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Apr 24th, 2:50 PM - 3:35 PM

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

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Paul, Rachel and Middleton, Cedar C., "Inter-Departmental Collaboration on Electronic Theses and Dissertations: Redesigning Workflows to Enhance Access" (2018). *Digital Initiatives Symposium*. 28.  
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## **Inter-Departmental Collaboration on Electronic Theses and Dissertations: Redesigning Workflows to Enhance Access**

### **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



# INTERDEPARTMENTAL COLLABORATION ON ELECTRONIC THESES AND DISSERTATIONS

Redesigning Workflows to Enhance Access

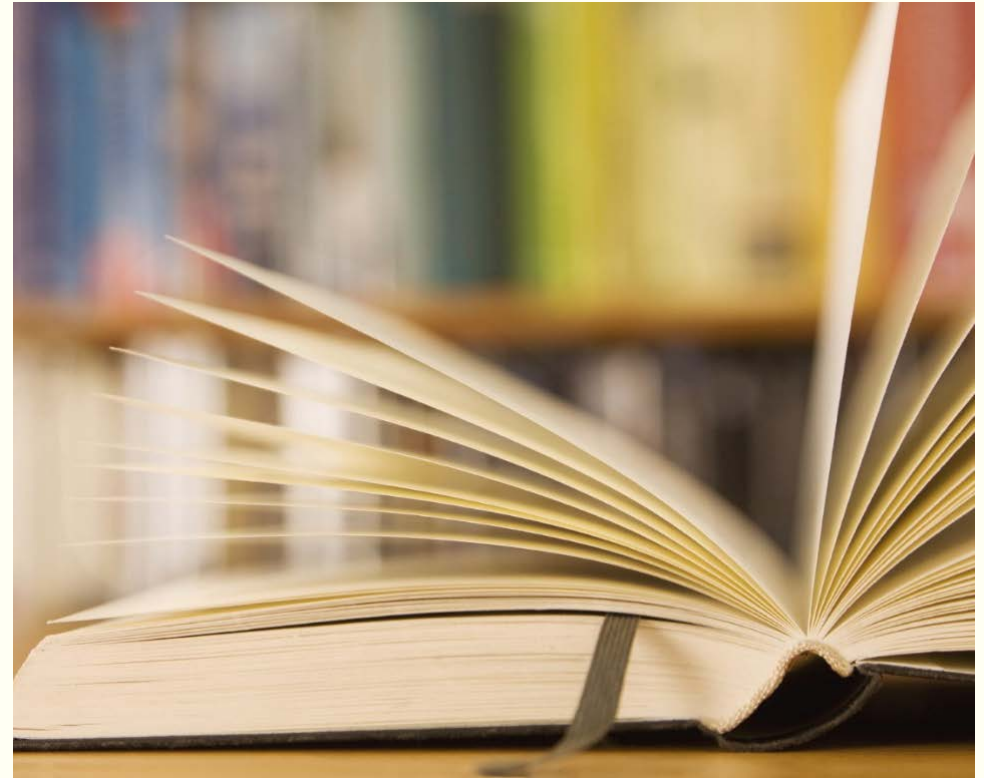




# Background Information

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- Outdated Graduate School Student Forms





## Background Information (continued)

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- 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





