



# ***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 a 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.htm#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.
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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, vest 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

**Work flow** 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

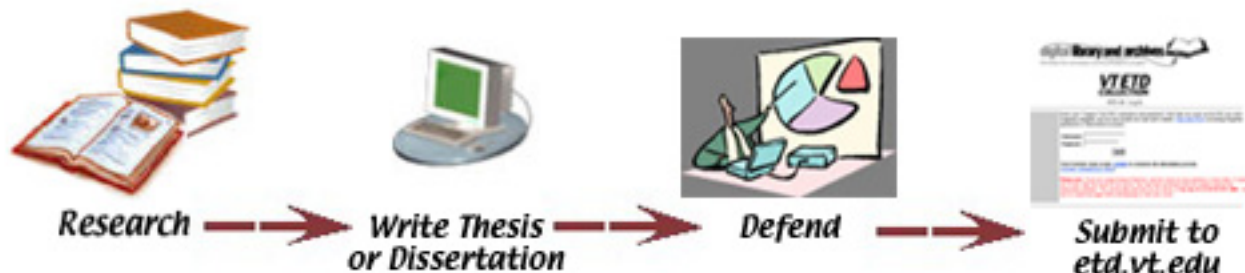
- **Task** = what needs to be done at this stage of the process
- **Role** = the set of knowledge/skills/responsibilities needed to complete the task
- **Trigger** = the event that alerts you to the incoming task
- **Information** = necessary to complete the task
- **Added value** = the positive change that was brought about by performing the task and which is the actual reason for doing the task

## Workflow design elements (2)

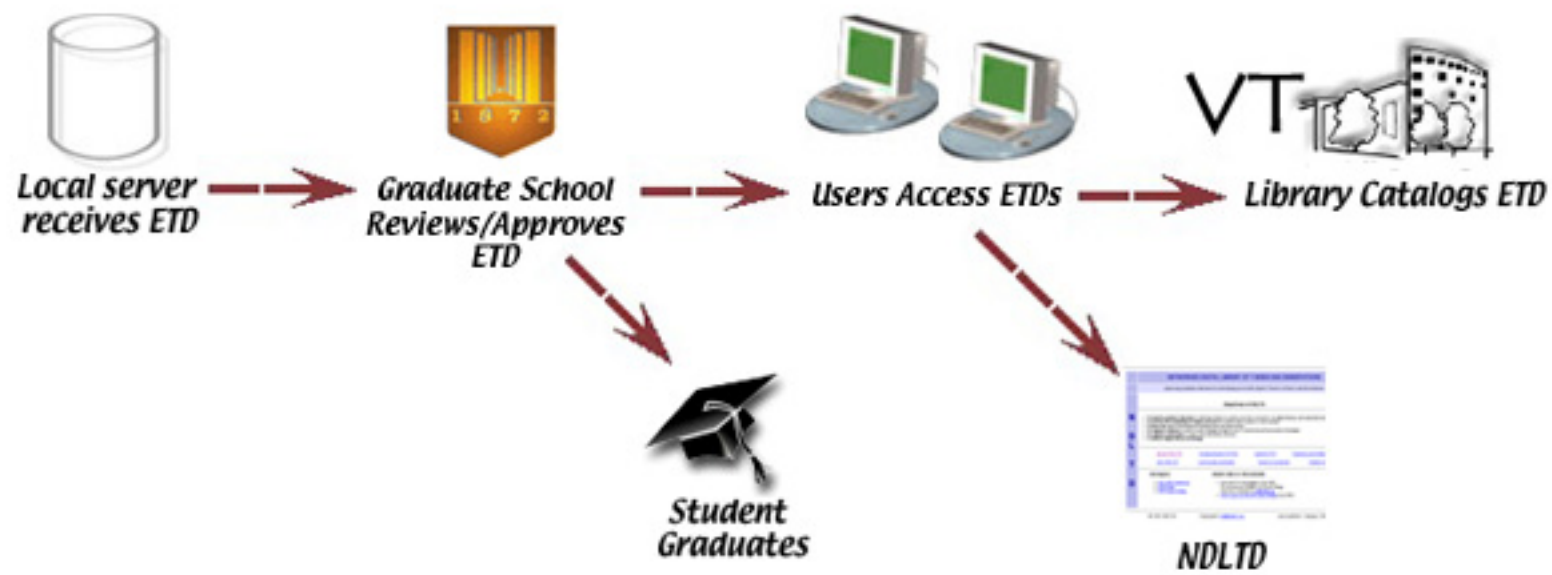
- **Status** = after the task was performed
- **Route** = direction of the flow and the “vehicle”
- **Rules and service level agreements** = practical interpretation of general policies
- **Interaction** = between various role players
- **Messages** = to be distributed after completing the task

