



Ed.D. DISSERTATION Guidelines

TABLE OF CONTENTS

Defense Timeline
Planning – Deadlines by Month
Logistical Guidelines for Online Defenses
Dissertation Front Matter
Formatting
Degree Conferral and Commencement
Appendices – Sample pages and Tips
ScholarWorks form and license

IMPORTANT INFORMATION

Questions?

Contact the Graduate Studies recorder in Education 2100 or check with your departmental staff.

Office of Graduate Studies
W. W. Wright Education Building Room 2100
201 North Rose Avenue
Bloomington, IN 47405-1006
gsorecdr@indiana.edu

DEFENSE TIMELINE

A Dissertation Defense is scheduled after the dissertation research and after the manuscript is complete, allowing the student to defend the dissertation research.

NOTE: Beginning the first fall or spring semester immediately following the semester in which you pass your qualifying exams, you are required to enroll every fall and spring semester until you graduate. If you will graduate in June, July, or August during the summer term, enrollment in that term is required as well. If you are only defending during the summer but do not intend to graduate at that time, you do not need to be enrolled during the summer.

1. **At least 40 days before the defense, or earlier:**

- Arrange a mutually agreeable date and time with your committee for the defense to take place.
- Submit the Application to Graduate if you haven't already done so: <https://info.educ.indiana.edu/gems?ReturnUrl=Graduation>.
- It is expected that all members of your Advisory and Research Committee will attend your defense either remotely or in-person. *Any defenses that proceed in-person must adhere to IU, City of Bloomington, Monroe County, and State of Indiana public health regulations.*

2. **At least 30 days before the defense:**

- Submit a one-page dissertation defense announcement (see Appendix A for template) to your department so they can submit it to Graduate Studies. The chairperson of your Advisory and Research committee must sign or send email approval of the announcement before submission.
- The announced time and place cannot be changed without the approval of the Associate Dean of Graduate Studies.
- To give your committee members sufficient time to read and critique your work, provide them with a complete copy of your dissertation at least two weeks before your defense. Some faculty may require more time to read, depending on dissertation length and timing, so check with your committee members.

3. **By the 15th of the month you wish to graduate (May or December deadlines will differ):**

- After any post-defense revisions requested by the committee have been approved, you must submit the dissertation to the Graduate Studies recorder (gsorecdr@indiana.edu) in pdf format via your IU email account. The Graduate Studies recorder will follow up with you regarding any formatting issues. **Note: you do NOT self-submit to IUScholarWorks. The dissertation is part of your degree requirements and must be reviewed and accepted by the Graduate Studies recorder before publication. Once your degree is awarded, we will submit the dissertation to IUSW on your behalf.**

4. **By the 27th of the month you wish to graduate: (May or December deadlines will differ):**

- Each committee member should email their approval of the dissertation to the Graduate Studies recorder (gsorecdr@indiana.edu). All emails must be received by the 27th.
- You must submit the finalized dissertation in pdf format via your IU email account (including any formatting changes required after an initial review by the Graduate Studies recorder) to gsorecdr@indiana.edu. In addition, the IU ScholarWorks Permission Form for Theses and Dissertations (Appendix J) should be included.

PLANNING – DEADLINES BY MONTH

Except where noted as required, deadlines are estimates for planning purposes. Your actual dates may vary.

If you want to graduate in January:

- You should have submitted your Dissertation Proposal Approval form by 11/25.
- Your Defense Announcement should be submitted by 11/25.
- It would be best if you defended by 12/25.
- You are required to submit your content-complete dissertation by 1/15.
- You are required to be enrolled for the Spring semester.

If you want to graduate in February:

- You should have submitted your Dissertation Proposal Approval form by 12/16.
- Your Defense Announcement should be submitted by 12/16.
- It would be best if you defended by 1/25.
- You are required to submit your content-complete dissertation by 2/15.
- You are required to be enrolled for the Spring semester.

If you want to graduate in March:

- You should have submitted your Dissertation Proposal Approval form by 1/14.
- Your Defense Announcement should be submitted by 1/14.
- It would be best if you defended by 2/23.
- You are required to submit your content-complete dissertation by 3/15.
- You are required to be enrolled for the Spring semester.

