



THE ELECTRONIC THESIS AND DISSERTATION (ETD) PROCESS

INTRODUCTION

All University of Miami graduate students with a thesis requirement must complete an electronic thesis or dissertation (ETD) that will become part of the Scholarly Repository, scholarlyrepository.miami.edu/, administered by Richter Library. The ultimate goal of this process is for each graduate student to produce one final PDF of their manuscript that is uploaded to the Scholarly Repository by the end of the semester in which they wish to graduate. Once your ETD is added to the database, it is freely available on the internet via our locally hosted database, scholarlyrepository.miami.edu/ unless you have elected to temporarily restrict access. The University of Miami is also a member of the Networked Digital Library of Theses and Dissertations, ndltd.org, a web-hosted international federated database of theses and dissertations.

The ETD process can be painlessly navigated by students who plan ahead and are familiar with the information contained in this document and the document titled "Organization, Formatting, and PDF Conversion Guidelines for Theses, Dissertations, and Doctoral/Lecture Essays," available for download at <http://grad.miami.edu/electronic-thesis-and-dissertation/formatting-the-etd/index.html>.

THE ETD PROCESS

Step 1: Familiarize Yourself with the Process

At the start of the semester in which you plan to defend, visit the ETD Web site at grad.miami.edu for general information about preparing your dissertation or thesis and completing your submission. **Deadlines, formatting guidelines; downloadable templates for formatting the front matter, table of contents, and landscaped figures/tables; forms; links; and instructions on how to make a PDF of your manuscript in the document titled "Technical Guidelines for Preparing Electronic Theses, Dissertations, and Doctoral Essays" are also posted on the Web site grad.miami.edu.**

Step 2: Plan Ahead for Your Defense and Submission

Take note of what the deadlines are for defending and submitting your dissertation or thesis in time to graduate. The dates to keep in mind for the next four semesters are:

Semester you wish to graduate	Last date to defend	Deadline to submit full draft for formatting review	Deadline for producing final PDF	Deadline for completion
Fall 2016	November 4, 2016	November 18, 2016	December 7, 2016	December 14, 2016
Spring 2017	April 7, 2017	April 21, 2017	May 3, 2017	May 10, 2017
Summer 2017 (one session)	July 7, 2017	July 21, 2017	August 4, 2017	August 11, 2017
Fall 2017	November 3, 2017	November 17, 2017	December 6, 2017	December 13, 2017

Talk to your advisor/committee early in the semester about scheduling a date for the defense of your dissertation or thesis that will enable you to graduate on time.

Please note that the Graduate School does not guarantee graduation by the end of a semester if any of the above deadlines are not met. The following items must be completed by the final deadline in a semester to guarantee graduation in that semester:

1. Complete the formatting review with the Associate Director of Programs.
2. Convert the final draft in to a PDF that is approved for upload to the Scholarly Repository by the Associate Director of Programs.
3. Upload of the final PDF to the Scholarly Repository.

4. Submission of (1) the Certificate of Defense Approval form, (2) signed Signature page from the thesis or dissertation, and (3) signed ETD Availability Agreement form to the Graduate School. **All hard copy forms must have original signatures.** Doctoral students are also required to complete online surveys and the ProQuest agreement to complete their ETD submission.

E-mail the Defense Notice Form to the Graduate School

When you have decided upon a firm defense date, time, and location, download the Defense Notice Form online at <http://grad.miami.edu/policies-and-forms/forms/index.html>, print it out, fill in the information, have it signed by your main advisor, then scan and e-mail the form to grad.defense@miami.edu. The information on the Defense Notice Form will be posted as a public event on the Graduate School Web site, <http://grad.miami.edu/about-us/grad-events-and-calendar/upcoming-dissertation-defenses/index.html>.

Step 3: Submit a Predefense Draft for Review to the Associate Director of Programs (optional)

Students can submit a predefense draft of the manuscript to the Associate Director of Programs for review. The predefense draft of your document can be sent by e-mail (preferred) to the Associate Director of Programs at grad.dissertation@miami.edu at least 10 school days prior to your defense date.

The Associate Director of Programs can review a predefense draft in the form of (1) one Word file of the entire manuscript; (2) the entire manuscript separated into no more than 4 Word files; (3) one PDF of the entire manuscript (preferred); or (4) one hard copy of the entire manuscript. Electronic files can be e-mailed to grad.dissertation@miami.edu; a hard copy can be dropped off at the Graduate School, 1252 Memorial Drive, 235 Ashe Administrative Bldg., Coral Gables campus. If the draft in Word or PDF file is too large to send by e-mail, send a **Dropbox or Google Docs** link to grad.dissertation@miami.edu so the Associate Director of Programs can download your draft.

