

ProQuest/UMI Publishing Agreement

This Agreement is between the author whose signature appears below (Author) and ProQuest Information and Learning Company, through its UMI® Dissertation Publishing business (ProQuest/UMI). Under this Agreement, Author grants ProQuest/UMI certain rights to preserve, archive and publish the dissertation or thesis, abstract, and index terms (the Work) provided by Author to ProQuest/UMI and more fully described in the Submission Form.

Section I. License for Inclusion of the Work in UMI® Publishing Program

Grant of Rights. Author hereby grants to ProQuest/UMI 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/UMI the right to include the abstract, bibliography and other meta-data in ProQuest/UMI's Dissertation Abstracts International and any successor or related index and/or finding products or services.

UMI® Publishing Program – Election and Elements. The rights granted above shall be exercised according to the option selected by Author in Section IV below, and subject to the following additional Publishing Program requirements:

Redistribution of the Work. Except as restricted by Author under Section IV (below), the rights granted by Author *automatically* include (1) the right to allow sale and distribution of the Work, in whole or in part, by agents and distributors, including but not limited to commercial retail outlets and (2) the right to make the Abstract and bibliographic data associated with the Work available to search engines and harvesters. .

Restrictions. ProQuest/UMI will use commercially reasonable efforts to restrict the distribution of the Work as provided under the publishing option selected by Author in Section IV (below) or as later elected by Author through direct contact with ProQuest/UMI. 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/UMI cannot recall or amend previously distributed versions of the Work. Refer to Guides 3 and 4 for information about access and restrictions.

Removal of Work from the Program. ProQuest/UMI may elect not to distribute the Work if it believes that all necessary rights of third parties have not been secured. Refer to Guide 5 for information about copyright and your dissertation or thesis. If Author's degree is rescinded, and the degree-granting institution so directs, ProQuest/UMI 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/UMI 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 as indicated in Section V below, and upon payment of the applicable fee, ProQuest/UMI 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/UMI 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 in Section IV (below), and as specified by Author's degree-granting institution. Except as provided under the Traditional Publishing options, no royalties shall be due from ProQuest/UMI to Author.

Delivery of the Work. Author shall provide to ProQuest/UMI the Work and all necessary supporting documents according to the Instructions for Providing Your Dissertation or Thesis to ProQuest/UMI (Guide 1).

Rights Verification. Author represents and warrants that Author is the copyright holder of the Work and has obtained all necessary rights to permit ProQuest/UMI 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/UMI for any third party claims related to the Work as submitted for publication.

Section II. Rights pursuant to Open Access publishing.

Author's signature below and election of option OA-1 or OA-2 in Section IV below confirm Author's choice to have ProQuest/UMI publish the Work according to the Open Access Publishing option described here.

- A. Open Access Publishing. In addition to the rights granted under Section I of this 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 the 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.
- B. 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 subscription-based electronic database and reference products. No royalties shall be due to Author.
- C. 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. Rights pursuant to Traditional Publishing.

Author's signature below and election of option TR-1 or TR-2 in Section IV below confirm Author's choice to have ProQuest/UMI publish the Work according to the Traditional Publishing option described below.

- A. Traditional Publishing. ProQuest/UMI may reproduce, and distribute, and sell the Work, in whole or in part, in accordance with the rights granted under Section I above, in such tangible and electronic formats as may be in existence now or developed in the future, whether individually or as part of subscription-based electronic database and reference products.
- B. 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/UMI 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/UMI. Royalties are paid in any year in which royalties accrued during such year reach at least \$10.00. No royalties shall be due for periods in which Author has failed to maintain a current mailing address with ProQuest/UMI.

Section IV. Publishing Options

Most accredited institutions that offer graduate degrees adhere to the principle that scholars are obligated to make the results of their research available to other scholars. A growing proportion of institutions and scholarly disciplines actively promote an extension of this principle: that scholars are obligated to make the results of their research available to society at large. We help your institution meet its mission, and you to meet your scholarly obligations, by publishing and disseminating your dissertation or thesis. After almost 70 years of dissemination primarily to the academic community, we now also provide options for you to make your work available beyond scholarly avenues. Please read the options on the next page carefully, and choose those that best serve both your interests and your scholarly obligations.

