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FACULTY GUIDE TO

ELECTRONIC LODGEMENT OF AWARDED THESES TO THE LIBRARY

Version	Date	Updates	Who
Version 1.1	15/10/2013	Changes to the handling of Lodgement Forms	Sten Christensen

ELECTRONIC LODGEMENT OF AWARDED THESES TO THE LIBRARY

DRAFT FACULTY LODGEMENT PROCEDURES

Sten Christensen

The following procedures should be read in conjunction with the University of Sydney (Higher Degree by Research) Rule 2011.

Prior to the lodgement of a thesis to the Library's Sydney eScholarship Repository the following should be completed or checked off:

- The Faculty should have received a digital copy of the awarded thesis.
- Ensure the thesis has met all the requirements of the University of Sydney (Higher Degree by Research) Rule 2011 including emendations.
- Ensure the student has provided an abstract and a set of keywords see - **Submission process.**
- The student must have signed a Copyright Release form and that all forms have been forwarded to the Sydney eScholarship Repository. Forms are available at http://sydney.edu.au/graduate_studies_office/students/thesis.shtml – **see Final Lodgement of Thesis Form and Faculty Checklist.**
- Ensure the student has indicated on the Final Lodgement of Theses Form whether the thesis is to be available on open access or local access (University of Sydney only) – **see Levels of Access.**
- Manage any issues relating to embargo dates if required see – **Level of Access and embargo**
- Use copyright the template provided by the Library to ensure the copyright statement is added as the first page of the thesis – see **Copyright.**
- Ensure the thesis is in the correct format see **Format.**
  (Check the Higher Degree by Research: Final Lodgement of Thesis – Faculty Checklist)

Once the above has been completed you may lodge the awarded thesis on behalf of the student through the Library's Sydney eScholarship Repository with its appropriate levels of access and description.

If there are any issues with work and the submission process please contact the Sydney eScholarship Repository Coordinator - sesr.info@sydney.edu.au

Please note: You will need to have access to a copy of adobe acrobat.

COPYRIGHT

Copyright notice

Before the awarded thesis can be submitted to the Sydney eScholarship Repository a standard copyright statement must to be added to the file.

To do this:

- Open up the thesis using Adobe Acrobat
- Insert the copyright statement pdf as the first page. If you require a copy of this file please contact the University's Coordinator of Copyright Services: Raj Saxena *email*: copyright@usyd.edu.au *phone*: 935 12888
- Save and close.

The Copyright notice is available from the GSO website

FINAL LODGEMENT OF THESIS FORMS AND FACULTY CHECKLIST

- All students must complete the *Final Lodgement of Thesis* form and sign the Copyright Release form on the reverse of this form. The faculty office must complete the *Checklist*. All forms are available at http://sydney.edu.au/graduate_studies_office/students/thesis.shtml
- When the documentation is complete combine the Lodgement of Thesis form with Checklist and create one pdf document that should be named as
    - Year_Name_cp.pdf i.e. 2013_ Sten_Christensen_cp.pdf
- The documents should be lodged in the repository with the thesis.

Please note: *ARMS have requested that any signed documentation that is scanned and forwarded to the Library should be retained for 6 months.*

THESIS FORMAT

The recommended format for the text component of a thesis is PDF – portable document format.

Any images and/or tables should be embedded in the document.

The guidelines for the creation of the pdf text file of the thesis

Conversion

- The latest version of ***Adobe Acrobat*** should be used to convert the original thesis file. **Not** rescanned from a hard copy.
- The pdf created should be backwards compatible with Adobe Acrobat v5.0.
- All fonts and images must be embedded. Any accompanying audio or video should be submitted as a separate file [see Other File Formats].
- Conversion settings should be set to "High Quality Print".

File Size

- A file should be up to 100 mb, If the file size is larger than this it should be broken up to smaller file sizes in a logical manner i.e. by chapter, by part or other natural division.

File naming convention

- surname_initials_thesis.pdf
    - i.e. chritensen_sp_thesis.pdf

Where the thesis is broken up into smaller file sizes

- chritensen_sp_thesis_[filenumber].pdf
    - chritensen_sp_thesis_1.pdf
    - chritensen_sp_thesis_2.pdf

Security settings

The student should not, upon submission, place any security settings on the file restricting access. The file, when received by the Faculty office, needs to have a standard copyright statement added to it.