If you want to graduate in April:

- You should have submitted your Dissertation Proposal Approval form by 2/14.
- Your Defense Announcement should be submitted by 2/14.
- It would be best if you defended by 3/25.
- You are required to submit your content-complete dissertation by 4/15.
- You are required to be enrolled for the Spring semester.

If you want to graduate in May:

- You should have submitted your Dissertation Proposal Approval form by 3/1.
- Your Defense Announcement should be submitted by 3/1.
- It would be best if you defended by 4/10.
- You are required to submit your content-complete dissertation by 5/1.
- You are required to be enrolled for the Spring semester.

If you want to graduate in June:

- You should have submitted your Dissertation Proposal Approval form by 4/15.
- Your Defense Announcement should be submitted by 4/15.
- It would be best if you defended by 5/25.
- You are required to submit your content-complete dissertation by 6/15.
- You are required to be enrolled for the Summer semester.

If you want to graduate in July:

- You should have submitted your Dissertation Proposal Approval form by 5/15.
- Your Defense Announcement should be submitted by 5/15.
- It would be best if you defended by 6/24.
- You are required to submit your content-complete dissertation by 7/15.
- You are required to be enrolled for the Summer semester.

If you want to graduate in August:

- You should have submitted your Dissertation Proposal Approval form by 6/15.

- Your Defense Announcement should be submitted by 6/15.
- It would be best if you defended by 7/25.
- You are required to submit your content-complete dissertation by 8/15.
- You are required to be enrolled for the Summer semester.

If you want to graduate in September:

- You should have submitted your Dissertation Proposal Approval form by 7/16.
- Your Defense Announcement should be submitted by 7/16.
- It would be best if you defended by 8/25.
- You are required to submit your content-complete dissertation by 9/15.
- You are required to be enrolled for the Fall semester.

If you want to graduate in October:

- You should have submitted your Dissertation Proposal Approval form by 8/15.
- Your Defense Announcement should be submitted by 8/15.
- It would be best if you defended by 9/24.
- You are required to submit your content-complete dissertation by 10/15.
- You are required to be enrolled for the Fall semester.

If you want to graduate in November:

- You should have submitted your Dissertation Proposal Approval form by 9/15.
- Your Defense Announcement should be submitted by 9/15.
- It would be best if you defended by 10/25.
- You are required to submit your content-complete dissertation by 11/15.
- You are required to be enrolled for the Fall semester.

If you want to graduate in December:

- You should have submitted your Dissertation Proposal Approval form by 10/19.
- Your Defense Announcement should be submitted by 10/19.
- It would be best if you defended by 11/28.
- You are required to submit your content-complete dissertation by 12/18.
- You are required to be enrolled for the Fall semester.

ONLINE DEFENSES – LOGISTICAL GUIDELINES

Defenses conducted online should follow these logistical guidelines:

- The candidate and all committee members must agree in advance to remote participation and all video communication arrangements. **Video conferences must be hosted by a research committee member or a department staff member and not by the candidate.**
- The examining department provides adequate technical accommodations that allow all participants to see and hear each other throughout the defense and view any text, graphics, or other referenced visuals.
- If the communication arrangements are inadequate for the defense at the onset, the candidate or the committee may elect to postpone the defense until later without penalty.
- In the event of a technical failure, the defense proceedings must be stopped and may not resume until any technical issues are resolved.
- Defenses conducted remotely may only be audio or video recorded with advance permission from the research committee chair and candidate.

Resources for Conducting Defenses Online

- ["About Zoom at IU," Knowledge Base](#): Learn more about how to use the Zoom web collaboration tool available to all IU faculty, staff, and students.
- [Zoom Help Center](#): Get help using Zoom through an extensive directory of help topics.
- [Center for Innovative Teaching and Learning](#): Access resources such as Zoom webinars and drop-in online consultations.
- ["Improve and troubleshoot your Zoom experience," Knowledge Base](#): Troubleshoot common issues with operating Zoom.
- ["Prevent Zoombombing using Zoom privacy and security features," Knowledge Base](#) - Learn how to make Zoom more secure and avoid "zoombombing."
- ["How to Keep Uninvited Guests Out of Your Zoom Event," Zoom Blog](#) - Best practices for improving Zoom conference security.
- For additional help with Zoom, contact UITS Learning Spaces Support at cthhelp@iu.edu or 812-856-2020.

