RUetd

The Rutgers University
Electronic Theses and Dissertations
Submission System

Student Guide

Version 2.3.0
February 12, 2016

Rutgers University Libraries
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Introduction

What Is This Manual?

This document, a user guide for graduate students, describes the applicable features of the RUetd System developed by and in use at Rutgers University. Explained here is the functionality that is available for any author who needs to submit a paper, thesis, dissertation or similar project in electronic format that documents work performed for an advanced degree.

What Is RUetd?

RUetd is a web-based software application for managing the submission, approval, and distribution of electronic theses and dissertations (ETDs). The RUetd System is implemented as a component of RUcore, the Rutgers University institutional repository, by using its METS/XML export functionality to make the ETDs available for preservation and presentation purposes.

The major features of RUetd are:

- **Multiple User Roles**
  Provides functionality for three different user types: Student, Graduate School Reviewer, and Application Administrator. Multiple users of each type are allowed.

- **Multiple School Support**
  Large universities often have several graduate schools. RUetd provides a centralized system for managing submissions from an Administrator’s perspective while also limiting Reviewers' access to only their schools. RUetd also allows schools to have their own unique degree types, programs/curricula, and submission terms and policies.

- **Basic Site Customization**
  Unique title, logo, color scheme and footer information can be added.

- **Submission of ETD and Supplementary Files**
  ETDs often have supporting materials, all with unique metadata. Restrictions may be applied to acceptable filetypes. Embargoes are also possible and configurable.

- **Email Notification System**
  Users are notified when the status of their paper or project changes. Reviewers are notified upon submission and resubmission. Email notifications are configurable.

- **Automated Margin and Page Number Validator**
  Authors and Reviewers can check margins and page numbers on PDF documents with this handy tool.

- **UTF-8 Compliant**
  UTF-8 compliance ensures that diacritics, foreign languages, mathematical symbols, and other characters will be preserved in the metadata and abstract.

- **Local or Centralized Authentication**
  A configurable authentication module to use a centralized LDAP system or local system or both is included.

- **Rich Student Search and Filtering**
  Reviewers can easily search for students’ work and filter the view by semester, degree type, and status.
• **Graduation Report**
  An Excel-compatible report of all students with accepted submissions for a given semester can be generated. This is useful for graduation role call or the printing of name tags, letters, etc.

• **Semi-Automated Export to ProQuest/UMI**
  Export tools generate metadata and zip files of "accepted" ETDs for easy FTP upload to ProQuest's ETD processing facility. ProQuest (formerly University Microfilms International) is a company that partners with many academic institutions to make theses and dissertations available for access worldwide.

• **XML Export**
  The system includes tools for export of ETD data in METS format capable of being imported into a repository, in this case, RUcore.

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**Why an Electronic Thesis or Dissertation?**

A Thesis or Dissertation is a document that explicates the research of a graduate student. An Electronic Thesis or Dissertation is expressed in a form that is simultaneously suitable for machine archiving and worldwide retrieval. Full text ETDs are deposited in RUetd. They are cataloged in the Rutgers repository RUcore, and can be included in ProQuest's Dissertations and Theses, searchable on the Web and printed for hardcopy distribution.

In content an ETD is essentially the same as its paper or project predecessor. It meets all the same expectations for style and substance. The ETD can have text, figures, tables, footnotes, and references. It can also include a title page with the student's name, title of the work, the name of the school, and the names of the committee members. In addition, an ETD can be restricted from general distribution, just as its printed predecessor could be.

The ETD is different from its paper/project predecessor, however, in a few important aspects.

- **First,** it provides a technologically advanced medium for conveying materials. You may prepare an ETD by using nearly any word processor or document preparation system, and by incorporating relevant multimedia objects.
- **Second,** it is less expensive for you to prepare. By creating an ETD, you avoid the requirement of submitting multiple copies on special paper.
- **Third,** ETDs promote greater access to and recognition of your research. ETDs can be made available to anyone who browses the World Wide Web, not just to those who enter a library. ETDs consume virtually no library shelf space, and never collect dust.
Chapter 1: Overview of the ETD System

RUetd is a web-based software application for managing the submission, approval, and distribution of electronic theses and dissertations (ETDs). This chapter describes, at a high level, the workflow or process that ETDs go through and the interactions between users of the ETD System. Subsequent chapters give more detail about usage of specific functions in the system. See Figure 1-1 for a depiction of the overview of the ETD Workflow described in this section.

The ETD System is not meant as a replacement for the traditional advisory committee review process. Students should submit their theses and dissertations to RUetd AFTER they have been approved by their advisory committee, but BEFORE they are approved by the graduate school. Usually, graduate schools have formatting requirements such as title page, page numbering, and margin widths, etc., which need to be reviewed and approved. The ETD System facilitates this review process as well as the transfer of the documents to the Libraries for cataloging and archiving. Once the ETD is approved by the graduate school, it can be "exported" to both Proquest/UMI and a digital repository.

