

# Electronic Theses and Dissertations

## (ETD) Workshop

Created for the Graduate Students of  
Virginia Polytechnic Institute and  
State University

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# What is an ETD?

The Electronic Theses and Dissertations (ETD) program at Virginia Tech is a cooperative effort between the Graduate School and University Libraries. Since before 1997, there has been a move from paper theses and dissertations to electronic format. ETD approval by the Graduate School is a requirement for graduation. The ETD website is <http://etd.vt.edu>.

# Procedure

In the process of researching and writing your document there are some things that you will need to consider. While your committee determines the overall guidelines (i.e. font size, margins, etc.) for the format of the ETD, there are certain requirements that must be incorporated for Graduate School approval.

# Format

The specifics of what the Graduate School requires in the ETD document(s) can be found in Appendix I of the Graduate School Catalog:

<http://www.vt.edu/academics/gcat/gcaAppI.html>

- Page numbering standards for the front, body and back matter are explained in Appendix I.
- A template for the title and abstract pages can be found at: <http://etd.vt.edu/guidelines/Template.doc>
- The vita requirement is now optional; if used it should comply with the guidelines listed in Appendix I and be the last page of the ETD.

# Documentation

Your committee will set the format for the citation of items.

- There are several guides to clarify the inclusion of third party material.
  - Kenneth D. Crews, a professor with a joint appointment in the Indiana University School of Law-Indianapolis and the IU School of Library and Information Science, has written an informative booklet on Copyright, available here:  
<http://www.copyright.iupui.edu/quickguide.htm>
  - Appendix IIIA in the Graduate School Catalog serves as a University guide on the correct use of sources.  
<http://www.vt.edu/academics/gcat/gcaAppIII.html>

# Citation vs. Permission

- Citation is a method of documentation, however the ETD must also comply with Copyright Law therefore items taken from third party sources must be verified by appropriate permission documentation.

# Permission Documentation

The Graduate School requires documentation be submitted for inclusion of any third party copyrighted item (i.e. figure, table, chart, map, photograph, etc.) in one of three methods that comply with the Copyright Law.

1. Permission Granted Letter
2. Public Domain
3. Fair Use

# 1. Permission Granted Letter

- A letter (or e-mail) granting permission from the author or publisher to use or adapt the item in the context of your ETD is required for approval.
- A sample permission granted letter can be found at:

<http://etd.vt.edu/howto/permission.html>

## 2. Public Domain

- Public Domain – documentation from the author or the source that the item is in the public domain is required for approval.
- A public domain work is a creative work that is not protected by copyright and which may be freely used by everyone. The reasons that the work is not protected include:  
(1) the term of copyright for the work has expired; (2) the author failed to satisfy statutory formalities to perfect the copyright or (3) the work is a work of the U.S. Government. A chart on this topic is available at: <http://www.unc.edu/~unc1ng/public-d.htm>
- More on Public Domain: <http://www.copyright.gov/pr/pdomain.html>

# 3. Fair Use

- The ETD author and his/her committee members must review each of the four Fair Use factors and conclude that inclusion of the copyrighted item is fair.
- For information concerning Fair Use:  
<http://www.copyright.gov/fls/fl102.html>
- A Fair Use checklist is available here:  
<http://www.copyright.iupui.edu/checklist.htm>
- A PDF version of the checklist is available here:  
<http://www.copyright.iupui.edu/checklist.pdf>

# Institutional Review Board

- A copy of the Institutional Review Board (IRB) Approval/Exception Memo is required if your study involved the use of human subjects or surveys.
- For more information please go to the IRB website: <http://www.irb.vt.edu/>

# Copyright

- In accordance with Copyright Law, any original, fixed creation by you is copyrighted.
- Copyright registration is not required.
- Information and forms concerning copyright registration through the U.S. Copyright Office can be found here: <http://www.copyright.gov/circs/circ1.html>. Currently, the filing fee is \$30.00.
- Doctoral students have the option of using the UMI/ProQuest copyright service. Currently this fee is \$45.00. The check or money order should be made payable to PQIL and submitted with other ETD documents to Graduate School at the Graduate Life Center, Blacksburg, VA 24061.