# Life Cycle of an ETD

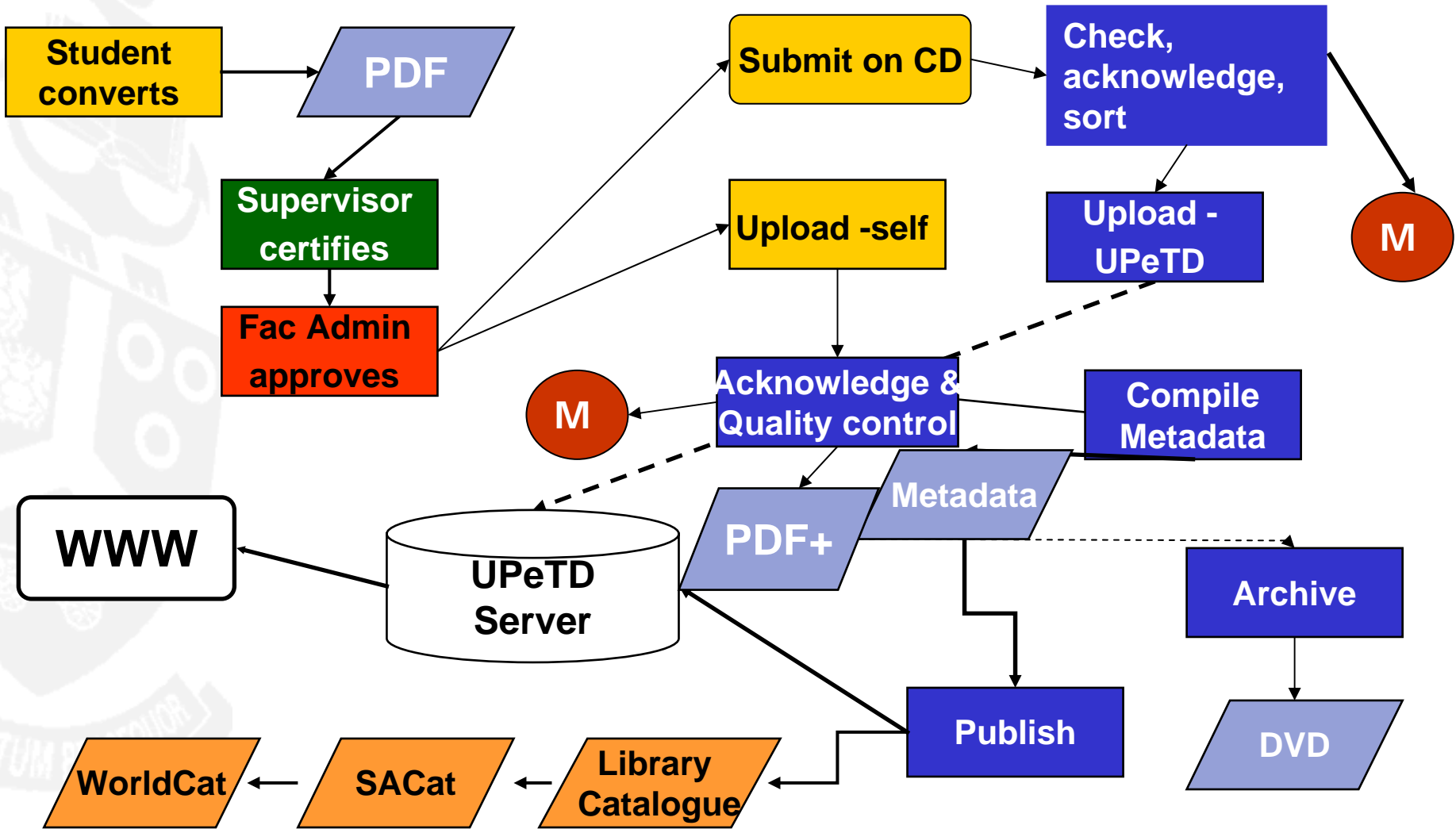
## Student thesis work



## Steps after submitting an ETD



# UPeTD Workflow



**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

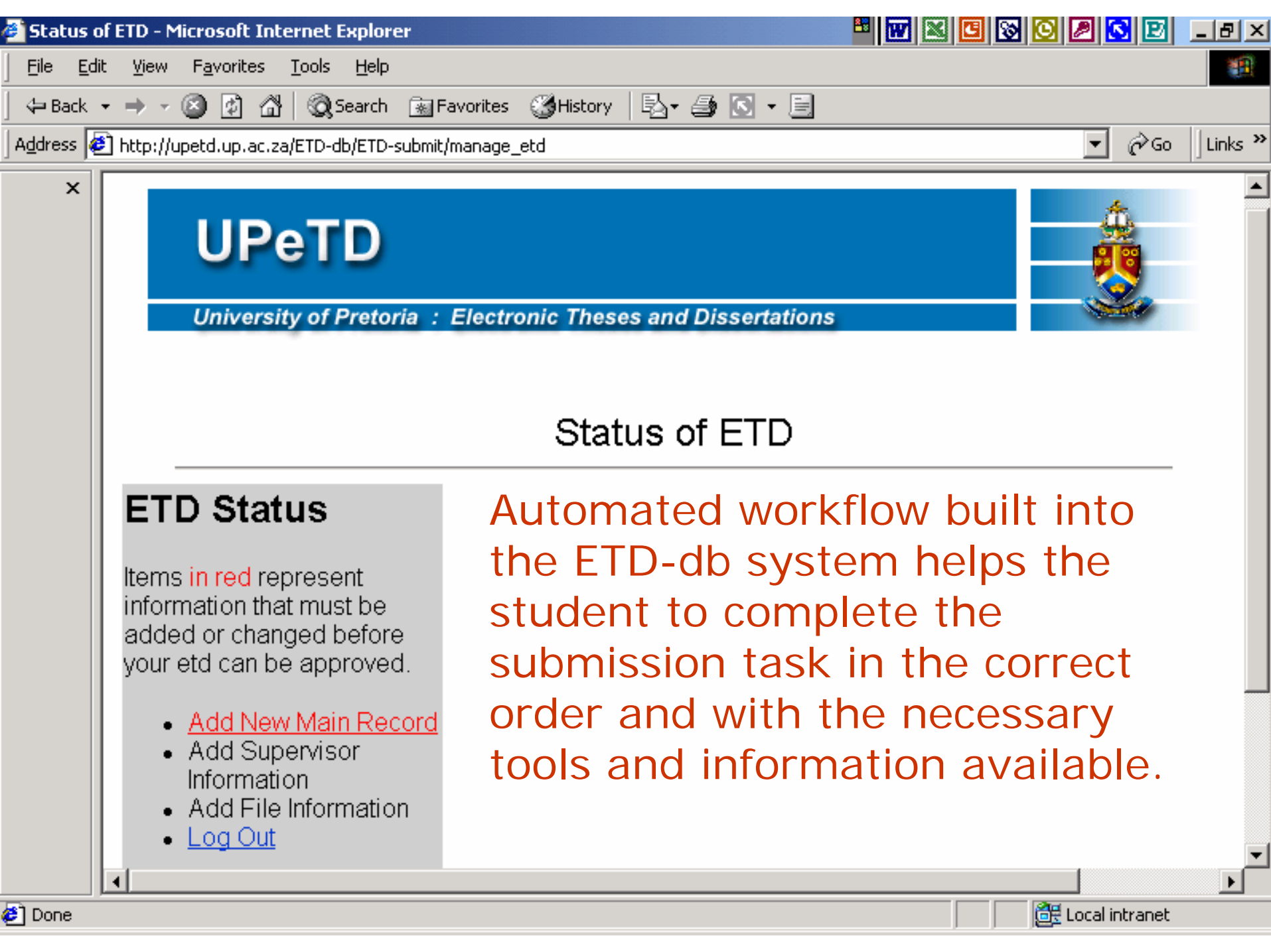
## Automating workflow

- Automated work *flow* 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.

## Automating workflow (2)

**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



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### ETD Status

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

- [Add New Main Record](#)
- Add Supervisor Information
- Add File Information
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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

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**Title**

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*vkhumalo@mweb.co.za*

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#### Note:

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If you are experiencing problems uploading your files, take a look at [uploads](#) help.