A graduate student who needs to use the ETD System to submit a thesis or dissertation will be given an account id, usually either as the normal procedure for a matriculated student or under special circumstances (e.g., the student needs to finish a thesis/dissertation but is not required to take more classes so does not need to register). Once the account is created, the student is asked to register with the ETD System by logging in and entering some contact and degree information. Then the student is able to submit the thesis/dissertation. When the ETD is submitted, the student must indicate agreement that stated requirements of the graduate school have been met (e.g., certain rights granted to the institution, margins in the paper meet the school's requirements, etc.).

After all of the required information and the thesis/dissertation itself have been submitted, the ETD will be checked by a reviewer, who is normally associated with the Dean’s Office in the student’s graduate school. This process can take as little as a few days, or possibly as long as several weeks, depending on the number of ETDs waiting to be approved.

If anything about the ETD needs to be changed before it can be approved, the graduate school reviewer will send the student a resubmission request, which is a brief message describing the steps needed to be taken to revise the ETD submission. These requests are delivered as e-mail messages to the address entered when the student registered the ETD account.

Once the student receives a resubmission request, he/she can log in to the ETD System and submit the requested changes. The graduate school reviewer will be automatically notified that the submission has been changed and will review the ETD again. The student may continue to make changes to the ETD until it has been approved by the graduate school. After an advisory committee and graduate school have approved the ETD, that version is the property of the institution and can be archived in a repository and/or distributed to external sources. Normally, the student may not make any further changes.

Copyright is a form of legal protection for original works of authorship, including works published online. An ETD is automatically protected by copyright, although the student may choose the
additional protection of registering a copyright. This registration is outside the scope of RUetd and must be done separately by the student.

It is possible that the paper or project might need protection from immediate public accessibility for purposes such as patent protection or proprietary hold. There exists an option, available during the submission process, to restrict access to the work for certain periods of time. This embargo option may require the approval of the graduate school.

We realize that some students, especially in the humanities, prepare books related to their theses or dissertations. It is sometimes the case that electronic release of early versions of a book leads to greater sales of such books. Indeed, having an electronic work made available on the Internet, and telling a publisher that there have been a large number of citations of and electronic accesses to that work, may help land a book contract. Usually, books that relate to theses or dissertations turn out to be significantly changed as part of the editorial process. This makes it likely that those interested in the work will buy a book when it comes out, even if they have reviewed the ETD. However, since publishers vary widely in their policies, it may be wise for a student to consult with the publishers to which he/she is likely to submit the work. After such consultation, the student may wish to submit the ETD with an embargo.
Student submits ETD and associated supplementary files to the ETD system before graduation

 Graduate School Reviewer reviews the submitted ETD for completeness, required format, and any other style requirements.

 OR

 Graduate School Reviewer approves ETD.

 OR

 Graduate School Reviewer notifies Student about necessary revisions.

 Student makes necessary corrections and resubmits changed files.

 Student graduates.

 OR

 ETD is catalogued and ingested into institution’s repository.

 OR

 ETD is embargoed at student’s request for set period.

 OR

 If required by Graduate School, ETD is sent to ProQuest to be microfilmed and placed in archive.

 OR

 ETD is available for binding service at student’s request.

 OR

 ETD is embargoed at student’s request for set period.

 ETD is made available for external access.

 This side of the dashed line is outside the ETD System.
Chapter 2: Your First Time Using RUetd

This chapter describes general features and screen content common to all or most screens you will see when you use the ETD system. In addition, the chapter includes functions that you will normally need to do only once or only on your first login to the system. You can always refer back to this chapter if you need to perform these functions again.

Your ETD Account

In many cases, you will automatically have access to the ETD System just by being a registered student. To use the ETD System, you should contact your graduate school office for the access information or go to https://etd.libraries.rutgers.edu/login.php

If necessary, the graduate school office can set up a new account for you. As soon as the account has been created, you will receive an email from an ETD Reviewer or Administrator with a message that your ETD account is available for use. The email will tell you the address where you can login and will give your login user name (id) and initial password. At the first opportunity, you should change the password to something you can easily remember.

Screen Layout

Screen headers contain:

- The system banner, which displays the system and institution’s names.
- A navigation ribbon below the banner, which shows the navigation path to the current screen. The path includes all nodes (functions) that led to the current function and are active links to the corresponding screens. The navigation ribbon also identifies the name of the account owner.
- A link to Sign Out (except on the Home screen), which returns you to the initial Home screen.

Screen footers, except on the Home screen, contain:

- Information about obtaining technical support and a “Contact Us” link, which takes you to a form for contacting the ETD Administrator to get technical help regarding using RUetd. The form is used to send email about problems or to give feedback (comments, questions, bugs, suggestions).
- A link to this Student Guide.
- A Frequently Asked Questions (FAQ) link that takes you to a list of general questions and answers that may provide help in using the system. The list can also include specific questions applicable to the school in which the system is being used.
- A link to a tutorial that describes the steps you go through to do a submission.
Logging In

Figure 2-1 shows the Home screen for the ETD System. You will log in using your username, which will be either your NetID or your local account if one has been assigned to you. If your NetID does not work, use the “Contact Us with any questions” link to request a local account.

