Staff Instructions for Processing Student ETDs

Pre-Defense

1. Each School should establish their own ETD upload and paperwork deadlines in concert with the graduation certification date. Deadlines should be set at least three weeks prior to the graduation certification deadline so staff have ample time to handle a significant number of ETDs submitted at the last minute. **ALL DEADLINES SHOULD BE FINAL. You must set the date before the start of classes and email your dates no later than the first day of classes to ETD Feedback** (etd-feedback@mail.pitt.edu).

2. Send notices to students/departments/programs regarding deadlines for applying for graduation each term.

3. When the student applies for graduation, give the student a "graduation packet." (This packet should contain a blank copy of the ETD Approval form, information on creating keywords, copyright information, copyright permission letter instructions, deadline submission dates, relevant departmental graduation paperwork information, etc., and for doctoral students, the UMI ProQuest author agreement form, and the link and instructions to complete to the online Survey of Earned Doctorates.) See the instructions for Online Survey of Earned Doctorates (SED) for ETD Staff for details on the online survey.

Post-Defense

4. The student brings all necessary hard-copy documents to the staff. Use the checklist on the last page of the ETD Approval Form to verify that all necessary documents have been received, or if the school or program has added materials, use the school or program checklist. Check all paperwork to ensure that it is filled out properly.

5. If a student believes some of the work described in the thesis or dissertation is patentable and has submitted an Invention Disclosure Form to the University Office of Technology Management, then the student can request that the ETD be withheld, i.e., kept secure and unavailable to any readers, for one year. The student must submit a “Request to Secure an ETD for One Year for Patent Purposes Form” (also known as the patent approval form). The student services coordinator should send the patent approval form signed by the student and the thesis advisor/dissertation director for review to Stephanie Hoogendoorn by email at hoogen@pitt.edu or in hard copy to 809 CL. The Office of the Provost will confirm that an Invention Disclosure Form has been filed and, if so, will approve and return a signed patent approval to the student services coordinator. The student services coordinator must submit a signed patent approval form along with other ETD paperwork to the Registrar’s Office.

6. Verify that the student has signed Part A on the second page of the ETD Approval Form and that the student and the thesis advisor or dissertation director has signed Part B on the second page of the ETD Approval Form.

7. Log on to D-Scholarship@Pitt, the University of Pittsburgh’s institutional repository in which all ETDs are deposited. To review the student's ETD, you may select “view” . To edit any incorrect information in the record, select “edit” .
   a. Compare all of the student's vital information--name, e-mail address, degree, program, and school--that appears on the ETD Approval form with what the student has entered in the online record in D-Scholarship@Pitt.
   b. Compare the title of the thesis or dissertation as shown on the ETD Approval Form with what the student has entered online.
   c. Check the committee information—make sure that all the names that appear on the first page of the ETD Approval Form also appear in the online record and that each committee member has signed and dated the first page of the ETD Approval Form. Make sure that each committee member’s e-mail address is listed in the online record.
   d. Check for correct spelling of the title, names, committee members, and other important information, in both the online record and the ETD itself. You are the final check for accuracy prior to the ETD being approved. The title of the ETD, the abstract, and all personal names must be entered in mixed case. Regardless of the convention in any discipline, the title of the ETD should never appear in all capital letters in the online record in D-Scholarship@Pitt.
   e. Refer to the Staff Check List to make sure the ETD contains all the basic minimum requirements.
   f. The ETD should conform to the ETD Format Guidelines Manual unless the field, department, or school dictates more specific requirements.
g. Compare the Access option chosen by the student online with the Access option selected on the second page of the ETD Approval Form.

h. Compare the Patent Pending option chosen by the student online with the Patent option selected on the second page of the ETD Approval Form. The patent approval form must be approved by the Office of the Provost (see item 5 above) in order for the option to withhold the ETD for one year to be chosen.

i. Make sure that the file is no larger than 30MB. To check the file size, go to “Edit” the online record in D-Scholarship@Pitt and click on the “Upload” tab. From the upload screen, you will see the document(s) attached to the online record. Under the document icon, you will see the file size for each document uploaded. If the size is greater than 30 MB, send a note to etd-feedback@mail.pitt.edu asking for a technical review of the document before approving it.

j. If there are any discrepancies, send the student a detailed email listing every issue concerning items 7 a-h. Ask the student to submit a corrected ETD and to notify you when it has been submitted. Review the corrected ETD again, following the steps in section 7. Continue with this process until the ETD is correct. The final, corrected ETD and all supporting documents must be submitted and approved prior to the school submitting the final certification list to the Registrar’s Office for the degree. If the student does not complete the ETD and paperwork by the final deadline established by the school, the student must not be certified for graduation.

Graduation Certification and ETD Approval

8. After reviewing the student records, send to the Office of the Registrar the final certification list.

9. Once certification has been confirmed, start approving ETDs. ETDs must be approved and supporting documents sent to the Registrar’s Office by the deadline established by the Registrar’s Office each term.

a. If there are no discrepancies and all supporting materials have been received, approve the ETD. From the “View” screen in D-Scholarship@Pitt, select “Move to Repository” for ETDs that do not have patents pending. (For ETDs that should be withheld for patents pending, see the “Students with approved patent” section below.) D-Scholarship will automatically generate an e-mail message to the student, the committee members (if their e-mail addresses have been provided in the online record), and the ETD reviewer, indicating that the ETD has been approved. You may forward this message to others who should receive notification of the ETD’s approval and use this e-mail as the ETD Approval Confirmation E-mail (formerly known as the ETD approval confirmation sheet).

