Inter-Departmental Collaboration on Electronic Theses and Dissertations: Redesigning Workflows to Enhance Access

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**Presenter 1 Title**
Cataloging Librarian

**Presenter 2 Title**
Institutional Repository Coordinator

**Session Type**
45-minute concurrent session

**Abstract**
In an effort to eliminate redundancies in thesis and dissertation cataloging at the University of Arkansas, a working group was devised to create a semi-automated workflow. This new, multi-departmental workflow eliminates redundancies, allowing us to provide better access to the intellectual endeavors of the scholars on our campus. This paper describes the experience of the collaboration within multiple library departments and departments across campus; acknowledges the importance of library and campus collaboration with examples of success and advice from the literature; and emphasizes clear and consistent communication, meeting user needs, and streamlined and innovative workflows.

**Location**
Room EF

**Keywords**
electronic theses and dissertations, collaboration, workflow, innovation, institutional repository

This 45-minute concurrent session is available at Digital USD: https://digital.sandiego.edu/symposium/2018/2018/28
INTERDEPARTMENTAL COLLABORATION ON ELECTRONIC THESES AND DISSERTATIONS

Redesigning Workflows to Enhance Access
Background Information

- Redundancies in the metadata creation
- Breakdown in communication between departments involved
- Lack of procedural documentation
- Outdated Graduate School Student Forms
Background Information (continued)

- A working group was formed that included:
  - Head of technical services
  - Head of monographs acquisitions
  - Head of monographs cataloging
  - Institutional repository coordinator
  - University archivist

- Problem solving
  - Stylesheets for XML files
  - Harvesting from the IR
COMMUNICATION
Communication Practices Overview

- Who we stay in contact with and how we do that
- Results of this communication – new forms for students
- Some lessons learned...the hard way
Who to communicate with? How to do that?

Some questions to ask

- Who is involved in the ETD process?
  - Just the library or departments within the library?
  - Libraries and graduate school?
  - Do your students create content with patents? Might need a Technology Commercialization unit or managers (TCM).
  - Anyone else? Make sure decisions go up the chain of command.

- What is the best way to keep those groups in contact?
  - Email?
  - Face-to-face meetings?
  - Project management tools?
  - A combination?

http://creative.artisantalent.com/improve-office-communication/
Without good communication

- Before...
  - What is a technology commercialization manager (TCM)?
  - What do they do for our students?
  - What exactly does the Graduate School do with ETDs?
  - Do they just handle paperwork?
  - Who talks to ProQuest??
  - They had questions about the library and the IR too!
Results of good communication continued

- After...
  - Better awareness
    - Of each other and each other’s tasks
    - Of the path of an ETD at our institution
    - Of other issues that had never been communicated outside of departments
  - New documentation for students
    - A new IP form
    - A new general form
      - With permission for libraries to use birthdates in creation of NARs

**More on the forms later**
Lessons Learned

- Talk to EVERYONE about what you are doing.
  - Please do not do what I did... **Run it up the chain!!**

- IR Permissions
| PROQUEST |
|-----------------|-------------------------------------------------|
| **Open Access Publishing Plus** – Search engine access to metadata, full paper is downloadable. (ProQuest charges a fee for this setting) | SCHOLARWORKS@UARK |
| **Traditional Publishing** – Search engine access can be selected, full paper downloadable only from the ProQuest database. | Search engine access to metadata, full paper is downloadable. (No charge) |
| **Do not delay release** – Search engine access to metadata can be selected, no embargo has been applied. Full paper will be available, in either Open Access or Traditional, above, immediately after ProQuest has added the information. | Search engine access to metadata, full paper is downloadable. Can be a good alternative to ProQuest Access Plus. |
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| **Never available** – indefinite embargo has been applied – metadata is available through ProQuest database, no search engine access to metadata, full paper is never available for download. | Indefinite embargo has been applied – No search engine access to metadata, full paper is never available for download. |
Lessons Learned (continued)

- Not everyone has the same knowledge you do.
  - Use plain language.
  - If you *do* use jargon, be sure to explain it.
WORKFLOW
Workflow Chart
Workflow Chart - detail

1. Student prepares document using Graduate School guidelines.
2. Student sends forms to Grad. School & uploads document to ProQuest.
3. Graduate School Reviews/Advises of changes needed.
4. Changes needed? (If yes, student edits & re-submits.) (If no, process continues.)
UNIVERSITY OF ARKANSAS Graduate School & International Education

Thesis/Dissertation Submission Form

Name: 

Surname/First Name: 

Email: 

Date of Birth: Country of Citizenship: Phone Number: 

Degree & Program: Month & Year of Graduation: 

Title: 

Main Library would like to use your birth date to create your personal name authority record.