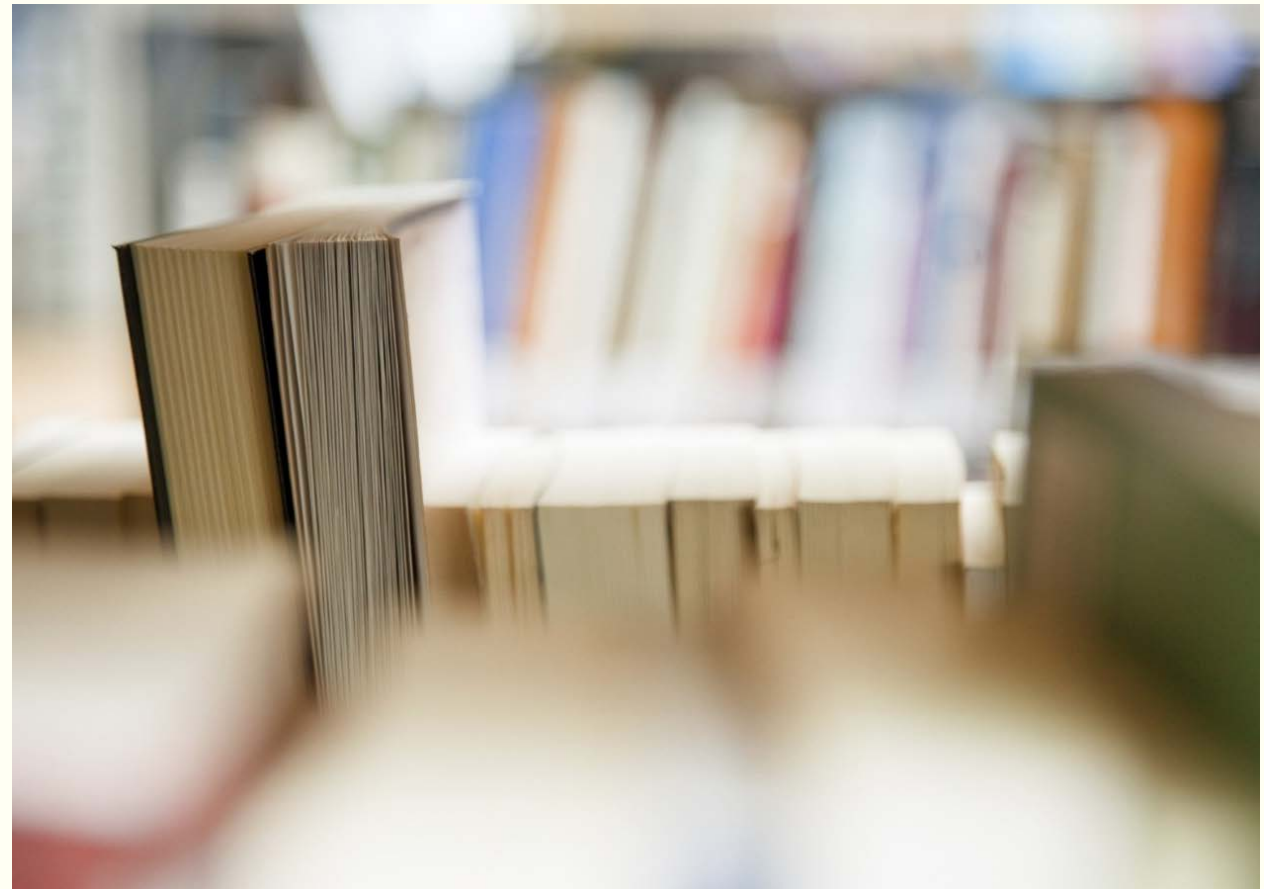
# COMMUNICATION



# Communication Practices Overview

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- 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





- 
- An illustration of two men in business attire (white shirts, ties, and dark trousers) standing on a light blue ground against a solid blue background. Both men are holding red mobile phones to their ears. A horizontal stream of white icons flows between them, originating from the phone on the left and ending at the phone on the right. The icons include mathematical symbols like a plus sign, minus sign, multiplication sign, and division sign, as well as other symbols like a heart, a dollar sign, a lightbulb, a pencil, a ruler, a triangle, a gift box, a key, and a shirt. This visual metaphor represents the flow of information or data in a networked environment.

<http://creative.artisanalent.com/improve-office-communication/>



# Without good communication

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- 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

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- 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

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



PROQUEST	SCHOLARWORKS@UARK
<b>Open Access Publishing Plus</b> – Search engine access to metadata, full paper is downloadable. (ProQuest charges a fee for this setting)	Search engine access to metadata, full paper is downloadable. (No charge)
<b>Traditional Publishing</b> – Search engine access can be selected, full paper downloadable only from the ProQuest database.	Search engine access to metadata, full paper is downloadable. Can be a good alternative to ProQuest Access Plus.
<b>Do not delay release</b> – 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 and will be available immediately after ScholarWorks@UARK has added the information.
<b>Delay release</b> – Embargo has been applied – Search engine access to metadata can be selected, metadata available through ProQuest database, full paper is not available for download for a limited time.	Embargo has been applied – Search engine access to metadata, full paper is not available for download for a limited time.
<b>Never available</b> – 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.

