UMI ETD Administrator: Administrator Guide

Managing graduate work submissions the easy way
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Introduction
The ETD Administrator is a system for managing the electronic submission of dissertations and theses that your university plans to publish with UMI Dissertation Publishing. The ETD Administrator simplifies the submission process for students and graduate administrators alike by moving all submission steps online and eliminating the need to box and ship paper copies of each dissertation or thesis.

The Administrator Guide is intended for use by administrators of individual ETD Administrator sites. The ETD Administrator enables graduate students to upload their defended dissertation or thesis, and provides the site administrator with tools to review submissions, check all requirements, and deliver the documents and student data electronically to UMI Dissertation Publishing. Some institutions may also be set up to deliver a copy of the submitted data to their library.

About UMI Dissertation Publishing
UMI Dissertation Publishing (a division of ProQuest LLC) has been publishing dissertations and theses since 1938. In that time, we have published more than 2 million dissertations and theses, and we continue to publish more than 60,000 each year.

If you have any publishing related questions, please feel free to direct them to our Author and School Relations group:

Author and School Relations
UMI Dissertation Publishing
Phone: 1.800.521.0600 x 7020 (734.761.4700, ext.7020, outside of the U.S. and Canada)
Email: disspub@proquest.com

UMI Dissertation Publishing also provides technical support for ETD Administrator. Please contact them as questions arise.

Technical Support
ProQuest/UMI
Phone: 1.877.408.5027 (734.997.4140, outside of the U.S. and Canada)
Email: etdsupport@proquest.com

Getting Your ETD Administrator Site Set Up
The first step in getting an ETD Administrator site set up is to complete the ETD Administrator Set Up Form, located on the main ETD Administrator web site:

- [http://www.etdadmin.com/cgi-bin/main/sitesetup](http://www.etdadmin.com/cgi-bin/main/sitesetup)

For assistance with using the site, consult the Help and FAQ sections of the main site, and please feel free to email the support team at: etdsupport@proquest.com.
Administrator Tools
Once your ETD Administrator site has been set up, you will be notified and provided with administrator-level access. Your administrator-level access will give you the ability to:

- Review and edit submissions
- Assign graduate works for review to other administrators
- Communicate with student authors about their submissions
- Send submissions through to UMI Dissertation Publishing
- Run reports on submissions sent through to UMI Dissertation Publishing

To see the administrator tools, log in to ETD Administrator:

http://www.etdadmin.com/schoolname (schoolname is an abbreviation unique to your school)

After accessing your school’s site, click on Sign in from the upper right corner. Enter your username and your password. If you do not know your password, click on the “Forgot your password?” link, enter your information in the new form that loads, and your password will be emailed to you. Note that you may use the My Profile link located in the upper right corner of UMI ETD Administrator to change your password to something more other than the system-generated password.

Once you have logged in, you will see the administrator tools available to you. Almost all of your interaction with the system will occur via the Manage Dissertations & Theses screens.
The Students’ Experience

As the administrator of the site, you may receive questions from students about how the submission process works. Below is a general overview of the student experience when submitting a thesis or dissertation online.

Creating an Account

From the main page of the ETD Administrator site (http://www.etdadmin.com), the student can begin by clicking on the Submit my dissertation/thesis link. A new page will display with a list of all the universities that have ETD Administrator sites. Alternatively, you can provide a direct link to your students – which generally takes the form of "http://www.etdadmin.com/schoolname" – eliminating the need for students to select their institution from a list.

After clicking a university name, the student will be prompted to create an account for that institution’s ETD Administrator site. After the student enters and submits the basic information requested – name, email address – an account is set up, and a verification email is sent to the student.

After verifying the account, students will be taken to a page to begin their submission. The guidance listed on this page is a combination of ETD Administrator-specific instructions, as well as information specific to your university that you provided when your site was originally set up. If necessary, these instructions may be changed at any point by contacting etdsupport@proquest.com.

The Submission Process

Once a student has set up an account, he or she is ready to begin the submission process – a simple, process that should take, on average, less than an hour to complete. What follows is a brief, step-by-step description of the submission process.