DISSERTATION FRONT MATTER

Your doctoral dissertation must comply with specific formatting guidelines. Be sure to read the list of requirements thoroughly before you begin, and check the list carefully before you submit.

The dissertation front matter should be in the following order. The front matter refers to the title page through the table of contents/supplemental materials. Required sections are indicated in bold, while optional sections are italicized.

Title Page (required)

Acceptance Page (required)

Copyright Page (optional)

Dedication (optional)

Acknowledgements (optional)

Preface (optional)

Abstract (required)

Table of Contents (required)

Supplemental Materials (lists of tables, figures, appendices, etc.) (optional)

Additionally, all students are required to include their resume/curriculum vitae at the end of their dissertation. For more information about each section, please see below.

Title Page—Required (See Appendix B)

The title page should be a separate page and no longer than one page. All content on this page should be centered horizontally and vertically.

Acceptance Page, unsigned – Required (See Appendix C)

This page confirms the committee's approval and acceptance of your dissertation. An unsigned acceptance page must be included in the dissertation document.

The acceptance page should be a separate page and no longer than one page, but it is acceptable if the signature lines spill over to a second page.

Copyright Page – Optional (See Appendix D)

If you choose to copyright your dissertation, you should include a copyright page. The copyright page should be a separate page and no longer than one page. All content on this page should be centered horizontally and vertically.

Dedication, Acknowledgements, or Preface – Optional

Depending on your inclination, you may wish to include a dedication, a preface, or a set of acknowledgments. The latter is designed to recognize people or agencies to whom you feel grateful for any academic, technical, financial, or personal aid in preparing your thesis. As a matter of courtesy, you would ordinarily mention the members of your committee here, as well as institutions that provided funding or anyone else who helped. For the dedication page, all content should be centered horizontally and vertically. Only the dedication itself should be on the dedication page; no title should appear. Acknowledgments and Prefaces pages should have a title.

Abstract, unsigned – Required (See Appendix E)

As many people will learn about your work through your abstract, you should spend a good bit of effort in the composition of both the abstract and the title of your work. Try to convey the flavor of your work, not just the bare bones of your findings. You should also work on phrasing your title to describe the contents concisely to be easily found in the index of the housing database. The index is based on keywords, so be as specific as you can be about your subject. An unsigned abstract must be included in the dissertation document.

Table of Contents – Required

Include a table of contents to guide the readership of your dissertation.

Add an entry for your curriculum vitae (CV) to the table of contents. The CV should be the last item in your dissertation and listed last on the table of contents. Since CV pages should not have a page number, the table of contents entry should note only the presence of the CV at the end with no page number indicated.

Add an entry/entries (as is appropriate) for the reference/bibliography page/pages to the table of contents.

Supplemental Materials – Optional

Include lists of tables, figures, appendixes, abbreviations, or other supplemental materials, if appropriate.

Resume/Curriculum Vitae - Required

Include a resume/curriculum vita at the end of the dissertation, after the main content. Do not add any page number(s) to the resume/curriculum vitae. Your CV should be in the same font and have the same margins as the rest of your dissertation, and should not contain your home address, phone number, nor any page number. If you have issues regarding confidentiality, the CV can simply list the degrees and credentials you have attained to this point. Please list your Ed.D degree as completed in the same month as listed on the title page.

FORMATTING

Fonts

Font size should be either 11 or 12 point for the entire document, with the only exception being the title on the title page, footnotes, tables/charts, and picture/table descriptions. Font up to size 16 point may be used only for the document's title on the title page. Font as small as 10 point may be used for footnotes, the content of tables/charts, and picture/table/chart descriptions.

Black font is used throughout the dissertation. The only exception is areas where a different font color serves a purpose in explaining or highlighting some aspect of the research/dissertation in a way black font could not.

Be consistent in font style throughout your dissertation. The following font styles are recommended for the ease with which they convert to a PDF. All dissertations have to be converted to a PDF in the electronic submission process.

- Arial
- Bookman Old Style
- Calibri
- Cambria
- Lucida Bright
- Times New Roman

Spacing

The material should be double-spaced. Long quotations within the text should be typed single-spaced with wider margins.