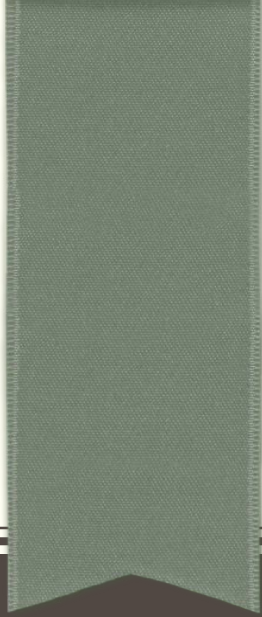


## Lessons Learned (continued)

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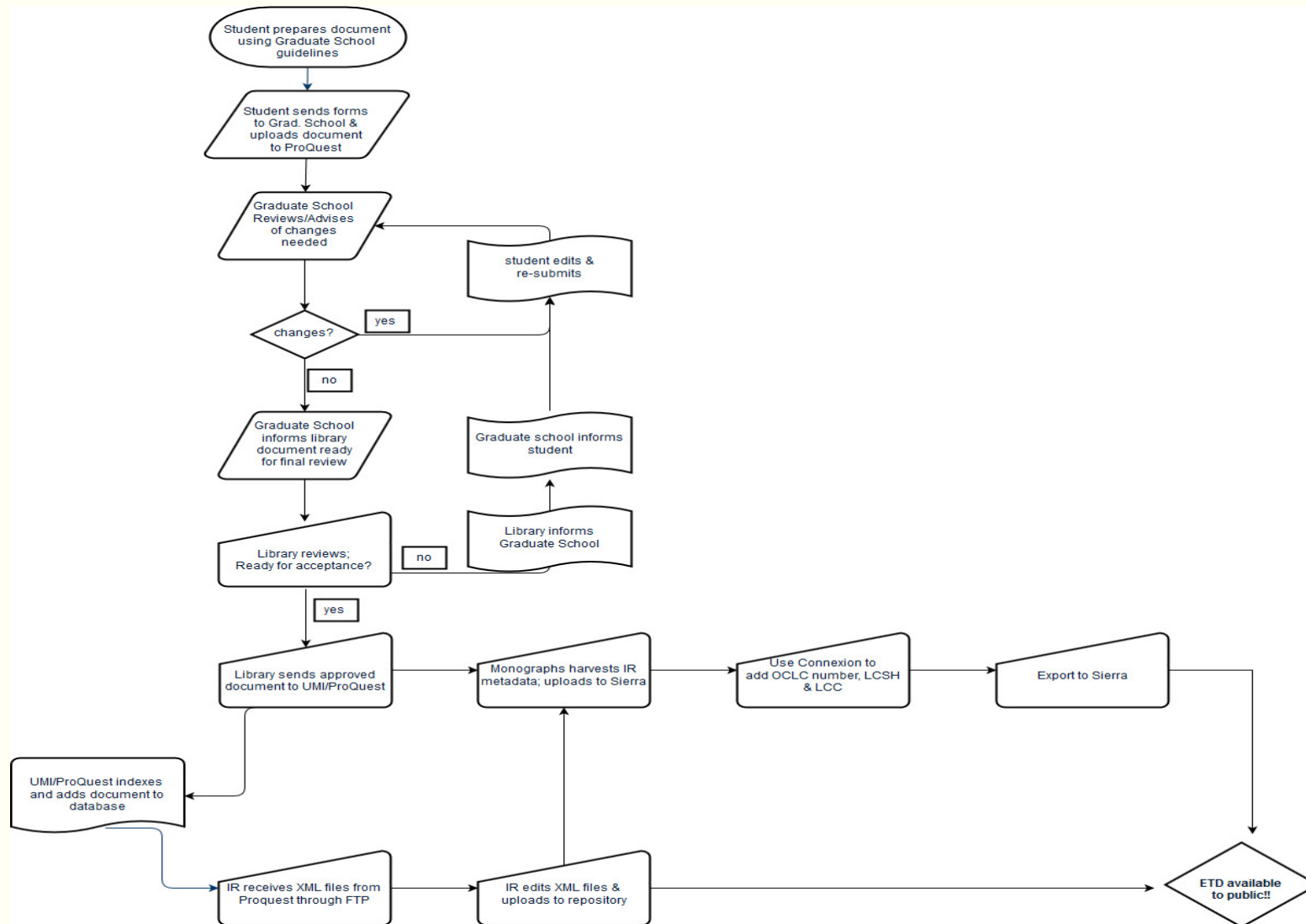
- Not everyone has the same knowledge you do.
  - Use plain language.
  - If you *do* use jargon, be sure to explain it.





