Lifecyle Management of ETDs:

Toward a Collaborative Approach to Stakeholders’ Involvement in ETDs Curation

Presenters: Daniel Gelaw Alemneh, Geneva Henry, & Shannon Stark
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
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/](http://www.usetda.org/)


- Training materials will be available in 2013, including workshop syllabi, training handouts and exercises and PowerPoint presentations
Project Contacts

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