Using a Variety of ETD Workflows to Serve the Needs of Graduate and Honors Colleges

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Coastal Carolina University

ccu

Fourth largest South Carolina university by enrollment (excluding technical colleges)

9,917 Undergraduate, 724 Graduate

Service is a key component of our strategic plan

How do we serve different campus constituents using a variety of ETD tools and procedures?

Thesis producers: College of Graduate Studies and Honors College

Managing two different workflows for two different colleges at CCU. Hopefully attendees can recommend possible tweakings for me to improve the workflows.
Kimbel Library

4 administrators, 9 librarians, 21 staff

Repository administration is just one of my responsibilities, ETD are part of that

So leveraging expertise of others is important

Flexible: Work with others’ established workflows until relationships solidify, suggest improvements

No more print theses = Liberating ... maybe

Accidental IR Coordinator: I began as a web developer, moved into digital collections, then couldn’t pass up opportunity to coordinate an IR. CCU Digital Commons is our IR, based on bepress Digital Commons software.

Funded by Student Achievement Funding initiative from the Office of the Provost. Just began third and final year. Student collections are key to the funding initiative. ETD is our primary collection to ensure continued funding.

Repository went live in Fall of 2018. Lots of stuff happens in Fall of 2018 in this presentation!

Print vs. digital: Libraries used to require 1 or 2 print copies to put in the stacks. Easy. Now it’s more work processing born-digital docs, finding appropriate files, redacting signatures, storing permissions, etc.
Building Campus Relationships - Graduate College

College of Graduate Studies

724 graduate students

7th largest grad enrollment in SC, but we still have less than 3% of total SC grad students

This means less ETDs than larger schools, but also less funding/staffing/etc. But do we handle ETDs in similar ways? Keep this in mind...

Contact: Dean of the College

From program to College in Fall 2018

USC has 6,200+ Graduate students, 25% of all SC grads. See 2016 data: https://www.sc.edu/study/colleges_schools/graduate_school/why_south_carolina/index.php

SC grads percentage from page 27 chart from 2017 report using 2016 data. There were about 25,141 graduate students in total at SC institutions in 2016: https://www.che.sc.gov/CHE_Docs/finance/abstract/Abstract-2017-web.pdf
Building Campus Relationships - Honors College

Honors College
790 honors students

Contact: Honors Program Director

Retrospective digitization of each College's Theses and Dissertations allowed me to get a baseline standard of needs for each college, develop relationships, prove library can handle ETDs moving forward

From program to College in Fall 2018

Signature Redaction: Redacted signatures from every thesis title page after digitizing legacy theses. Mostly, each college has in their procedures that students must upload thesis with this page left BLANK.
College of Graduate Studies Workflow

Program to College: Enrollment was down even as new programs were being created

16 programs in 4 colleges: 2 Doctoral (another on the way), 13 Masters, 1 Education Specialist

Currently 100+ graduate theses in the IR

ETD program growth could grow the profile of the university, could help to increase enrollment

Associate Provost of Graduate Studies looking for ETD solution for years. Eventually had University IT create custom web app behind authentication, ProQuest FTP to secure server

Summer 2018 we met to revise workflow and move ETDs to CCU Digital Commons

Established / revised IR policies, procedures, metadata, form and website updates...

I was added as an administrator in ProQuest ETD Administrator

I receive email when ETD has received final acceptance, send note to author and admins: “Your thesis has been published in CCU Digital Commons, the university's IR…”

Thesis is then “Published to ProQuest” status

ETD Administrator: Library joining another’s workflow to minimize disruption.
College of Graduate Studies Workflow (con’t)

I either manually submit the thesis and metadata or wait and pull metadata into a spreadsheet and upload multiple files using IR’s batch upload process

ETD Administrator system is currently used to handle entire submission process

ETD Admin perks: Offering students copyright registration, printing of ETD copies, indexing into ProQuest products

CCU Digital Commons has ability to be configured in future to handle entire process

Spring 2019: New administrator took over the college, Associate Provost went back to administration in College of Science

Still trying to solidify ETD publishing workflows with new administrator

I initially worked closely with the Associate Provost of Graduate Studies before the program became a college, so I am in the process of working with his successor to teach our previous workflow.

Communication between administrators, advisors and library could be better in this workflow.
<table>
<thead>
<tr>
<th>Honors College Workflow</th>
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<tbody>
<tr>
<td>Program to college because enrollment was up</td>
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<tr>
<td>ETD program workflow revision could enable further growth into capstones external to Honors</td>
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<tr>
<td>Currently 340+ honors theses in the IR</td>
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<tr>
<td>Honors College estimates over 100 theses a year in near future (currently 25/yr)</td>
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<tr>
<td>Met with new Director of the Honors Program in the summer of 2018, he agreed to move to CCU Digital Commons for entire Honors Thesis submission and publication process</td>
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Workflow differs from Graduate College

I trained Director to be administrator, created a workflow that worked better for him, revised metadata and submission form, policies...

Faculty advisors upload theses and perform metadata entry - works surprisingly well!

He runs the entire process now, mediates advisor uploads

I receive all publishing emails and perform quality control before final publishing

Difference between each college begins to become apparent, one needs to increase enrollment, the other needed to increase infrastructure/administration due to increased enrollment.