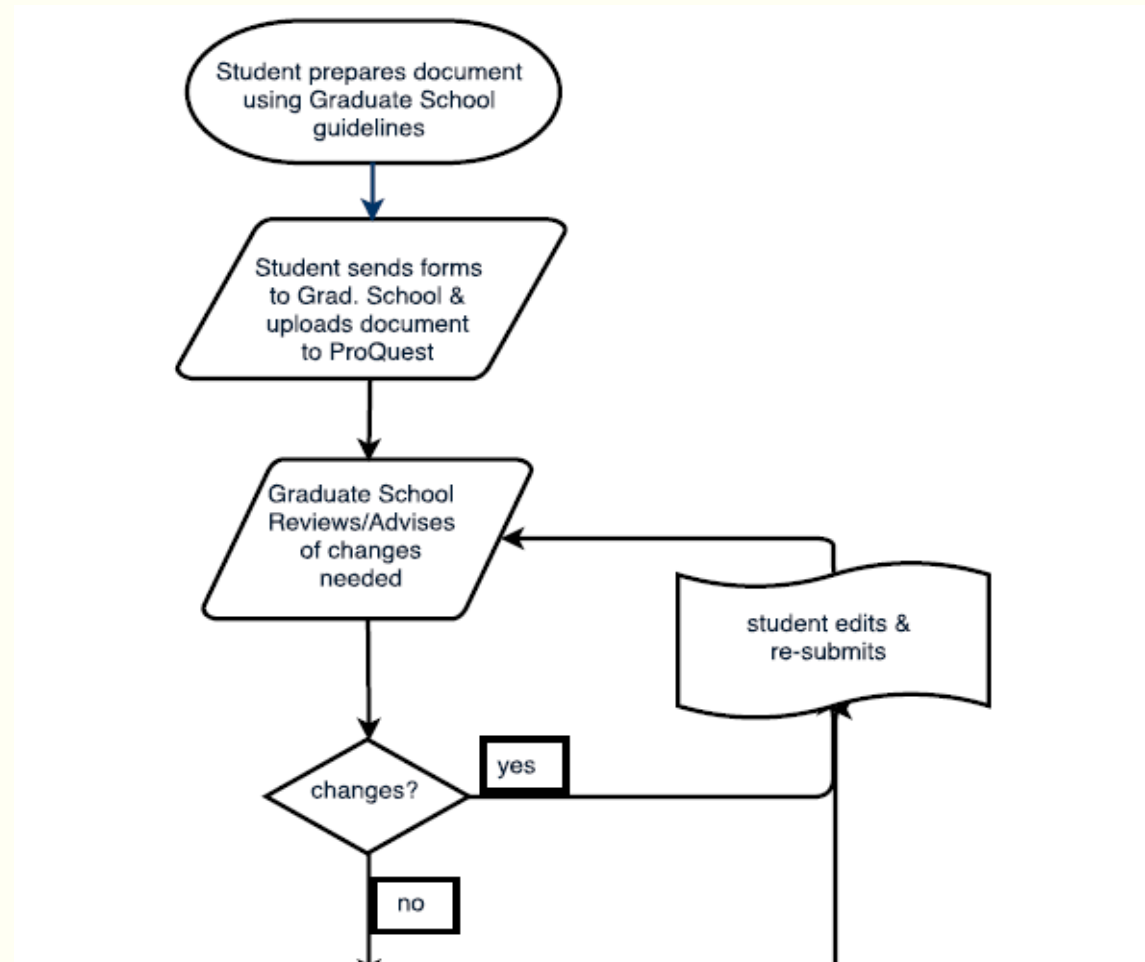
# WORKFLOW

# Workflow Chart



# Workflow Chart - detail

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UNIVERSITY OF  
ARKANSAS

Graduate School & International Education

### Thesis/Dissertation Submission Form

Name: \_\_\_\_\_  
Surname/Last First Middle

Student ID: \_\_\_\_\_ Email: \_\_\_\_\_

Date of Birth: \_\_\_\_\_ Country of Citizenship: \_\_\_\_\_ Phone Number: \_\_\_\_\_

Degree & Program: \_\_\_\_\_ Month & Year of Graduation: \_\_\_\_\_

Title: \_\_\_\_\_

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

Does this meet your approval? Yes ☐ No ☐

Was Research Committee Review Required?\*

Biosafety Committee (Recombinant DNA) Yes ☐ No ☐ Approval # \_\_\_\_\_

Animal Care and Use Committee Yes ☐ No ☐ Approval # \_\_\_\_\_

Institutional Review Board (Human Subjects) Yes ☐ No ☐ Approval # \_\_\_\_\_

\*If Yes is checked, approval MUST be on file with the Office of Research Compliance before the thesis or dissertation will be accepted and the degree conferred. Approval letter MUST be included in thesis/dissertation Appendix. If working under advisor's approved protocol, student must have been added to the protocol. Additionally, if Yes is checked for Animal Care and Use, and approved work is performed off site, UA IACUC requires notification. If No is checked, no data requiring committee approval may be used in this thesis/dissertation.

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, wording, spelling, and page numbering have been thoroughly checked. I understand that no changes can or will be made to the file after submission. I understand that my paper will be accessible through ProQuest and the Institutional repository, [ScholarWorks@UARK.edu](mailto:ScholarWorks@UARK.edu), according to the publishing settings I choose for ProQuest. For more information: <http://uark.libguides.com/c.php?g=536547&p=4905494>.

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

Signature of Student \_\_\_\_\_ Date \_\_\_\_\_

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 \_\_\_\_\_

#### Graduate School Use Only

This is to verify that the Graduate School has checked this thesis or dissertation and that it conforms to the requirements as specified in the *Guide to Theses and Dissertations*.

Thank you,

Signature of Graduate School Representative \_\_\_\_\_ Date Manuscript Accepted by Graduate School \_\_\_\_\_

Revised: 3/1/2018



UNIVERSITY OF  
ARKANSAS

Graduate School & International Education

### Intellectual Property Disclosure (Notification of Invention)

Student Name: \_\_\_\_\_  
Surname/Last First 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 210.1: [techventures.uark.edu](http://techventures.uark.edu)

Please check the appropriate line below:

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

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

- For UA-Fayetteville: Technology Ventures ([techventures.uark.edu](http://techventures.uark.edu)) 479-575-5806
- For the University of Arkansas System, Division of Agriculture: Technology Commercialization Office ([agritco.uark.edu](http://agritco.uark.edu)) 479-575-2608.