Figure 2-1. Home screen
Chapter 2: Your First Time Using RUetd

The Home screen also contains links to:

- Contact ETD Administration if you have a problem or question concerning the system (see Contact Us section below)
- Frequently Asked Questions about RUetd
- A short Tutorial on RUetd
- This Student Guide
- Contact the Office of Information Technology if you need to create a NetID
- The Home page of the Rutgers Community Repository (RUcore)

You should use your NetID to login to RUetd. However, if you are not currently registered for classes at Rutgers or, in some cases, if you are in an RBHS school, your NetID may not work in RUetd. If you find you cannot login using your NetID, use the Contact Us link to send email to the ETD Administrator, who will create a local account for you to use to submit your ETD.

Contact Us

Figure 2-2 shows the screen you see if you click on the “Contact Us with any questions” link on the Home screen or in the footers of the other screens. Use this form to report any problems you have with RUetd or comments you want to make. The information you enter on this screen will be sent to the Libraries’ ETD Application Administration and User Technical Support group.
Figure 2-2. Contact Us screen
Login with NetID

If you are logging in with your NetID, the next screen you will see after the RUetd Home screen will be the Rutgers Central Authentication Service (CAS) login screen, where you will enter your NetID and corresponding password, as shown in Figure 2-3.

Figure 2-3. CAS login screen

Login with Local Account

If you are logging in with a local account, the next screen you will see after the RUetd Home screen will be similar to the RUetd Home screen but will have a place to enter your local username and corresponding password, as shown in Figure 2-4.
Figure 2-4. Local Account Login screen

RUetd is the Rutgers University service for graduate students to submit their theses and dissertations online. All ETDs will be preserved and made permanently available in the RUcore.

For help using this software, please see the following:

- FAQ
- Tutorial
- Student Guide

Login with your Rutgers University NetID

Login with a local account

Username: [input field]
Password: [input field]
Forgot password? [link]
Login

Contact Us with any questions

You have requested access to a site that requires Rutgers University authentication. This is not a public network and explicit authorization is required. For security reasons, please log out and exit your web browser when you are done accessing services that require this authentication.

NetID: Several applications are now using the Rutgers University NetID for authentication. Help is available if you need to create a NetID. If your NetID is not valid or you are not registered at this time, please contact the dissertation and thesis administrator in your dean’s office.
Forgot Password

Figure 2-5 shows the screen you see if you click on the “Forgot Password?” link on the “Login with local account” screen. Use this form if you forgot the password for the account you are using with RUetd.

Figure 2-5. Forgot Password screen

![Forgot Password Screen](image)

Note that your password will be reset only for use in the RUetd system. This will not change your NetID password or the password for any other system. The email address you supply must match the previous email address associated with your account. Once we receive your request, email will be sent to you with further instructions and a link that will take you to the screen shown in Figure 2-6, where you can reset the password.
Chapter 2: Your First Time Using RUetd

Figure 2-6. Reset Password screen

Note that once you change your password via the Reset Password screen, you can login and change it again if you wish.

**Update Account Information and Register with the ETD System**

On first login to your ETD account, you will be asked to register with the system using the Update My Information screen (see Figures 2-7 and 2-8). Here you are asked to supply contact information and basic information about your graduate degree. If any of this information changes, you may go back to this screen at any time.
Figure 2-7. Update My Information screen (top section)
Figure 2-8. Update My Information screen (bottom section)
You must enter all required information (indicated with a red asterisk). We recommend using an email address in the “Preferred Email” field that will reach you now and after graduation, in case we need to contact you. After you click Save, you will then see the Main Menu for your account. The next time you login, you will be taken directly to the Main Menu (see Figure 3-1).

**Change Your Password**

Once you login to RUetd, a Main Menu will be displayed that will list the functions available to you. One of those functions is for changing your RUetd account login password. If you are logging in using your NetID, your password will be reset only for use in the RUetd system. This will not change your NetID password for any other system. Figure 2-9 depicts the screen used to change the password for accounts set up for RUetd only. The screen gives guidelines for creating a valid password. Note that RUetd passwords are not displayed or stored in human-readable form.

**Figure 2-9. Change Your Password screen**
(This page intentionally left blank.)
Chapter 3: Submit Your ETD

This chapter describes the ETD System functions that are available for graduate students who need to submit a thesis, dissertation or project in electronic format to the ETD System.

When you login to the system, either initially after updating your personal information or on succeeding occasions, you will see the Main Menu. This screen gives access to the primary capabilities that a student can use in the ETD System. Before you access Submit for the first time, the Main Menu will appear as shown in Figure 3-1. Once you have completed the first submission step (see Figures 3-2 and 3-3), regardless of whether you finished the entire submission process or not, the Submit option will be replaced on the Main Menu with the Resume/Track option (see Chapter 4: Resume, Resubmit or Track Your Work).