Other file formats

Where ancillary information is provided such as appendices the following file formats are preferred for the sake of sustainability.

- Images – uncompressed Tif
- Audio- raw or wav for archival purposes
- Video– no prescribed format
- Databases -- – no prescribed format
- Programs – no prescribed format
- Anything else should be in the native format.

If a file requires special software to be usable it should be noted in the ”Description” section of the information that is provided. This should include

- File type and format
- Software and version required to use it
- Platform required to run it.

If the student has any questions relating to file formats please direct them to the Sydney eScholarship Repository Coordinator.

Images or ancillary file formats should not be reduced in size.

Student guidelines are available from the GSO website.

LEVELS OF ACCESS AND EMBARGO

Access

- Students should be encouraged to the make their work available on Open Access. However they have two option for access to their work and they must choose one:
    - ***Open Access*** means able to be freely accessed, viewed and re-used by anyone in the world using an internet connection.
    - ***University of Sydney Access Only (Local Access***) means able to be accessed, viewed and re-used by current staff and students of the University of Sydney by means of Unikey authentication. A non-University of Sydney client can upon entering one of the University's libraries make a request to access the thesis on site.

  Note: If the thesis is by publication then the work should automatically be deemed as local access unless the author has been given permission by the publisher to make their material available on open access.

For items that cannot be made available to anyone and may be embargoed for an extensive period of time, outside those specified in the Rule, the thesis is to be stored "off-line" as a bound copy in the Rare Book Library of the University of Sydney Library. Please contact the Sydney eScholarship Repository Coordinator - sesr.info@sydney.edu.au

Embargo

The embargoing (delay of lodgement) of a thesis is managed through the Faculty Office. The embargoed work should be submitted as per normal; however the embargo date field in the submission form must contain the date that the embargo is to be lifted. The description of the thesis will be accessible however access to the actual thesis is restricted until the date of the lifting of the embargo.

Please refer to the HDR Rule 2011 as to the correct procedure for the delay of lodgement.

INFORMATION SUPPLIED BY THE STUDENT

The following should be provided by the student before submitting the thesis:

1. An abstract btw 150-300 words
2. A set of keywords – limit between 2 -6 words
3. Completed lodgement form including a signed copy of the copyright release form.
4. The level of access to the thesis that the student wished placed on the thesis i.e. Local Access or Open Access.

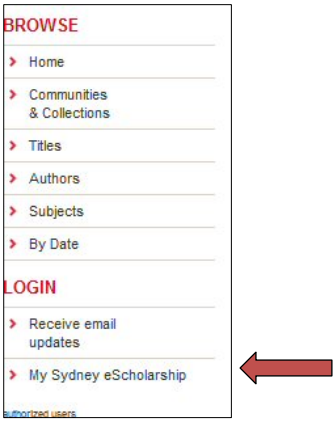
All are required.

LODGEMENT PROCESS

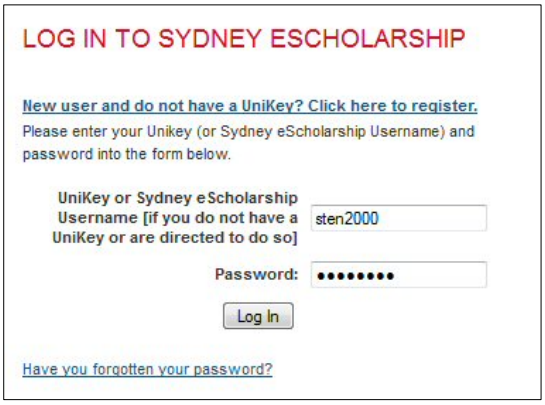
Once the entire pre-lodgement requirements have been met you are ready to lodge the thesis with the Library.

Go to the Sydney eScholarship Repository
Go to the web address: http://ses.library.usyd.edu.au

My Sydney eScholarship
Choose the option My Sydney eScholarship



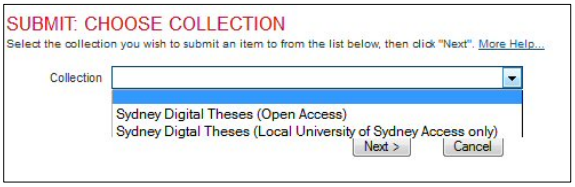
Login using your Unikey credentials
To enable you to lodge a thesis to the appropriate collection login with your Unikey ID and password.