\*Technology Commercialization Manager: \_\_\_\_\_ Date: \_\_\_\_\_

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

Student: \_\_\_\_\_ Date: \_\_\_\_\_

Permanent Email: \_\_\_\_\_

Thesis/Dissertation Director: \_\_\_\_\_ Date: \_\_\_\_\_

UA Email: \_\_\_\_\_

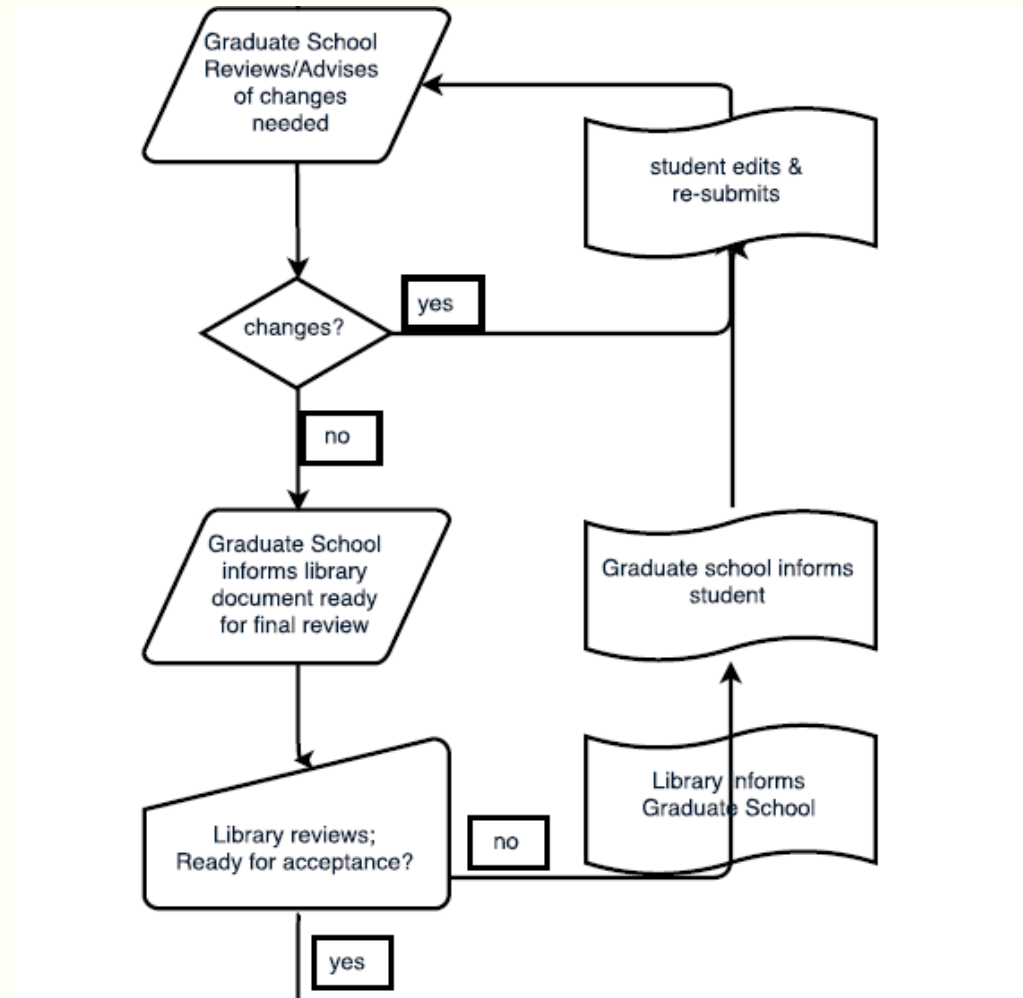
Program Chair/Graduate Coordinator: \_\_\_\_\_ Date: \_\_\_\_\_

