



## 2014-2015 ProQuest Publishing Agreement

This Agreement is between the author (Author) and ProQuest LLC, through its ProQuest Dissertation Publishing business (formerly ProQuest/UMI). Under this Agreement, Author grants ProQuest certain rights to preserve, archive and publish the dissertation or thesis (the Work), abstract, and index terms provided by Author to ProQuest.

### Section I. License for Inclusion of the Work in ProQuest Publishing Program

**Grant of Rights.** Author hereby grants to ProQuest the **non-exclusive**, worldwide right to reproduce, distribute, display and transmit the Work (in whole or in part) in such tangible and electronic formats as may be in existence now or developed in the future. Author further grants to ProQuest the right to include the abstract, bibliography and other metadata in the ProQuest Dissertations & Theses database (PQDT) and in ProQuest Dissertation Abstracts International and any successor or related index and/or finding products or services.

**ProQuest Publishing Program - Election and Elements.** The rights granted above shall be exercised according to the publishing option selected by Author in Section III, Author Options, and subject to the following additional Publishing Program requirements:

- **Distribution of the Work.** Except as restricted by Author in the publishing option selected, the rights granted by Author automatically include (1) the right to allow sale and distribution of the Work, in whole or in part, by ProQuest and its sales agents and distributors and (2) the right to make the Abstract, bibliographic data and any meta data associated with the Work available to search engines and harvesters.
- **Restrictions.** ProQuest will use commercially reasonable efforts to restrict the distribution of the Work as provided under the publishing option selected by Author or as later elected by Author through direct contact with ProQuest. Such election is subject to Author's Degree Granting Institution Directives (see below). With respect to restrictions requested after submission of the Work, Author acknowledges that ProQuest cannot recall or amend previously distributed versions of the Work.
- **Removal of Work from the Program.** ProQuest may elect not to distribute the Work if it believes that all necessary rights of third parties have not been secured. Refer to the website [www.proquest.com/products-services/dissertations/](http://www.proquest.com/products-services/dissertations/) for information about copyright and your dissertation or thesis. If Author's degree is rescinded, and/or the degree-granting institution so directs, ProQuest will expunge the Work from its publishing program in accordance with its then current publishing policies.
- **Degree Granting Institution Directives.** Author is solely responsible for any conflict between policies and directions of Author's degree-granting institution, Author's choice of publishing model, and/or any restriction Author places on the use of the Work. For the avoidance of doubt, ProQuest is not responsible for access to the Work that is provided by Author's degree-granting institution through its library or institutional repository. Author must work directly with Author's degree granting institution to ensure application of any restrictions to access relating to the Work by Author's degree granting institution.

**Copyright and Deposit with the Library of Congress.** At Author's option and upon payment of the applicable fee, ProQuest will submit an application for registration of **Author's copyright** in the Work in Author's name. In addition, regardless of whether copyright registration of the Work is sought, ProQuest may make a copy of the Work available to the Library of Congress in digital, microform or other format as required by the Library of Congress.

**Publishing Fees and Royalties.** Author shall remit the publishing fees and the optional copyright registration fees as appropriate for the publishing option chosen by Author, and as specified by Author's degree-granting institution. Except as provided under the Traditional Publishing option, no royalties shall be due from ProQuest to Author.

**Delivery of the Work.** Author shall provide to ProQuest the Work and all necessary supporting documents during the online submission process, according to the Instructions accompanying this agreement.

**Rights Verification.** Author represents and warrants that Author is the copyright holder of the Work and has obtained all necessary rights to permit ProQuest to reproduce and distribute third party materials contained in any part of the Work, including all necessary licenses for any non-public, third party software necessary to access, display, and run or print the Work. Author is solely responsible and will indemnify ProQuest for any third party claims related to the Work as submitted for publication.

### Section II-A. Rights pursuant to Traditional Publishing

Author's election of Traditional as the Type of Publishing confirms Author's choice to have ProQuest publish the Work according to the Traditional Publishing option described below.

**Traditional Publishing.** ProQuest may exercise the rights granted under Section I above including through the sale of individual copies of the Work in tangible or electronic media and/or as part of electronic database and reference products or services.

**Publishing Fees and Royalties.** Author's payment of the dissertation or thesis publishing fee is a one-time, up-front fee. Author's institution may assess additional fees to be collected along with the publishing fee. ProQuest will pay royalties of 10% of its net revenue from sales of the Work, conditioned on Author maintaining a current address on record with ProQuest. Royalties will be paid when accrued earned royalties reach \$25.00. If, after 25 years, earned royalties do not accrue to at least \$25.00, ProQuest's royalty payment obligation will cease.

## 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 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 ProQuest Publishing Agreement, ProQuest may reproduce, distribute, display and transmit the Work in electronic format in the ProQuest Dissertations & Theses database, where it may be made available for free download. A subset of the ProQuest Dissertations & Theses database, currently known as PQDT Open, may be accessed by the academic community as well as through major search engines and open access harvesters.