Does this mean your approval? Yes ☐ No ☐ 

Was Research Committee Review Required?* ☐ 

Obesity Committee (Restrictive DNA) Yes ☒ No ☐ Approval #: 

Anabolic Care and Use Committee Yes ☒ No ☐ Approval #: 

Institutional Review Board (Human Subjects) Yes ☒ No ☐ Approval #: 

*If yes is checked, attached UBCI must be on file with the Office of Research Compliance before the thesis or dissertation will be accepted and the degree conferred. Approval for the invention should be in the dissertation synopsis. If a student has been awarded a scholarship, the student must have been informed of the application process. If a student has not been awarded a scholarship, the student must be informed of the application process.

Library Subject Headings: Under what subject headings would you expect to find your manuscript in a library catalog? 

Statement of Understanding: I verify that the file has been carefully proofread and that all content is correct, spelled correctly, and page numbering has been thoroughly checked. I understand that no changes can or will be made to the file after submission.

By my signature, I certify that I have read and agree with the above statement.

Signature of Student: 

By signing below, I verify that all of the above information is correct and that I have reviewed this thesis/dissertation for format and content. I also verify that it contains no plagiarized material.

Signature of Thesis/Dissertation Director: Signature of Department Head or Graduate Coordinator:

UNIVERSITY OF ARKANSAS Graduate School & International Education

Intellectual Property Disclosure (Notification of Invention)

Student Name: Surname/First Name: Middle Initial: 

ID Number: Degree: Program: 

Thesis/Dissertation Title: 

Note for purposes of this form, "Invention" does not include original works such as a piece of music, poetry, etc. For information about inventions and the University's Patent and Copyright Board Policy, 2011- (techventures.uark.edu).

Please check the appropriate line below:

This thesis/dissertation has or does not contain an invention of commercial interest. 

If the thesis/dissertation DOES contain an invention of commercial interest, the student must inform the appropriate technology commercialization unit and obtain the appropriate signature:

For UA-Fayetteville Technology Ventures (techventures.uark.edu): 479-873-8006

For the University of Arkansas System Division of Agriculture Technology Commercialization Office (ag@ua.edu): 479-575-2203.

*Technology Commercialization Manager's Name: Date: 

I hereby grant permission to the University of Arkansas to publish my thesis or dissertation if the appropriate technology commercialization unit does not require an invention disclosure describing the intellectual property in my thesis or dissertation within one year of the date of the approval.

Student: 

Department/Program: 

Thesis/Dissertation Director: 

Program Chair/Graduate Coordinator: 

Signature of Department Chair or Graduate Coordinator: 

Signature of Graduate School Representative: Date (Manuscript Accepted by Graduate School) 

Revision: 9/2017
IR workflow details
IR workflow details (cont.)
Workflow Chart – detail

1. Library informs Graduate School
   - No

2. Monographs harvest IR metadata; uploads to Sierra

3. Use Connexion to add OCLC number, LCSH & LCC

4. Export to Sierra

5. IR edits XML files & uploads to repository

6. ETD available to public!!
Harvesting set-up
Statistics

- **Overall**
  - Time needed for ETDs in the past
    - Approx. 30 minutes to an hour per thesis or dissertation from start to finish.
  - Time currently being used
    - Approx. 10 to 30 minutes per thesis or dissertation from start to finish.

- **Specifics**
  - **IR**
    - To create a combined file of 13 records and edit the file for upload takes about 1 hour and 25 minutes.
  - **Harvesting**
    - To harvest 146 records takes 2 min. 33 sec. from start to finish.
  - **Subject analysis**
    - Application of LCSH & LCC usually takes between 10 and 30 minutes.
Next Steps

- IR
  - XML files

- Monographs cataloging
  - Batch uploading – data sync collections
Credits

Statistics gathered by:
Jennie Allred
Khandi Gordon

Graphics created by:
Rachel Paul using Canva

THANK YOU
Contact Information

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QUESTIONS?