

All departments, schools and colleges are required to deposit with DePaul University Archives, in the Library, any and all theses and dissertations submitted as part of the requirement for their masters or doctorate degree. This requirement is listed in the University’s Records Retention Policy, as noted below (<http://rm.depaul.edu/Retention/RetentionSched.aspx> - search for “dissertations”).

<u>Record #</u>	<u>Records Group</u>	<u>Record Class Description</u>	<u>Responsible Department(s)</u>	<u>Official Retention Period</u>	<u>Retention Event</u>	<u>Retention Authority</u>	<u>Action to be Taken</u>
2.37	Student Records	Theses or dissertations produced as part of the degree requirement for a master's or doctoral program	College Offices/Academic Units	Permanent	N/A		Send to University Archives

Because the archives no longer accept paper theses and dissertations, these must be submitted electronically by the individual Colleges/Schools/Departments through Via Sapientiae, the online institutional repository for DePaul University at <http://via.library.depaul.edu>.

POLICIES/REQUIREMENTS FOR SUBMITTING TO THE INSTITUTIONAL REPOSITORY

1. The dissertation should be formatted according to the requirements of your college and your department. As far as *the thesis/dissertation content itself* is concerned, the library has no specific requirements. Metadata requirements for the electronic submission form will be listed below.

2. While all DePaul University colleges and departments require students to complete a signature page as part of the process, *the Library does not recommend that the completed page with signatures and identifying information be included as part of the dissertation, as some of the information included is restricted by the Family Educational Rights and Privacy Act (FERPA)* and should be available only when a formal, proper request has been submitted to the individual College through appropriate channels. The Library would also remind colleges that using the Social Security Number as a student identifier for such purposes is technically illegal and we recommend using the student ID number instead.
 - a. If the college would like a version of the signature page to be included, the Library recommends using a form with the student’s and the readers’ names typed, the dates, and something like the words "SIGNED - copy may only be viewed after submission and approval of FERPA request letter" substituted for the actual signatures and for the Student ID number.

- b. We do not recommend that an unsigned form, with just the student's information and the names of the advisors, be included, as this gives the impression that the dissertation may not have been approved or that people forgot to submit the form for signatures.
3. The thesis/dissertation itself should be submitted in either Microsoft Office format or as an Adobe PDF. Supplemental documents (audio, video, more complex files) that cannot be transformed into one of those formats may be included as "Additional Files" (explained in the sections below), but future readability and function cannot be ensured by the library.
4. For items such as computer programs or more complex websites that require specific operating environments, those should be submitted *as additional files* (see Step 15, below) in compressed ZIP files.
 - a. A PDF/Microsoft Office document should be submitted as the main document, with a standard thesis/dissertation title page, stating that this is a thesis/dissertation submitted in partial requirement for the degree and college, and detailing the requirements for the environment necessary for the program/website contained in the additional ZIP files, as well as any other narrative information required.
 - b. The library cannot maintain the required operating systems/environments for such items.
5. The theses, dissertations, and additional files if any, **MUST** be deposited by the college or university department, not by the individual student. At the current time, the system does not allow deposit of theses or dissertations by individual students.
6. Some colleges and departments may allow theses and dissertations to be embargoed for various reasons, so that the thesis/dissertation itself, and any supporting items, may not be viewable. The institutional repository respects this determination on the part of the schools, colleges, and departments.
 - a. While the actual content of embargoed theses or dissertations will not be displayed, the metadata – author, title, abstract, date of degree award – *will* be displayed and searchable, as a record that the thesis was completed and the degree was awarded. ***This is not optional.***
 - b. The library requests that the embargo period be set for the minimum length of time, when possible. In general, that will be six months. Some will need to be set for longer periods of time, and again, the institutional repository will respect that determination on the part of the school, college or department. The current maximum embargo period is five years.
 - c. *Indefinite embargo will NOT be allowed.*
Embargo periods are stated on the separate Thesis Submission Form. While embargoes are not intended to be permanent, renewals of the original embargo period are

permissible. Considerations that may be deemed reasonable for granting permission for an embargo or its extension include, but are not limited to:

- Patentable rights or other issues are contained in the work the disclosure of which may be detrimental to the rights or interests of the author.
- There is a need to prevent disclosure of government information about persons, institutions, technologies, etc. that is contained in the work.
- An academic or commercial press has expressed interest in acquiring the rights to publish the work as a book that may require an embargo.
- The work contains content that has already been submitted to a peer-reviewed journal that may require an embargo.

Requests for an extension of the embargo should be directed to your College or Department, and must be received at least one month prior to the expiration of the current embargo to ensure sufficient time to process the request.

Note that after **August 31, 2018**, most theses/dissertations may not be initially embargoed for more than ten (10) years. This condition does not apply to theses deposited before that date. Extensions beyond the ten year limit must be requested at the end of each embargo period by the student or their representatives, directed to their college/department, and may be renewed/granted or declined at the discretion of the College and the University.

7. Theses and Dissertations, as part of the official records of degrees awarded, will not normally be removed or withdrawn from the DePaul University Institutional Repository. Acceptable reasons for *the affected college/school/department* to request withdrawal include:
 - a. Proven copyright violation or plagiarism
 - b. Falsified research
 - c. Other legal requirements and/or proven violations
 - d. Rescinding of degree for the above reasons, or other reasons that are communicated to the library, University Archives, and institutional repository by the colleges/schools/departments involved.

If the DePaul University Institutional Repository receives proof of the above violations from the college/school/department involved, the relevant item will be removed immediately. The metadata of withdrawn items will not be searchable.