ProQuest's policy, that determines a student's ability to obtain an embargo extension.

Graduate schools that offer 2-year embargoes offer different advice. Some are neutral and some appear to faintly discourage it. Others advocate for students to choose the embargo option. Ohio University "*strongly suggests* a publication delay if students plan to publish exact text from their manuscript" [*see document 5]. Cornell University's guidelines say that "if you're planning to publish your dissertation in the future, you *must choose* 'Restrictions required.' The Graduate School recommends you choose two-year embargo" [*see document 6].

Table of Graduate School Policies. Information is based primarily on online guidelines, policies, and forms.

Graduate School	ProQuest Submission Required?	Max. ProQuest Embargo Option Given by graduate school (more may be possible)	Dataspace-style open access system?	Open Access Embargo Options
Princeton	Yes	Currently none	Yes	Policy changed to 5y option, extendible to 10y
Harvard	Yes	2 years (at least)	No	N/A
Yale	Yes	2 years	No	N/A
Cornell	Yes	Student ' must choose ' embargo if they intend to publish material. Cornell recommends 2 yr. Possibly renewable.	Yes	5 years with possibility of renewal
Johns Hopkins	Probably ending	2 years	Expected	Expected 4 yr, extendible for longer
Columbia	Yes	2 years	Yes	2 years
Brown	No	N/A	Yes	2 yr, extendible indefinitely for 2yr periods with permission
Rutgers	Yes	2 years, renewable	Yes	2 years, renewable
U.C. Berkeley	Yes	Indefinite with advisor's permission	Yes	Indefinite with advisor's permission
Stanford	Yes	2 years (student's choice)	No	N/A
Chicago	Yes	Unspecified embargo option (probably 2 years), with permission	No	N/A
Penn	Yes	1 year (2 years with special approval)	Yes, optional	Open Access is optional
Michigan	Yes	2 years	No	N/A
Duke	Yes	2 years	Yes	2 years, extendible up to 5 years
U.C. Davis	Yes	Indefinite extensions with graduate school permission.	No	N/A
Ohio State	Yes	Student 'deals with ProQuest directly'. Renewable beyond 2 years.	Yes	5 years, extendible by request
U. Illinois	Yes	2 Years, extendible	Yes	Option for closed access or indefinite UI only restriction.
CUNY	Yes	Indefinite extensions.	No	N/A

How is the current online version of ProQuest different from the previous microfilm version?

ProQuest's current system is different in scope and significance to the previous system of microfilm storage. Starting in 1939, the UMI dissertation database began preserving a microfilm version of most dissertations written in American universities. Microfilms could be purchased by individuals (who then had to find a micro-film reader) and hardbound copies could be ordered in libraries via Inter-Library Loan. Theoretically, then, dissertations were "available," but they were not widely distributed.

The current system was inaugurated a little over a decade ago (the first dissertations were posted online in 1998). This online system makes dissertations available in unprecedented ways, the implications of which are still becoming clear. As the database changed in scale, it also changed in meaning; microfilms and ILL are not the same as unlimited, instant electronic access. In some ways, this reflects broader changes in information availability, many of them salutary. But given the way humanistic and social science disciplines operate *in practice* (where the tenure system essentially forces scholars to publish a first book based on a dissertation), it is short-sighted to meet this change without appropriate protections and respect for individual authors' creative ownership of their work.

The change of medium has changed the system, and we would like to minimize the potential damage associated with that change.

How does the University's ProQuest/Dataspace policy affect students' relationship with archival research?

The University's current policy for publishing one's dissertation on DataSpace and ProQuest can be a serious roadblock against archival research, especially in archive-driven fields (such as history). Doctoral students at Princeton whose dissertations are based on unpublished archival materials have already encountered difficulties in obtaining copyright clearance from the archives they accessed because DataSpace and ProQuest require far more extensive publication permissions than archives are normally willing to grant without charging substantial fees. This holds true not only for DataSpace's open-access publishing mode, but also for ProQuest's "traditional" publishing option.

As it stands, the university's policy requires the student to reconcile the conflicting interests of the Graduate School, with its submission requirements, and the archives, with their copyright restrictions. This risks having a detrimental impact on the quality of research submitted to Princeton.

For ProQuest's Copyright Guide, see:

http://www.proquest.com/assets/downloads/products/UMI_CopyrightGuide.pdf

What are our recommendations?

In general, we would urge the University to adopt policies that give students as much flexibility as possible. At the very least, the proposed Dataspace change is a good way to begin. We would ask also that all students be given the *option* to delay ProQuest publication for at least the length of time of the Dataspace embargo.

(*Chronicle of Higher Education*, May 30, 2011)

From Dissertation to Book



By Leonard Cassuto

[...]

