

ETD Program Implementation: An Overview Pre-Conference Workshop

TxETDA/USETDA Region 3 2015 Joint Conference

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Renee Babcock, Shelley Barba, Laura Hammons, Colleen Lyon,
Billie Peterson-Lugo



Overview

9:00-9:15am Welcome and Introductions

9:15-10:25am ETD Program Implementation Considerations

10:25-11:10am Submission Systems, Repository Systems, and
Preservation

11:10-noon Intellectual Property Issues



Purpose

To establish a foundation for new ETD professionals or ETD program stakeholders, preparing them for an ETD implementation initiative, as well ensuring they have foundational knowledge to understand and engage in conference activities and discussions.



Value and Benefits of ETDs

- Improved management and workflow
- Broaden access and discoverability of institutional research
- Experience with electronic publishing for students
- Preserve library shelf space
- Enhanced preservation
- Greater potential for innovation and richness (associated multimedia, primary work)



ETD Lifecycle Management: Guidance Documents

- Guidelines for Implementing ETD Programs – Roles & Responsibilities
- Guide to Access Levels and Embargoes of ETDs
- Briefing on Copyright and Fair Use Issues in ETDs
- Guidelines for Collecting Usage Metrics and Demonstrations of Value for ETD Programs
- Managing the Lifecycle of ETDs: Curatorial Decisions and Practices
- Metadata for ETD Lifecycle Management
- Guide to ETD Program Planning and Cost Estimation
- Guide to Options for ETD Programs