Selecting Publishing Options and Accepting the ProQuest/UMI Publishing Agreement

Student authors can select one of two options: Traditional Publishing or Open Access Publishing. Traditional Publishing is the option UMI Dissertation Publishing has always supported. Open Access Publishing is a new approach that combines the features of Traditional Publishing with free and open access to the full-text PDF of the graduate work. (Note that there is a $95 fee for Open Access Publishing.)
After a student selects the publishing option that best fits his or her needs, the student will be prompted to accept the ProQuest/UMI Publishing Agreement to continue. The agreement is customized based on the publishing option the student selects. The student must accept the agreement to submit a dissertation or thesis.

Contact Information
The next screen prompts the student to enter current contact information, including email and mailing addresses, and add a future mailing address if he or she will be moving soon. This information will be stored in UMI’s internal dissertation database, where we store contact information for graduate work authors.
Graduate Work Details
The third step in the process prompts the student to enter all the necessary metadata about his or her graduate work – the title, advisor, committee members, subject category, etc. Information included here should match what is included in the graduate work itself – that is, the title should be the exactly the same as it is on the title page of the submitted manuscript. This information is used to create the bibliographic record in the ProQuest Dissertations & Theses (PQDT) database. Information such as subject categories and keywords help other researchers discover the student's work in PQDT.

![Figure 3: Step 3 of the submission process](image)

Uploading the PDF
In the next step of the process, the student must upload a PDF version of his or her graduate work. If the student does not have a PDF version of the graduate work, the ETD Administrator provides a Word-to-PDF Conversion tool. The conversion tool will take a Microsoft Word document, or an RTF document, and convert it to PDF for the student. It is very important, though, for the student to review the resulting PDF, to make sure there were no formatting issues or other problems that occurred in the conversion process.

NOTE: Students must also make sure that 1) All fonts are embedded in the PDF; and 2) The PDF security settings allow printing and modification of the document. Both are critical to the publishing process. For more information on these two issues, please see our online PDF Help page.
Next, students may upload supplementary files that support his or her graduate work. Examples might be sound clips or spreadsheets of research data. Students can upload as many supplementary files as they need to. If the student uploads a set of files that are “zipped”, that is how we will distribute the files with the full text – as a zipped file.

Notes to Administrator
Students will be prompted to include any notes for the administrator who will be reviewing his or her graduate work.
Figure 6: Step 6 of the submission process

Filing for Copyright Registration
The next step in the submission process gives students the opportunity to register a copyright on their graduate work with the U.S. Copyright Office. It is strictly optional, and there is a $55 fee associated with the service.

Dr. Kenneth D. Crews, a Professor at Indiana University's School of Law, has kindly given us permission to provide free access to his booklet Copyright Law and Graduate Research: New Media, New Rights, and Your New Dissertation. It provides a detailed overview of copyright law that no new graduate author should miss.

Figure 7: Step 7 of the submission process
Ordering Copies of the Submitted Graduate Work
The next screen gives the student the opportunity to order bound paper copies of his or her graduate work from UMI Dissertation Publishing. The student may choose to either place an order or continue without placing an order. The confirmation email sent to the student will also include a link to give the student another opportunity to order copies via the web or print a form to pay by check.

<table>
<thead>
<tr>
<th>Order Copies</th>
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</thead>
<tbody>
<tr>
<td>Your family and friends know how hard you’ve worked on your dissertation or thesis. Order extra copies to share with them, or just to put away for safe-keeping.</td>
</tr>
<tr>
<td>Authors, please note:</td>
</tr>
<tr>
<td>- Please inform us of any address change</td>
</tr>
<tr>
<td>- All prices are subject to change</td>
</tr>
<tr>
<td>- Manuscript copies are shipped approximately 6 to 12 weeks after we receive your manuscript for publication</td>
</tr>
<tr>
<td>Questions? Call UMI Dissertation Publishing toll free at (800) 521-0080, ext. 7020</td>
</tr>
<tr>
<td>Off send us an email at <a href="mailto:dissinfo@proquest.com">dissinfo@proquest.com</a></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Type</th>
<th>Size &amp; Description</th>
<th>Price Per Copy</th>
<th>Number of Copies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hardcover</td>
<td>1st. single copy</td>
<td>Buy more &amp; save:</td>
<td></td>
</tr>
</tbody>
</table>

Figure 8: Step 8 of the submission process

Final Submission Review
The submission review screen appears next, displaying to the student all of the information that will be submitted. Students may make any necessary changes before submitting. If the submission is incomplete, students will be prompted to finish before submitting.