Photographs and Images

If photographs or detailed graphics are part of the work, make sure they are crisp and clear when printed.

Margins

Margins should be one-inch on all sides.

These margin requirements apply to all materials included in the dissertation, including figures, tables, maps, plates, etc., and any preliminary material you choose to include.

Page Layout

Ordinarily, the text and any other materials will appear on the right-hand page only. If, however, you and your committee agree that it is necessary to include facing material on the left-hand page as well, be sure to leave 1½" on the right-hand side of the facing page.

Running heads are not used in dissertation submissions. Please limit the content of your header and footer space to the page number only.

Page Orientation (See Appendix F)

Pages viewed in landscape orientation should have the page number placed on the page as though the page were in portrait orientation. In addition, the page's content should be placed, so it faces the right-hand side of the page (if the page were in portrait orientation). Therefore, alter all landscape-oriented pages to accommodate this requirement. The easiest way to do this is to format the page in portrait orientation and then rotate the image/content of the page counterclockwise 90 degrees. Additionally, pages viewed in landscape orientation should have the required margin space observed as though the page were in portrait orientation.

Page Numbers

Page numbers must be clear, consecutive, and printed on every page, including appendixes, tables, figures, maps, charts, photographs, etc., except for the title and vita pages.

Lowercase Roman numbers (e.g., i, ii, iii) are used for the pages preceding the main body of work.

Arabic numerals (e.g., 1, 2, 3) are used in the body of the work, the bibliography, and the appendixes.

The title page counts as page i but does not bear a number.

Begin the numbering with the acceptance page as page ii, and continue with lowercase Roman numerals until the start of the body of the dissertation. Then, whether part of your introduction or your first chapter, that page should be numbered using the Arabic numeral 1. Every page after that should be numbered consecutively until you reach the vita page.

Ordinarily, page numbers should be centered at the top or bottom of the page, entered midway between the edge of the paper and the text to prevent their loss during the binding process.

References, Citations, Bibliography, and Footnotes

Check with your department on this requirement. This format depends largely on your particular field or topic.

For example, footnotes can appear either on the page where the annotation occurs, the end of each chapter, or the end of the thesis. Be sure to follow the conventions of your department or discipline.

Recommended Style Manuals

- "The Chicago Manual of Style"
- Turabian, Kate L., "A Manual for Writers"
- Modern Language Association (MLA) style sheet
- American Psychological Association (APA) style sheet (especially for works in the social sciences)

Recommended Dictionaries for Spelling and Usage

- Webster's Third International Dictionary
- Webster's Ninth New Collegiate Dictionary

DEGREE CONFERRAL AND COMMENCEMENT INFORMATION

- ❖ If you are earning additional degrees or certificates, you must apply to graduate separately with those before or at the same time as your Ed.D.
- ❖ Ed.D. degrees are awarded monthly. An online Application for Graduation form must be submitted to the Graduate Studies Office at least one month before the degree conferral date. Failure to apply for graduation by the deadline may result in your application being denied. The online application to graduate can be found on the Graduate Portal in GEMS (<https://info.educ.indiana.edu/gems/?ReturnUrl=Graduation>)
- ❖ You must apply to graduate much earlier for your name to be listed in the university-wide Commencement program. The Graduate Studies Office will send out an email and post these specific dates each semester. Generally, applications must be submitted by the dates listed below; however, dates are subject to change year to year.
 - Students who will have their degree awarded between September 1 and December 31 are eligible for the December Commencement and must apply to graduate by September 25.
 - Students who will have their degree awarded between January 1 and August 31 are eligible for the May Commencement and generally must apply by February 25.
- ❖ It is not required for you to be listed in the Commencement program for you to walk. If you miss the deadline, you can still participate in the ceremony, but your name will not be printed in the program handed out to guests. Your advisor can still hood you, and your name can still be called since students who line up for the ceremony fill out information cards presented to the commencement speakers.
- ❖ Verify that the Office of the Registrar has the correct spelling of your name and your correct diploma mailing address by visiting Student Central on Union. The registrar mails the diploma to your student home address. You will receive the diploma for your degree within about three months of your award date.
- ❖ Additional information can be found in the School of Education Graduate Student Portal: Doctoral Students: Ed.D. Students: Graduation Checklist for the Ed.D. Degree.

