Policies, Standards & Procedures for an ETD Programme

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ETD success is dependent on a good mix of:

- Empowering policies
- Clearly defined roles
- Adequate resources
- Streamlined procedures and workflow integrated with...
- Good IT infrastructure
Start with the “Wisdom” of the plan

- Our theses and dissertations are proof of excellent research work done at high cost for the university as well as for the country: they deserve to be read widely.

- University no longer just a consumer of information but also a supplier (the knowledge management perspective).

- The internet is currently the most appropriate medium to accomplish this.

- We are in good company with major universities worldwide.
Base it on sound principles

• We support open access, open source and open standards
• It should be a university initiative
• Aligned to international movement
• Stay within university IT architecture and other systems such as rules and regulations
• 80/20 principle
• Use existing resources to the full
• Integrate as much as possible
Create empowering policies and rules

Definition

• A policy is a general guide that establishes parameters for making and implementing decisions. It diminishes uncertainty, promotes coordination and integration and helps to create consistency. It shows commitment and lends authority.

• It should be both flexible and stable

• Think through the long term implications of your policies

• Consider sustainability in terms of resources needed

• Policies need to be revisited and revised continuously to keep pace with new circumstances
Create empowering policies and rules (2)

**General institutional policy on ETDs**

- Compulsory submission
- Align with university policy structure and attitude towards policy
- Integrate with general thesis/dissertation regulations
- E-only or do you still expect paper copies?
- Inform all role players about the policy change
ceremony at which the degree is to be conferred.

(i) In addition to the copies mentioned in G.57.4(f), each successful student must submit a bound paper copy as well as two electronic copies of the approved dissertation/thesis to the Head: Student Administration in the format specified by the faculty and in accordance with the minimum standards set by the Academic Information Services (AIS) [see http://upetd.up.ac.za/authors/publish/standards.html#specs] at least one month prior to the graduation ceremony at which the degree will be conferred, failing which the degree will not be conferred.

5. Progress reports
   (a) The supervisor reports once a year in writing to the head of department on the progress of his/her candidate.
   (b) The head of department annually submits a report to the Postgraduate Committee on the progress of all of the postgraduate students in the department.
   (c) Once a year the Postgraduate Committee submits a general report on postgraduate matters to the faculty board.

6. Intellectual property
   (a) All rights in regard to intellectual property that is produced by a student during his/her studies or as a result of any research project conducted at the University or through the use of the equipment of the University, vested in the University, in terms of the contract entered into by the student and/or his/her parents or guardians at registration. This stipulation applies inter alia where the student works under study guidance or as a member of a project team of the University. It also applies where the student does contract work for a third party as a member of a research
Create empowering policies and rules (3)

Collection policy

• What to include: M, D, research only?
• Starting from a certain date or doing retrospectively?
• Open access options
• Formats: main format and other supported formats, multimedia
• How to deal with embargoes
Create empowering policies and rules (4)

Submission policy

• Self-submission or not

• Where to submit: Faculty or P-G Admin Office, ETD Office

• When to submit: after correction

• When to make available on web: after graduation /after one year

• Documentation

• Service level agreements (later)
Create empowering policies and rules (5)

Access policy

• General adherence to open access
• Different access options for different circumstances
• How to deal with embargoes
• System availability
• Inclusion in library catalogue and other databases
• OAI compliancy and harvesting
Create empowering policies and rules (6)

Other issues that may need policy

- Privacy
- Fees
- Quality
- Metadata
- Back-ups and archiving
- Management Information: What do we collect? How? What do we use it for?
Minimum standards for ETDs

**Standards** represent common agreements that enable communication

- General file format = PDF
- File size
- Naming convention
- Security
- Metadata: keywords, names of departments ....
Identify and clarify roles

• STUDENT
authors the ETD, converts it to PDF (?), responsible for submission

• SUPERVISOR
certifies the quality of the ETD and gives permission for the selected level of access

• FACULTY OR P-G ADMINISTRATION
manages the examination process within regulations

• UNIVERSITY LEADERSHIP
responsible for policy, sponsorship and resources in general
Identify and clarify roles (2)

- **LIBRARY**
  provides a home for the ETD office, provides resources, helps with marketing

- **IT DEPARTMENT**
  guarantees system availability

- **ETD STAFF**
  manage the ETD process, review, enhance, add security, do quality control, approve, liaise with stakeholders, train students, maintain web site, do marketing
Model and streamline processes and workflow

**Workflow** is the representation of a “predictable” and (at least somewhat) structured *business process*

- during which **tasks, documents** and **information**
- are passed from one **participant** to another for **action**
- according to a set of procedural **rules**
- in order to meet a specific **objective**
- within a specific **time frame**.
- Part or all of it may be **automated**.
Three good reasons to take Workflow seriously

