Changing Strategies for Electronic Theses and Dissertations: Communication between an Academic Library, Graduate School, Academic Departments, and Students

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Dr. Cleo Price, Assistant Dean
University of Kentucky Graduate School
Office of Graduate Academic Services

Lyndsey Calico
University of Kentucky Libraries
Digital Scholarship

2013 KLA/SLA Joint Spring Conference
Barren River State Park, Lucas, Kentucky

Advantages of ETDS
- reduces content
- increases searchability
- enhances discovery
- secures future reference

Library and Departmental Support
- Training
- Promotion
- Budget

Thesis/Theses and Dissertations
- Online
- Digital
- Accessible

Campus Community and Communication

Unfreeze
- Change
- Freezing

Change
- What steps need to be changed?
- How to introduce the new process?
- Testing the new process and product
- Resources needed to advocate the change
- Who is harmed by the change?
- Two critical components of change—communication and time

Refreeze
- Avoid implementation errors
- Mandate new process and procedure
- Continue training and technical support
- New, efficient workflow

Unfreeze
- Ease of use
- Improved access
- Increased visibility

Change
- Graduate School
- Committee
- Faculty

Going Forward

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Theses and dissertations were submitted in paper format, approved copies were sent to library for binding, cataloging & archiving.

UK libraries began using DSpace for digital archiving. UK Libraries task force was created with the purpose to explore issues surrounding the establishment of a campus institutional repository to preserve and make available the intellectual output of the University.

Library staff worked with Graduate School staff on customization of the ETD submission process.

Workflow discussions took place. Soft launch began over the summer of 2012.

ETDs are submitted by students online via UKnowledge. The Graduate School requires all paperwork for digitally born ETDs. An email is sent to UK Libraries to release each ETD for public view. Associated paperwork is sent to Special Collections for processing to ProQuest.

Digital Commons was purchased from Ingenta, and UKnowledge was born. UK Libraries and the Graduate School began discussions with the idea that theses and dissertations could be submitted online, and reviewed for required formatting/content via the review capabilities of the Digital Commons platform.

Digitally born theses and dissertations were saved to CD, submitted along with administrative forms to Graduate School. Digital files were sent to Special Collections, loaded into OakSearch (OCLC), paper copies were bound, cataloged, and archived.
A History
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Library staff designed and worked with Graduate School staff on customization of the ETD submission process.

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2013+
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Advantages of ETDS

- remote submission
- reduction in work
- increased visibility, showcase research
- accessible multimedia content
- immediate worldwide distribution
- download statistics
- save money
- green/sustainable
- efficient
The Players

UK Libraries
Berkeley Electronic Press
UK Graduate School
Graduate Students
Academic Departments
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Campus Community and Communication

The journey from paper to electronic theses and dissertations requires collaboration from many departments on campus.

- **Library**
  - catalogs and archives theses and dissertations

- **Academic Departments**
  - require and approve Theses and Dissertations

- **Students**
  - write theses and/or dissertation

- **Graduate School**
  - approves theses and dissertations
The journey from paper to electronic theses and dissertations requires collaboration from many departments on campus.
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Students write theses and/or dissertation
Graduate School approves theses and dissertations
Library
catalogs and archives
theses and dissertations
Library and bepress

Communication with our vendor

UK Libraries works very closely with Berkeley Electronic Press and the Digital Commons support team to ensure access, ease of use, and customization.

UKnowledge is customized to meet the specific needs of the library community and our target users--Faculty, Staff, and Students at UK.

During initial set up, communication between the Library staff and Digital Commons support was necessary to complete the set up of UKnowledge and the customization needed to execute student submission of electronic theses and dissertations.
Library and Graduate School

Communication for the student

UK Libraries and the graduate school are in continual communication with each other via email, phone, and in person meetings to ensure our students are receiving the best help in the completion of their theses and dissertations. The goal being to make the preparation of thesis and dissertations as simple, easy, and as inexpensive as possible.
Graduate School and Students

Communication with the student

The Graduate School is also in continual communication with students via websites, email, listervs, personal appointments, informational promotions, etc.

An online submission guide was created for students to use and a series of informational sessions, hosted by UK Libraries are held each semester.
Graduate School and Academic Departments

Communication for the student

The Graduate School is also in continual communication with Academic Departments via email, meetings of the Directors of Graduate Studies, and other administrative meetings with regards to requirements, deadlines, degree choices, etc.
Workflow and Change Management

When initiating the workflow currently in place, we had to consider change management. "How were we going to effectively and efficiently change our processes?"

Prior workflow
Current Workflow
Change Management - Three Step change theory - Kurt Lewin

Unfreeze
Change
Freeze
Unfreeze

- Core function of the Graduate School
- Prepare units/programs for the change
- Why is there a need for change? Cost and space are key
- Advantages for our students
Change

What steps need to be changed?

• How to introduce the new process?
• Testing the new process and product
• Time needed to embrace the change
• Who is harmed by the change?
• Two critical components of change—communication and time
Refreeze

- Have we increased users?
- Mandate new process and procedure
- Continue training and technical support
- New, efficient workflow
ETD Submission and Workflow

Communication between students, graduate school and the library.

1. The student writes and defends thesis or dissertation.
   He/She receives permission to submit their work to the Graduate School via UKnowledge.

2. Graduate school receives email notification that a student has uploaded a document.
   Graduate school reviews the document in UKnowledge and either accepts or reports corrections need to the student, again via email.

3. UK Libraries notifies internal personnel, (staff in cataloging and special collections) of the newly added ETD's. Supporting documents are sent to special collections and cataloging records are created.

4. Once approved, the Graduate school sends a notification of acceptance to the student, via email.
   The graduate school also notifies the library via email. The library checks the submission for formatting, and releases the document on UKnowledge.

5. If returned, the student receives an email detailing changes needed. Changes are made, and their submission is revised, and rechecked.
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**Going Forward**

Graduate school anticipates requiring all theses and dissertations be submitted online.

Graduate school will eliminate need for any/paper forms.

UK Libraries and the Graduate School will continue informational sessions on online submission for Graduate students.

UK Libraries is researching a digital preservation repository to ensure the long term availability and readability of ETDs.

All departments will continue to discuss workflow, problems, and/or other issues as they arise.

UK Libraries will create short, online "how-to" videos to supplement instructional sessions.
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UK Libraries is working on preservation research to ensure long term availability and readability of electronic theses and dissertations.
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UK Libraries will create short, online "how-to" videos to supplement instructional sessions.
Graduate school and UK Libraries are hoping to conduct an exit survey of graduating students on the submission processes.
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