



THE ELECTRONIC THESIS AND DISSERTATION (ETD) PROCESS

INTRODUCTION

All University of Miami graduate students with a dissertation or thesis requirement must complete an electronic thesis or dissertation (ETD) that will become part of Scholarship@Miami, scholarship.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 Scholarship@Miami 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, scholarship.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

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 information about making the final PDF of your manuscript are posted on the Web site.**

Plan Ahead for Your Defense and Submission

Learn what the deadlines for defending and submitting your dissertation or thesis are so you can graduate on time. Talk to your advisor/committee early in the semester about scheduling a date for the defense of your dissertation, doctoral essay, or thesis so you can graduate on time.

Please note the following clarification of ETD submission deadlines for a desired graduation date noted below:

ETD Submission Deadlines Per Desired Graduation Semester

Semester You Wish to Graduate	Deadline to Defend ¹	Deadline to Submit Full Draft for Formatting Review ²	Deadline for Producing Final PDF ³	Deadline for Completion ⁴
Fall 2021	Nov. 5, 2021 ¹	Nov. 19, 2021 ²	Dec. 8, 2021 ³	Dec. 15, 2021 ⁴
Spring 2022	April 1, 2022 ¹	April 15, 2022 ²	May 2, 2022 ³	May 11, 2022 ⁴
Summer 2022	July 1, 2022 ¹	July 15, 2022 ²	July 29, 2022 ³	August 5, 2022 ⁴

¹ **Deadline to Defend:** All defenses for students expecting graduation in a particular semester must take place by the date noted in the above table. All students must notify the Graduate School of the defense date by filling out the

Defense Notice form, <https://grad.miami.edu/policies-and-forms/forms/index.html> before the day of defense. Students defending after noted last date to defend are not eligible to graduate in that semester. Exceptions for a late defense can be requested by formal appeal to grad.dissertation@miami.edu.

² **Deadline to Submit Full Draft for Formatting Review:** By the date noted in the above table, the student must submit to the Associate Director of Programs of the Graduate School for review the full draft of a thesis, dissertation, doctoral essay, or lecture recital essay draft consisting of (1) unnumbered front matter; (2) lower-case Roman numeral page number front matter; and (3) chapters, references, appendices, etc., formatted per Graduate School formatting guidelines. The main content of the full draft due on this day is expected to be final. Students may continue to make minor revisions to the draft after this date, but no new data or sections should be added at this stage. Students who do not submit a full draft for review by the date noted above will be asked to move the graduation date to the next semester. Exceptions may be considered on a case-by-case basis by formal appeal to grad.dissertation@miami.edu.

³ **Deadline for Producing Final PDF:** The formatting review must be completed, final PDF produced, and the [Certificate of Defense Approval Form](#), the [ETD Final Content Approval Form](#) and the [ETD Availability Agreement Form](#) must be submitted to the Graduate School by the date noted in the above table. The Graduate School must receive all three forms fully signed for the student to receive permission from the Associate Director of Programs to upload the final ETD in the Scholarship@Miami repository. Students who do not produce the final PDF and submit the Certificate of Defense Approval Form, ETD Final Content Approval Form, and the ETD Availability Agreement Form by the date noted in the above table will have the graduation date moved to the next semester.

⁴ **Deadline for Completion:** By the date noted in the above table, students expecting graduation in a particular semester must have met all requirements associated with the Deadline for Producing the Final PDF (see above); uploaded the final PDF in the Scholarship@Miami repository; and completed online items, if required (doctoral students only). Students who do not meet the requirements outlined herein by the date noted above will have the graduation date moved to the next semester.

Fill out the Defense Notice Form

When you have decided on a firm defense date, time, and location, please go to the Graduate School Web site to prepare the Defense Notice Form at <https://grad.miami.edu/policies-and-forms/forms/index.html>. All students are required to fill out the Defense Notice Form and submit it to the Graduate School before the defense date. 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>. This form requires the signature of the student and main advisor. Please note that the defense must take place by the last day to defend deadline noted in the above calendar. Exceptions for a late defense can be requested by formal appeal to grad.dissertation@miami.edu.

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

Students who would like to get a head start on formatting issues in the ETD can request an optional predefense draft review of the manuscript from the Associate Director of Programs of the Graduate School. The predefense draft of your document can be sent to the Associate Director of Programs at grad.dissertation@miami.edu.