Do the new digital dynamics change the rules for graduate students (and junior faculty members) seeking to publish their first book? Some scholarly-press editors think so.

I caught up with Leslie Mitchner, the editor in chief of Rutgers University Press, soon after she participated in a publishers' round table on this subject at the University of Connecticut this spring. Mitchner cautioned aspiring authors that publishing substantial excerpts from a book manuscript is "not a great idea anymore, because library funds are so limited that they believe if they already paid for something they don't want to pay for it again." That is: The library already subscribes to scholarly journals, and will already have the writer's work available that way, so buying a book with some of the same information would duplicate the library's holdings.

In the past, said Mitchner, the idea was that advance journal publication "would create a buzz" for a forthcoming book. And Mitchner recognizes that first-book authors will probably publish one article from a book manuscript. But as to publishing a second article, she said simply: "Don't do it."

Chris Chappell, an associate editor at Palgrave Macmillan, echoed that sentiment at the Connecticut meeting. "The more of your book that has been previously published," Chappell said, "the less exciting it becomes for us."

Should young scholars then avoid publishing articles drawn from their book manuscripts? First-time authors need credibility in the marketplace. How can they gain it without such early forays? Well, not so fast.

It turns out that this is a matter about which reasonable editors disagree. "The validation of work in a good peer-reviewed journal is a useful way of seeing that the scholarly community values an author's research," said Ray Ryan, senior commissioning editor in English and American literature at Cambridge University Press. "Any manuscript that comes before me with two essays published in prestigious journals is looked upon as having already had some semblance of peer

recognition—the work, not the book—and I think it is still a good thing. I don't see it as undermining book publication."

So how should an aspiring author reconcile the disagreement among editors? That's a problem I'll return to in a moment, but first let me lay out a couple of areas about which editors mostly agree:

[...]

- Don't make your dissertation available online. Book editors seem unanimous on that point for obvious reasons. Many university libraries routinely add dissertations to their electronic holdings. If yours does, then opt out. If your thesis is already online, then have it taken down. Information may want to be free, as the earliest hacker generation first avowed, but if it's free, then you can't expect a publisher to pay for it, even in a later version.
- Make sure that your book and dissertation do not share the same title. If you have a great title picked out for your dissertation, save it for your book.

...

Leonard Cassuto, a professor of English at Fordham University, writes regularly about graduate education in this space. He welcomes comments and suggestions from readers to lcassuto@erols.com.

Guide 4: Embargoes & Restrictions

Consideration	Recommended Action				
	Choose Traditional Publishing	Place an embargo of 6-months, 1 year, or 2 years	Do NOT choose third-party distribution	Restrict from Google/search engines and harvesters	See your institution's technology transfer or research officer. Consult with your advisor and graduate dean.
Likely submission to a peer-reviewed journal	✓	✓	✓		
Interested/potential interest by an academic or commercial press	✓	✓	✓		
Ethical need to prevent disclosure	✓	✓	✓	✓	
Patentable rights in the work/ other commercial potential	✓	✓	✓	✓	✓

University Policies

Many universities enforce explicit policies regarding the delayed release (embargo) and/or restriction of dissemination of dissertations and thesis. These policies may also apply to the delay or restricted shelving of a copy of your work in the university library. Such policies serve the scholarly convention of sharing one's research with others. Simply put, you are not contributing to your field or to general knowledge if others cannot examine the results of your scholarly work.

When you instruct us to embargo or restrict dissemination of your dissertation or thesis, we assume that you are complying with the policies of your institution.

University policies generally require that you petition for permission to embargo or restrict the dissemination of your dissertation or thesis. You will need to substantiate the reason for your request, and receive approval from the required persons and/or authorities. Considerations that are likely to be deemed reasonable for granting permission to embargo and/or restrict dissemination include:

- Patentable rights in the work or other issues in which disclosure may be detrimental to the rights or interests of the author.
- The ethical need to prevent disclosure of sensitive or classified information about persons, institutions, technologies, etc.
- The interest of an academic or commercial press in acquiring the rights to publish your dissertation or thesis as a book*.
- Content that is likely to be submitted to a peer-reviewed journal*.

Your Decisions

We provide you additional choices about dissemination and restriction that your university may not be concerned about, as long as you are fully informed of your options. These involve the extent to which you make your dissertation or thesis available to non-academic readers, through our own distribution channels, third-party distributors, and major search engines such as Google and Google Scholar.

For example, if you wish your work to be available to the largest potential population of interested readers, both general and academic, you would choose Open Access Publishing with immediate release, opt to have it available through third party retailers for sale to the non-academic reader, and not restrict access by Google and other search engines. You will choose this option if you feel that society has an interest in and a right to view the results of the research it supports by funding higher education. You should not choose this option if considerations such as those described above would make such wide access a detriment to your scholarly, professional, or personal future.