Start a new Submission

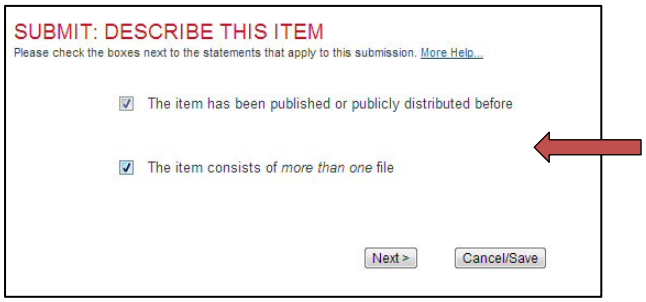
Select the appropriate collection
See ***Levels of Access And Embargo***
The student will have selected the type of access they want on the thesis

- ***Open Access*** choose – Sydney Digital Theses (Open Access)
- ***Local Access*** choose Sydney Digital Theses (Local University of Sydney Access only)

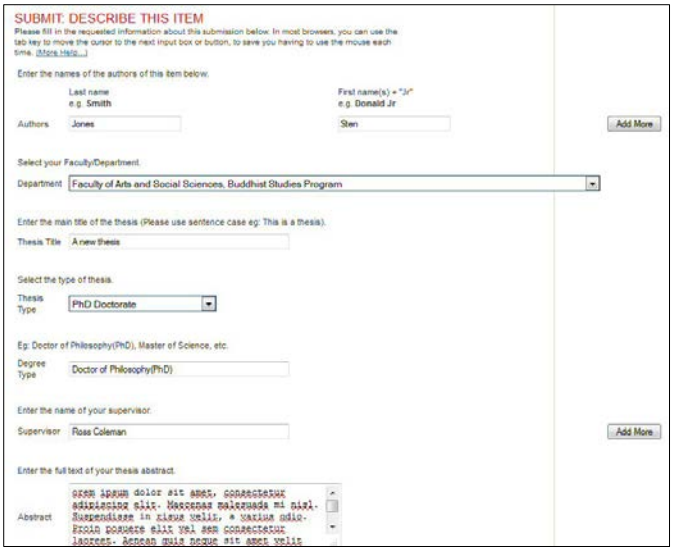


Provide information about the thesis and files you will be loading

1. Always check the box *"Item has been published or publically distributed before".* This is essential as it will allow you to enter the date the thesis was awarded.
2. Always check the box *"The item consists of more than one file "* as you will be loading more than one file. This includes the thesis and the lodgement forms as well as any other files associated with the thesis.



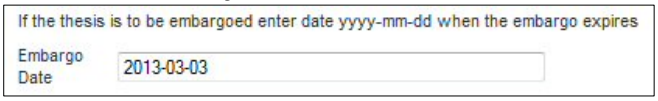
Complete the description of the thesis



A note on embargo

If the department has agreed to delay the lodgement (make the thesis accessible) you may do this by completing the following field in the description form.

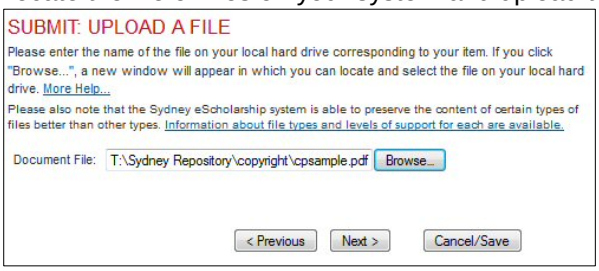
Note: ensure that you follow the data format.