The predefense draft sent to the Associate Director of Programs for review should contain the major sections of the document formatted per Graduate School formatting guidelines. Documents can be submitted as (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). Electronic files can be e-mailed to grad.dissertation@miami.edu. If the draft in Word or PDF file is too large to send by e-mail, send a **Dropbox, Box, Google Docs, etc.**, 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-etd/index.html>. If revisions are needed, the Associate Director of Programs will e-mail comments to you regarding revisions to make.

Prepare before the Defense: Certificate of Defense Approval Form

To ensure that the Certificate of Defense Approval form is signed after you have actually defended, please fill out the Certificate of Defense Approval form after the day of your defense. Please go to the Graduate School Web site, <https://grad.miami.edu/policies-and-forms/forms/index.html> to prepare the Certificate of Defense Approval Form. Fill in the name and e-mail address of each of your committee members and the Program Director. Once completed, each committee member will receive notification that he/she must electronically sign the form to confirm your successful defense of the thesis, dissertation, doctoral essay, or lecture recital essay after you have defended. This form, when electronically signed by all committee members and the Program Director, is your proof that you passed the defense. As noted, signees should electronically sign the form after the defense has been held.

Post-Defense Formatting Reviews 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 an optional predefense review of the manuscript, then submit the revised, post-defense draft to the Associate Director of Programs to begin the post-defense review at grad.dissertation@miami.edu.

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](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). If the draft is too large to send by e-mail, send a **Dropbox, Box, Google Docs, etc.**, 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 that in when planning the amount of time this stage 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 final PDF of the entire manuscript that must be approved for upload to the Scholarship@Miami ETD repository.

Produce the Final PDF for Upload in the Scholarship@Miami Repository

No further edits recommended by the Associate Director of Programs? You will be instructed by e-mail to make one final PDF of your manuscript, if you have not already done so, for upload in the Scholarship@Miami within 48 hours. **Note that the final PDF produced is an archival PDF, so it is a technical requirement of the Scholarship@Miami repository that for preservation purposes, all fonts must be embedded and subset in the 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>.**

If you need assistance making the PDF, visit the ETD Formatting Support Web site, <http://sp.library.miami.edu/subjects/etd> for conversion guides, troubleshooting tips, and appointment scheduling with an information specialist.

Do not upload your document in the Scholarship@Miami repository until you have been instructed to do so by the Associate Director of Programs.

As noted above, the Certificate of Defense Approval form, ETD Final Content Approval form, and ETD Availability Agreement form signed by all required signees must be received by the Graduate School before you will be given permission to upload the final PDF in the Scholarship@Miami repository. The Associate Director of Programs will check to confirm the three forms are in when you have produced a final PDF that is suitable for upload in the Scholarship@Miami repository.

Access to Adobe Acrobat Professional

Your department can download Adobe Acrobat Pro to a UM computer, free of charge, by accessing the link <https://www.it.miami.edu/a-z-listing/adobe-creative-cloud/index.html> . The download site is for University-owned computers on the Coral Gables, Medical, and Marine campuses.

Summary of Required Items

All Master's and Doctoral Students

The following three forms are required to complete every ETD submission. The three forms can be accessed on the Graduate School Web site, <https://grad.miami.edu/policies-and-forms/forms/index.html> .

You are required to submit these three forms to the Graduate School before you will be given permission to upload the final PDF in the Scholarship@Miami repository. The Associate Director of Programs will confirm that the three completed forms have been received by the Graduate School before sending you the permission-to-upload e-mail.

(1) Certificate of Defense Approval Form

The Certificate of Defense Approval form can be accessed on the Graduate School Web site, <https://grad.miami.edu/policies-and-forms/forms/index.html> . Please fill this form out after you have actually defended to ensure that the form is signed by committee members after the defense date. Fill in the name and e-mail address of each of your committee members. Each committee member will receive notification that he/she must electronically sign the form to confirm your successful defense of the thesis, dissertation, doctoral essay, or lecture recital essay after you have defended. The Program Director must also sign this form. This form, when electronically signed by all committee members and Program Director, is your proof that you passed the defense. As noted, signees should sign the form after the defense has taken place.