ProQuest 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. Learn more: <http://www.proquest.com/en-US/products/dissertations/epoa.shtml>

Copy Sales. ProQuest 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 Publishing PLUS fee is a one-time, up-front fee in addition to the ProQuest 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. *Select ONE of the options below.*

### 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 in order to be eligible to receive royalties.
  - I understand that the ProQuest **fee for Traditional Publishing is \$25 for Master's thesis and \$25 for Doctoral dissertations** 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.

### Open Access Publishing PLUS

- 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 **fee for Open Access Publishing PLUS 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.

### Reminder:

NCSU Electronic Theses & Dissertations (ETDs) are withheld at the University level if an embargo is approved by the Graduate School during the ETD Submission Process (before the final file is accepted). Once the ETD is released, this paperwork is then sent in the next graduation batch shipment to ProQuest for the ETD to be microfilmed for the NCSU Library. Then the ETD is either Traditionally Published or Open Access Published by ProQuest per your selection above. It takes ProQuest 6-10 weeks to process once the paperwork is received.

I want major search engines (e.g. Google, Yahoo) to discover my work. Learn more: <http://www.proquest.com/en-US/products/dissertations/google.shtml>

- Yes  
 No

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

REQUIRED Author's signature \_\_\_\_\_ Date \_\_\_\_\_

(Print Name) \_\_\_\_\_

Institution conferring degree \_\_\_\_\_

Read and keep page 3. TYPE ALL ANSWERS all answers into the 2 page DAF (pages 4 & 5). Print page 4 and then sign page 4. The 4-digit code is in Guide 2--Subject Categories on the Required Forms and Fee ETD Forms Page. Email both pages back to the NCSU Editor at [etd\\_editor@ncsu.edu](mailto:etd_editor@ncsu.edu). Electronic Signatures not accepted.



# Dissertation/Master's Thesis Submission Form

Please print clearly in block letters

\_\_\_ D (Dissertation)

## Personal Information

Last Name \_\_\_\_\_ Middle Name or Initial \_\_\_\_\_  
 First Name \_\_\_\_\_ Country (ies) of Citizenship \_\_\_\_\_

## Degree & Dissertation Information

Title of Dissertation/ Thesis \_\_\_\_\_  
 Institution conferring degree \_\_\_\_\_ Degree awarded (abbreviate; e.g., Ph.D.) \_\_\_\_\_  
 College, School, or Division \_\_\_\_\_ Year degree awarded \_\_\_\_\_  
 Department or Program \_\_\_\_\_ Year manuscript completed \_\_\_\_\_  
 Advisor/Committee Chair \_\_\_\_\_  
 Committee Member \_\_\_\_\_ Committee Member \_\_\_\_\_  
 Committee Member \_\_\_\_\_ Committee Member \_\_\_\_\_  
 Committee Member \_\_\_\_\_ Committee Member \_\_\_\_\_

Language of manuscript \_\_\_\_\_  
 Primary Subject Category: Enter the 4-digit code and category name from Guide 2 that most closely describes the disciplinary area of your research. Code \_\_\_\_\_ Category \_\_\_\_\_

You may suggest two additional subject categories that may aid in the discovery of your work in our digital database.  
 Code \_\_\_\_\_ Category \_\_\_\_\_ Code \_\_\_\_\_ Category \_\_\_\_\_

Provide up to 6 keywords or short phrases for citation indices, library cataloging, and database searching.  
 \_\_\_\_\_  
 \_\_\_\_\_

## Current Contact Information

Current Email Address \_\_\_\_\_

Street Address (line 1) \_\_\_\_\_  
 Street Address (line 2) \_\_\_\_\_  
 City \_\_\_\_\_ State/Province \_\_\_\_\_ Daytime Phone \_\_\_\_\_  
 Country \_\_\_\_\_ Postal Code \_\_\_\_\_ Evening Phone \_\_\_\_\_

## Permanent Contact Information

Permanent Email Address \_\_\_\_\_

Street Address (line 1) \_\_\_\_\_  
 Street Address (line 2) \_\_\_\_\_  
 City \_\_\_\_\_ State/Province \_\_\_\_\_ Future Phone \_\_\_\_\_  
 Country \_\_\_\_\_ Postal/ZIP code \_\_\_\_\_ Alternate Future Phone \_\_\_\_\_

**Read and keep page 3. TYPE ALL ANSWERS all answers into the 2 page DAF (pages 4 & 5). Print page 4 and then sign page 4. The 4-digit code is in Guide 2--Subject Categories on the Required Forms and Fee ETD Forms Page. Email both pages back to the NCSU Editor at etd\_editor@ncsu.edu. Electronic Signatures not accepted.**