

LIFECYCLE MANAGEMENT OF ETDs:

TOWARD A COLLABORATIVE APPROACH TO STAKEHOLDERS' INVOLVEMENT IN ETDs CURATION

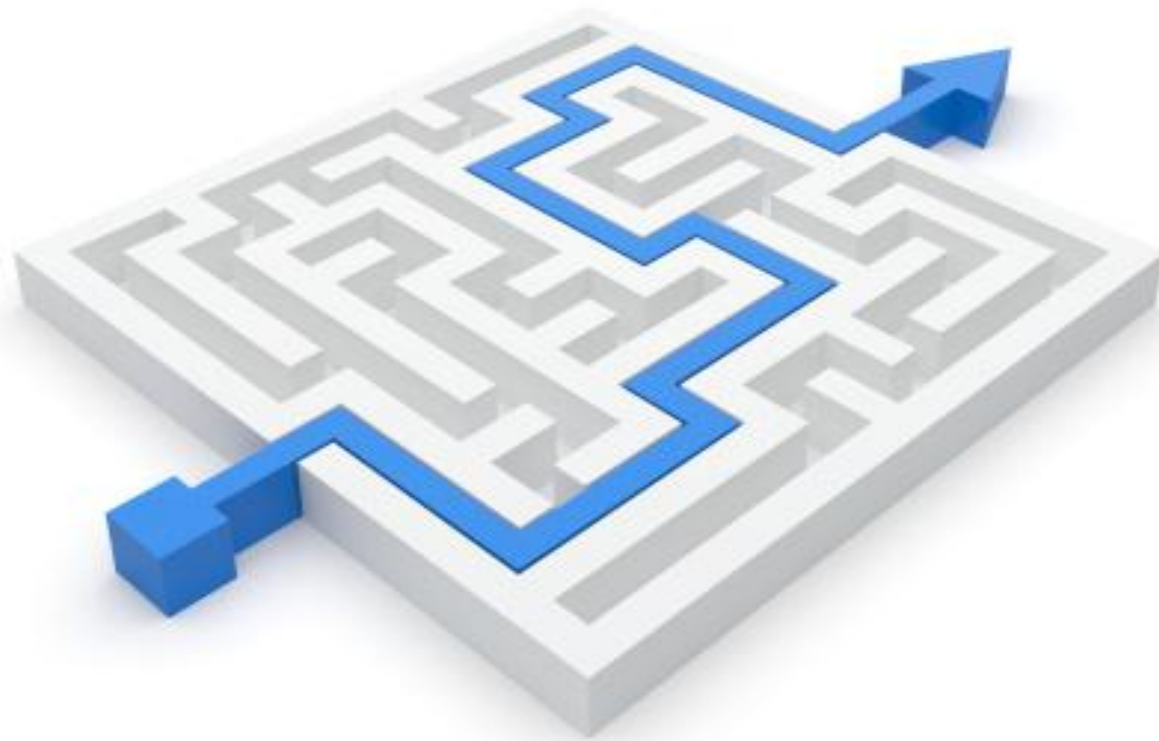
Agenda

- Introduction and Project Overview
- Guidance Documents Overview
 - ▣ Guide to Options for ETD Programs
 - ▣ Guidelines for Implementing ETD Programs - Roles & Responsibilities
 - ▣ Guidelines for Collecting Usage Metrics & Demonstrations of Value for ETD Programs
 - ▣ Overview of Formats, Complex Content Objects, and Format Migration Scenarios for ETDs
 - ▣ Overview of PREMIS Metadata & Lifecycle Event Record-Keeping for ETDs
 - ▣ Guide to ETD Program Cost Estimation and Planning
 - ▣ Briefing on Access Levels and Embargoes of ETDs
 - ▣ Briefing on ETD Copyright Issues and Fair Use
- Summary and Future Plans

Project Overview



- Project Name: Lifecycle Management of ETDs
- IMLS National Leadership Grant
 - Duration: October 2011 – September 2013
- Project Objective
 - To promote best curatorial practices and to increase the capacity of academic libraries to reliably preserve ETDs
- Deliverables
 - Guidance Documents for Lifecycle Management of ETDs
 - Lifecycle Management Tools
 - Educational Materials
 - Workshop



Guidance Documents

Options for ETD Programs

Steering Committee Chair: Martin Halbert

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Options for ETD Programs

- Serves as a basic guide for decision-makers to key options in creating or overhauling an ETD service program
- Describes Option Pros and Cons
 - ▣ Restricted or Open Access?
 - ▣ Implement a repository or lease a commercial service?
 - ▣ Where does responsibility fall?
- This document will reference and integrate all the other documents in the series