The Associate Director of Programs will review your manuscript to make sure it conforms to the Graduate School's formatting guidelines, available at <http://grad.miami.edu/electronic-thesis-and-dissertation/formatting-the-etc/index.html>. If revisions are needed, the Associate Director of Programs will e-mail comments to you regarding revisions to make.

Step 4: Forms to Bring to the Defense

Before your defense date, the **Certificate of Defense Approval** form should be downloaded from <http://grad.miami.edu/policies-and-forms/forms/index.html>, printed out, filled in by the student, and brought to the defense for each member of the committee to sign after a successful defense. Students should keep the form on file after the committee signs it; you will be required to submit one completed, original form to the Graduate School with the final materials after a final, Associate Director of Programs-approved PDF has been uploaded to the Scholarly Repository.

Some committees allow students to bring the **Signature Page** from the dissertation or thesis to the defense for signing by committee members after the defense. If your committee allows this then you should print out the Signature Page from your manuscript and bring that to the defense, too, for your committee to sign. **If you have the Signature Page signed at the defense, it is recommended that you send the Signature Page to the Associate Director of Programs before the defense for review to ensure that the page is formatted correctly and that there are no typos or other errors on the page.** If there are errors on the page, the committee may not sign the Signature Page on the day of the defense and you might have to re-obtain signatures from the committee members after revising the page to their satisfaction. Students are responsible for obtaining signatures from all committee members on the page; however, the Associate Director of Programs will obtain the Dean of the Graduate School's signature for students after you have completed your ETD and turned in the final materials to the Graduate School.

Step 5: Post-Defense Revisions and Second Review by Associate Director of Programs

After you have successfully defended, make any changes recommended by your committee in the draft in addition to those requested by the Associate Director of Programs if you received a predefense review of the manuscript. Submit the revised, post-defense draft to the Associate Director of Programs one week after your defense for the post-defense review.

The Associate Director of Programs will review the manuscript to make sure it conforms to the Graduate School's formatting guidelines, available at <http://grad.miami.edu/electronic-thesis-and-dissertation/formatting-the-etd/index.html>, and e-mail comments to you regarding revisions if any are needed. The Associate Director of Programs can review a post-defense draft in the form of (1) one Word file of the entire manuscript; (2) the entire manuscript separated into no more than 4 Word files; (3) one PDF of the entire manuscript (preferred); or (4) one hard copy of the entire manuscript. Electronic files can be e-mailed to grad.dissertation@miami.edu; a hard copy can be dropped off at the Graduate School, 1252 Memorial Drive, 235 Ashe Administrative Bldg., Coral Gables campus. If the draft in Word or PDF file is too large to send by e-mail, send a **Dropbox or Google Docs** to the Associate Director of Programs, grad.dissertation@miami.edu, for review.

Several iterations of review at this stage of the process may be needed before a manuscript is deemed final, so factor into your planning the amount of time this step might take. The goal is to correct all formatting issues in the original word processing file(s), after which the final file(s) will be converted into one PDF of the entire manuscript that must be approved for upload to the Scholarly Repository.

Step 6: Upload the PDF to the Scholarly Repository

No further edits recommended by the Associate Director of Programs? You will be instructed by e-mail to make one PDF of your manuscript, if you have not already done so, for upload to the Scholarly Repository within 48 hours.

Note that it is a technical requirement of the Scholarly Repository that all fonts must be embedded and subset in each PDF uploaded. Instructions on how to create a PDF that meets these requirements are available on the Richter Library site at <http://sp.library.miami.edu/subjects/etd>.

Do not create an ETD page or upload your document until you have been instructed to do so by the Associate Director of Programs.

Making the PDF

If you need assistance with making the PDF, **visit the ETD Support team's Web site, <http://sp.library.miami.edu/subjects/etd> for conversion guides, troubleshooting tips, and appointment scheduling with an information specialist.** The ETD Support team in Richter Library can be reached at (305) 284-4811, or by e-mail dfs@miami.edu.

Access to Adobe Acrobat Professional

The ETD Support team in Richter Library has Adobe Acrobat Professional available. Students also report having obtained a 30-day free trial download of Adobe Acrobat Professional on their personal computer via the Web for creating the final PDF of the manuscript.

