ETD Policy & Procedures
Research & Graduate Programs/FCLA/Smathers Libraries
November 2008

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 of Florida in all formats. 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 twice a year, consists of staff from FCLA, the Libraries, Research and Graduate Programs, Academic Technology ETD training staff and invited guests. There are two email listservs associated with the working group, one general and broad and the other focused and technical. Details can be found below.

Procedure:

EACH SEMESTER:

1. After each semester’s graduation, Research and Graduate Programs (RGP) transmits the following items to UF Smathers Library Preservation Office:
   a. Combined Author/Title/Release date List: for management use, the list will includes all theses and dissertations, with the paper theses or dissertations marked “[PAPER]” and projects in lieu of thesis marked “[Project]” as well as the type of access restriction (if any) and date of worldwide release of the ETD. RGP provides a paper copy, and also sends an electronic copy via email attachment. This list is generated by the RGP Electronic Dissertation Management (EDM) system.
   b. UMI Doctoral Dissertation Agreement forms
   c. UF Rights & Permissions Forms (with original signatures) indicating any restrictions on access (AKA release date forms)
   d. Three part forms: only applies to paper submissions of 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 UF Rights & Permissions forms. Preservation notifies RGP when there is a discrepancy between the two and the EDM system release date information is changed to match what is found in the signed UF Rights & Permissions forms. If needed, a corrected version of the release date document is generated and distributed. RGP then sends electronic copies of the (corrected if necessary) release date document to FCLA, Preservation and C&M. Original Rights & 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 and, if the title
is a dissertation, the UMI release level. Starting in December of 2007, dissertation authors may select one of two UMI release levels:

a. Send ETD and associated metadata to UMI (UMI release level = “Yes”)  
b. Send metadata only to UMI (UMI release level = “abstract”)

NOTE: If UMI release level = “No”, title should be a thesis.

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 (date of worldwide release) to the DLUFETD list. C&M revises the cataloging record as needed. Records for 2 Year Secret ETDs do not display to the public until the restriction ends. For public view, C&M creates brief records that only contain author, adviser, degree, major, major department and release date.

5. RGP can clear ETDs from their server at this point.

6. FCLA creates a spreadsheet listing the number and type of attached objects (.jpg, .tiff, .xls, .mov, etc.) that accompany the PDFs and forwards it to the Preservation Office via email.

7. Preservation sorts into piles the UMI Doctoral Dissertation Agreement forms by the release date selected by author, as noted in the release date document. Forms that indicate a release date in the future are carefully labeled and filed in Preservation for eventual phased distribution to UMI.

8. Upon completion of FCLA internal procedures, FCLA will forward the following two sets of files to UMI immediately:

   a. All content (PDFs) and associated metadata from dissertation titles with release date of immediate and UMI release level = “Yes”.  
   b. All associated metadata from dissertation titles with UMI release level = “Abstract”, regardless of UF release date EXCEPT 2 Year Secret.

9. A spreadsheet with Entity ID, author, title and embargo end date shall be sent to the DLUFETD list, confirming when titles from 9a and 9b have been forwarded to UMI.

ONGOING:

1. 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 via an Excel spreadsheet containing UF Entity ID, author name, title, and graduation date on a monthly basis. FCLA forwards PDFs for dissertations now off restriction to UMI. Preservation will pull previously filed UMI doctoral dissertation agreement forms, match them against the monthly release spreadsheet, and forward the paperwork to UMI as appropriate.
2. Library Archives receives written requests for extensions to restricted access (at any time). Archive staff notifies DLUFETD list as extension requests are received.

3. 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: (links verified as of November 2008)

- FCLA maintains a Web page documenting use of the ETDs at [http://www.fcla.edu/FCLinfo/stats/etdcnt/etdfcla.html](http://www.fcla.edu/FCLinfo/stats/etdcnt/etdfcla.html)
- The Florida Digital Archive, an FCLA-sponsored program, maintains a Web page at [http://www.fcla.edu/digitalArchive/index.html](http://www.fcla.edu/digitalArchive/index.html)
- Academic Technology maintains a Web page on training and support for student submission of ETDs at [http://etd.helpdesk.ufl.edu/](http://etd.helpdesk.ufl.edu/)
- RGP maintains a Web page on the entire editorial process at [http://gradschool.ufl.edu/editorial/etd.html](http://gradschool.ufl.edu/editorial/etd.html)
- The Library maintains a Web page for ETDs at [http://web.uflib.ufl.edu/committees/etd/default.html](http://web.uflib.ufl.edu/committees/etd/default.html). Copies of minutes from previous ETD Working Group meetings can be found here.
- Email to the larger UF ETD policy group can be sent to 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