Figure 3-1. Main Menu before initial Submission
The functions on the initial Main Menu allow you to:

- **Submit** (upload) a primary file and supplementary files, if used, to the ETD system
- **Update personal information** (e.g., register with the ETD System by updating personal contact information such as email address and phone number for your ETD account)
- **Change the password** for your ETD account

The remainder of this chapter discusses the Submit function. See Chapter 2: Your First Time Using RUetd for information about the Update My Information and Change Password functions.

The primary function for which you will use the ETD System is to submit your thesis or dissertation. The Submission process consists of five steps:

- Start Submission
- ETD Info
- ETD Upload
- Supplementary Files
- Confirmation

**Step 1. Start Submission**

Figures 3-2 and 3-3 show an example of Step 1, the initial Submit screen you will see when you click on the Submit option on the Main Menu. Your screen may look slightly different, depending on to which graduate school you belong. This screen:

- gives information about who to contact for questions and problems relating to technical and non-technical ETD issues
- presents a checklist of requirements for items submitted to RUetd
Figure 3-2. Submit Step 1 screen (top section)

To Submit an ETD Online...

Submissions to RU ETD are made online by completing the five steps shown above. If you have any difficulties with this process, contact:

- For all issues, except pure technical matters: Your graduate school Dean's Office by e-mail or phone
- For problems related to uploading files or submitting information: ETD Administrator (732-445-5996).

Submission Checklist

This checklist represents the requirements for items submitted to RU ETD. Authors must indicate, with a checkmark, that they have complied with all requirements before proceeding to the next step in the submission process.

- I hereby grant to the Rutgers University Libraries and to my school the non-exclusive right to archive, reproduce and distribute my thesis or dissertation, in whole or in part, and/or my abstract, in whole or in part, in and from an electronic format, subject to the release date subsequently stipulated in this submittal form and approved by my school.

- I represent and stipulate that the thesis or dissertation and its abstract are my original work, that they do not infringe or violate any rights of others, and that I make these grants as the sole owner of the rights to my thesis or dissertation and its abstract. I represent that I have obtained written permissions, when necessary, from the owner(s) of each third party copyrighted matter to be included in my thesis or dissertation and will supply copies of such upon request by my school. I acknowledge that RUetd and my school will not distribute my thesis or dissertation or its abstract if, in their reasonable judgment, they believe all such rights have not been secured.

- I acknowledge that I retain ownership rights to the copyright of my work. I also retain the right to use all or part of this thesis or dissertation in future works, such as articles or books.
The Submission Checklist in this step identifies your graduate school’s requirements (a.k.a. terms and conditions) for submissions to the ETD system. The requirements shown in Figures 3-2 and 3-3 are examples. Your screen may have different statements. You must comply with all requirements, and indicate such with a checkmark on each, before proceeding to the next step in the submission process.

Note that your graduate school may have other requirements not listed here that you need to meet. For example, you may have to turn in paperwork if you want an embargo on your work or to send your ETD to ProQuest. Be sure to check with your graduate school Dean’s office or Graduate School Reviewer to ensure that you complete any requirements not listed in the Submission Checklist on this screen.

If you can’t finish all five steps in Submit, you may return at any time to continue the submission process. Students who don’t finish the submittal process in one session will be able to continue from the last step they completed by using the Resume/Track function next time they log in. However, submittal is not considered complete until all five steps are finished.
Step 2. ETD Info

Figures 3-4, 3-5 and 3-6 show Step 2 of the Submission process. In this step, the ETD system gathers information (metadata) about each thesis or dissertation. Be aware that all information gathered in the ETD system, such as names, addresses, etc., are kept private and used for no other purposes outside the ETD system, as stated on the screen.

Figure 3-4. Submit Step 2 screen (top section)
Figure 3-5. Submit Step 2 screen (middle section)
The following information is collected in this step:

- **Author information:**
  - Your name as it appears on the title page of your ETD (first name, middle name or initial(s), and last name)
  - Preferred e-mail address
  - Year of birth (optional; would be required if another author with exactly the same name had already submitted an ETD)

- **Paper/project information:**
Title as it appears on the title page of your ETD
– Abstract
– Keywords (optional)

• Degree and school information:
  – Degree type (Ph.D., M.F. A., etc.)
  – Name of the graduate school
  – Name of the graduate degree program
  – The language in which the ETD is submitted
  – Your graduation year and month
    – Deferred access (length of embargo can be specified, as shown in the dropdown menu in Figure 3-7)
    – Deferred access means that your thesis/dissertation will be embargoed (unavailable for access outside your institution) for the indicated period. This status may require approval from your graduate school. If you do not wish access to your ETD to be restricted in this manner, you should choose “0 days”. Any embargo will apply to RUcore as well as to access via ProQuest. If your ETD is sent to ProQuest, you will have to indicate the same time period for the embargo on the ProQuest paperwork you get from your graduate school.

