Antioch University

AURA - Antioch University Repository and Archive

5.400 Library (Academic)   5.000 Academic Policies

May 2018

5.405 Thesis and Dissertation Archiving

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	Thesis and Dissertation Archiving
Type of Policy:	
■ *University*	
□ *Campus*	
	Policy 5.405
Academic Policies	**Effective date:** April 25, 2018

Policy History:	Approved by:	Resolution #	Date:
Approved	Chancellor	N/A	April 25, 2018
Responsible Office:	Responsible Administrator:	Contact information:	Applies to:
Office of Vice Chancellor of Academic Affairs	Vice Chancellor of Academic Affairs	937-769-1890	All Graduate Academic Programs

I.   Introduction and Purpose

The purpose of this policy is to ensure the quality of Antioch University dissertations and theses that are archived and shared globally through open access via the Antioch University Repository and Archive ("AURA") and other repositories. Widespread availability of students' dissertations and theses advances the University's mission of fostering social, economic, and environmental justice. The archives showcase the University's programs; therefore, each dissertation and thesis must align with established legal and technical standards.

II.   Application

This policy applies to the approved culminating products of students in the following programs:

A.   Doctoral programs that have a dissertation as a requirement for graduation. The University requires that all doctoral dissertations be archived; and

B.   Master's programs that require, or allow, approved master's theses be included in the digital archives. There is no University requirement that master's theses be maintained in the digital archives. Master's programs are responsible for informing students when online archiving is a requirement or an option for theses.

C.   This policy does not apply to dissertations, theses, or culminating projects that were submitted in paper or physical copy prior to the effective date of this policy. There will be no

retro-conversion of hard copy dissertations, theses, and culminating projects.

III. Definitions

A.   **Antioch University Electronic Theses and Dissertation Central Webpage** is the Antioch University location for resources, criteria and instructions and link to the submission form for dissertations and theses. The webpage address is [Antioch University ETD - Electronic Theses and Dissertations - Central](#)

B.   **Antioch University Repository and Archive (AURA)** is the online archive that collects, houses, and disseminates the electronic copy of the creative and intellectual work of the University.

C.   **Copyright** U.S. Copyright, established by federal statute, is granted as a form of protection for original works, literary, dramatic, musical, and artistic. Copyright does not protect ideas, merely the expression of those ideas in the form of the work. Copyright is automatically granted, beginning at the moment of creation. For works created after 1/1/78 copyright lasts for the life of the author plus 70 years.

D.   **Dissertation** is the culminating work of a doctoral program, a sustained and substantial scholarly work of research and/or theory. Dissertations may vary in form according to discipline and program criteria, but for archiving purposes, they must conform to the same university standards as described in this policy and in the University-wide Requirements Checklist.

E.   **Electronic Thesis or Dissertation** (**ETD**) is an electronic file, with or without supplemental multimedia files and/or datasets, of the dissertation or thesis.

F.   **ETD Coordinator** reviews and releases the electronically submitted ETDs.

G.   **ETD Support Team** is comprised of the librarians and/or staff who support doctoral and master's programs with reference and information literacy training and students with formatting support. They serve a key liaison role between the ETD Coordinator, the faculty, and the program.

H.   **Master's Thesis** is the culminating work of a master's level program. A thesis is an original body of scholarly work. This work may be referred to by another name such as capstone or culminating project. A project may differ from a thesis in form, but for archiving purposes must conform to the same university standards as described in this policy and in the University-Wide Requirements Checklist.

I.   **Metadata** is information regarding the thesis or dissertation for archiving purposes. Typical fields of metadata include the following: Author, Title, Abstract, Pagination, Keywords, Date, Subject Headings, Committee Membership, Copyright and Related Licensing, Degree, Program.

J.   **OhioLINK ETD Center** is Ohio's open access archive for Electronic Theses and Dissertations for the higher education institutions based in Ohio, including Antioch

University.

K.   **Open Access** refers to making scholarly and creative work of an academic or government institution freely available through an online archive or repository.