Honors had a more vested interest in streamlining workflows, much different than the library joining an existing workflow at the end.

Only 25 a year seems small, but besides scale, what are some of the issues we share in common with R1 and R2 institutions?

A/V as part of thesis: Additional Materials area lets us add things like digital journals. Portfolios ensure more multi-format theses coming soon. Journey to Jinja: I recoded a digital journal originally created in MS FrontPage to allow emulation of the journal in a browser: [https://digitalcommons.coastal.edu/honors-theses/302/](https://digitalcommons.coastal.edu/honors-theses/302/)

Graduate workflow uses ETD Admin and Digital Commons, Honors uses Digital Commons alone. Grad admins don’t need to know about Digital Commons at all at this time except where to link to ETD page.
You can see the effects of going from programs to colleges if you track ETD publishing from the past few years.

Graduate College seemed relatively steady until the move to a new administrator. Need to cement workflows to get back into a good publishing process.

Honors College had steady decline until infrastructure/realignment, then very successful after moving to our library-led workflow.
## Pros and Cons in These ETD Workflows?

<table>
<thead>
<tr>
<th>Graduate College</th>
<th>Honors College</th>
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</thead>
<tbody>
<tr>
<td>More control, library handles metadata transformation and batch uploading</td>
<td>Less control and thus less consistent</td>
</tr>
<tr>
<td>Students enter metadata and upload files</td>
<td>• Titles in CAPS, unnecessary quotation marks</td>
</tr>
<tr>
<td>This workflow relies on several administrators to touch each file, increasing processing time</td>
<td>• Advisors listed as authors</td>
</tr>
<tr>
<td>Requires more processing time from library</td>
<td>• Keeping up with multiple discipline-specific best practices...</td>
</tr>
<tr>
<td>Each system has unique issues</td>
<td>UGR Commons is additional marketing tool</td>
</tr>
<tr>
<td></td>
<td>Each system has unique issues</td>
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</tbody>
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Different systems have their own issues: The more systems you use the more troubleshooting, policy-making you have to manage.

I’d rather have more control over a process than less. I would rather be accurate and consistent and have it take more time.

Honors: We have honors students from almost every department/discipline. Graduate programs are more finite and thus more streamlined style-wise.
Still Working On After Year One

Repository went live in August 2018

Authority Control: How do we implement and/or reinforce authority control in the IR when students and faculty are filling out forms?

LCSH: Cataloger adds when new theses are published when adding MARC records, is there a better way? (for both bepress and ETD Admin...)

Permissions: Save and store with master files, upload to digital preservation system, also store as Additional Files on each item record page, hide from public view?

Hard to believe the repository is only 1 year old.

Authority Control: As the library we don’t want to bog things down with jargon and rules too much, but how much is too much?

LCSH: How do other catalogers create LCSH for ETD from other systems? Is there a way to automate?

ETD Admin: I’ve seen others’ workflows, pulling metadata from Digital Commons or ETD Admin to create MARC records for library catalogs and also upload to OCLC, is this the way to do it?

Permissions: These are saved in the ETD Administrator system, so we have them but need to somehow store them on our servers. Is there a way to download this information? Currently there’s a webpage with “ProQuest agreement accepted on [date] by [author]” = screenshot? May be configuration issue on our end.

Preservation of files is at NDSA Levels of Preservation, Level 1.
Still Working On After Year One (con’t)

ETD Administrator:

- Downloading XML files to transform into uploadable spreadsheet data. Our production is not that high yet, may rethink automation workflows as publication of theses grows.
- Automate storing of permissions decisions

Legacy theses: No permissions forms because required for course credit, still looking at options for contacting authors, currently legacy theses are accessible only within CCU IP range, or by login using EZproxy if off-campus, not ideal

Checklist doesn’t mean that it necessarily happened: “Agreement forms and PDF sent to the library” was checked but did this actually happen?

Legacy theses: Campus IT wouldn’t share LDAP information with bepress so we had to create a workaround. Legacy theses have doctype: legacy_etd, which triggers repository to add a second download button labeled Off-Campus Download. This new button’s link is automatically prepended with our EZproxy prefix, which authenticates off-campus users through EZproxy (which pings our LDAP server more securely).

Issues:
- Off-campus users who attempt to click the regular Download button are taken to a login screen for the bepress back-end system. Not what we want.
- On mobile devices the Off-Campus Download button slides to the bottom of the page, so no one sees it.

LDAP: CCU offers Shibboleth, ADFS and LDAP. bepress supports LDAP but not Shibboleth or ADFS… bepress stated that Shibboleth is on their developers’ radar.
How do institutions that are not Research 1 and Research 2 institutions handle ETD workflows in different ways?

I wanted to gauge how my ETD program is faring compared to others’ programs so I took a look at the Conference Delegate Contact List:

I’m one of eight librarians from an institution that is not either R1 or R2. 85% of institutional affiliated attendees are at R1 or R2 institutions.

Question for the R1 and R2 people: How do non-R1 and R2 institutions handle ETD differently, if at all? Are we doing the same things just at a different scale?

I assume R1 and R2 institutions have larger grad schools and libraries, more staff and better infrastructure. Is this necessary to more smoothly grow a successful ETD program? If so, are there ways smaller institutions can leverage all of the above to aid them in making better ETD programs?
Questions and Comments

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