<table>
<thead>
<tr>
<th>Submit &amp; Pay</th>
</tr>
</thead>
<tbody>
<tr>
<td>Your dissertation/thesis is ready for submission. When you submit, it will be sent to your graduate school for review.</td>
</tr>
<tr>
<td>When you submit, you will be prompted for payment of copies or publishing fees, as appropriate. You will see a summary of the order and cost on the next screen.</td>
</tr>
<tr>
<td>Please verify submission first</td>
</tr>
<tr>
<td>After you submit, you cannot revise your submission without permission from your graduate school administrator. Please verify that your submission is complete and correct before confirming.</td>
</tr>
<tr>
<td>Submission Summary:</td>
</tr>
<tr>
<td>If changes are needed, you can make them using the links provided.</td>
</tr>
<tr>
<td>Dissertation Details: Change</td>
</tr>
</tbody>
</table>

Figure 9: Submission Review step of the submission process

Payment & Confirmation
After verifying the submission, the student will be prompted to pay for any fees he or she is responsible for (including copies, Open Access publishing fees, etc.). When the submission is completed, the student will receive an email confirming that his or her submission has been submitted. After the administrator approves and sends the submitted graduate work to UMI Dissertation Publishing, the student will get another email confirming that the graduate work has been sent to UMI.
NOTE: If for any reason you need to upload an ETD for a student, a site administrator may use the Submit ETDs for Students link under the Manage Dissertations & Theses tab and fill in the forms for the student.
Administrators: Processing a Graduate Work Submission

As the administrator of your school’s ETD Administrator site, when a student submits a graduate work, you will receive a copy of the confirmation email. This is your signal to begin checking the submission. This is where you, as a site administrator, can use the customized checklist to verify that required information has been included, and ensure that all institutional requirements have been met.

The ETD Administrator provides an online checklist to help you keep track of the status of a submission. You can use the default checklist options we provide, or customize the checklist for your needs. Once you have verified all the items on the checklist, you may accept the submission for delivery to UMI Dissertation Publishing.

Accessing a Submission

The email message for each new submission contains a link to view the details of the graduate work. Click that link and you will be prompted to enter your email address and password to log in. Your browser will load the View ETD Details page for the graduate work:

![View ETD Details page for administrators](image)

Alternatively, you may access a submission by logging in to your ETD Administrator site and opening the Manage Dissertation & Theses tab. The resulting screen shows a list of all your university’s graduate works that have yet to be delivered to UMI Dissertation Publishing. Click the title of a dissertation to view the Submission Details screen (as shown above).

The left sidebar shows you all the options you have available for working with a submission. For example, if you need to revise a submission, assign an administrator, or add a note, those options are available on the left. More details will appear later in this Guide.
Checking the Submission

Once you are at the View ETD Details screen for a particular submission, you are ready to go through the review process before sending the submission to ProQuest/UMI.

1. **Special Handling/Access Restrictions**: Read the comments entered by the student to see if there are any special considerations for this submission. For example, the student might have indicated that she is not reachable via email, or that she would like to delay release of her manuscript. If students have provided any notes, they will appear on the View ETD Details page as Student Notes to Administrator.

2. **Check the PDF File**: Click the View ETD link to open the PDF file and check it. Some of the common problems we see with PDFs are missing pages and formatting errors after conversion. If there is a problem with the PDF that the student should fix, you can send a request for revisions to the student. See the “Communicating the Status to the Student” section below for more information.

3. **Check the Metadata**: Scan the View ETD Details page to view all of the information entered by the student (title, abstract, subject categories, etc.). If there are small corrections to the data that you would like to make, rather than having the student do it, please see “Revising Submitted Graduate Works” later in this guide.

4. **Complete the Checklist**: Click the View Checklist link in the left sidebar to view the items that you must verify before approving the submission for delivery to UMI. Each graduate school may have its own specific checklist items; what you see below is merely an example. Contact etdsupport@proquest.com to make any changes to the checklist for your university.
Figure 11: Administrator checklist

Working with the Checklist
When a checklist item is completed, click the checkbox next to it, add a comment for your records if you wish, and click the Save changes button. In the event that you need to uncheck an item, you may do so by clicking the check box again and clicking the Save changes button. The ETD Administrator system will not permit the graduate work to be sent off to UMI until all the checklist items are checked.