• Advisory committee (required for some degrees and optional for others; if optional, the background will be blue instead of red):
  – Chair’s name
  – Other committee members’ names (e.g., Co-chair, Internal member, Outside member)
Step 3. ETD Upload

Figures 3-8 and 3-9 show Step 3 of the Submission process. This is where you upload your thesis or dissertation main file into the ETD database.
Figure 3-8. Submit Step 3 first screen (top section)
Figure 3-9. Submit Step 3 first screen (bottom section)

The ETD submission process requires you to upload files using a Web browser. File uploads through a browser window are supported by most Web browsers. File uploads will not work properly if your browser is using a proxy server of any kind. The file upload page can generally support files of many Megabytes in size.

Rutgers University requires that the main file be submitted in Adobe Acrobat’s PDF file format. You may create the file initially in another word processing tool, then convert it to PDF format. Some versions of word processing software like Microsoft Word allow you to directly output your file as an Acrobat file. Otherwise, you will need to import your file into Adobe Acrobat to convert it. Free trial versions of Adobe Acrobat are downloadable from the Adobe website (www.adobe.com). Make sure you download Adobe Acrobat, the software tool in which you can create documents, not the Adobe Reader. For preservation purposes, creating a PDF/A file is strongly recommended. See Appendix A for an example of how to create a preservation-level PDF/A file.

Notes regarding content in your PDF:
- A warning regarding the text in your PDF: You will often use the copy/paste feature of your word processing software and/or browser to include text and references in your file. Be careful to thoroughly proofread the text to make sure any special characters are copied correctly. For example, sometimes a long dash, when copied, might appear as “&ndash;” in the file instead of as “—”, or a Greek alpha character might appear, when copied, as “&alpha;” instead of as “α”.
- The title page must not contain the actual signatures of your committee.

Your graduate school may require that your ETD be sent to ProQuest/UMI. It must be prepared with the same care as if it were to appear in printed form.
A title page, with the signatures of your Advisory committee, is normally required when creating a thesis or dissertation. This signed page will normally go to your graduate school or your advisor. However, for privacy and security purposes, the title page that you include in your ETD must be unsigned (e.g., do not scan the signed page into your ETD file). The blank lines on which the signatures were placed may be included on the title page contained in the ETD.

As stated on the screen in Step 3, your main submission file must be a single document. This means that the title page, abstract, individual chapters, etc. cannot be submitted as separate files but must be combined into one file. Files may be combined by several methods, including:

- Making separate files in your word processing tool, converting each to a separate PDF file in Adobe Acrobat and then using the “Insert Pages” function in Adobe Acrobat to combine them into one file.
- Using functions like Copy/Paste or Insert that are available in the editing or word processing software (e.g., MS Word) you are using.

Note: If you combine files in MS Word, then need to create different formats of page numbers, need to restart page numbering within the document, or need to change the headers and/or footers for different parts of your document, you must divide your document into "sections", then change the page number format, headers or footers for each section.

When your file uploads successfully, you will see a new screen containing a confirmation message (see Figure 3-10).
Figure 3-10. Submit Step 3 second screen
This screen allows you to do several things:

- The file can be viewed by clicking on the file name and it is recommended that you do this. When you are done viewing the file, use the Back Arrow in your browser to close the file. If you forget and use Exit (or X in the upper right corner of the window) you may return to this step by logging in again, clicking on Resume/Track in the Main Menu, clicking Resume under Status next to your paper/project title, and clicking the “STEP 3: ETD Upload” box under the Navigation Ribbon.

- You may click on the Autochecker link to check that the margins in your paper meet your school’s requirements. Please note that an error does not automatically indicate non-compliance, and if it is intentional you may ignore the warnings. This tool is a service to alert you to potential formatting problems. Standards for certain formatting are necessary if your graduate school requires that your ETD be microfilmed or if it is published in printed form in the future. If formatting problems occur, your Graduate School Reviewer may request that you fix the problems and resubmit the ETD. Occasionally, extraneous white-space characters (tabs, blanks, etc.) are hidden in margins and may cause the Autochecker to show those pages as having errors. In MSWord, you can show hidden paragraph marks and formatting symbols like spaces, tabs, line feeds, carriage returns, etc. by turning on the Show/Hide option (¶). Other things that may occasionally confuse the Autochecker are pages in Landscape mode, some tables that have borders close to the margin, and images that have been scanned and may have shadows of the edges of the original pages. Figure 3-11 shows a sample of the Auto Margin Checker window you’ll see if you click on the Autochecker link.

*Figure 3-11. Auto Margin Checker window.*

ETD-2010-338.pdf is currently having the margins of each page calculated, please be patient.
• If you find, while viewing the file during this step or when running the Autochecker, that you need to replace the file, a new or revised version can be submitted by using the Browse button to navigate to its location on your computer and then clicking the Upload button to upload it. If you upload a new version, it will replace the last submission.

When you are satisfied with your file, click the “Proceed” button.

