

ETD Policy & Procedures  
Research & Graduate Programs/FCLA/Smathers Libraries  
January 2006

**Policy:** The University of Florida Libraries are responsible for cataloging, preserving, and providing access to the dissertations and theses produced in support of graduate degree programs at the University in all formats. For preservation purposes, paper theses and dissertations have been bound and all dissertations have been microfilmed. With electronic theses and dissertations (ETDs), the Libraries will support online access to the ETDs through the links from the library catalog and from the Library ETD web page, <http://web.uflib.ufl.edu/etd.html>. The Florida Center for Library Automation (FCLA) in its role of supporting library automation for the state universities of Florida, will store, serve and preserve long term access to the ETDs.

A University wide ETD Working group, which meets as needed, consists of staff from FCLA, the Libraries, Research and Graduate Programs, CIRCA ETD training staff and invited guests.

**Procedure:**

1. After each semester's graduation, Research and Graduate Programs (RGP) transmits the following items to UF Smathers Library Preservation Office:
  - a. Author/Title List: for management use, the list will include all theses and dissertations, with the electronic theses or dissertations marked "[ETD]"
  - b. Abstracts: for binding, the compiled abstracts volume includes all theses and dissertations (with no marking to distinguish ETDs), and also includes Project and Performance Option abstracts (designated as such)
  - c. UMI Doctoral Dissertation Agreement forms
  - d. Rights & Permissions Forms (with original signatures) indicating any restrictions on access (AKA Release date forms)
  - e. Release date documents, listing Author last and first name, college and date of worldwide release of the ETD. RGP provides a paper copy, and also sends an electronic copy via email attachment
  - f. Three part forms: only applies to paper submission theses and dissertations. Preservation staff forwards to Cataloging and Metadata (C&M) within one week of arrival.
2. Preservation verifies that the information in the Release Date document exactly matches the Rights & Permissions forms, then sends electronic copies of the (corrected if necessary) release date document to FCLA and C&M thereby notifying them of the number, type and embargo end date of each ETD for that graduation. Original Rights and Permissions forms are then forwarded to University Archives.
3. RGP Technical support staff will notify FCLA when ETDs are transferred to the FCLA FTP server. The submission metadata for each ETD file will include a count of attached objects.
4. FCLA creates a bibliographic cataloging record (using information in the metadata files sent by RGP with the ETDs). FCLA sends a spreadsheet with Entity ID, author, title and embargo end

date to the DLUFETD list. C&M revises the cataloging record as needed and keeps track of the release status of restricted ETDs based on the embargo end date in the spreadsheet.

5. RGP can clear ETDs from their server at this point.
6. Library Archives receives written requests for extensions to restricted access (at any time). Archive staff notifies list as extension requests are received.
7. FCLA tracks renewal and release of restricted ETDs based on terms and dates encoded in the metadata in an internal tracker database. FCLA changes security of restricted ETDs and notifies the *DLUFETD* list on a monthly basis.
8. 10 business days after ETD spreadsheet is posted to *DLUFETD* by FCLA, Preservation communicates with FCLA and confirms that all internal FCLA processing on the ETDs has been completed. (Please see 2005 version of internal FCLA process for details at [http://www.uflib.ufl.edu/admin/ETD/policyandprocedures/2005\\_FCLA\\_UF\\_ETDs.pdf](http://www.uflib.ufl.edu/admin/ETD/policyandprocedures/2005_FCLA_UF_ETDs.pdf). Preservation and FCLA staff choose a mutually agreeable date to FTP electronic dissertations to UMI. On the agreed upon date, FCLA FTPs the ETDs to UMI. An email confirming that the files have been forwarded shall be sent to Preservation office staff.
9. To promote long term access to the intellectual contents of the ETDs and any attached objects, the Libraries will submit ETDs and all related content to the Florida Digital Archives. Full level preservation will be requested.

LINKS to note: (link verified as of February 2006)

- FCLA maintains a Web page documenting use of the ETDs at <http://www.fcla.edu/FCLAinfo/stats/etdcnt/etdfcla.html> )
- The Florida Digital Archive, an FCLA sponsored program, maintains a Web page at <http://www.fcla.edu/digitalArchive/index.html>
- CIRCA maintains a Web page on training and support for student submission of ETDs at <http://etd.circa.ufl.edu/index.html>
- RGP maintains a Web page on the entire Editorial process at <http://gradschool.rgp.ufl.edu/editorial/introduction.html> .
- The Library maintains a Web page for ETDs at <http://web.uflib.ufl.edu/committees/etd/default.html> . Copies of minutes from previous ETD Working group meetings can be found here.
- Acceptable ETD file formats available at [http://web.uflib.ufl.edu/committees/etd/policyandprocedures/accept\\_ETD\\_formats\\_0106.pdf](http://web.uflib.ufl.edu/committees/etd/policyandprocedures/accept_ETD_formats_0106.pdf)
- Email to the UF ETD policy group can be sent to [etd@uflib.ufl.edu](mailto:etd@uflib.ufl.edu)
- Emails regarding technical procedural details for specific graduating classes can be sent to the more focused listserv at [dlufetd@cns.ufl.edu](mailto:dlufetd@cns.ufl.edu)