

**ELECTRONIC THESES AND DISSERTATIONS FORUM
JUNE 9, 2004
MEETING NOTES**

ATTENDEES:

DUKE

Winston Atkins

Paul Conway

Paolo Mangiafico

Patrick Murphy (CIT)

Tim Pyatt

NCSU

Kristin Antelman

Scott Devine

Terry DeRubeis (Grad School)

James Jackson Sanborn

Rick Liston (Grad School)

Keith Morgan

Tim Mori

Robert Sowell (Grad School)

UNC

Andrew Hart

Pat Mullin

Tim Shearer

Cheryl Thomas (Grad School)

TRLN

Mona Coutts

INTRODUCTIONS

Paul Conway welcomed everyone and set the context for the meeting. We then introduced ourselves and described our role in the ETD process on our campuses.

CAMPUS PRESENTATIONS FROM THE GRADUATE SCHOOLS

NCSU GRADUATE SCHOOL

Began exploring ETD's in 1995, made them optional in 1997, and required in 2002.

They had a long transition period, and learned from Virginia Tech to put a strong team together. They have had a strong partnership among the Graduate School, the Library, and IT.

Effective in fall 2002, ETDs became a requirement for all grad students – masters and doctoral. 100% of all theses and dissertations are now submitted online to the Graduate School and electronically stored in the NC State Libraries' online collection.

These steps were taken to get to that point:

- identified the similarities and differences between paper and electronic
- identified the advantages of ETD
- developed a vision statement and goals and objectives
- developed a strategy to scale up to widespread use of ETD
- made recommendations to:
 - adopt a strategy for promotion, orientation, education, training and support
 - improve ETD submission infrastructure and workflow
 - develop a system of metrics for ETDs.

The keys to their success were to build support among high-level administrators. They created a standing ETD committee of faculty and students early in the process.

The critical elements of their business case are:

- flexibility for content and format but standardized process
- provide hands-on workshops
- allow students to choose to delay access to their ETD for 3 months or 1 year
- philosophy is to facilitate the process

Look at NCSU web site for more information: <http://etd.ncsu.edu>

They have a variety of training services available: information is available on the web, including a tutorial and FAQ; the Graduate School offers hands-on workshops that departments encourage students to attend but do not require; the Graduate School offers one-on-one training at any time; and provides access to help by email, phone, and in person.

QUESTIONS AND ANSWERS

Do you get support from campus IT? No. The Graduate School has 20% of a computing consultant's time and gets help with software issues from library. Departments help students with Word and PDF but not specifically with ETD.

The document review process takes about an hour and a half.

They incorporated the content from previous theses and dissertations workshops for paper submission into ETD training.

[** update since the forum: NCSU is now exploring the use of ProQuest software for submissions and is investigating the feasibility of accepting source files from graduate students for deposit in an institutional repository.]

UNC GRADUATE SCHOOL

A committee of four is working on ETD, and three of the members went to the recent ETD conference. The Provost has given approval to move to ETD. They will use ProQuest software to submit ETDs but are waiting for credit card option in the software.

They plan on a pilot period before they make ETD mandatory. In Fall 05 electronic submission will be an option.

The Graduate School does not provide training now. They have guidelines for paper submission.

Academic departments will make their own decision about keeping paper copies.

Roadblocks:

- Department copies disappearing
- Conversion/computing malfunctions
- Versions of submissions
- Currently due at 5pm on Friday – how does that translate to electronic submission?

There is a high level of acceptance at the departmental level.

QUESTIONS AND ANSWERS

NCSU tells students to contact department to find out if a paper copy is required. The longest/largest ETD they've had was 2,016 pages.

DUKE GRADUATE SCHOOL

There is a group of twelve library staff and two graduate school representatives working on the ETD issue. In 2002, library staff and graduate school staff met and have been talking about ETD for two years; the group meets quarterly to work on issues. They will pilot test this fall for targeted departments. They are exploring the training aspect and what skill set a PhD student should have. They will conduct training workshops. Metadata will be folded into templates.

Their business case is to make life easier and disseminate research. They are concerned about faculty adoption.