Note: After you exit the submission steps, a new or revised file can be submitted at any time before the thesis/dissertation is approved. To submit a new or revised file and replace the one that currently appears, use the “Resume/Track” function on the Main Menu. If you have difficulties uploading your ETD files, contact your Graduate School Reviewer or the ETD Administrator.

**Step 4. Supplementary Files (optional)**

Figure 3-12 shows Step 4 of the Submission process, where you can submit any supplementary files that belong with your thesis or dissertation. If you do not have any supplementary files, you should click the Proceed button at the bottom of the Step 4 screen and you will be taken to Step 5.
Figure 3-12. Submit Step 4 first screen

![Figure 3-12. Submit Step 4 first screen](image-url)

**RUetd**
Rutgers University
Electronic Theses & Dissertations

**Main Menu > Submit**
Logged in as: A Student

---

**Step 4:**
Supplementary Files (optional)

An important feature of RUetd is its ability to preserve any number of supplementary files for each ETD. These files can be uploaded in specified file formats. You may upload as many supplementary files as you like, but each file should be no more than 50MB in size.

If your files are larger than this, you will need to coordinate delivery of the files with **Isaiah Reard at the Scholary Communication Center** (Tel: 732/932-8573 X171).

- **Upload a Supplementary File**

If you do not have any supplementary files to submit with your ETD, click the “Proceed” button below.

---

**Once you are finished uploading your supplementary files, press ‘Proceed’ to continue to the last step. You may return to this page at any time in the submission process.**

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- **Tutorial**
- **Student Guide**
- **FAQ**
- **Contact Us**

Technical support for this RUetd system is available by e-mail or phone from **ETD Administrator** (732-445-5556).
An important feature of the ETD system is its ability to preserve any number of supplements, in various formats, for each ETD. Step 4 uploads those files and can generally support files of many Megabytes in size. If your files are larger than the size noted on your screen (which may be different from the examples shown in this guide), consider splitting them into smaller pieces, if possible, to make it easier for readers to download. If you need help with larger files, a contact is identified on the screen or you may contact the ETD Administrator.

Please note that some of the supplementary material may need to be hand-delivered to your Graduate School if it is not in a format or size that can be accepted in RUetd.

Supplementary files in RUetd can be in any of the following formats:

- .aif - Audio Interchange File Format (Sound)
- .avi - Audio-Visual Interleaved (MovingImage) – video/x-msvideo
- .bmp - Windows Bitmap (StillImage) – image/bmp
- .csv - Comma Separated Values (Dataset)
- .doc, .docx - Microsoft Word Document – application/msword
- .emf - Windows Enhanced Metafile (StillImage)
- .gif - Graphics Interchange Format (StillImage) – image/gif
- .jpg, .jpeg - Joint Photographic Experts Group (StillImage) – image/jpeg
- .mov - Apple QuickTime Movie (MovingImage) – video/quicktime
- .mpg, .mpeg - Motion Picture Experts Group (MovingImage) – video/mpeg
- .mp3 - Motion Picture Experts Group Layer 3 (Sound) – audio/x-mpeg
- .pdf - Comma Separated Values (StillImage/Text) – application/pdf
- .png - Portable Network Graphics (StillImage) – image/png
- .ppt, .pptx – Powerpoint (Dataset) – application/vnd.ms-powerpoint
- .qt – QuickTime (MovingImage) – video/quicktime
- .swf – ShockWave Flash (MovingImage) – application/x-shockwave-flash swf
- .tar – Tape Archive (Dataset) – application/octet-stream
- .tif, .tiff – Tagged Image File Format (StillImage) – image/x-tiff
- .txt - Text File (Text) – text/plain
- .wav - Waveform Audio Format (Sound)
- .wmf - Windows Metafile (StillImage)
- .wmv – Windows Media Video (MovingImage) – video/x-ms-wmv
- .xbm - X Bitmap (StillImage)
- .xls, .xlsx - Microsoft Excel File (Dataset) – application/msexcel x-excel
- .xml – eXtensible Markup Language (Text) – text/xml
- .xsl – eXtensible Stylesheet Language (Text) – text/xml

File types approved and supported by ProQuest's UMI division for electronic dissertations are:

**Image files:**
- GIF (.gif)
- JPEG (.jpg, .jpeg)
- TIFF (.tif)

**Video files:**
- Apple QuickTime (.mov)
- MPEG (.mpg)
o Microsoft Audio Video Interleaved (.avi)

**Audio files:**
- AIF (.aif)
- MIDI (.midi)
- SND (.snd)
- WAV (.wav)
- CD-DA
- CD-ROM/XA
- MPEG-2

You may upload as many supplementary files as you need. To upload a supplementary file, click on the Upload link in the Step 4 screen and you will then see the screen in Figure 3-13.
Figure 3-13. Submit Step 4 second screen

![Submit Step 4 second screen](image)
For each supplementary file, you will be asked to provide a title, the type and a brief description of the file. The method of upload is the same as for the primary file you uploaded in the previous step. After you click the Upload button to upload your file, you will receive a screen similar to the one shown in Figure 3-14.

