Managing ETDs with Digital Commons: A Case Study at UMass Amherst

Meghan Banach, University of Massachusetts - Amherst
Courtney Smith

Available at: https://works.bepress.com/meghan_banach/1/
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In the Summer of 2010, I collected some information from the Digital Commons community and found that over 85% of institutions using Digital Commons with PhD or MA programs capture some or all of their ETDs within the IR. Most others planned to do so in the coming 12 months.
Trend up. Across the board, theses and dissertations are moving to the repository.

When I asked the community what parties prompted the transition to e-submission and use of the repository, they said:

About 1/3 of the time it was the grad school, 20% of the time, the dean or provost got involved, and at least 80% of the time the library was involved in pushing the decision forward.
The top reason: *institutional visibility*. Institutions are clearly interested in making sure the scholarly output of the institution is available to the widest possible group of users, and this includes graduate scholarship. Because content in the repository is openly available, is free to access, is full text indexed and is optimized for search engines, DC will bring greater web visibility to the works found there. This doesn’t mean that all these institutions are giving up on traditional aggregation mechanisms. In many cases, the IR is an additional dissemination mechanism.

But I see increasingly that institutions are seeking additional dissemination strategies. In addition to optimizing for search engines, the repository is also OAI-PMH compliant, which means that your thesis and dissertations collections can be harvested to, say, a national portal like RIAN in Ireland or EThOS in the UK. The metadata can also be harvested by your library discovery like Primo, Encore, or others.

And of course, through DC reporting functionality, you can provide regular feedback both to the authors of the ETDs and to the departments or grad school. You can share with them where readership is coming from – what countries, what referring domains – and how often it is being accessed.
The numbers from those survey questions were interesting in a broad sense, but the most inspiring info came from the open response questions. Through those, I learned about all sorts of benefits and success stories, with regard to ETD programs.

Some benefits I heard about were:

--Raising the profile of the repository by providing needed workflow services to the grad schools

--Improved quality of student work. As Isaac Gilman at Pacific University said, “There seems to be value in framing the discussion in terms of students not simply completing an academic exercise, but creating something that, by virtue of being openly available, will be used and will constitute a meaningful contribution to their respective disciplines.”

--High activity. ETDs are popular content, with their average downloads often exceeding those for most other collections within the IR.

--Support of student careers. As Yvonne Desmond at Dublin Institute of Technology said, ”We have received requests from companies/commercial enterprises who having read the research are interested in contacting the student.”
Meghan and I planned this webinar today for a couple reasons. Across this community, ETDs are a common source of repository content, so we figured it would be widely applicable and relevant. Common questions come up when repository managers approach ETD collections: How do I work with the grad school? What do the workflows look like? Should I allow students to deposit? How will I collect permissions? And, how will I collect the metadata and final PDFs (or other files)?

Some of the lessons here may even be applicable to BA granting institutions who wish to manage and publish student honors projects through the repository.

ETDs are quickly growing as core repository collections, and some institutions are also looking to make the IR the first or only location of deposit and publication.

Because Meghan manages two different workflows at UMass, one for theses and one for dissertations, we thought this would be a great webinar topic. Essentially, you get two for the price of one.
Over to you, Meghan!
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MEGHAN BANACH
METADATA CATALOG LIBRARIAN
MBANACH@LIBRARY.UMASS.EDU
MARCH 10, 2011
University of Massachusetts Amherst

- UMass Amherst is flagship of UMass System
- Students
  - 26,000 students; of those 5,770 are grad students
- Faculty
  - 1,170
- Academic
  - 87 bachelor's degree programs, 6 associate's, 73 master's and 51 doctoral programs in 10 schools and colleges
- Research
  - Over $134 million / year
ETDs at UMass Amherst

• ETDs are collected three times per year (May, September, and February)
• How many?
  ○ Roughly 300 dissertations per year
  ○ Roughly 200 theses per year
• Two separate workflows:
  ○ One for Doctoral dissertations
  &
  ○ One for Masters theses
<table>
<thead>
<tr>
<th>Year</th>
<th>Event</th>
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<tbody>
<tr>
<td>1997</td>
<td>Began accepting electronic submissions of doctoral dissertations through the UMI Proquest online ETD submission system</td>
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<tr>
<td>2006</td>
<td>Began a Digital Commons repository, called ScholarWorks@UMass Amherst, to showcase the research and scholarly output of our students, faculty, and researchers</td>
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<tr>
<td>2007</td>
<td>Started collecting electronic submissions of Masters Theses for the first time. Students submit their theses via an online deposit to ScholarWorks.</td>
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<tr>
<td>2009</td>
<td>UMass Amherst Graduate Council institutes a new policy allowing students to choose open access, campus access, and embargoes for their theses and dissertations</td>
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<tr>
<td>2010</td>
<td>Library decides to go completely e-only for dissertations and theses</td>
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Open Access, Campus Access, & Embargoes! Oh My!