Implementing ETD Programs

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Implementing ETD Programs

- Types of Stakeholders:
 - ▣ Internal
 - ▣ External
- Roles and Responsibilities:
 - ▣ Program Planning
 - ▣ Program Implementation
 - Creation, Submission and Ingestion
 - Access
 - Archiving and Preservation
 - ▣ Program Assessment



Collecting Usage Metrics & Demonstrations of Value for ETD Programs

Steering Committee Chair: Yan Han

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Collecting Usage Metrics & Demonstrations of Value for ETD Programs

- Collecting Usage Metrics
 - ▣ Quantitative approaches
 - ▣ Qualitative approaches
- Demonstrating ETD value in terms of:
 - ▣ Benefits to scholarly communications
 - ▣ Benefits to university
 - ▣ Benefits to students
- Evaluation and use of data
 - ▣ Analysis and interpretation of statistics
 - ▣ Comparisons with other collections (licensed, open access, etc.)



Formats, Complex Content Objects, and Format Migration Scenarios for ETDs

Steering Committee Chair: Bill Donovan

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Formats, Complex Content Objects, and Format Migration Scenarios for ETDs

□ ETD Formats issues and considerations

- ▣ Complex multimedia content objects
- ▣ Metadata
- ▣ Hyperlinks
- ▣ Research data

□ Guidance for what format to be used

- ▣ Text
- ▣ Images
- ▣ Audio
- ▣ Video
- ▣ Others

□ Format migration scenarios

- ▣ Versioning
- ▣ Fixity checking
- ▣ Migration from one repository or system to another



Metadata & Lifecycle Event Record-Keeping for ETDs

Steering Committee Chair: Daniel Gelaw Alemneh

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Metadata & Lifecycle Event Record-Keeping for ETDs

□ Overview of ETDs practices

- ▣ Repository platforms , tools, standards, and guidelines

□ Metadata for ETDs lifecycle management

- ▣ Supporting Graduate students (restriction, embargoes)
- ▣ Supporting Graduate Schools (submission requirements)
- ▣ Facilitating access, use, reuse, copyright management, and preservations activities

□ Issues and considerations

- ▣ What information need to be captured? When?
- ▣ Who creates metadata?
- ▣ Quality assurance mechanisms



ETD Program Cost Estimation and Planning

Steering Committee Chair: Gail McMillan

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ETD Program Cost Estimation and Planning

- Overview of the costs of the entire life cycle of ETDs
 - ▣ cost components in the initial (i.e., set up) stages of operation,
 - ▣ during the early stages of development over a yearly time frame
- Context and costs associated with the full range of ETD initiatives
 - ▣ born digital vs. digitization of analog
 - ▣ new (i.e. initial set up) vs. an existing initiative,
 - ▣ university-wide vs. a single university unit strategy.
- Anticipated Expenses
 - ▣ Putting the process (submission, approval, access: SOP) in place
 - ▣ Maintenance for ensuring the long-term access



Access Levels and Embargoes

Steering Committee Chair: Geneva Henry

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Access Levels and Embargoes

- What are access restrictions for ETDs?
 - ▣ Embargoes
 - ▣ Restricted access based on permissions
- Why restrict access?
 - ▣ A multitude of reasons given
 - ▣ Need to understand policies and consistency in applying them
- How are access restriction decisions made and enforced?
 - ▣ Look at whether or not decisions are on a case-by-case basis or based on general policy
 - ▣ Understand how enforcement occurs and what notification, if any, there is upon release



Copyright Issues and Fair Use

Steering Committee Chair: Patricia Hswe

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Copyright Issues and Fair Use



- Overview of ETD copyright and fair use
 - ▣ What can be copyrighted and what is not copyright protected?
 - ▣ International copyright considerations
- Who provides copyright and fair use guidance?
 - ▣ Graduate students need to know who to consult with on these issues
 - ▣ Is the guidance for students, their advisors?
- What are the institution's policies regarding intellectual property rights?
 - ▣ Do student's own their copyright or does the university?
 - ▣ Are there funder mandates impacting the copyright? Publisher concerns?



Summary and Directions



Summary



- Project completion scheduled for end of 2013
 - ▣ Nine guidance documents will be produced
 - ▣ Educational Materials and Workshops
 - ▣ Software tools for Lifecycle Management
- Presentation at USETDA conference in Boston in June: <http://www.usetda.org/>
- Workshop at International ETD conference in Lima, Peru in September: <http://www.etc2012.edu.pe>
- Training materials will be available in 2013, including workshop syllabi, training handouts and exercises and PowerPoint presentations

Project Contacts

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