Internet search engines are quickly becoming a key tool for all of academia, and we believe graduate works should be easy for researchers to find. Therefore, if you need to limit dissemination of your work, you will need to exclude it from the data that we provide to select internet search engines. We provide you the ability to "opt out" of such exposure through the Publishing Agreement. PLEASE NOTE, however, that internet search engines are likely to find your dissertation or thesis **through other access points, especially through the library or institutional repository** at your graduate institution. If you truly need exclusion from search engines, you will need to petition for restriction at your graduate institution in addition to restricting such access through ProQuest/UMI

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The first thing to remember is that YOU own your copyright; unlike most scholarly publishers, ProQuest/UMI does NOT acquire copyright when we publish your dissertation or thesis. You are free to re-publish your work in whole or in part, with whomever you choose without asking our permission.

Some authors are concerned that journals and other publishers will not accept content that has been published in or as a dissertation or thesis. This concern is less valid in the case of peer-reviewed journals, and potentially more valid in the case of commercial book publishers. While every case is unique, here are some general rules of thumb in examining this issue with regard to your own work:

- In most cases, you will not be submitting your dissertation or thesis *as is* to a peer-reviewed journal (unless it is a journal that publishes a monograph series). Most often, the content submitted for journal publication is an excerpt, chapter, or section of your dissertation or thesis. At the very least, it would be a significantly shorter distillation of your graduate work. The content is likely to be rearranged and reformatted to fit the style of the journal to which you submit. Finally, the content is likely to be revised and updated through the peer-review process and finally the editorial process if it is accepted. All of these processes mean that the material as finally published by a journal is substantively and substantially refined and therefore different from the content that is published as your dissertation or thesis. For this reason, journals are not historically concerned about your content having appeared and been distributed as a published graduate work. This is particularly true in the STEM disciplines (science, technology, engineering, and mathematics).
- Academic presses, monograph publishers, and commercial presses are more likely to consider your dissertation or thesis as a book. This is more often the case with the humanities, social sciences, and arts. Still, even if not peer-reviewed, the editorial process that turns your graduate work into a book is likely to change it substantially. The key in this consideration is whether the content changes substantively; i.e., is there a real difference in the content that makes the press comfortable with investing its resources in producing a book from your dissertation/thesis. **Historically, presses have not been terribly concerned that distribution of your graduate work would harm potential sales as a book. However, as dissertations and theses have become widely available over the internet through libraries, consortia and institutional repositories as well as from our subscription database, more presses may look more carefully at the question of marketability.**

Section II-B. Rights pursuant to Open Access Publishing.

Author's election of Open Access as the Type of Publishing confirms Author's choice to have ProQuest/UMI publish the Work according to the Open Access Publishing option described here.

Open Access Publishing. In addition to the rights granted under Section I of this UMI® Publishing Agreement, ProQuest/UMI may reproduce, distribute, display and transmit the Work in electronic format in the ProQuest Dissertations and Theses Open database (PQDT Open) or successor database(s), where it will be made available for free download. PQDT Open may be accessed by the academic community as well as through major search engines and

open access harvesters. ProQuest/UMI may also provide an electronic copy of the Work to Author's degree-granting institution where it may also be posted for free open access.

Copy Sales. ProQuest/UMI and its agents and distributors may offer copies of the Work for sale in tangible media, including but not limited to microform, print and CD-ROM, as well as in electronic format either individually or as part of its electronic database and reference products and services. No royalties shall be due to Author.

Publishing Fees. Author's payment of the additional Open Access fee is a one-time, up-front fee in addition to the UMI® dissertation or thesis publishing fee. Author's institution may assess additional fees to be collected along with the Open Access and publishing fees.

Section III. Publishing Options & Signature

Select the publishing options below that best fit your interests and scholarly publishing obligations.

Traditional Publishing

- 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 the ProQuest/UMI fee for Traditional Publishing is \$25 for Master's thesis and \$25 for Doctoral dissertations.
I understand that my graduate institution may pay all or a portion of the total fee as well as may require additional fees in association with my submission to ProQuest/UMI.

Open Access Publishing

- 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 of Master's thesis is \$120 and for Dissertations is \$120, and that my graduate institution may pay all or a portion of the total fee as well as may require additional fees in association with my submission to ProQuest/UMI.

SELECT PUBLISHING OPTIONS

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

- Yes
No - I would like access to the full text of my work to be delayed for the following period of time:
6 month embargo
1 year embargo
2 year embargo

Note: Most institutions have delayed release (embargo) policies, please consult with your Graduate School/Program, if you need to delay the release of your work. Access to the full-text of your work will be delayed for the time period specified above, beginning from the date that we receive your manuscript at ProQuest/UMI. During this time, only your citation and abstract will appear in the ProQuest Dissertations and Theses Database (PQDT).