If the school has not agreed to a delay of lodgement then no embargo can be placed on the thesis so leave the field blank. See (Levels of Access and Embargo)

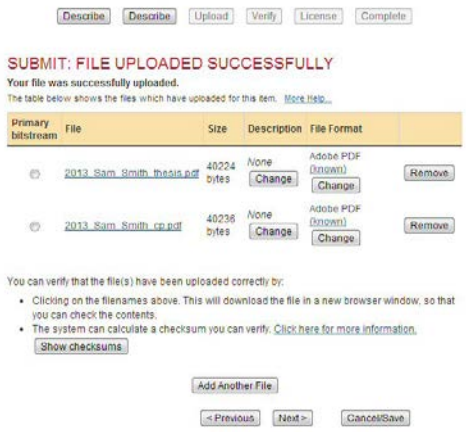
Upload the file(s)

Locate the file or files on your system and upload them



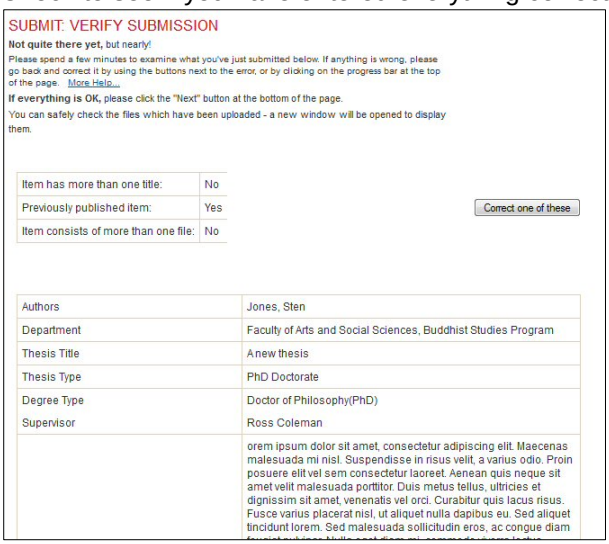
Verify the file loaded

Check to see if the correct files have been loaded. If you selected to load more than 1 file choose “Load another file”.



Verify your lodgement

Check to see if you have entered everything correctly. You may do your edits at this stage.



SUBMIT: VERIFY SUBMISSION

Not quite there yet, but nearly!

Please spend a few minutes to examine what you've just submitted below. If anything is wrong, please go back and correct it by using the buttons next to the error, or by clicking on the progress bar at the top of the page. More Help...

If everything is OK, please click the "Next" button at the bottom of the page.

You can safely check the files which have been uploaded - a new window will be opened to display them.

Item has more than one title:	No
Previously published item:	Yes
Item consists of more than one file:	No

Correct one of these

Authors	Jones, Sten
Department	Faculty of Arts and Social Sciences, Buddhist Studies Program
Thesis Title	A new thesis
Thesis Type	PhD Doctorate
Degree Type	Doctor of Philosophy(PhD)
Supervisor	Ross Coleman
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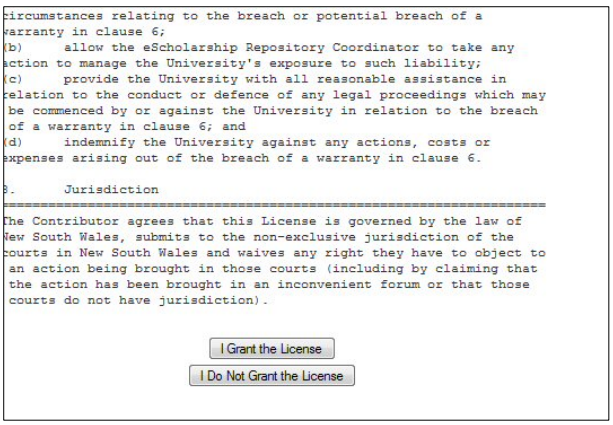
Grant Licence

You may grant the licence on behalf of the student as you should have a signed copy which needs to be forwarded to the Library. If you have you will need to do so as soon as possible. The thesis will not be approved for inclusion until the copyright release form has been received.



circumstances relating to the breach or potential breach of a
warranty in clause 6;
(b) allow the eScholarship Repository Coordinator to take any
action to manage the University's exposure to such liability;
(c) provide the University with all reasonable assistance in
relation to the conduct or defence of any legal proceedings which may
be commenced by or against the University in relation to the breach
of a warranty in clause 6; and
(d) indemnify the University against any actions, costs or
expenses arising out of the breach of a warranty in clause 6.