1. Resource constraints will necessitate a high level of efficiency.

2. Uneven inflow needs to be balanced with service level agreements for smooth output and priority demands.

3. You will have to manage a complex work environment.
Workflow design elements

• **Task** = what needs to be done at this stage of the process

• **Role** = the set of knowledge/skills/responsibilities needed to complete the task

• **Trigger** = the event that alerts you to the incoming task

• **Information** = necessary to complete the task

• **Added value** = the positive change that was brought about by performing the task and which is the actual reason for doing the task
Workflow design elements (2)

- **Status** = after the task was performed
- **Route** = direction of the flow and the “vehicle”
- **Rules and service level agreements** = practical interpretation of general policies
- **Interaction** = between various role players
- **Messages** = to be distributed after completing the task
Life Cycle of an ETD

Student thesis work

Research → Write Thesis or Dissertation → Defend → Submit to etd.vt.edu

Steps after submitting an ETD

Local server receives ETD → Graduate School Reviews/Approves ETD → Users Access ETDs → Library Catalogs ETD

Student Graduates

NDLTD
Compulsory submission of PDF files directly on web or on CD
Service Level Agreements

Service level agreements are formal or informal ‘contracts’ describing the expectations between parties and the way in which these will be fulfilled

- what service will be rendered
- what will it cost
- when (how soon) will it be done
- how will you be informed
- how will a breakdown in service be corrected
Automating workflow

• Automated workflow provides the participants with a computerized work environment. In most cases, it will automatically launch the correct tool for the correct task, and it will assist the users with additional information so that they can be more effective at their job.
An automated workflow system should facilitate the process in the following ways

- Notify a participant that work is at hand
- Provide the user with the proper tools to do the work
- Provide the tool with the necessary information already flowing
- Allow the user to see where his task fits in
Automated workflow built into the ETD-db system helps the student to complete the submission task in the correct order and with the necessary tools and information available.
ETD-db

ETD Status

Merk asb hier indien u kommunikasie in Afrikaans verkies  

Please enter the following information (in English) as you want it to appear on the title page.

All fields on this page are required: you will not be allowed to continue the process unless they are filled in.

Personal Information

Surname

First Name(s)

Title

Profs.  Dr.  Mr.  Mrs.  Miss.  Ms.  

Email

Example: marie.botha@hakuna.up.ac.za, vkhumalo@mweb.co.za
Recording title page information

ETD Status

You have now created a record for your etd and entered your basic information (Author, Title, Keywords, Abstract, etc.).

Items in red represent information that must be added or changed before your etd can be approved.

- Start Over
- View Main Record
- Update Main Record
- Add Supervisor Information
- Add File Information
- Log Out

Get Help submitting your etd

Having problems? Get help using the submission process.
Manage Files

ETD Status

Items in red represent information that must be added or changed before your etd can be approved.

- Start Over
- View Main Record
- Update Main Record
- Add Supervisor Information
- Add File Information
- Log Out

Get Help submitting your etd.

Manage Existing Files

There are no files currently associated with this etd. Use the form below to add files.

Add New Files

Use this form to upload files to be associated with your etd.

**Note:**
You may experience problems if your files take longer than a half hour to upload. If you are uploading large files, try adding one at a time.

If you are experiencing problems uploading your files, take a look at uploads help.

Files to be uploaded

[File Browse]
ETD admin staff are alerted to the appearance of newly submitted etds as well as messages from students.

N indicates that a notice has been sent to the author of an ETD. R indicates that a response has been received from the author.

There are 24 ETDs waiting to be approved.

<table>
<thead>
<tr>
<th>Author Name</th>
<th>Title</th>
<th>Document Type</th>
<th>Degree</th>
<th>Date</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strydom, Cornus</td>
<td>Modulayer-Berea Park Learner's Resource Centre</td>
<td>dissertation</td>
<td>MArch (Prof)</td>
<td>2003-11-20</td>
<td>View</td>
</tr>
<tr>
<td>Human, Martie</td>
<td>Encore - performing arts centre</td>
<td>dissertation</td>
<td>MArch (Prof)</td>
<td>2003-11-21</td>
<td>View</td>
</tr>
</tbody>
</table>
Functionality for quality control and approval is available on the system.
Your Message to the Author

Antoinette Ek sien die e-pos adres is joune en veronderstel dat jy seker met die student in verbinding is. Baie dankie hiervoor solank. Jy is seker bewus dat daar nog geen lêers opgelaai is nie en dat die studieleier se naam ook nog nie by is nie? Wat my ook opval is dat die Abstract sonder paragrawe is. Is dit so, of het hy vergeet om dit met te verdeel? Groete Monica

Response from Author

Die res vabn die leers is nou gelaai asook die studieleier. Die abstract is ook nou in paragrawe verdeel. Hoop dit lyk nou beter.

Add or update notice information.

Remove notice information.