Select ONE of the options below.

For help in deciding among these options, see the guides for [Open Access versus Traditional Publishing and Embargoes & Restrictions](#).

Open Access Publishing Options

OA-1
OPEN ACCESS
IMMEDIATE* Release
Retail copy sales
Accessible to search engines
I want the broadest possible dissemination of my work as soon as it is published, and I want to provide free global access to the electronic copy of my work via the internet. I want people to be able to buy a copy of my work via commercial retailers, and I want major search engines to discover my work. I understand that there is an additional fee for Open Access Publishing, and that I will not be eligible to receive royalties.

OA-2
OPEN ACCESS
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 may provide further instructions as indicated below. I understand that there is an additional fee for Open Access Publishing and that I will not be eligible to receive royalties.

If no boxes are checked below, your work will be released immediately with no restrictions.

Release Options*:	Restriction Options:
<input type="checkbox"/> 6 month embargo	<input type="checkbox"/> No search engine access
<input type="checkbox"/> 1 year embargo	<input type="checkbox"/> No sales via third-party
<input type="checkbox"/> 2 year embargo	

Traditional Publishing Options

TR-1
TRADITIONAL Publishing
IMMEDIATE* Release
Retail copy sales
Accessible to search engines
I want to make my work widely available for purchase as soon as it is published, and I want to be eligible to receive royalties on the sale of my work. I want people to be able to buy a copy of my work via commercial retailers, and I want major search engines to discover my work. I understand that I must maintain a current mailing address with ProQuest/UMI in order to be eligible to receive royalties.

TR-2
Traditional Copy Sales & Royalties
I want to make my work widely available for purchase and I want to be eligible to receive royalties on the sale of my work. I may provide further instructions as indicated below. I understand that I must maintain a current mailing address with ProQuest/UMI in order to be eligible to receive royalties.

If no boxes are checked below, your work will be released immediately with no restrictions.

Release Options*:	Restriction Options:
<input type="checkbox"/> 6 month embargo	<input type="checkbox"/> No search engine access
<input type="checkbox"/> 1 year embargo	<input type="checkbox"/> No sales via third-party
<input type="checkbox"/> 2 year embargo	

* Embargoes start from the date we receive your manuscript at ProQuest/UMI. Note that there can be a delay of up to a semester at your institution before the work is forwarded to us.

Section V. Author's signature.

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

Author's signature _____ **Date** _____

Dissertation Submission Form

Please type or print in block letters.

Please do not write in this space.

Personal Information

Last Name _____

First Name _____

Middle Name or Initial _____

Country (ies) of
Citizenship _____

Restriction Code	
Total Pages	
Vol./Issue	
School Code	
Year	
Copyright	<input type="checkbox"/> Yes <input type="checkbox"/> No

Current Contact Information

Street Address _____

City, State, Zip _____

Country _____

Daytime Phone _____

Evening Phone _____

Email Address _____

Future and/or Stable Contact Information

Effective Date _____

Street Address _____ Daytime Phone _____

City, State, Zip _____ Evening Phone _____

Country _____ Email Address _____

Degree Information

Full name of university conferring degree	_____	Official name of College, School, or Division (if applicable)	_____
Abbreviation of degree awarded	_____	Official name of Department or Program	_____
Year degree awarded	_____	Year manuscript completed	_____

Dissertation Information ■ **IMPORTANT! Attach copies of your dissertation title page and abstract to this form.**

What language is your dissertation or thesis written in? _____

Primary Subject Category: Enter the 4-digit code and category name from Guide 2 that most closely corresponds with the subject of your research.

Your abstract will be listed in our citation index products under this _____
category.

Optional: Enter up to two secondary subject category codes and descriptors that may aid in the discovery of your work in our digital database.

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