Also, your department can download Adobe Acrobat Pro to a UM computer, free of charge, by accessing the link http://www.miami.edu/it/index.php/services/adobe_acrobat_professional/. The download site is for University-owned computers on the Coral Gables, Medical, and Marine campuses.

Step 7: Submit Final Materials to Graduate School after Upload

The items below should be delivered to the Associate Director of Programs at the Graduate School, 1252 Memorial Drive, 235 Ashe Administrative Bldg., Coral Gables campus, after you have uploaded your final PDF to the Scholarly Repository.

Final materials delivered in person to the Graduate School should be dropped off before 4:30 p.m., Monday through Friday. Please call the Graduate School, (305) 284-4154, before coming to make sure we are open.

All Master's and Doctoral Students

At the bottom of the ETD Availability Agreement form you will find a checklist to help you keep track of the various items you are required to submit to the Graduate School to complete your ETD submission.

NOTE:

- **All submitted forms must have original signatures on them.** Electronic, scanned, or faxed signatures are not accepted.
- **Do not scan the signed Signature page into your final PDF.** For legal reasons we do not display actual signatures on the internet. The Signature page must be in the final PDF but the page should be displayed without actual signatures on it.
- **Students are required to obtain only their committee members' signatures.** The Associate Director of Programs will obtain the Dean of the Graduate School's signature for students.

One week after you have uploaded your PDF to the ETD database, graduate students must submit to the Graduate School the following hard copy documents and other items:

1. Certificate of Defense Approval Form (All Students; Frost School of Music and RSMAS students, see below**)

This form is available for download from the ETD Web site, <http://grad.miami.edu/policies-and-forms/forms/index.html>. Your chair and committee members should sign one certificate on the day of your successful defense. The signed form is your proof that you successfully passed the defense. Students are responsible for obtaining the signatures of their committee members; the Associate Director of Programs will obtain the Dean of the Graduate School's signature for each student. Submit the document to the Associate Director of Programs as part of the final, complete submission package. Do not mistake this form for similar forms your department may use. You do not have to staple a copy of the Abstract to this form when you submit it.

NOTE:

- **The student is responsible for turning this document in to the Graduate School at the time of the final submission. Do not turn in this or any other important documents prior to making your final submission. Your department should not submit this certificate on your behalf.**
- Be sure to type the committee members' names next to their signatures so that the certificates can be processed properly. The Graduate School requires original signatures on this form. Electronic, scanned, or faxed signatures are not accepted.
- **** Frost School of Music and RSMAS students should consult their respective Graduate Studies Office about the Certificate of Defense Approval form.**

2. Signature Page (All Students)

A template is available from <http://grad.miami.edu/electronic-thesis-and-dissertation/formatting-the-etd/index.html> for you to download and use in your document. Master's and doctoral students are required to submit **one** original Signature Page printed on regular white paper to the Graduate School. The signed Signature page is the student's proof that the committee approved the final content of the thesis or dissertation. Students should obtain the signatures of their committee members; the Associate Director of Programs will obtain the Dean of the Graduate School's signature for each student. The Dean of the Graduate School will sign up to five additional Signature Pages for students who would like extra copies of the Signature Page for their own use. After the Dean signs the Signature Page, the Associate Director of Programs will scan the signed Signature Page for your permanent school records then return the original to you if you provide a large-sized, self-addressed, stamped envelope with the appropriate amount of postage on it when you submit your other final materials.

Please format the Signature page exactly like the template, checking for correct capitalization of the heading and title, proper spacing, correct spelling of each committee member's name, accurate title, and highest degree earned. **Your Signature Page MUST NOT have any spelling or formatting errors before it is signed.** The Graduate School requires original signatures on this form. Electronic, scanned, or faxed signatures are not accepted. **Students can submit the Signature Page to the Associate Director of Programs by e-mail at grad.dissertation@miami.edu** for review before obtaining signatures from committee members.

3. Electronic Thesis and Dissertation (ETD) Availability Agreement Form (All Students—student's and chair's signature required on form)

All Master's, D.M.A., Ed.D., and Ph.D. students must complete and submit this form to the Graduate School. The form informs the Graduate School which availability option you and your advisor have selected for your ETD in the Scholarly Repository. You should discuss with the major thesis, doctoral essay, or dissertation advisor what availability option is appropriate for your ETD and indicate a selection on the form. **This form is required by the Graduate School and must be signed by you and your committee chair- and co-chairperson (if applicable) for submission to the Associate Director of Programs with the final materials. The form will be e-mailed to you by the Associate Director of Programs with the permission-to-upload e-mail and is available for download from <http://grad.miami.edu/policies-and-forms/forms/index.html>.**

4. Survey of Earned Doctorates (SED) Survey (Ph.D., D.M.A., and Ed.D. Students only)

Ph.D., D.M.A., and Ed.D. students must complete the SED Survey online, <https://sed-ncses.org>. A link to the SED Survey is also available at <http://grad.miami.edu/electronic-thesis-and-dissertation/post-defense-essentials/index.html>, and in the checklist at the bottom of the ETD Availability Agreement form.