Date of 0000-00-00
When the etd is approved a message will be sent to the student, the supervisor and all other role players.
Key benefits of workflow

- Improved efficiency
- Aligning of resources
- Correct level of staffing
- Managing work complexity
- Accelerate and facilitate collaboration
- Leverage knowledge across organisation
Key benefits of workflow (2)

• Improved customer service

• Flexibility for redesign in line with changing business needs

• A tool for diagnosing problems and for business process improvement: streamlining and simplification and the elimination of cumbersome, wasteful processes

• Useful to influence the process and policy
University of Pretoria Electronic Theses and Dissertations

Welcome to the University of Pretoria electronic theses and dissertations service

→ search the UPeTD collection
→ browse the UPeTD collection
→ access to UP theses and dissertations in paper format
→ other etd collections worldwide
→ submit your thesis or dissertation

Database pages should be viewed in Internet Explorer

UPeTD for
→ Access to UP theses
→ UP student guidelines and support
→ Access to the submission system

You are here > UPeTD Home

NEWS
Electronic submission is compulsory for all post-graduate students who have registered since January 2004.
Guidelines for students

It is compulsory for all UP students to submit electronic copies of their theses or dissertations (see General Regulation G57.4.(i) - page 24).

To support you in this task we have put together a package of resources to assist you with the research and authoring stage and with the submission stage.

Please contact us if we can be of further assistance to you.
**UPeTD FORM FOR SUBMISSION OF ELECTRONIC THESIS/DISSERTATION**

TO BE COMPLETED BY STUDENT:

1. **Surname:** 
   **Initials:** 
   **Title:**

2. **Student number:** 
   **Month/Year studies completed:**

   **E-mail address:**

   **Contact numbers:** 
   **Telephone ( )** 
   **Cell ( )**

   May your e-mail address be made available on the UPeTD web site? Yes / No

3. **Degree:** 
   **Faculty:**

   **Department:** 
   **Supervisor:**

   **Co-supervisor:**

4. (a) Are there parts of your thesis/dissertation that must be treated as confidential?
   (b) Are you still in negotiations with publishers?
   (c) Are you in the process of patent right clearance?

5. **Copyright declaration**
### Submission guidelines

Once your thesis/dissertation has been examined and all the necessary changes made, you may start the publishing process which will consist of the following steps:

1. Read through the [etd standards](#) and change the Word/Wordperfect document(s) accordingly.
2. Convert the Word/Wordperfect file(s) to PDF and do a thorough check afterwards.
3. Add navigation features to your file(s) in the form of bookmarks, links and thumbnails according to the instructions if this was not done automatically.
4. Do not set the security settings: this will be done by the UPeTD administrators.
5. Complete the submission form (download and printout in either English or Afrikaans). Request your supervisor and the faculty administration to certify that your thesis/dissertation has been accepted.
6. Submit the PDF and Word/WordPerfect copies of your thesis/dissertation to the faculty administration with the submission form.
7. Even better, submit it electronically on the web yourself by following these steps.
Etd standards: minimum specifications

Minimum specifications apply to

- Document format
- File size and name
- PDF security
- Names of faculties, schools and departments

Theses/Dissertations which do not meet these basic standards will not be made available outside the UP domain.

Document Format

Every student should submit
Convert files to PDF and add navigation

Converting MS Word files to pdf: Tutorial 1

Converting CorelDRAW files to pdf: Tutorial 2

Adding navigation (bookmarks, links, thumbnails) to pdf files: Tutorial 3

An excellent set of tutorials created by the Ohio State University, Technology Enhanced Learning & Research is available at http://etd.vt.edu/etd tutorials/tutorialindex.html. These include:

1. Read and electronic thesis or dissertation
2. Create a PDF file
3. Modify a PDF file
4. Add PDF navigation to an ETD
5. Add multimedia

Converting LaTeX files to pdf

LaTeX-to-pdf How-To (Ringlord Technologies Publications)
ceremony at which the degree is to be conferred.

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A.6 PUBLICATION OF THESSES AND COPYRIGHT

A.6.1 Copyright
A.6.1.1 No person will be admitted to study for a Master’s or Doctoral degree in the University unless he/she has ceded his/her future copyright in any research report or thesis submitted by him/her for the purposes of said degree. Such cession shall be in the form set out below and shall be signed by the candidate.

I …………… hereby cede to the University of the Western Cape the entire copyright that may in future subsist in any research report or thesis submitted by me to the University in partial fulfilment of the requirements for the degree of …………… in the department of ……………

A.6.1.2 Any author who wishes to have the ceded copyright restored to him/her, may apply to the University’s Registrar in writing, giving full reasons, whereupon the University, on such terms and conditions as it deems fit, may cede such copyright back to the author.

A.6.2 Publication
A.6.2.1 The University may, upon application by the author, grant permission for the whole or part of such work to be published, subject to such conditions as the Senate may set from time to time. These may include the following….
Thank you for your time and attention!

You are welcome to contact me at

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