Download from: <http://www.educopia.org/publishing/gdlmetd>

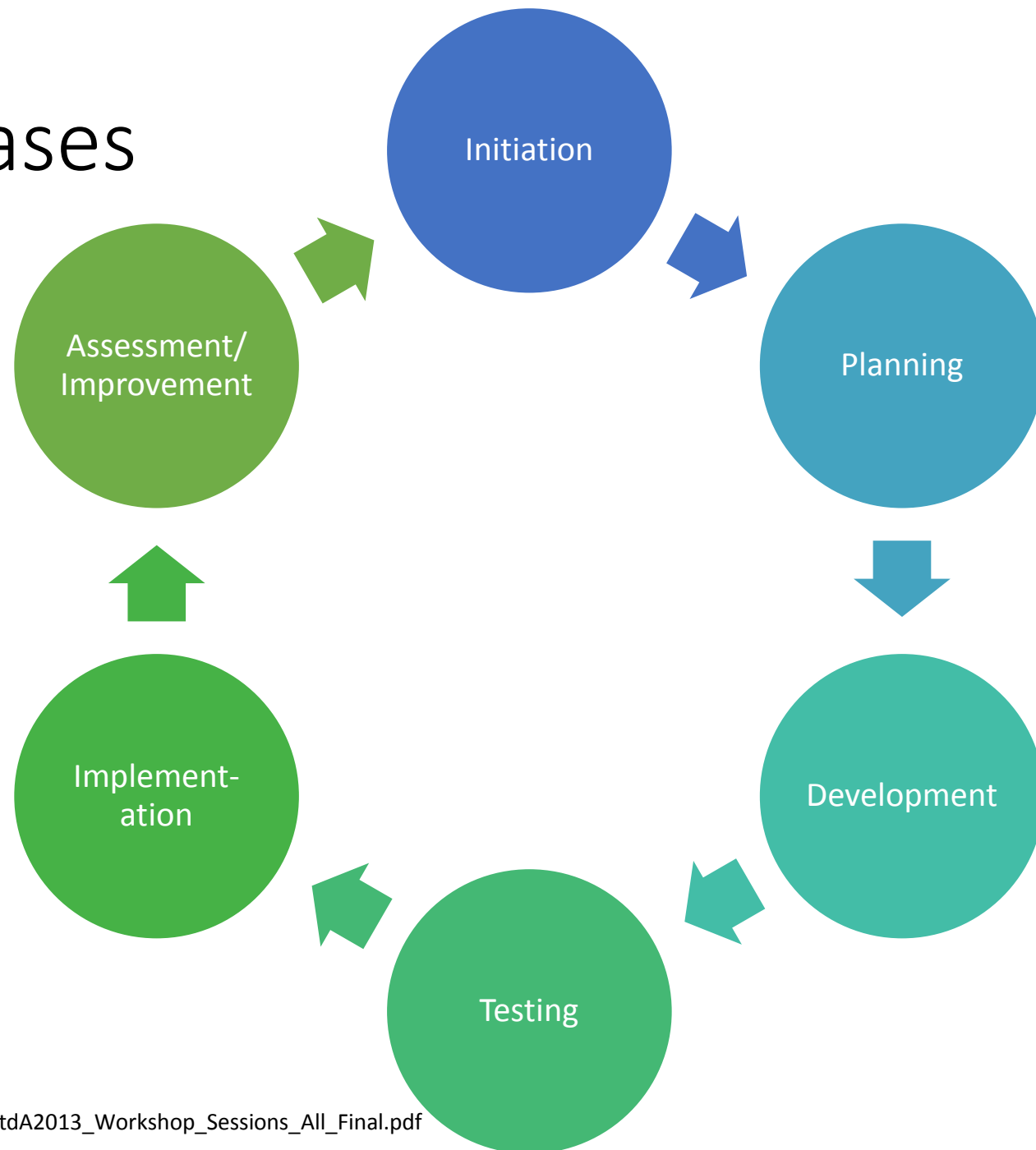


ETD Program Stakeholders

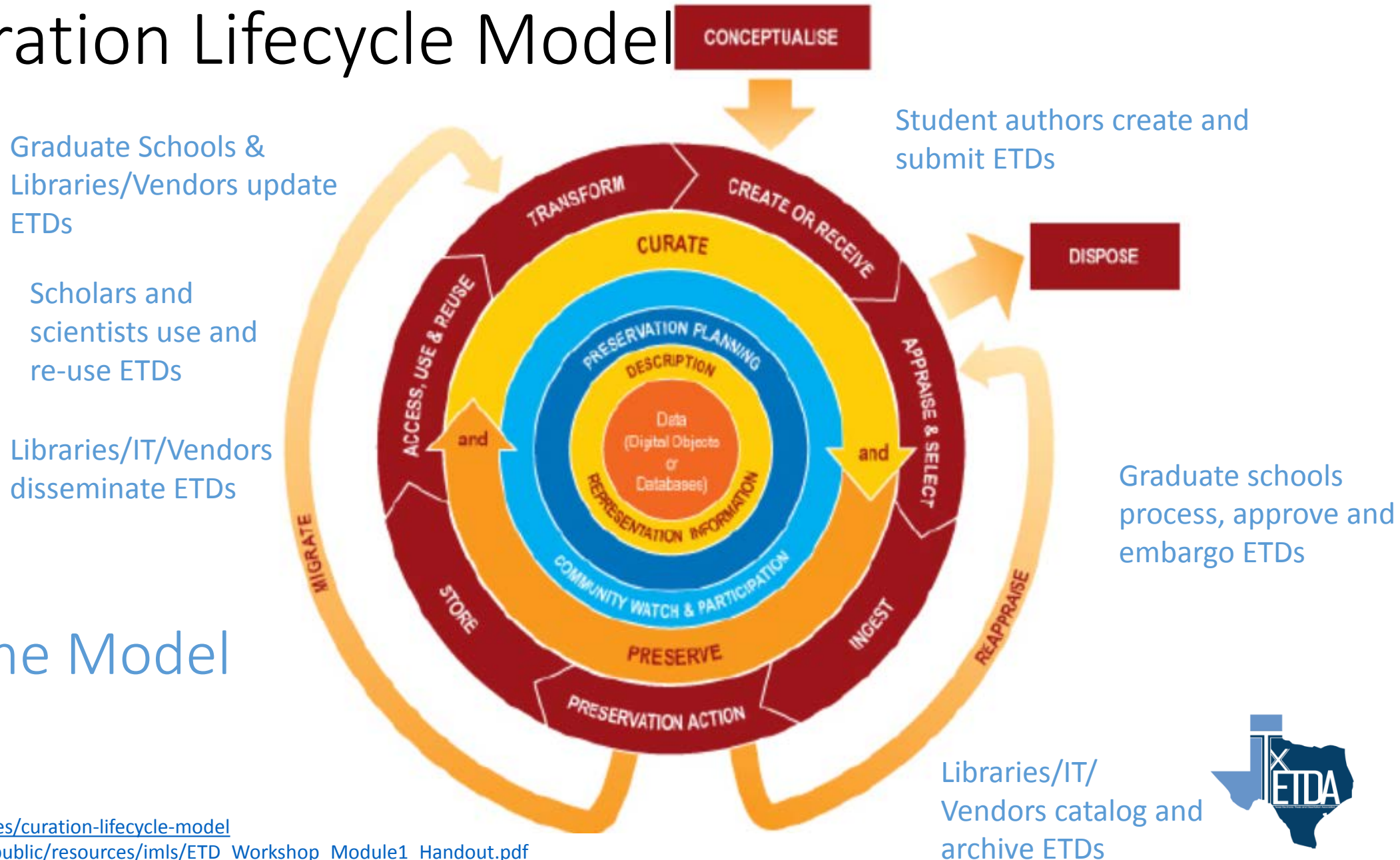
- Brainstorming activity



ETD Program Phases



DCC Curation Lifecycle Model



ETDs on the Model

<http://www.dcc.ac.uk/resources/curation-lifecycle-model>

[http://www.metaarchive.org/public/resources/imls/ETD Workshop Module1 Handout.pdf](http://www.metaarchive.org/public/resources/imls/ETD_Workshop_Module1_Handout.pdf)



ETD Implementation Committee: Membership

- ETD change sponsors
- Graduate Council representative
- Faculty/College representative
- Graduate School administrators
- University Libraries representatives (cataloging, IR)
- IT
- Legal
- Graduate student council representatives



ETD Implementation Committee: Tasks



Responsibilities and Staffing

- Library

- Cataloging
- Repository
- IT (this could be external to the library)
- Preservation



Responsibilities and Staffing

- Graduate School

- Develop policies and procedures (and associated training materials)
- Manage the ETD submission process
- Approve final manuscripts
- Grant degrees
- May manage some or all embargoes
- May address post publication policy issues (changes/redactions, embargoes, embargo extensions)