# ETD Submission

There are two steps that must be completed in order to meet the Graduate School guidelines for ETD approval:

1. Electronic Submission
2. Documentation Submission

# 1. Electronic Submission

- A valid Virginia Tech PID is required.
- The author logs directly into the ETD site:  
<https://scholar.lib.vt.edu/ETD-db/ETD-submit/login> , or by way of the Submission Form link under column 4 on the <http://etd.vt.edu> website.
- A web form is completed and the ETD file(s) is/are uploaded.
- The full text of the ETD must be submitted as PDF files. Currently this is the only format accepted by the Graduate School.
- Movie, audio or graphic files must be submitted in non-proprietary files for review. For a list of recommended file formats please check <http://etd.vt.edu/howto/accept.html>.
- Proprietary types of files (e.g. PowerPoint, Excel) may be submitted provided they are also submitted in PDF format and Graduate School is able to review them.

# What is Required on the Web Form?

- Your Name and E-mail Address
- Degree, Type of Document and Department
- Defense Date
- Title
- Keywords
- Abstract – copied into box
- Verification of Copyright Statement
- Availability Selection
- Committee Member Names and E-Mail Addresses
- Files uploaded

# Why PDF?

The Adobe PDF format provides a searchable, compact, reliable, and universal format that can be viewed across different platforms with a free reader. For more information on why it is the format of choice for ETDs:

[http://www.adobe.com/education/pdf/ndltd\\_ss.pdf](http://www.adobe.com/education/pdf/ndltd_ss.pdf)

## 2. Documentation Submission

The Graduate Student checklist lists the required documents to be submitted. Original documents should be sent to:

Graduate School at the Graduate Life Center,  
Blacksburg, VA 24061

# ETD Approval Form

This form is signed by you and all your committee members and should be submitted to the ETD Reviewer at the Graduate School before the ETD is uploaded to the <http://etd.vt.edu> website. Graduate School receipt of this completed document is required prior to review of the ETD.

# Availability Selection

- Worldwide – the ETD is immediately released and accessible worldwide.
- Virginia Tech Access – the ETD is accessible only on Virginia Tech campuses or with a valid Virginia Tech PID for periods of one, two or three years. After this period it is released worldwide. Written requests for restricted access beyond the three year maximum must be approved by the Graduate School Dean.

# Availability Selection (cont.)

- Mixed Availability – this allows the author to select what portions of the ETD are available and the access for each file. For this option the ETD must be submitted in separate files and the author designates the availability of each file. An ETD may be restricted in this manner for one, two or three years. Written requests for mixed availability access beyond the three year maximum must be approved by the Graduate School Dean.

# Availability Selection (cont.)

- Secured – the ETD is not available by any means for the period of one year. After this year it is released worldwide. The ETD may be secured for an additional year if a written or e-mailed request is received by the Graduate School before the end of the secured period. At the end of the initial secured period or its extension, the work will be released worldwide unless a written request is made for Virginia Tech or mixed availability (the maximum restriction of three years applies). Written requests for secured status beyond the two year maximum must be approved by the Graduate School Dean.

# Availability Selection (cont.)

If you wish to change the availability of your ETD before the original request has expired a written authorization from you and your chair should be sent to the Graduate School, e-mails are acceptable. Requests should include your full name and the ETD title.

Requests should be mailed to:

Graduate School at the Graduate Life Center,  
Blacksburg, VA 24061

# Doctoral Dissertation Agreement Form

- This form is required for Doctoral students only (pages A4 & A5 in the UMI/ProQuest booklet).
- The University has an agreement with UMI/ProQuest and submits worldwide released ETDs for registration on their database.