UA Email: \_\_\_\_\_

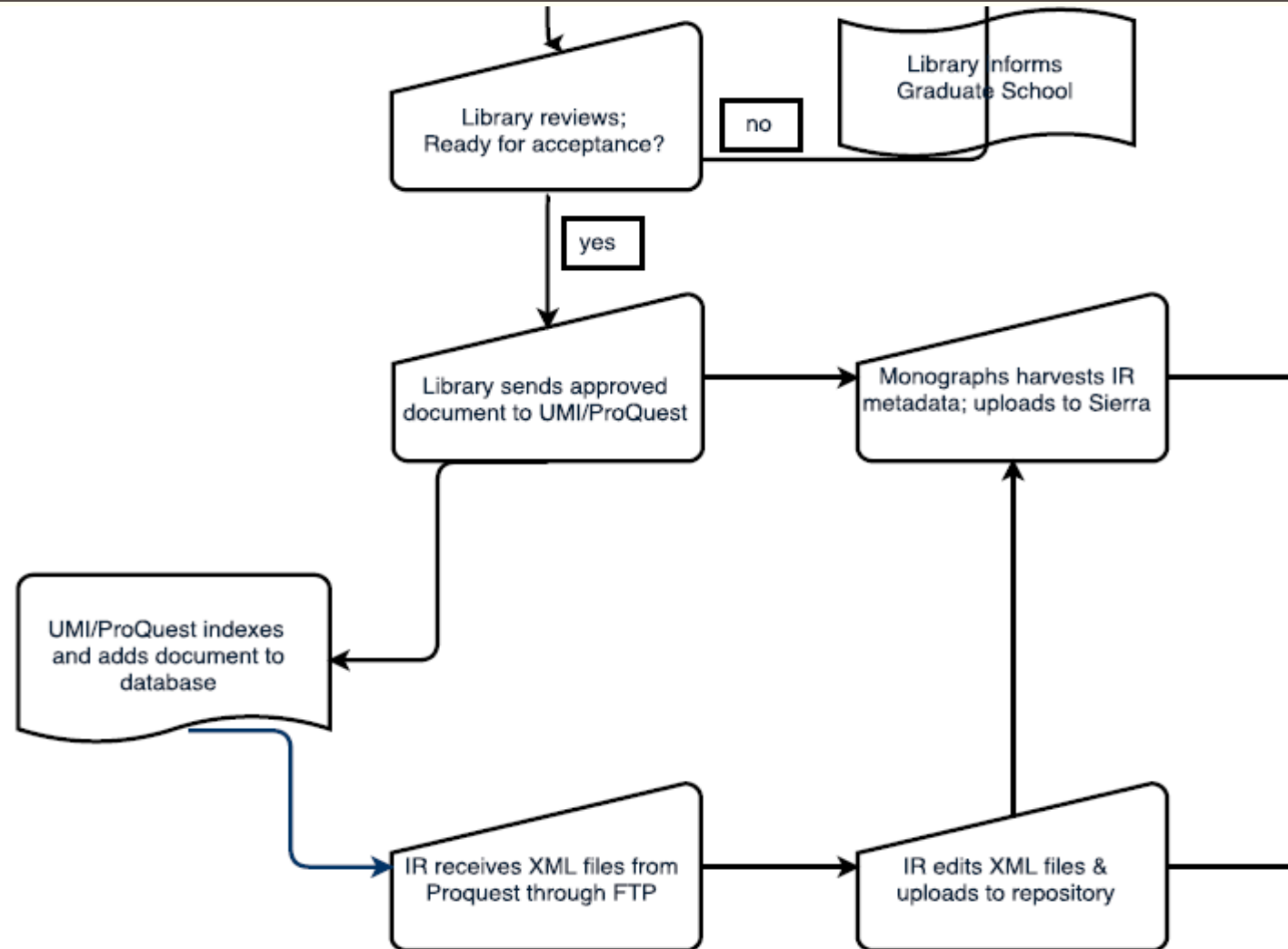
This form is required for all students submitting a master's thesis or doctoral dissertation and must be submitted to the Graduate School with the final copy of the thesis or dissertation.