Responsibilities and Staffing

- Student

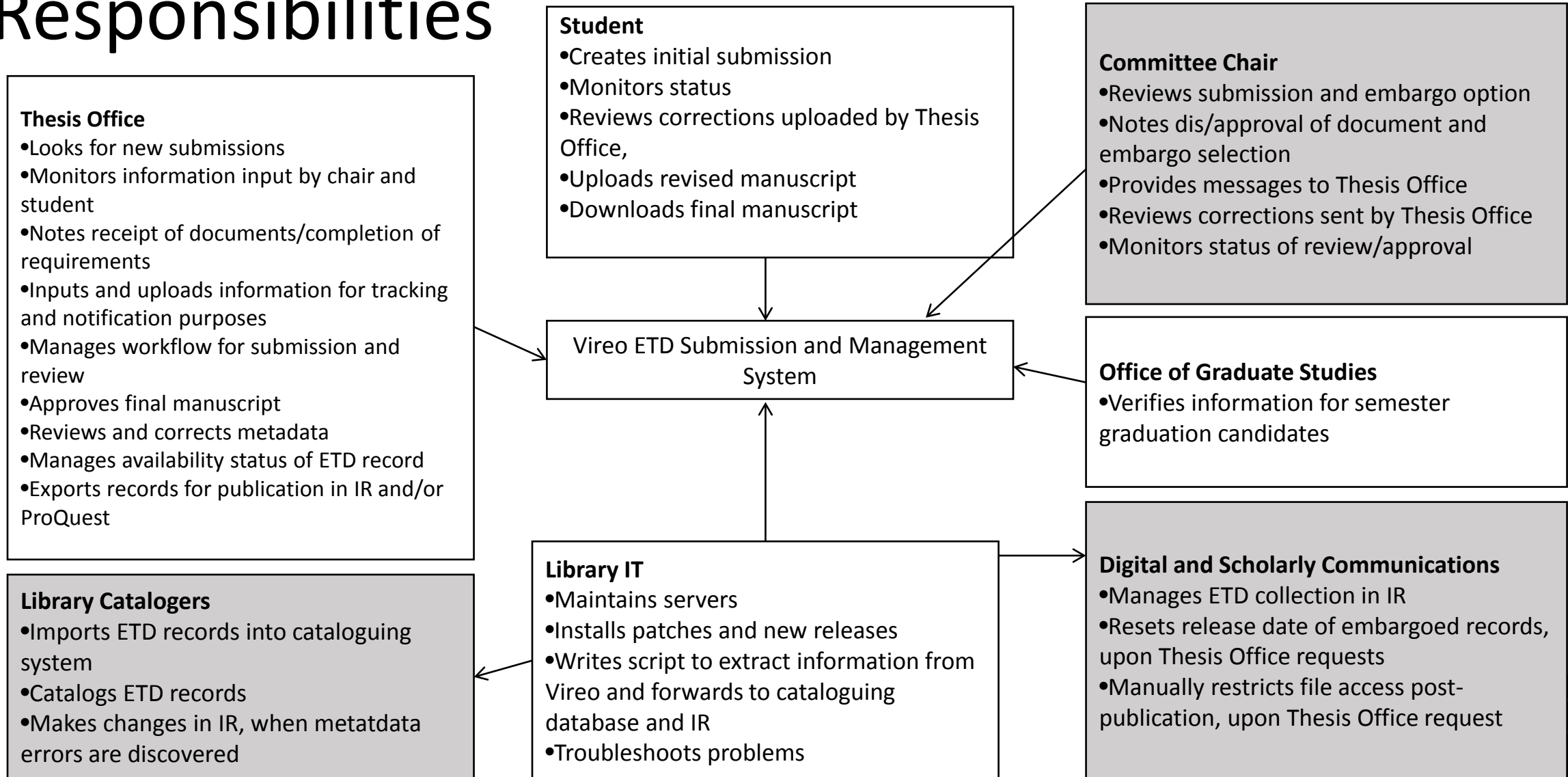
- Complete, submit, revise ETD
- Collect signatures
- Decide on access
- Paying any publishing or graduation fees
- Supplying metadata
- Address copyright issues: fair use determinations, permissions
- Sign license agreement

- Committee

- Advise students during ETD development
- Review ETD and approve/reject
- May be responsible for approving embargo requests



Texas A&M University Vireo Roles and Responsibilities



Policies and Workflows

- Submission and review system
- Institutional repository



Policies and Workflows: permanent repository

ProQuest

- Will register copyright for author
- ISBN assigned
- Possibility for royalties
- It's the traditional ETD database
- ETD Administrator for managing submission process
- Not necessarily OA
- Discovery via major subject indexes (PsycINFO, ERIC, etc.)



Policies and Workflows: permanent repository

Institutional repository

- Usually open access
- No need for student to enter into commercial agreement
- More control over ETDs (including branding)
- Assigned a persistent URL (not ISBN)
- No royalties
- Costs associated with maintaining an ETD database



Policies & Workflow

Paperless or Not

- License agreement
- Embargo selection
- Committee approval/Signature page
- Thesis/dissertation (archival copies)
- ProQuest publication agreements
- Surveys (SED, AAUDE)