- **Open access:** full content available to all

- **Campus access:** full content only available to those using a computer on the UMass Amherst campus, to those with a valid UMass Amherst user name and password, or through Interlibrary Loan

- **Embargo:**
  - Full content made available six months after degree date (no justification required)
  - Full content made available after a period of longer than six months (approval of academic department and Graduate Dean required)
Dissertation Workflow

- Students submit their dissertations through the UMI Proquest online ETD submission system

- Staff in the Graduate School review dissertations for format, style, and completeness according to a set of “Guidelines for Master's Theses and Doctoral Dissertations”

- After review and revisions are completed dissertations are released for publication by UMI Proquest
Dissertation Workflow Continued

- Proquest then sends our dissertation files back to the Library via FTP
- Library stores dissertation files on our own servers
- Student staff in the library upload the open access dissertations to an open access dissertations series on ScholarWorks
- After publication the dissertations are cataloged by the Thesis and Dissertations Cataloger in the Library
Masters Theses Workflow

- Students submit their theses via an online deposit to ScholarWorks
- Staff in the Graduate School review theses using the Digital Commons peer review editing system on the backend of ScholarWorks
- After review and revisions are completed theses are published to the Masters Theses Series on ScholarWorks
- After publication to ScholarWorks theses are cataloged by the Thesis and Dissertations Cataloger in the Library
Campus Access and Embargoes
Embargoes
Submission Process
Submission Instructions for Students

Using ScholarWorks @ UMass Amherst to Submit Electronic Theses

Go to: [http://scholarworks.umass.edu/theses](http://scholarworks.umass.edu/theses) if you are not already there.
- Click on the Submit Research link on the right-hand menu.
- Click where it says New User? Create a new account.
- Complete the form (the required fields are marked with a red asterisk and they include:
  - your email address, first name, last name, and a password that you make up yourself)
- Click on Sign up.

Uploading your thesis
- Before you begin, please read the [Guidelines for Students](http://scholarworks.umass.edu/theses), and be sure that you have the following:
  - Full text of the Thesis in Word or PDF format.
  - Abstract
  - Optional Supplementary files (images, sound, etc.) that are an integral part of the thesis, but not part of the full text.
  - Advisor's Name
  - Subject Category: You must choose one main category from this list. These optional secondary subject items may also be entered.
  - Keywords (optional, up to 5)

- Scroll down and read the Submission Agreement for Masters Theses:
  - Your manuscript will be submitted to ScholarWorks@UMassAmherst for inclusion in the Masters Theses series.
  - You must accept the terms of granting ScholarWorks the right to post your thesis by checking off the box that says “Please check this if you agree to the above terms.”
Submission Form & ETD Metadata
Submission Form & ETD Metadata
Digital Commons Review System
Build Collections Automatically
Networked Digital Library of Theses & Dissertations

- Register your OAI interface with the OAI at http://www.openarchives.org and with the NDLTD Union Catalog Project (by emailing your OAI baseURL to Ed Fox at fox@vt.edu)

- After your OAI interface is confirmed to be operational, your metadata will be harvested on a periodic basis into the OAI-based Union Catalog
Promoting Open Access to the Grad Students

- Workshops each semester on the benefits of open access
- Encourage choosing embargoes over campus access
- Currently we get about 60% open access and 40% campus access
- 25% of students choose embargoes
- Goal is to increase the percentage of open access ETDs
Thank You for Your Attention!

Contact Information:
Meghan Banach
Metadata Catalog Librarian
University of Massachusetts
Amherst, MA
413-545-6846
mbanach@library.umass.edu
For questions or next steps...

Meghan Banach
mbanach@library.umass.edu

Courtney Smith
csmith@bepress.com

bepress Client Services
support@dc.bepress.com
Find more resources at
Digital Commons
Subscriber Resources:

http://digitalcommons.bepress.com/subscriber_resources/
Thank You!