Appendix A
Sample Doctoral ANNOUNCEMENT PAGE
Separate page, content centered on page, limit of one page

Announcing the
Final Examination of
(Student's Name)
for the
Degree of Doctor of Education in (program)
(Day, Date, Time)
(Room, Building)

Dissertation: (Title)

(Summary: The dissertation summary should be limited to **one page** and not more than 300 words. It should contain a statement of the problem, a description of the methods or procedures used, and a formulation of the results and conclusions. Unlike the abstract, which is for specialists in the field, attempt to write the summary in a language and style that the University community at large can understand.)

Outline of Current Studies

Major: (Field)
Minor(s): (Field and Department)

Educational Career

(Degree, Institution, year graduated – major area not needed, ex. "B.A., I.U., 1996")

Committee in Charge

Professorial Rank (Name), Chairperson (Phone Number), Department
(Alphabetically list other committee members)

Approved: (Signature)_____

(Chairperson's Name (Typed))

(Any member of the Graduate Faculty may attend. As a courtesy, please notify the Committee Chairperson in advance.)

Important notes about the Announcement

- The chairperson of your Advisory and Research Committee must approve and sign the announcement. Email as signature is accepted.
- Submit the defense announcement to your department. The Graduate Recorder must receive the signed announcement at least 30 days before the defense date. However, 40 days prior is recommended.
- The announced time and place cannot be changed without the approval of the Associate Dean of Graduate Studies.
- Final transcripts for any degrees listed in the Educational Career section must be on file with Graduate Studies. If you are unsure if a final transcript is in your file, please email gsorecdr@indiana.edu for verification.

Appendix B
Sample Doctoral TITLE PAGE
Separate page, content centered on page, limit of one page

TITLE CENTERED, IN ALL CAPITAL LETTERS &
DOUBLE SPACED IF TITLE EXTENDS TO MORE THAN ONE LINE OF TEXT

Author's Name

Submitted to the faculty of the School of Education
in partial fulfillment of the requirements
for the degree
Doctor of Education
in the Department of _____,
Indiana University
Month and Year degree will be granted

Important notes about the formatting of the title page:

- The title page should begin two inches from the top of the page, while the rest of the document should have a top margin of one inch.
- Right and bottom margins must be one inch throughout the document.
- On the title page only, the font size for the title should be no smaller than 12-point font and no larger than 16-point font.
- All other fonts in the dissertation may be no larger than 12 point and no smaller than 11-point, except in the case of footnotes, which should be 11-point font size.
- No font on the title page should be in bold.
- No page number should appear on the title page. The title page is considered page i, but actual pagination begins on the acceptance page as page ii.
- The student's name must be the same as the primary legal name in the IU system. The primary legal name is that which is on the student's unofficial SIS transcript. Students can update their primary legal name through Student Central on Union.
- The month and year indicated on the title page is the month and year when the School of Education awards the doctoral degree after all requirements have been completed. This is not necessarily the month in which you defend your dissertation. This should be the month that you selected on the online Application for Graduation form.

Appendix C
Sample Doctoral ACCEPTANCE PAGE
Separate page, content centered on page, limit of one page

Accepted by the School of Education Faculty, Indiana University, in partial fulfillment of the requirements for
the degree of Doctor of Education.

Doctoral Committee

Committee Chairperson's Typed Name, Post-Nominal Initials

Committee Member's Typed Name, Post-Nominal Initials

Committee Member's Typed Name, Post-Nominal Initials

Committee Member's Typed Name, Post-Nominal Initials

Date of Defense
(Month Day, Year)

Important notes about the formatting of the acceptance page:

- The acceptance statement at the top of the page is centered.
- The Doctoral Committee and Date of Defense are left-justified.
- Committee names and signature lines are right justified. Behind each name, place the appropriate post-nominal initials for that individual. (e.g., Jane Doe, Ph.D.)
- A blank/unsigned copy of the same acceptance page should be included in the dissertation document for submission.
- Pagination of the front matter is in lower case Roman numerals, while the pagination of dissertation content is in Arabic numerals. The acceptance page is always page ii.

Appendix D
COPYRIGHT PAGE (optional)

Separate page, content centered on page, limit of one page

(In Microsoft Word, Alt-Ctrl-C (hold down all at once) will make the copyright sign.)