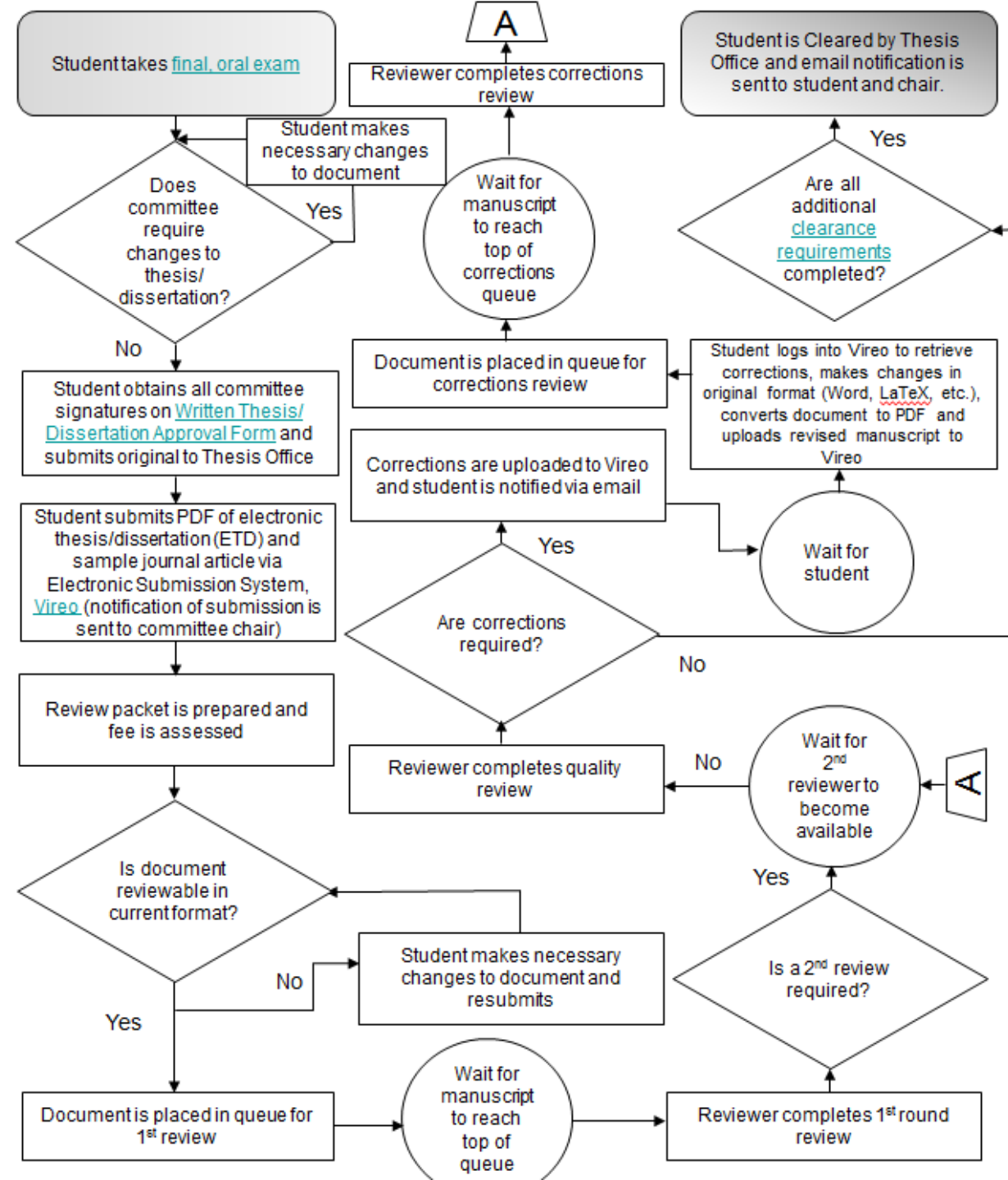
Policies & Workflow

Review Policies & Practices

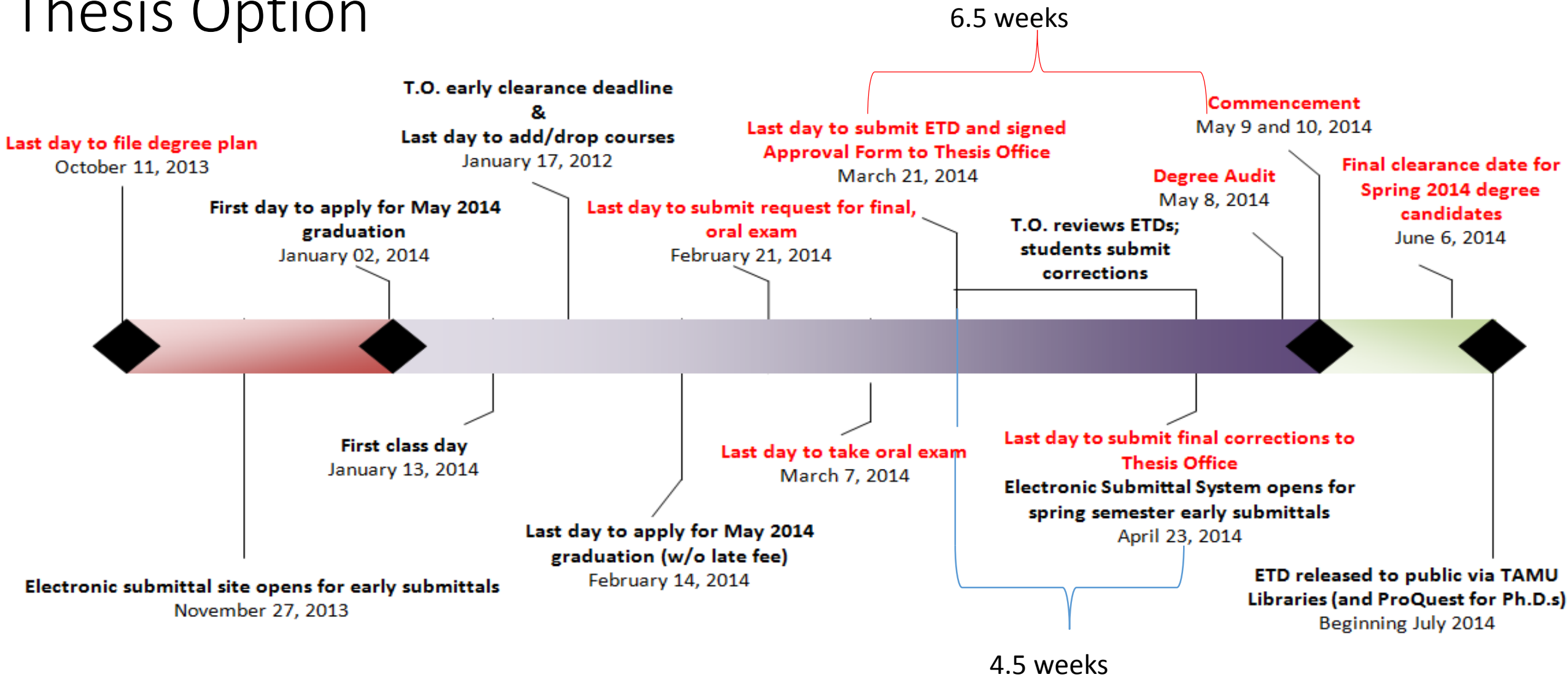
- Content Review
- Format Review
 - File format
 - Page numbers
 - Margins
 - Title page
- Copyright Permissions Review
- Plagiarism Review



Texas A&M University ETD Workflow



Spring 2014 Dates & Deadlines – Doctoral and Master's Thesis Option



Note: Consult <http://ogaps.tamu.edu/> for official OGS Deadlines.

Cataloging

- Creating and editing catalog records
 - Simultaneous or sequential cataloging
- Creating and editing metadata in repository
 - Metadata on restricted items
- ETD metadata standards
- Good metadata helps ensure preservation
- Assist with OAI-PMH harvesting



Policies

- Who sets policy?
- How is policy established/changed?
- How are they communicated?
- What is the scope?
 - Fees
 - Deadlines
 - Submission – ETD mandates for all/certain groups/exceptions
 - Format/file type requirements
 - Distribution/Dissemination requirements
 - Embargo options
 - Redactions/Post submission changes



Creating a submission policy and license agreement



- Survey your own related policies/licenses
- Survey other institutions' submission policies and IR licenses
- Choose a model and edit it to fit in with your institutional style
- Pass it to your legal department for review if required or desirable