Make sure you cc the Graduate School, grad.dissertation@miami.edu, with an e-mail informing us that you filled out the SED Survey. A forwarded copy of the e-mail confirmation you received from SED upon completion will also be accepted.

5. UM Exit Survey (Ph.D., D.M.A., and Ed.D. Students only)

Ph.D., D.M.A., and Ed.D. students must complete the UM Exit Survey online. The Associate Director of Programs will send you the link to the UM Exit Survey by separate e-mail at the time you receive the permission-to-upload email.

6. ProQuest/UMI Publication Agreement Requirement (Ph.D., D.M.A., and Ed.D. Students only)

Besides publication of your dissertation in the UM ETD database, doctoral students are required to publish their manuscript with a second outlet, ProQuest/UMI Dissertation Publishing. The ProQuest/UMI publication agreement must be submitted online by all doctoral students. **The ProQuest agreement is similar to the upload made in the UM Scholarly Repository and requires a second upload of the final PDF file.** There is no charge for submitting this publication agreement. A fee is charged, however, if you engage ProQuest/UMI to handle the official copyright of your manuscript. The link to ProQuest/UMI can be found at <http://grad.miami.edu/electronic-thesis-and-dissertation/post-defense-essentials/index.html> and in the checklist at the bottom of the ETD Availability Agreement form.

COPYRIGHT (Ph.D., D.M.A., and Ed.D. Students only)

Publishing to Databases

When it's time to publish your ETD, you will upload in two places: the University of Miami Scholarly Repository and the ProQuest Dissertations and Theses database. The Scholarly Repository provides a publicly available, searchable, full text repository of UM theses and dissertations. The ProQuest Dissertations and Theses database contains dissertations and theses from universities around the world and is subscribed to by thousands of libraries.

Dissertations and Copyright: To Register or Not to Register

You do not need to register with the Copyright Office in order to retain copyright in your work. Copyright is automatic once a work is in fixed form.

For some, there may be benefits to registering your work. You are required to have registered your work if you were to try to sue for infringement of copyright. Registration also allows you to sue for statutory damages (rather than just actual). However, this is often more of a concern to authors of creative works rather than scholarly works.

When you deposit your dissertation with ProQuest, you will be given an opportunity to register your copyright for a fee. The University of Miami does not require that you register your dissertation with the Copyright Office. If you would like to register your copyright at a later date, you can do that by registering directly with the Copyright Office: <http://www.copyright.gov/eco/>.

See the Libraries' page on copyright here: <https://library.miami.edu/copyright/>.

The Graduate School does not require students to copyright their thesis or dissertation. The decision to copyright belongs to the student.

Bound Copies

The Graduate School no longer collects hard copies of students' manuscripts for binding so obtaining a bound copy of the thesis or dissertation is the student's decision. Currently, the only printer the Graduate School refers students to for a hard cover, non-cloth binding is **ia Digital Print**, www.iadigitalprint.com, on the Marine Campus, Key Biscayne. The address is 4600 Rickenbacker Causeway, South Wing, Miami, FL 33149-1031; phone (305) 421-4184.

If you are printing the bound volume from the final PDF of your document, make sure you ask the binder to print the manuscript on one side of the paper only because your document is formatted for one-sided printing. The left margin in a bound volume printed on both sides of the page will not produce a volume that is uniform in appearance due to the 1.5-in. left margin. You won't be happy with the way the bound volume looks if it is printed on both sides of the paper due to the offset left margin.

Doctoral students will have an opportunity to order bound copies from ProQuest when you complete the ProQuest agreement online. However, DO NOT order bound copies from ProQuest without first asking ProQuest whether the manuscript will be printed on one or both sides of the paper. In the past, ProQuest has printed bound copies on both sides of the paper only. You should call and ask if this has changed before placing an order. ProQuest's phone number is 1 (800) 521-0600.

**University of Miami, Graduate School
1252 Memorial Drive
235 Ashe Administrative Building
Coral Gables, Florida 33146
Phone: (305) 284-4154
e-mail: grad.dissertation@miami.edu**

Web site: grad.miami.edu