# Supplemental UMI Form

- This form is for Doctoral students only.
- Once an ETD is released worldwide by Virginia Tech it is made available to UMI/ProQuest to be listed in their database and others such as *Dissertation Abstracts*.
- Authors may restrict UMI/ProQuest from distributing an ETD by completing this form.
- Completing and signing this form allows the University to release an electronic copy to UMI for the optional copyright registration or requests for bound copies even if the ETD is restricted or secured.

# ETD Fees

- The ETD Archiving Fee is assessed through the VT Bursar's Office and can be viewed and paid through the Hokie SPA.
- Current Masters Fee - \$20.00
- Current Doctorate Fees - \$75.00 (\$20.00 for Archiving and \$55.00 for UMI).

# ETD Review

- After the Thesis or Dissertation has met your committee's approval, has been converted to an acceptable format and uploaded to the <http://etd.vt.edu> site, it is formally reviewed by the Graduate School. Please allow at least 3 to 5 days for review, peak times may require more time for review.
- When the review is completed an e-mail will be sent to you and your committee chair(s) at the e-mail addresses listed on your web form.
- If corrections to your ETD are required, the current file(s) should be removed, the file(s) corrected, converted to an acceptable format and resubmitted to the ETD site.
- When the corrected file(s) has been uploaded please respond to the Graduate School notice.

# ETD Approval

- When the Graduate School has formally approved your ETD an e-mail is sent to you and your committee members.
  - If you have selected worldwide, Virginia Tech only, or Mixed Availability, the location of your approved ETD on the Virginia Tech Library site (<http://scholar.lib.vt.edu/theses/>) will be indicated by an included URL in the e-mail.
  - A Secured ETD will not have a link included in the approval e-mail.
  - A copy of the ETD approval form will be forwarded to your department.

# Help

- For common questions and problems try any of the resources listed:
- [PID Help](#)
- [Technical Help](#)
- [Copyright Information](#)

# PID Help

If you have forgotten your Virginia Tech PID, password, need the PID re-activated, or did not have a PID, please use the PID tool here:

[http://www.computing.vt.edu/accounts\\_and\\_access/](http://www.computing.vt.edu/accounts_and_access/)

You may also contact the 4Help Desk by e-mail [4Help@vt.edu](mailto:4Help@vt.edu) or phone (540) 231-4357

# Technical Help

For help with document formatting, including creating bookmarks, links, table of contents, page numbering, embedding audio, video or movie files, etc. or converting to PDF please try these resources:

- In Person –
  - New Media Center – 1140 Torgersen Hall, Blacksburg, VA
    - For operating hours and information to schedule appointments please check the website, call or e-mail:
      - <http://www.nmc.vt.edu/>
      - (540) 231-4826
      - [newmedia@vt.edu](mailto:newmedia@vt.edu)
  - Northern Virginia Resource Center, Falls Church, VA
    - For operation hours please check the website, call or e-mail:
      - <http://www.nvgc.vt.edu/library/web/about.htm>
      - (703) 538-8340
      - [nvgcliby@vt.edu](mailto:nvgcliby@vt.edu)

# Technical Help (cont.)

- On-line –
  - Element K On-Line Tutorials – Sign up:  
[http://www.nmc.vt.edu/html/NMC\\_Handouts/ElementKBrochure.pdf](http://www.nmc.vt.edu/html/NMC_Handouts/ElementKBrochure.pdf)
  - New Media Center website and e-mail address:
    - <http://www.nmc.vt.edu/>
    - [newmedia@vt.edu](mailto:newmedia@vt.edu)
  - ETD website: <http://etd.vt.edu/help/>
  - Adobe website for conversion help or to register for free trial PDF conversions
    - [www.Adobe.com](http://www.Adobe.com)

# Copyright Information

- For the Copyright Law:
  - <http://www.copyright.gov/title17/>
- Public Domain:
  - <http://www.copyright.gov/pr/pdomain.html>
- Fair Use:
  - <http://www.copyright.gov/fls/fl102.html>
- U.S. Copyright Office website:
  - <http://www.copyright.gov/>