Licensing the IR

- To whom
- To exercise which rights
- In what media
- For how long
- For what purpose
- Warranty of copyright ownership and/or right to submit to IR
- Warranty of non-infringement, etc.
- Hold-harmless



Licensing the IR: Sample

I grant the University of Texas at Austin ("Institution"), my academic department ("Department"), and the Texas Digital Library ("TDL") the non-exclusive rights

- to copy, display, perform, distribute and publish the content I submit to this repository ("Work") and
- to make the Work available to the public pursuant to the Creative Commons license I have chosen below,

in any format in perpetuity as part of an Institution, Department, or TDL repository communication or distribution effort.

Specify the rights and obligations you want the public to have when using your work by choosing a [Creative Commons](#) license.

1. [Choose your public access license](#)
2. *Cut and paste the code to evidence it into the first page of your deposit document*
3. [Identify your license choice here](#)
 - a. Attribution
 - b. Attribution share-alike
 - c. Attribution no derivatives
 - d. Attribution non-commercial
 - e. Attribution non-commercial share alike
 - f. Attribution non-commercial no derivatives

I understand that once the Work is submitted, a bibliographic citation to the Work will remain visible in perpetuity, even if the Work is updated or removed.

I understand that the Work's copyright owner(s) will continue to own copyright, subject to the rights I grant above.

I warrant that:

- (1) I am the copyright owner of the Work
- (2) I am one of the copyright owners of the Work
- (3) My Institution or Department is the permission to submit the Work, or
- (4) Another party is the copyright owner of the Work.

Based on this, I further warrant that, to my knowledge:

- (5) The Work does not infringe any copyright, patent, or trade secrets of any third party,
- (6) The Work does not contain any libelous matter, nor invade the privacy of any person or third party, and
- (7) That no right in the Work has been sold, mortgaged, or otherwise disposed of, and that the Work is free from all exclusive claims that would interfere with my ability to provide licenses to Institution, Department, TDL and the public.

I agree to hold Institution, Department, TDL and their agents harmless for any liability arising from any breach of the above warranties or any claim of intellectual property infringement arising from the exercise of these non-exclusively granted rights.

Click "I Agree"



Implementation Approach

Phased or Full Implementation

- Opt-in to ETDs campus-wide
- Phase in by Colleges
- Exceptions to ETD mandate



Education and Outreach

- Web information and/or LibGuides

Deadlines and Forms

Deadlines and Submission Instructions for Graduation

- ▶ Master's students
 - [Master's Graduation Guidelines and Deadlines for spring 2014](#)
 - [Master's Graduation Guidelines and Deadlines for summer 2014](#)
- ▶ Doctoral students (**IMPORTANT:** Carefully read and print both the Graduation Deadlines and the Checklist for Final Submission information at the beginning of the semester you are graduating to be sure you prepare all the necessary items required, and meet all the deadlines, for submission of your dissertation or treatise to the Graduate School.)
 - Spring 2014
 - ◊ [Graduation Deadlines and Submission Instructions for spring 2014](#)
 - ◊ [Checklist for Final Submission of Dissertation or Treatise for spring 2014](#)
 - Summer 2014
 - ◊ [Graduation Deadlines and Submission Instructions for summer 2014](#)
 - ◊ [Checklist for Final Submission of Dissertation or Treatise for summer 2014](#)



Education and Outreach

- Develop a implementation “road show”
 - What is an ETD?
 - Timeline, policies, etc.
 - Communicate the benefits of ETDs
 - Discuss misconceptions and legitimate concerns
- Develop an informational “road show”
 - ETDs as a requirement for graduation
 - Timeline, policies, etc.
 - Communicate the benefits of ETDs
 - Discuss misconceptions and legitimate concerns
 - Talk about ProQuest as either an option or a requirement
 - Discuss copyright (both author rights and user rights)



Educational Tools

- Templates
- Video tutorials
- Step-by-step instructions
- Links to helpful resources



Thank You