They will use ProQuest submission software. One possible road block is the technological learning curve in the grad school.

They will handle Dissertations only (300-350 per year). Masters papers are not submitted through the Graduate School.

QUESTIONS AND ANSWERS

At UNC there are programs that do not submit dissertations through the Graduate School.

NCSU strongly advises the use of the word “required” instead of “mandatory”. There are many requirements for graduation and this is just one of them.

At NCSU the students pay the fee to UMI.

The NCSU Thesis Editor reports that reviewing is much the same with electronic as with paper and she can look at them in her own time without a student watching. She is relieved not to have all that paper around and she thinks it is less work.

Only one NCSU student had an ETD that was never made public. Someone asked if you use dissemination of research as a business case how can you justify suppressing publication. There is no catalog record until the ETD is released.

UNC will keep a paper copy on file for the North Carolina Collection, if possible.

CAMPUS PRESENTATIONS FROM THE LIBRARIES

NCSU LIBRARY ISSUES

Three key concerns are:

- access and use
- workflow between the graduate school and the library
- long term preservation

Access is provided by the Virginia Tech software, NDLTD site and Google. Because the software is no longer being developed, the library is investigating the DSpace software.

From January - May 04 they averaged 67,000 page views per month

- 5,500 PDF downloads per month
- 25% of the use was from .edu domains

The amount of library staff time spent is comparable to paper but is dispersed differently.

They surveyed 16 peer institutions to ask if they maintained a paper copy.

- 7 UMI and keep a copy (5 in paper, 2 in fiche)
- 7 to UMI only
- 2 required neither

The library purchases a fiche copy and counts on UMI for redundancy.

UNC LIBRARY ISSUES (HYPOTHETICAL)

They will use ProQuest and will send a copy to another repository to be determined. SILS uses DSpace for their Masters Papers.

The library plans to reach out to the schools that are not going through the Graduate School, and will try to get that content.

The proposed student charge would include printing and binding of the copy at UMI.

University of Cincinnati has good publishing policies their site “Academic Journal Policy Database”. www.edt.uc.edu/journal/

Concern: don’t want to lose local access and accountability for the record.

DUKE LIBRARY ISSUES

They are concerned about providing education about formats at the time of submission, and will set standards or recommendations for formats.

The PDF will come to the library to be stored, hopefully, in DSpace. They will keep a paper copy during the trial but not in the long term. They assume that the redundancy is provided at UMI.

Will use the ProQuest software for submission. A MARC record will go to the library, and they are considering the use of DSpace software for the repository and for access. They are concerned about the source file and who manages the digits. They will plan for Dspace to provide that redundancy by accepting source files.

They are not planning on offering embargo options.

ISSUES DISCUSSION

ISSUES NOT MENTIONED OR NOT MENTIONED OFTEN

Cost saving to university
Integrity of the official version – signature page
Intellectual property management issues

ISSUES MENTIONED OFTEN

Multimedia – acceptable formats
Born digital
Optional vs. required
Paper copy – department and/or library
All or some – but differs now in which papers are submitted through the graduate school
Technology
Embargo options and subsequent control

TRLN members seem to be very close to using ProQuest and DSpace software across the 3 institutions. How can we take advantage of that commonality?

As far as Intellectual Property management, the university has rights to one copy. The author retains intellectual property rights to his or her work.

When NCSU moved to the required mode they got some push back from students. That is why they added an embargo option. A small percentage of ETDs require embargo due to RTP or government and military contracts.

NCSU advises others to keep the faculty with you and do not get ahead of them.

Why was UNC planning such a long pilot phase? They need the credit card processing to be available, and they don't have a place now to store the PDF. Electronic submission may be optional in summer.

WRAP-UP AND AREAS FOR COLLABORATION

Inter-institutional cooperation

- sharing indexes vs. metadata
- Shibboleth for authentication – proof of concept
- Agree on metadata on formats

Branding is an issue with a central repository.

Continue to share information in the following areas:

- Review process
- Updates
- Training information

Ohio State University has good information available

WHAT WE LEARNED

Use “required” not “mandatory”

Sometimes delaying public access is necessary

Cats won't march