Figure 3-14. Submit Step 4 third screen
This screen will have a confirmation message if the file was successfully uploaded or a message will be displayed identifying any error that occurred. At this time, you can do the following:

- The file you just uploaded can be viewed by clicking “Edit” next to the file name and then clicking the file name on the next screen, which looks like the screen in Figure 3-13. You have the opportunity to change the information you entered and/or replace the file at this time, or click Cancel to go back to the screen in Figure 3-14.
- The file can be deleted by clicking “Delete” next to the file name.
- Another supplementary file can be uploaded by clicking “Upload an additional Supplementary File”.

When you are finished uploading supplementary files, click the Proceed button and you will move to Step 5.

**Step 5. Confirmation**

Figure 3-15 shows Step 5 of the Submission process. Here you have the opportunity to review all the files you have identified for submission.
Figure 3-15. Submit Step 5 screen

Review the file summary below. If you are satisfied, click on “Finish Submission” to submit your manuscript and any supplementary files to RUetd.

You will receive an acknowledgement by e-mail and will be able view your ETD’s progress through the review process at any time by logging in and selecting “Track - Check the status of current submissions.”

Files Summary

<table>
<thead>
<tr>
<th>#</th>
<th>File Name</th>
<th>File Size</th>
<th>Uploaded</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>A Supplementary File.jpg</td>
<td>24.7 KB</td>
<td>2010-03-30 17:33:56</td>
</tr>
</tbody>
</table>

Press ‘Finish Submission’ to submit your document to RUetd. Your ETD and corresponding information will not be considered for review until you press the red button.

Technical support for this RUetd system is available by e-mail or phone from ETD Administrator (732-445-5896).
To complete the submission process and make your thesis or dissertation available for review by your graduate school, you must, as a last step, click the “Finish Submission” button. You will then see the final screen in the Submit process, shown in Figure 3-16.

Figure 3-16. Submit final screen

You have now finished the submission and can go back to the Main Menu or Sign Out. You will receive an email acknowledgment of the submission and you will be able to view your ETD’s status in the review process by using the Resume/Track function on the Main Menu (see Chapter 4: Resume, Resubmit or Track Your Work). If you have questions about the review process, you should contact your Graduate School Dean’s Office rather than the ETD Administrator. Remember, until your ETD is approved, you can still upload new and/or changed files by using the Resume/Track function.
(This page intentionally left blank.)
Chapter 4: Resume, Resubmit or Track Your ETD

This chapter describes the ETD System functions that are available when you need to continue an interrupted initial submission, resubmit another version of your ETD or check the status of your submission.

Once you have passed the first step of the submission process, the Main Menu you see when you login will change to the image shown in Figure 4-1, where the Submit option has been replaced with the Resume/Track option. This change will occur if you finished your submission as well as if you stopped your submission before it was completed. This version of the menu will allow you to track the progress of your fully submitted ETD through the review process. Moreover, if you stopped partway through the submission and need to complete the process, this version will allow you to resume the submission at the step where you left off. And finally, if you are asked by your Graduate School Reviewer to resubmit the ETD, you can do that as well using the Resume/Track option.

Figure 4-1. Main Menu after initial or partial Submission
The functions on the Main Menu after the first use of Submit allow you to:

- **Resume/Track** an ETD, which includes the following capabilities:
  - Display the current status of a submitted ETD
  - Continue a partially completed submission (e.g., resume at an interrupted step)
  - Resubmit the ETD and/or any of its supplementary files or add (submit) additional supplementary files or delete files (e.g., you were asked to resubmit because of formatting errors, or you made changes to the paper/project that you previously submitted and the ETD hasn’t been reviewed yet by your graduate school)
- **Update personal information** (e.g., register with the ETD System by updating personal contact information such as email address and phone number for your ETD account)
- **Change the password** for your ETD account

The remainder of this chapter discusses the Resume/Track function. See Chapter 2: Your First Time Using RUetd for information about the Update My Information and Change Password functions.
If you are asked by your Graduate School Reviewer to resubmit your thesis/dissertation, you will see a message to that effect on the Main Menu screen when you login and it will look like the screen shown in Figure 4-2. You also would have received an email with a message that indicates the reason for the resubmission.

**Figure 4-2. Main Menu with resubmission request message**

![Main Menu - Windows Internet Explorer](image)

If you click on the “here” link, you will go directly to the screen where you can upload a new file. This the same screen you would go to if you click on Resume/Track on the Main Menu, then click on the title of your ETD and is shown in Figure 4-5.
If your ETD has not been reviewed yet or you have not been asked to resubmit your ETD, there will be no message on the Main Menu screen when you login. If you then click on the Resume/Track function, you would see a screen similar to the one shown in Figure 4-3. Here you will see the title of your submission, the date you submitted and its current status. Appendix B shows the possible statuses and the progression from one to another.