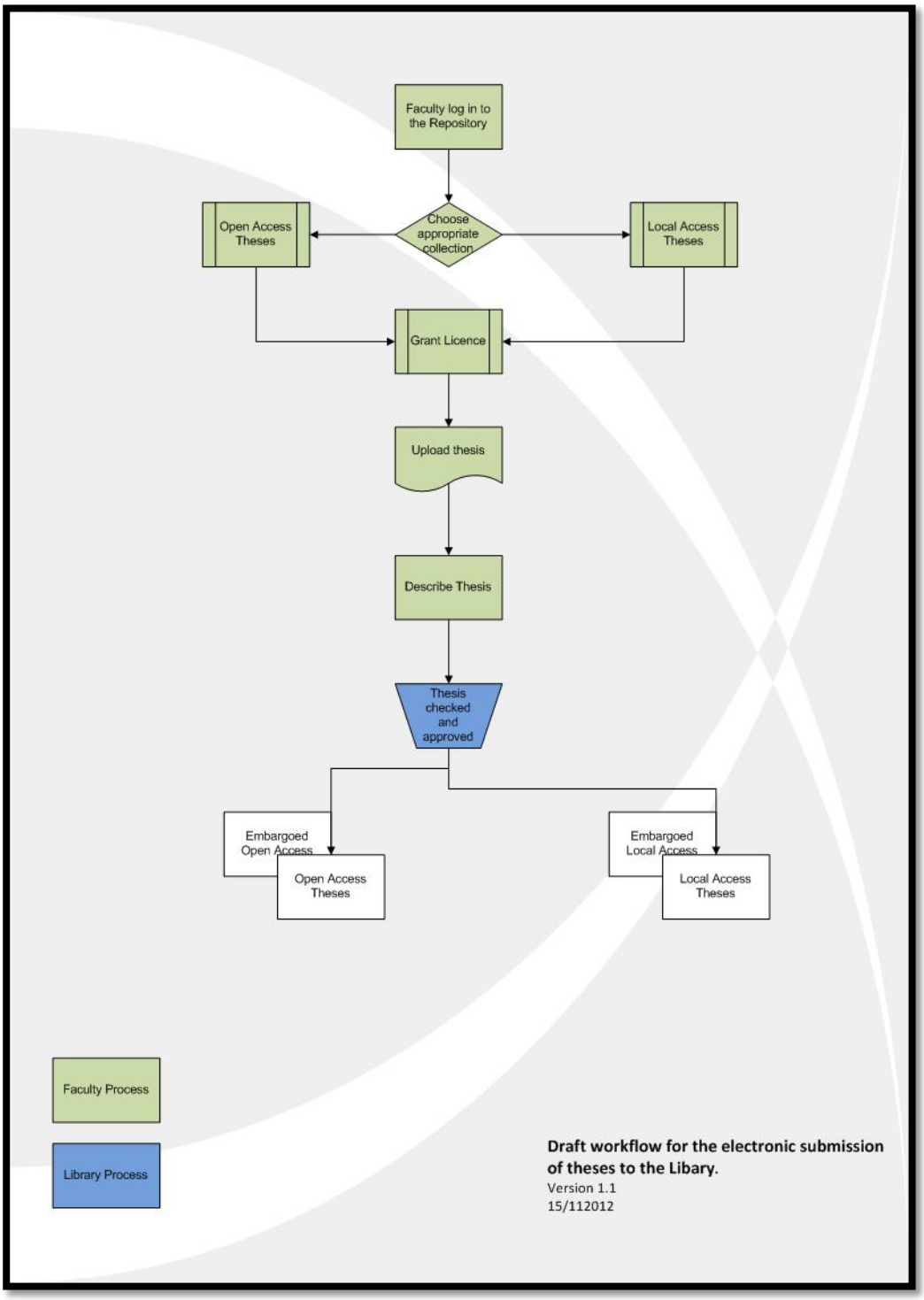
3. Jurisdiction

The Contributor agrees that this License is governed by the law of
New South Wales, submits to the non-exclusive jurisdiction of the
courts in New South Wales and waives any right they have to object to
an action being brought in those courts (including by claiming that
the action has been brought in an inconvenient forum or that those
courts do not have jurisdiction).

I Grant the License

I Do Not Grant the License

Once you have done this the lodgement process is complete.


Faculty log in to the Repository
Choose appropriate collection
Open Access Theses
Local Access Theses
Grant Licence
Upload thesis
Describe Thesis
Thesis checked and approved
Embargoed Open Access
Open Access Theses
Embargoed Local Access
Local Access Theses
Faculty Process
Library Process
Draft workflow for the electronic submission of theses to the Libary.
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15/112012