L.   **Portable Document Format (PDF)** is a highly portable, multi-platform, electronic format that allows for the incorporation of text, graphics, color, images, and hyperlinks. PDF format, with or without supplemental files, is the de facto format for ETDs.

M.   **Proquest/UMI Archive Dissertation and Theses Database** is a print-on-demand publisher of dissertations and theses and the designated depository for U.S. dissertations by the Library of Congress.

N.   **University-wide Requirements Checklist** is a listing of the criteria required for electronic archiving of dissertations and theses. The checklist is available at [Antioch University ETD - Electronic Theses and Dissertations - Central.](#)

IV.   Student Rights and Responsibilities

A.   General Rights and Responsibilities

Students are responsible for preparing the Electronic Thesis or Dissertation ("ETD") to conform to all the standards as described in the University-wide Requirements Checklist and all further requirements in a program's Dissertation or Thesis Handbook.

B.   Permissions/Copyright

1.   Student Copyright

The student always retains full copyright of the dissertation or thesis, but upon submission grants to Antioch University a non-exclusive, royalty-free, perpetual and worldwide license to preserve the material for educational purposes and to distribute and/or publish the material, by electronic or other means. Since all Antioch University library collections and archives, print and electronic, are available to all students and the larger academic community via Interlibrary Loan, no dissertations or theses can be archived in print or electronically without this non-exclusive permission.

2.   Third Party Copyright and Permissions

The student is responsible for obtaining permission to use third party created works and that permission appear in the appendix of the dissertation or thesis.

V.   Administrative Procedures

Students prepare the ETD following the standards of their academic program, and the University-wide Requirements Checklist. When the ETD is approved by the dissertation or thesis committee, chair, or other program established process, the student then submits the PDF for publication following the procedures outlined below:

A.   Submission

The student submits the dissertation or thesis electronically via the Submission Form link on the Antioch University ETD Central webpage. The Submission Form gathers all metadata, as well as contact information for the author. As part of the submission procedure, the student uploads the final PDF of the dissertation or thesis, along with any supplemental files.

Included in the online submission form procedure is a release giving Antioch University non-exclusive right to archive and disseminate the dissertation. The student attests that all work in the dissertation is the student's own and that the student has acquired permissions for any third party copyrighted material in the dissertation.

B.   Review

Upon receipt of the dissertation or thesis, the ETD Coordinator reviews the ETD for conformity to the University-Wide Requirements Checklist.

If the standards are not met, the ETD Coordinator, in collaboration with the local ETD Support Team member, will notify the student and offer assistance.

C.   Release

If the standards are met, the dissertation or thesis is released for publication to the electronic archives. The ETD Coordinator notifies the library, local ETD Support Team, student, department, and University Registrar's Office that the process is complete. An individual program may require that a print version of the ETD also be shelved and circulated in the university's print collection.

Once the dissertation or thesis has been electronically submitted and approved it is released to the following archives:

1. Antioch University Repository and Archive
2. OhioLINK ETD Center
3. Proquest/UMI Dissertation and Theses Database

The University's policy establishes open access publication of ETDs. However, under certain circumstances, students may request a delay of publication of their ETD. Students may request embargoes for up to one year from the date of the release of their dissertation or thesis by the ETD Coordinator. Academic departments will determine the criteria required for granting an embargo. If an embargo is granted, the department head will communicate this permission with the local ETD Support Team and the ETD Coordinator.

The inclusion of the ETD in the three archives is permanent. Dissertations will not be altered after the final copy is submitted.

VI.   Transition

Programs that participate in digital archiving must adhere to the guidelines describing the program processes for completion and approval of dissertations or theses, including legal requirements and University standards and procedures as described in this policy and in the University-wide Requirements Checklist.

Master's programs that are currently in the process of establishing a workflow for the online archiving of master's theses may collect hard-copy versions of theses for their own use. Online archiving will begin with new theses, once the procedure for vetting has been established.

Policy Cross Reference

Name of Policy	Policy #
Copyright Policy	Policy # 5.501