**Figure 4-3. Resume/Track screen for submitted ETD**

On the screen shown in Figure 4-3, you see an ETD that has a status of “Submitted”. This means that the submission is complete and the ETD is awaiting review by the graduate school. If the submission was interrupted for some reason, the screen would look like the one shown in Figure 4-4.
Figure 4-4. Resume/Track screen for partial submission

If this happens to you, you may finish the submission by clicking on either the title or the Resume link for the ETD. You will be taken to the next step you need to perform in the submission process. If, instead, you want to cancel the submission and remove the ETD from the system, you should click the Delete link.

Once the ETD has been submitted and you are on the screen shown in Figure 4-3, if you click on the title of your submission, you will get a Submission Detail screen (see Figure 4-5) where you can edit information about your ETD (title, abstract, advisory committee members, embargo period, etc.), view your main file and any supplementary files, check the margins, and upload new and/or changed files.
Figure 4-5. Resume/Track Submission Detail screen
Appendix A: Creating Preservation Level PDF/A Files

Note that the following instructions are for Microsoft Windows-based workstations and Adobe Acrobat 7. If you have different hardware and software, you may find these instructions useful only as a pointer in the direction you need to go.

This is an example of instructions for creating digital documents in a standard file format for long-term preservation using the Adobe Acrobat tool. Rutgers University recommends that main (primary) documents be stored in the ETD System in PDF/A format, which is a standard file format for long-term preservation of digital documents. In this case, supplementary files can usually be stored in any format. Note that PDF/A format is not the same as PDF.

The following instructions will show you an example of how to get started converting your word processor, spreadsheet, PDF and most other printable documents into PDF/A files. Doing this requires the installation and set-up of special software, but once configured, creating a PDF/A can be as easy as printing a document on paper.

You must install a licensed copy of Adobe Acrobat 7.0 or later. This software can be purchased as a stand-alone program. Adobe also offers a free 30-day trial of the latest version of Adobe Acrobat Professional, which is fully functional and can convert most documents to the required format. Please be aware that Adobe Acrobat is different from the free reader software that is available from the Adobe website. The reader only permits users to open and read PDF documents, but will not allow you create them.

Once Adobe Acrobat is installed, your computer should have a “virtual printer” configured. This virtual printer will be used to “print” your document to a PDF/A output file. If you click on your Start Menu and select “Printers and Faxes,” you should see an icon labeled “Adobe PDF”.

This virtual printer must now be configured using the following steps:

- In your “Printers and Faxes” Menu, right-click on the “Adobe PDF” virtual printer, and select “Properties.” A configuration window will then appear.
- Click on the button, near the bottom of the window, labeled “Printing Preferences.” A window titled “Adobe PDF Printing Preferences” will now appear.
- Click on the “Default Settings” menu. You will now see several pre-set options for creating different types of PDF files. Under this menu, select “PDF/A-1b:2005 (RGB).” Note: For certain special-purpose document types, you may want to select “PDF/A-1b:2005 (CMYK)” as your archival format. If you or your grad school know this to be the case, then select this option. However, the RGB option will be the correct choice for most documents.
- Click “OK” on the Printing Preferences box, and once again in the Properties window. Configuration is complete.

Now that the virtual printer has been configured, you can create PDF/A files from virtually any document that can be printed on paper. Before starting, you should make sure your document is in its final stage, fully edited and with all corrections made. You will not be able to make any changes to the PDF/A once it has been created, and the only way to make corrections will be to delete the PDF/A file and create a new one after editing your original document. The only exception to this is that you can insert (combine) files to create one complete document.
Once your document is ready, perform the following steps to create the PDF/A:

- In Adobe Acrobat, click on the “File” menu, select “Open”, browse to your file and click “Open”.
- Click on the “File” menu and select “Print.” Your application’s Print dialog box should appear.
- Select “Adobe PDF” from your list of available printers.
- If necessary, select which pages you would like put in the PDF/A file, or ensure that all pages are to be printed if you want the entire document to appear as a PDF/A.
- Click “OK” to output the document.

Instead of printing a paper version of the document, the output will be saved in the form of a PDF file. A box will appear asking you where you want to save this file and what you want to name it. You should pick a name that is different from your original file. Once you have made your selection, Adobe Acrobat will process the file and then launch Adobe Acrobat Reader to allow you to view the results. The conversion process is now complete. You should now have both your original document in the format you originally created it and a separate, preservation-level PDF file.
Appendix B: Progression of ETD Statuses

The diagram in Figure A-1 shows each state (status) that an ETD paper or project can have and the order in which it can move between states. The status can be viewed by Students via the Resume/Track function and by Reviewers and Administrators via the View Submissions function.

Figure B-1. Progression of ETD Statuses

[Diagram showing the progression of ETD statuses]

- In Submission Process
- Submitted
- Review by Graduate School
  - or
  - Accepted
  - Rejected
  - Resubmission Requested
    - or
    - Archived
    - Resubmitted
(This page intentionally left blank.)