Revised: 9/2017

# Workflow Chart - detail

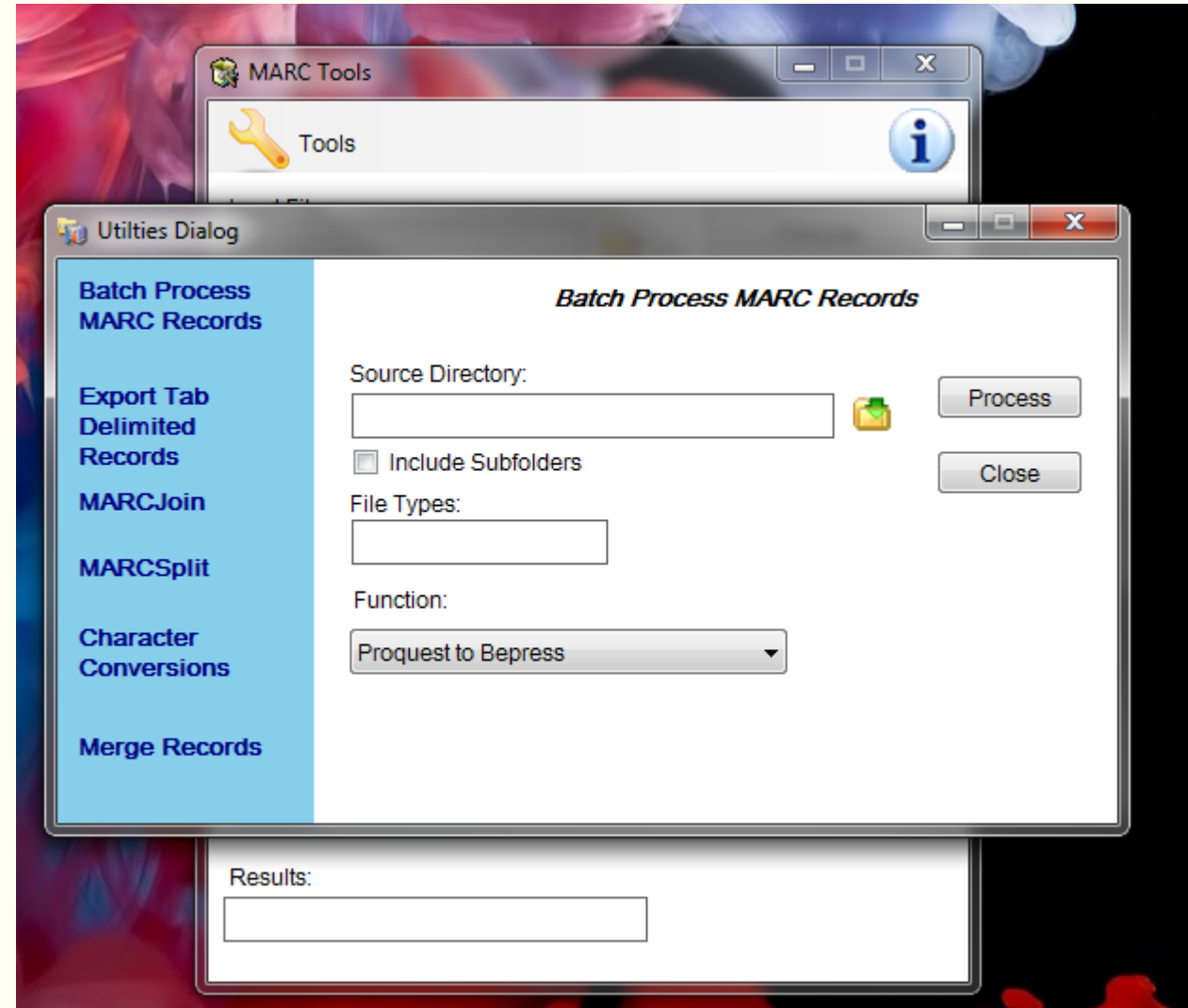
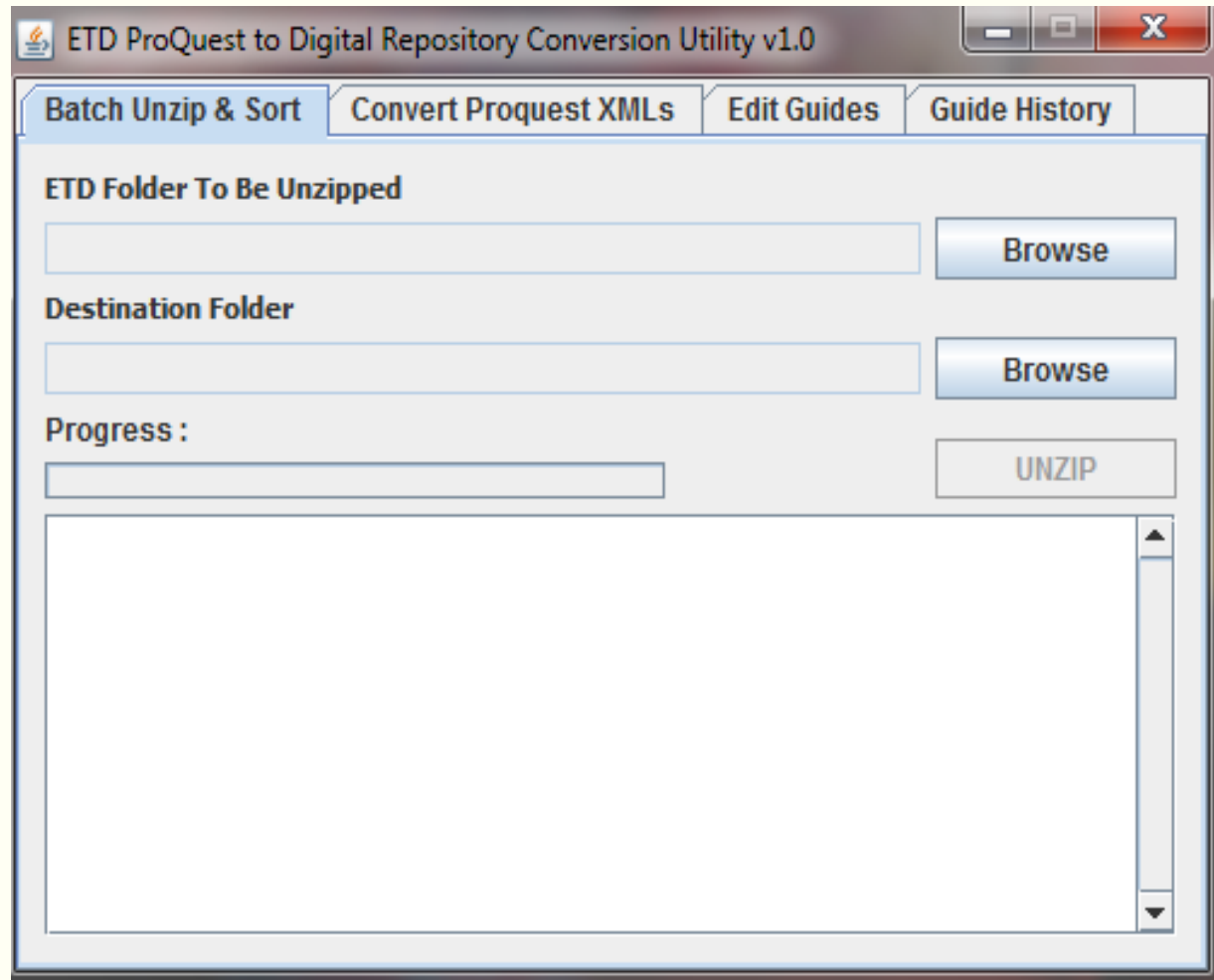