### Files to be uploaded

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te verdeel? Groete Monica

**Response from Author**

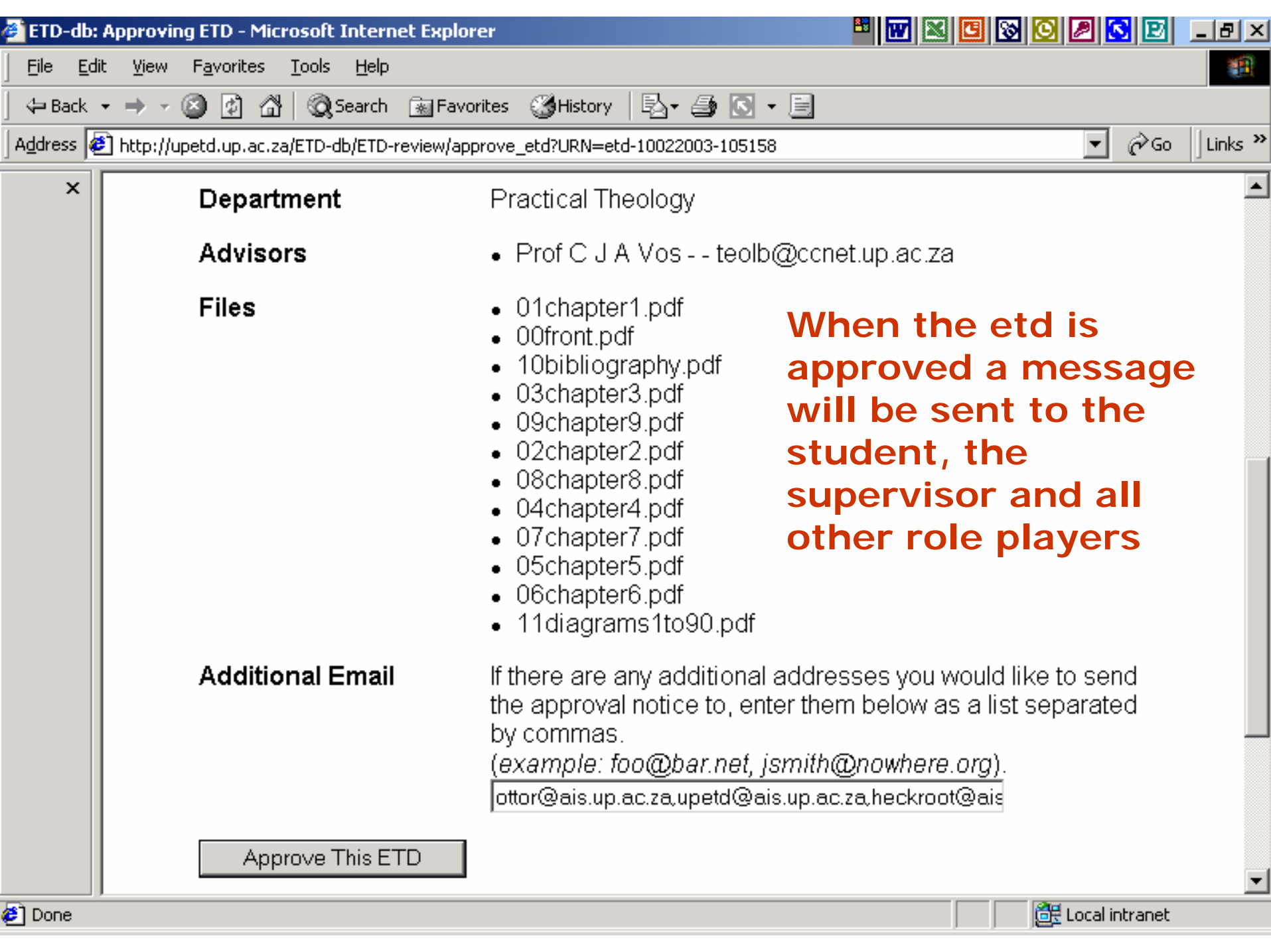
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**Date of**

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Practical Theology

**Advisors**

- Prof C J A Vos - - teolb@ccnet.up.ac.za

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- 03chapter3.pdf
- 09chapter9.pdf
- 02chapter2.pdf
- 08chapter8.pdf
- 04chapter4.pdf
- 07chapter7.pdf
- 05chapter5.pdf
- 06chapter6.pdf
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If there are any additional addresses you would like to send the approval notice to, enter them below as a list separated by commas.

*(example: foo@bar.net, jsmith@nowhere.org).*

ottor@ais.up.ac.za,upetd@ais.up.ac.za,heckroot@ais

Approve This ETD

## 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



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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.

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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:	
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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.

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## Etd standards: minimum specifications

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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.

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**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/etdtutorials/tutorialindex.html>. These include:

1. Read and electronic thesis or dissertation
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