© (enter correct year)
(Student's Name)
ALL RIGHTS RESERVED

Appendix E
ABSTRACT
Separate page, content centered on page, limit of one page

Student's Name

DISSERTATION TITLE, CENTERED, DOUBLE SPACED, AND IN ALL CAPITAL LETTERS OR
UNDERLINED

The abstract is double-spaced and limited to 350 words. The paragraph(s), layout, indentation, and line spacing should match the rest of your dissertation's layout, indentation, and line spacing. A blank/unsigned copy of the same abstract should be included in the dissertation document itself.

Committee Chairperson's Typed Name, Post-Nominal Initials

Committee Member's Typed Name, Post-Nominal Initials

Committee Member's Typed Name, Post-Nominal Initials

Committee Member's Typed Name, Post-Nominal Initials

Important notes about the formatting of the abstract page:

- The student's name must be the same as the primary legal name in the IU system. The primary legal name is that which is displayed on the student's unofficial SIS transcript. Students can update their primary legal name through Student Central on Union.
- Committee names and signature lines are right justified while everything else is centered. Behind each committee member's name, place the appropriate post-nominal initials for that individual (such as Jane Doe, Ph.D.).
- A blank/unsigned copy of the same abstract page should be included in the dissertation document for submission.
- Top, Right, Left, and Bottom margins must be one inch.
- All font on abstract should be either 12 or 11-point font size.
- The order of the front matter may differ from student to student, depending on which of the optional items a student may include. Therefore, the page number of the abstract may vary.

Appendix F

Landscape Page Sample

Pages viewed in landscape orientation should appear in the PDF so that the page orientation is portrait/the same as all other pages while the content is landscape-oriented

- IN: the emergency manager adopts budgets and oversees implementation. The emergency manager submits written report to the board every three months.
 - NC: The Commission can require periodic reports on the local government's financial affairs and can approve or reject annual budget ordinance. Local governments must adopt any budget modifications recommended by the state Commission.
 - OH: The financial planning and supervision commission reviews budgets, approves and monitors the monthly levels of expenditure, approves debt obligations, and reports annually to the legislature.
 - RI: Local government retains governance. The Budget and Review Commission has powers to impose tax and make appropriations for the purpose of adopting and maintaining a balanced budget.
 - TN: All budgets need to be approved by the state comptroller. The state comptroller requires periodic information from and audits of local governments.
- State-Centric Approach:
- ME: The commissioners direct local governance. The board reports annually to the Secretary of State.
 - MI: Emergency manager reports to the governor and legislative leader.
 - NJ: The financial review board implements and enforces the financial plan, reports each year to the Local Finance Board.
 - NV: The Committee implements the plan. The governing body of a local government may make recommendations to the Department or the financial manager concerning the management of the local government.
 - PA: If a receiver is appointed, the receiver implements the financial plan and submits quarterly reports to the governing body.
5. *Terminate fiscal emergency*

Source: Authors' compilation of state laws on intervention programs.

Note: Entities that are in charge of initiating fiscal emergency actions in step 2 are usually in charge of terminating fiscal emergency; for this reason and due to space constraints, details of step 5 are not reported.



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INDIANA UNIVERSITY

Libraries

IUScholarWorks Permission Form for Theses and Dissertations

Thesis/dissertation title _____

Author name _____

Author email _____

Subject keywords _____

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- Attribution-NoDerivs (CC-BY-ND)
- Attribution-NonCommercial (CC-BY-NC)
- Attribution-NonCommercial-ShareAlike (CC-BY-NC-SA)
- Attribution-NonCommercial-NoDerivs (CC-BY-NC-ND)

Embargo duration

By default, your work will be made immediately open access; however, you have the option to delay its availability for up to 5 years.

- None
- 6 months
- 1 year
- 2 years
- Other _____

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Indiana University will clearly identify your name as the creator and/or copyright owner of the submission, and will not make any alterations, other than as allowed by this license, to your submission. We agree to not make available any files that are embargoed until the embargo has expired.

If you are submitting this item on behalf of the rights holder, you must have the rights owner's written permission to accept this license on his/her behalf.