Communicating the Status to the Student

Ready for Delivery to UMI Dissertation Publishing
Once you have decided that the student and his or her graduate work have cleared all of the necessary hurdles, and the checklist is complete, you can “accept” the submission for delivery to UMI. This changes the status of the submission so that it is ready for delivery; it also notifies the student that all requirements have been met, and his or her graduate work will be sent to UMI for publishing. In order to accept the submission:

1. Click the Register decision link from the left sidebar.
2. In the new screen that loads, select “Accept” from the “Select the decision” pull down menu, and click “Go”.
3. Based on your selection, default “congratulations” wording for an email message to the student appears. Edit the text as necessary, and click the Register Decision button. The message will be sent to the student and ETD Administrator will record the status of the graduate work as “accepted.”

Once you have accepted the submission, and the acceptance email has been sent to the student, the submission is ready to be delivered to UMI Dissertation Publishing.
If Corrections Are Necessary
In the event that the submission must be revised by the student in order to be accepted, select “Major revisions required” or “Minor revisions required” from the “Select decision” pull down menu on the “Register decision” screen. A default email template will load. You can enter the specific changes required in the text of the email message, and then click Register Decision to send the message to the student. The student will then be able to submit any necessary corrections, and you will be notified via email when the changes are submitted.

The status of the submission will indicate that it is waiting for revisions from the student. Typically, the nature of the changes would include errors in the metadata, unreadable PDF files, or missing information. This option is not intended to imply that the student needs to make revisions to the manuscript; rather, the submission itself needs revisions. If there are small corrections to the data that you want to make (rather than having the student do it), please see the “Revising Submitted Graduate Works” section below.

“Rejecting” Incorrect Submissions
In the unlikely event that a student submits to the wrong graduate school, or perhaps makes a duplicate submission, select “Reject” from the “Select decision” pull down menu on the “Register decision” screen. A dialog box will ask you to confirm that you want to reject the submission. If you confirm the rejection, a default email template will load. Edit the text of the reject message to inform
the student of the error, and click Register Decision. The submission will be removed from your queue.

Sending the Graduate Work to ProQuest/UMI and the Library

**NOTE:** Some ETD Administrator sites are configured to have student data delivered simultaneously to UMI Dissertation Publishing and your institution’s library. If this does not apply to your institution, you will not see references on your screen about delivering to the library. All of the functionality otherwise remains the same.

After a submission has cleared the checklist and been accepted, its status changes to indicate it is ready for delivery to UMI. At that point, you have two options: you may deliver each graduate work individually as it is ready to go. Alternatively, if you prefer to wait for a particular date (for example, waiting until after graduation), you may select all of the files that are ready for delivery and send them off in a batch.

**Batch Delivery**
If you have a number of submissions that are ready for delivery to UMI Dissertation Publishing, you can deliver them all at once. To do so:

1. From the Manage Dissertations & Theses tab click the Deliver ETD Batch link.
2. All graduate works that are ready to be delivered appear in a list. You may select individual ones, or click the Check All link to select all to be delivered at once. Click the Deliver button and they will be transmitted to UMI (and your library, if applicable).

**NOTE:** If a submission is missing from this list, it is most likely the case that the submission has yet to be accepted. This list shows only the items that are ready to be delivered.
Once a graduate work has been delivered to UMI Dissertation Publishing, there is nothing more that you need to do. In the event that something with a delivered dissertation or thesis needs revision after it has been delivered to UMI, please contact the Author and School Relations group at UMI: disspub@proquest.com; 800-521-0600, extension 7020.

**Incremental Delivery**

After clicking the title of the manuscript in the list of submissions, you will see the link Deliver to ProQuest/UMI in the left sidebar. Click that link, and then on the resulting page click the confirmation Deliver button. Once delivered, the status changes to “Delivered to ProQuest/UMI”. The status may say “Delivery in Progress” for a short period of time as the file is being transmitted to ProQuest.

