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Partnership between Library and Graduate School for Electronic Theses and Dissertations

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Partnership between Library and Graduate School for Electronic Theses and Dissertations

Adrian K. Ho
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Jan. 25, 2014
The URLs of the online resources mentioned in this presentation are noted at the end.

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Background

- University of Kentucky
- 2000: Submission of theses and dissertations in paper or electronic format (on a CD)
- 2004: Archiving of and online access to ETDs in DSpace
• 2010: Creation of an institutional repository (UKnowledge)

• 2010: Exploration of having students submit their theses or dissertations directly to Knowledge
Goals

Short-term goals:

• Eliminate the submission of electronic theses and dissertations on CDs
• Streamline the process of uploading ETDs to UKnowledge
• Speed up the online availability of ETDs

Long-term goal:

• Completely eliminate the submission of theses and dissertations in paper format
Preparation

Colleges

Library and Graduate School

Faculty

Students
Concerns

• Quality of theses and dissertations
• Impact on students publishing part of their theses/dissertations as journal articles
• Impact on students publishing their dissertations as monographs
• Premature access to some of the results of a larger research project
Solution

• Embargo policy
• Request to be submitted by the student’s academic advisor to the Assistant Dean of Graduate Academic Services at the Graduate School
• Legitimate reasons for the request
• Duration: 6 months, 1 year, or 2 years
• Extension of embargo possible
Students’ Feedback

• Submission of theses or dissertations anytime anywhere
• No need to buy CDs or DVDs to store and submit theses or dissertations
• Online access to their research much sooner than before
• Helpful to have monthly download statistics
• Concerns over immediate access: embargo option
Submission and Review

• Submission of ETDs directly to UKnowledge by students after they have passed the oral defense
• Checking of formatting and styling by Degree Certification Officers at the Graduate School
• Submission of revised ETDs to UKnowledge by students (if necessary)
Technical Setup

• The library as the middleman between the Graduate School and Berkeley Electronic Press
• Creation of a demo site
• Customization of the demo ETD online submission form in order to make the submission process as simple and easy as possible
Documentation and Training

- Creation of a submission guide for students
- Creation of a review guide for the Degree Certification Officers at the Graduate School
- In-person training for the Degree Certification Officers
- Collection of feedback to fine-tune the online submission form
- Consultation with the university attorney to update the thesis/dissertation submission agreement
Workflow

ETD submission by students

Review by Graduate School

Revision by student if necessary

Release by library
Creation of ETD Collections
Pilot Project

- The Graduate School’s online documents updated
- Communication of the pilot project through different channels
- Submission in paper format still acceptable
- Assistance with formatting and technical issues from campus IT unit
Rollout

- Start day: Late July 2012
- Three information sessions per semester (except the summer) to walk students through the submission process
- Staff members from the library and the Graduate School present in the sessions to answer questions
- About 70% of new theses and dissertations submitted directly to UKnowledge in the Fall 2012 semester
Review and Maintenance

- Collection of feedback and suggestions from students and the Graduate School to improve the workflow
- Updates of the submission guide and the review guide
- Metadata problems
- Update of UKnowledge due to names changes for academic departments
- ETD mandate to begin in Fall 2013 semester
Discoverability

• Cataloging of ETDs for library catalog and WorldCat.org
• Search engine optimization thanks to Digital Commons
• Archiving in the ProQuest database up to students
Future Developments

- A means for faculty advisors to approve the revised theses or dissertations online after the oral defense
- An exit survey of students regarding the satisfaction with the submission process
- An FAQ to complement or replace the information sessions
- Students’ knowledge of copyright and awareness of Creative Commons licenses for possible use with ETDs
Future Developments (cont’d)

- Students’ sharing of research datasets through UKnowledge
- Long-term preservation of ETDs
- Digitization of and online access to “legacy” theses and dissertations
- Collections of professional graduate projects and undergraduate honors theses on UKnowledge
Other Possible Plans…

• Assigning unique and persistent identifiers to ETDs
• Promotion of ORCID IDs to students
• Students’ creation of online profiles to proactively share their research and scholarship online
• Review of archiving in the ProQuest database
• Short videos of the submission process to replace the information session
Resources

• ETD-L listserv
• ETD Spreadsheet (Institutions requiring electronic thesis/dissertation submissions)
• Networked Digital Library of Theses and Dissertations (NDLTD) Resources
• United States Electronic Thesis and Dissertation Association (USETDA) Resources
• Theses Canada
Resources (cont’d)

- ETD 2014 Symposium
- USETDA 2014 Conference
- Free US ETDs blog
Online Resources Mentioned

Creative Commons licenses
http://creativecommons.org/licenses/

ETD-L listserv
http://www.ndltd.org/community

ETD Spreadsheet (Institutions requiring electronic thesis/dissertation submissions)
http://bit.ly/1azapvm

Free US ETDs blog
http://sites.tdl.org/fuse/
Online Resources Mentioned (cont’d)

NDLTD ETD 2014 Symposium
http://www2.le.ac.uk/library/etd2014

NDLTD Resources
http://www.ndltd.org/resources

ORCID
http://orcid.org/

Theses Canada
http://www.collectionscanada.gc.ca/thesescanada/index-e.html
Online Resources Mentioned (cont’d)

UKnowledge

http://uknowledge.uky.edu/

University of Kentucky Electronic Thesis and Dissertation Submission Guide

http://uknowledge.uky.edu/uknowledge_docs/7/

USETDA 2014 Conference

http://www.usetda.org/?page_id=2564

USETDA Resources for ETD Professionals

http://www.usetda.org/?page_id=20
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