Signature _____

Date _____

Copyright and Use Policy

I. Ownership of copyright

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- confirms that you own the copyright to the items
- grants Indiana University permission to distribute the items worldwide and to take the necessary steps to preserve them.

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For more information, please see our [Copyright and Licensing](#) page.

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- IU faculty and staff
- IU dissertation writers
- IU students with authorization from a sponsoring department or faculty member

The academic units decide what content to put into their Repository Community. Types of content may include, but are not limited to:

- Submitted manuscripts (as sent to journals for peer-review)
- Accepted versions (author's final peer-reviewed drafts)
- Published versions (publisher-created files)
- Supplementary files, including multimedia or datasets
- Gray literature (conference papers, working drafts, primary evidence)

- Dissertations and theses
- Negative results or work that will not be finished

Format and Preservation Policy

The system is designed to hold and deliver scholarly materials in digital form (text, data, image, audio, video, etc.), that will not change over time and that are adequately described with standard keywords and descriptors (i.e., do not have specialized metadata requirements). It is not equipped to support the archiving and/or accessibility of dynamic resources like open web sites, interactive applications, files with complex metadata requirements, authoring tools, or dynamic learning objects.

Because the technological environment is changing rapidly, it may not be possible to preserve the usability of every file format that is deposited in the Repository. Certain file formats (openly-documented, non-proprietary, lossless) are more easily preserved than others. IUScholarWorks staff can provide guidance related to file formats.

Embargo Policy

Embargoes in the IUScholarWorks Repository are treated as a publicly available descriptive item record with restrictions on access to the file itself. Metadata/citation information will be visible for embargoed items. Since search engines will be able to find these citations that do not yet include the full-text content, any embargoed item in the Repository must contain contact information for the corresponding creator/principal investigator (NOT the depositor), so that end users who wish to gain access may request it.

Embargoes may be set for any time period up to five (5) years from the date of deposit. Renewal of embargoes beyond five (5) years will not be possible; all work deposited will, by that time, become Open Access.

IUScholarWorks was originally conceived of as an Open Access repository, and we encourage researchers to consider making their publications Open Access and their data Open Data. However, we acknowledge that in some cases researchers may need to restrict access to their work. There are many reasons why some might want to embargo their deposits, which include but are not strictly limited to:

- Plans to file a patent based on research and/or data
- Research and/or data is subject to review by sponsor or grantor prior to publication

In some instances, submission for Open Access publishing should not be considered until the resolution of certain key issues, such as:

- Plans for future publication based on research and/or data
- Plans to publish research based on research and/or data and publisher has indicated that data release counts as "prior publication"
- Third-party content remains to be licensed properly

Any research deposited with the IUScholarWorks Repository must be stripped of all personally-identifiable information, in accordance with patient privacy laws and IRB restrictions. Data sensitivity is not an acceptable reason for embargo.

Removal Policy

The IUScholarWorks Repository has been established as a permanent archive with the goal of providing perpetual access to deposited materials. Files will be removed from the institutional repository only under extraordinary circumstances, such as:

- Journal publishers' requirements
- Proven copyright infringement or plagiarism
- Proven violations of libel or invasion of privacy
- Falsified research

In instances where an author wishes to retract an earlier position, statement, or interpretation, the file will not be removed. In keeping with the Revisions Policy below, authors have the option to submit a new or revised version.

Please direct inquiries to iusw@indiana.edu and an IUScholarWorks staff member will respond to discuss the situation and suggest the best action. In addition, the IU Libraries and Indiana University retain the right to withdraw any item from the Repository if they deem such action necessary. In these cases, an attempt to notify the author will be made to apprise them of the situation.

In order to avoid the loss of the historical record for items withdrawn from the Repository, the system will display a substitute citation for any withdrawn item noting that the item by this person, published on a specific date, with this title, and with this specific URL has been removed, thereby leaving a 'tombstone' record. This will ensure that the URL never disappears even though the actual item has been withdrawn.

Revisions Policy

Revisions to submitted files may only be made to correct typographical, grammatical and spelling errors. No substantial revisions of findings, facts, etc. are permitted. In cases where authors have substantially reworked the content and wish to make a newer version available, they are encouraged to submit the new or revised version as a new item. IUScholarWorks Staff will provide assistance in linking the earlier version with the later version.