**Viewing Delivered Graduate Works**

All delivered dissertations may be viewed by clicking the Manage Dissertations & Theses tab, opening the ETD List, choosing “Delivered to ProQuest/UMI” from the Status dropdown, and clicking Update List.

Besides “Delivered”, you can select from several other view criteria in the pull down menu to see any subset of the dissertations submitted to date:

- Not Yet Delivered
- Ready for Delivery
- Delivered
- Withdrawn
- Rejected

**Figure 13: Batch Delivery page**

Once a graduate work has been delivered to UMI Dissertation Publishing, there is nothing more that you need to do. In the event that something with a delivered dissertation or thesis needs revision after it has been delivered to UMI, please contact the Author and School Relations group at UMI: disspub@proquest.com; 800-521-0600, extension 7020.

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Besides “Delivered”, you can select from several other view criteria in the pull down menu to see any subset of the dissertations submitted to date:
Additional Administrator Options

The features described below may help you as you work with submissions prior to their delivery to UMI Dissertation Publishing.

Assign a Graduate Work to an Administrator (optional)

If there are multiple administrators responsible for monitoring the flow of graduate work submissions at your university, each submission can be assigned to a particular administrator to help balance the workload. It would be that administrator’s responsibility to see the assigned graduate work through to completion.

To assign a dissertation to a particular administrator:

1. If you are looking at a particular dissertation, you may use the Assign Administrator link in the left sidebar. Note that this option may not be available if your site has not been set up for multiple administrators.
2. A list of administrator names will display on the next page. Select the appropriate person, enter a note if desired, and click the Assign button.

That administrator will be notified via email of the assignment, and can click View my ETDs to see a list of all the submissions assigned to him.

All correspondence pertaining to that submission that goes through ETD Administrator will be directed to the assigned administrator.
Administrator Workload Report
To help balance different administrator workloads, ETD Administrator provides a Workload Report. The Workload Report will show you how many submissions are assigned to individual administrators, by quarter and in total.

You can access the Workload Report from the Assign Administrator screen within an individual submission, which may help you decide which administrator should get the assignment.

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<td>Bob Smith</td>
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<td></td>
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<td>Mary Marshall</td>
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<td>0</td>
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Figure 15: Workload Report

Annotating Submissions (Administrator Notes)
When viewing a particular submission, the Add notes link in the left sidebar allows you, as an administrator, to annotate a record to keep your own notes about its status. These notes will only be seen by administrators of your ETD Administrator site; the authors will not have access to them.

All administrator notes are listed on this page. The most recent note is also displayed directly on the ETD Details page in a blue box.

To add an internal note to a submission or to view the existing notes:

1. From the list of graduate works, click the title of a manuscript.
2. Click Add notes in the left sidebar.
3. Enter your comments in the form, and click Save Note.
Revising Submitted Graduate Works

If you need to correct something in a submission on behalf of the author, follow these steps:

1. Open the View ETD List screen (accessed from the Manage Dissertations & Theses tab)
2. A list of all active submissions appears on the screen.
3. Click the title of the submission that you would like to revise.
4. Choose the appropriate revision option from the left sidebar. For example, if you want to upload a new PDF, choose Revise PDF. If you want to change the abstract, title, or other metadata choose Revise details.
5. Change the necessary elements on the revision screen and save your changes. You also may choose to notify the student of the change.

Selecting Versions: The Revision History Table

If a student submits a revision to the submitted graduate work, the administrator will be notified via email. The revision will also reset the items in the checklist, so you will need to review the checklist items again.

All submitted corrections for a manuscript are visible in the View Revision History screen. To view all revisions for a particular submission:

1. Open the dissertation from your ETD List under the Manage Dissertations & Theses tab.
2. Click View revision history from the left sidebar.

You may choose a different version of the PDF by clicking the Use this Version radio button and clicking Save Changes. This PDF file will now be the one that’s delivered to ProQuest/UMI.

Viewing & Modifying Supplementary Files for a Submission

As an administrator, you may also review supplementary files included with a submission. From the ETD Details page you will be able to view each supplementary file uploaded by the student. You may also revise them by clicking on Revise supplemental files from the left sidebar.
Figure 16: Revise Supplemental Files

Click the linked filename to download/view any of the files. You may also add or delete a supplemental file, or revise it by uploading a new file or changing its description or media type.