Once you click on the “Move to Repository” button, the ETD will be publicly accessible through its permanent URL according to the Access option selected.

b. Print out a copy of the e-mail message that indicates the ETD has been approved. This message states that the ETD has been approved, includes the ETD URL, gives the date of approval, and lists any access restrictions recorded for the ETD. This will serve as the ETD Approval Confirmation E-mail. Print 2 copies of the e-mail for MA/MS/HONOR’S College and 3 copies for PhD.

c. Send the following forms to the Registrar’s Office:

**UNDERGRADUATE THESES (HONORS COLLEGE):**

- Copy of transfer sheet with the names of students for whom the $20 processing fee was paid by the Honors College
- Copy of ETD Approval Confirmation E-mail with ETD URL (approval e-mail message generated by D-Scholarship)
- Title page
- Abstract (not initialed)

**MA/MS:**

- Copy of ETD Approval Confirmation E-mail with ETD URL (approval e-mail message generated by D-Scholarship)
- Copy of receipt for $20 processing fee
- Title page
- Abstract with advisor’s initials in upper right-hand corner
PhD:

- Copy of ETD Approval Confirmation E-mail with ETD URL (approval e-mail message generated by D-Scholarship)
- Copy of receipt for $85.00 processing fee
  - Include title page and abstract with advisor’s initials in upper right-hand corner attached
- ProQuest/UMI agreement form
  - Include title page and abstract with advisor’s initials in upper right-hand corner attached
  - If relevant, include any copyright permissions
  - If relevant, include certified checks or money orders for extra services (copyright and copies of bound dissertation)
- Survey of Earned Doctorates (SED)
  - Submit either a copy of the email or the certificate of completion to the Registrar’s Office, along with the other required documents for each graduating doctoral student. (See instructions for Online Survey of Earned Doctorates (SED) for ETD Staff)

d. Schools/Programs should keep a copy of all documents sent to the Registrar’s Office in the student’s departmental file. Here are the copies to keep, listed by degree type:

UNDERGRADUATE THESES (HONORS COLLEGE):

- ETD Approval Form
- Copyright permission letters from copyright owner(s) submitted by the student
- Software permission letters from software owner(s) submitted by the student
- Copy of transfer sheet with the names of students for whom the $20 processing fee was paid by the Honors College
- Copy of ETD Approval Confirmation E-mail with ETD URL (approval e-mail message generated by D-Scholarship)
- Title page
- Abstract (not initialed)

MA/MS:

- ETD Approval Form
- Copyright permission letters from copyright owner(s) submitted by the student
- Software permission letters from software owner(s) submitted by the student
- Copy of ETD Approval Confirmation E-mail with ETD URL (approval e-mail message generated by D-Scholarship)
- Copy of receipt for $20 processing fee
- Title page
- Abstract with advisor’s initials in upper right-hand corner

PhD:

- ETD Approval Form
- Copyright permission letters from copyright owner(s) submitted by the student
- Software permission letters from software owner(s) submitted by the student
- Copy of ETD Approval Confirmation E-mail with ETD URL (approval e-mail message generated by D-Scholarship)
- Copy of receipt for $85.00 processing fee
  - Include title page and abstract with advisor’s initials in upper right-hand corner attached
- ProQuest/UMI agreement form
  - Include title page and abstract with advisor’s initials in upper right-hand corner attached
  - If relevant, include any copyright permissions
  - If relevant, include certified checks or money orders for extra services (copyright and copies of bound dissertation)
- Copy of the email or the certificate of completion of the Survey of Earned Doctorates (SED), along with a copy of the other required documents for graduating doctoral students.
Students with an approved patent

Once the ETD has been reviewed and the final version is available in D-Scholarship, the ETD must be approved. Select the button “Move to Dark Archive,” which withholds the ETD in a non-publicly viewable section of D-Scholarship for 1 year. The withholding for patent pending is valid for only 1 year. After the year has passed, the ETD is automatically released. Access to the ETD is available according to the option selected by the student at the time of submission, e.g., unrestricted access, worldwide access, or University of Pittsburgh Only access for up to 5 years (of which the withholding period counts as the first year).

During the 1 year that the ETD is withheld from publication, all paperwork relating to the ETD remains in the school. Once the ETD is released from withheld status and released in D-Scholarship, all paperwork—including the approved patent form initialed by the Provost Office—must be sent to the Registrar’s Office with the rest of that term’s graduates. At that point, either the MA/MS or PhD paperwork should be submitted in accordance with 9c.

Schools/Programs should keep a copy of all documents sent to the Registrar’s Office in the student’s departmental file, in accordance with 9d. While the approved patent form is submitted to the Registrar’s Office, a copy should be kept in the student’s department file.

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jhb/Office of Scholarly Communication & Publishing/ULS