I want major search engines (e.g. Google, Yahoo) to discover my work.

- Yes
No

I want my graduate work to be sold by third party retailers in addition to ProQuest/UMI.

(Note: If Traditional Publishing is chosen above, all sales are eligible to accrue royalties.)

- Yes
No

Acknowledgment: I have read, understand and agree to this UMI® Publishing Agreement, including all rights and restrictions included within the publishing option chosen by me as indicated above.

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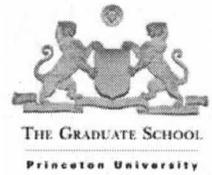
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<input type="checkbox"/> Submit	<input type="radio"/> Yes <input checked="" type="radio"/> No
	I want my graduate work to be sold by third party retailers in addition to ProQuest/UMI. * Learn more (Note: If Traditional Publishing is chosen above, all sales are eligible to accrue royalties.)
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Why request a publication delay?: Publication delays are generally requested if students are concerned that placing theses or dissertations online at the OU Library or with ProQuest/UMI may restrict their ability to publish derived or exact text from theses or dissertations (in the form of books, articles, poems, or short stories) after graduation or if a patent is pending.

Thesis and Dissertation (TAD) Services strongly suggests a publication delay if students plan to publish exact text from their manuscript. In addition, TAD encourages students to contact publishers to find out: a) whether they consider an ETD published in a library or via ProQuest/UMI to be prior publication, b) whether they will consider for publication a manuscript derived from an online theses or dissertations.

Time period: Publication delays are available for OhioLINK and ProQuest documents for one or two years.

Publication delays apply to ETDs in:

- OhioLINK and ProQuest/UMI ETD repositories: The document is uploaded in full text, but the abstract only is available online until the end of the delay period.

Publication delays do not apply to:

- Print theses: No publication delay is necessary for those filing print theses or dissertations, because hard copy theses or dissertations are not uploaded in full text to OhioLINK. The theses or dissertation abstract only appears online in OhioLINK for all hard copy print copies filed in the OU Library.

Deadline: The Publication Delay Form must be completed, signed, scanned and emailed, faxed or delivered to TAD Services by the quarterly deadline.

Effective date of the delay: The publication delay time period begins on the first day of the month following the month of graduation. For a publication delay extension, this same form is required to be completed and signed 30 days before the publication delay time period expires.

For additional information, contact: Thesis and Dissertation (TAD) Services, 220g Research and Technology Center, tad@ohio.edu, (740) 597-2770.

REQUIRED FORMS

DOCTORAL CANDIDATES: SURVEY OF EARNED DOCTORATES FORM

Complete the online Survey of earned Doctorates (<https://sed.norc.org/survey>) prior to submitting your dissertation. The survey, conducted by the National Research Council, is available to all recipients of earned doctorates in the United States. See the letter accompanying the survey about its purpose, use, and confidentiality.

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This form is an agreement with UMI. Submit this form with the final copies of your dissertation. Pages four and five are required. **On page four, traditional publishing must be checked.** The fee is covered by the Thesis File fee. **Also on page four, if you're planning to publish your dissertation in the future, you must choose "Restrictions required." The Graduate School recommends you choose two-year embargo.**

On page six, the Copyright Registration form, is optional. If you choose to have UMI register your document with the U.S. Copyright Office, you must attach a check made out to ProQuest for \$65.

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You may owe the following Graduate School fees. These fees are payable at the cashier's desk at the Bursar's Office, 260 Day Hall, or online NetPay. Please notify the thesis advisor by e-mail that the fees have been paid. (If you do not pay owed fees, a hold will be placed on your bursar account, and neither your transcript nor diploma will be released until all fees are paid.)

LATE-FILING FEE

You are allowed 60 days after the final examination to submit approved copies of the dissertation or thesis to the Graduate School. A late-filing fee will be charged if this requirement is not met.

DOCTORAL CANDIDATES: DISSERTATION FILING FEE

The dissertation filing fee covers costs of submitting a master copy of the entire dissertation to UMI, publishing the abstract in the monthly periodical *Dissertation Abstracts International*, and binding both copies for Cornell University Library.

DOCTORAL CANDIDATES: ACTIVE-FILE FEE

An active-file fee will be charged for each semester after the "A" Exam that a leave of absence is taken or you fail to register—until the dissertation is submitted and accepted. The active-file fee is charged based on the date of final dissertation submission, not the date of the final examination. Students who submit the completed dissertation more than three weeks after the beginning of a new semester for