(2) Electronic Thesis and Dissertation (ETD) Final Content Approval Form

(NOTE: The ETD Final Content Approval form replaces the function of the signed hard copy of the Signature page from the thesis or dissertation, which was collected to formally document the committee's approval of the final content of the ETD.) Every thesis, dissertation, doctoral essay, or lecture recital essay must have the final content approved by each member of the committee. The Electronic Thesis and Dissertation (ETD) Content Approval Form documents the committee's approval of the final content of your document. Please go to the Graduate School Web site, <https://grad.miami.edu/policies-and-forms/forms/index.html> , to access the form. Fill in the name and e-mail address of each of your committee members and the Program Director. Each committee member will receive notification that he/she must electronically sign the form to confirm his/her approval of the final thesis, dissertation, doctoral essay, or lecture recital essay. The Program Director will be the last person to sign the form. This form, when electronically signed by all committee members and the Program Director, is your proof that the committee approved the final document.

(3) Electronic Thesis and Dissertation (ETD) Availability Agreement Form

This form lets the Graduate School know what online availability option you and your main advisor want for your final PDF in the Scholarship@Miami repository. When you've produced a final PDF that's been approved by the Associate Director of Programs, you should discuss with your main advisor which online availability option to select for your thesis or dissertation before completing this form. The three availability options are (i) Open Access; (ii) UM Campus Only; (iii) Embargo. When you and your main advisor have agreed upon an online availability option, please go to the Graduate School Web site, <https://grad.miami.edu/policies-and-forms/forms/index.html> , to access the form. Fill in your name and e-mail address and the main advisor's name and e-mail address so you can both sign the form electronically.

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

(4) Survey of Earned Doctorates (SED) Survey

Ph.D., D.M.A., and Ed.D. students must complete the SED Survey online, <https://sed-ncses.org>. The SED Survey is administered by an independent organization that collects information about every student in the U.S. who receives a Ph.D. degree. 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 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.

ProQuest/UMI Publication Agreement: Optional for Master's and Doctoral Students

Master's and doctoral students interested in having their ETD published in a second outlet in addition to the UM ETD database may wish to submit the final PDF to ProQuest/UMI Dissertation Publishing. The ProQuest/UMI publication agreement is submitted online. Information about this will be sent to students when they are ready to upload the final PDF in the UM ETD repository.

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

Your 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, however, 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 or other original work.

If you deposit your ETD with ProQuest, ProQuest will make an offer to register your copyright for a handling fee. The University of Miami does not require that you register your dissertation with the U.S. Copyright Office. The decision to copyright belongs to the student. If you want to copyright your dissertation, you can accept ProQuest's offer to handle the copyright of your work for a fee, or you can register for the copyright of your work yourself by directly contacting the Copyright Office: <http://www.copyright.gov/eco/>.

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

Bound Copies—Student Choice: One-sided Printing Only

The Graduate School requires that your final document be in electronic format only. If you would like a bound copy of your document, you can print the hard copy from the final PDF you produced because it is formatted for binding. Please contact grad.dissertation@miami.edu for referrals to binders UM students have engaged.

If you print 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.

Because the 1.5-in. left margin in the final PDF you produced is wider than the 1-in. top, right, and bottom margins in the document, a bound volume printed on both sides of the page will result in a volume that is not 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.

ProQuest:

Students who choose to deposit their ETD with ProQuest will have an opportunity to order bound copies from ProQuest when the ProQuest agreement is completed online, however, **please DO NOT order bound copies from ProQuest**. ProQuest will print the text from the final PDF you submit for the bound volume, but ProQuest will print the text on both sides of the paper only without letting you know this at the time you place the order. Unfortunately, ProQuest refuses to remove its offer to bind documents from its Web site.

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Signature Page from Your Document: If you would like to have a signed, original copy of the Signature page to bind in your hardcover thesis, dissertation, or doctoral/lecture recital essay, please print out the page from your document, obtain signatures from your committee members, then turn the form in to the Associate Director of Programs to obtain the Dean of the Graduate School's signature. After obtaining the Dean of the Graduate School's signature, the Graduate School will send the signed form back to you for your personal use if you provide a self-addressed, stamped envelope.

Contact the Graduate School:**Mailing Address:**

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