# Workflow Chart - detail

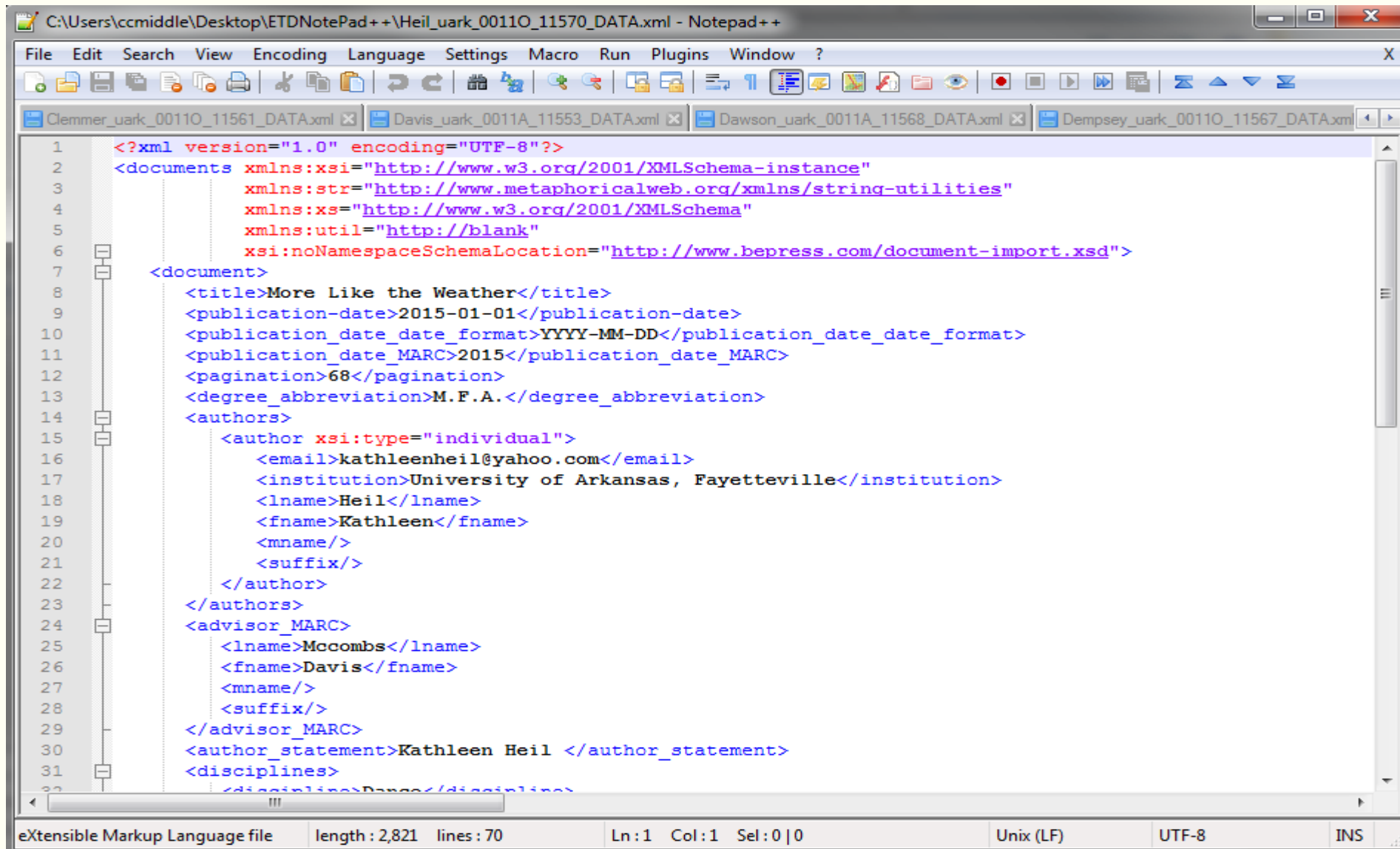


# IR workflow details

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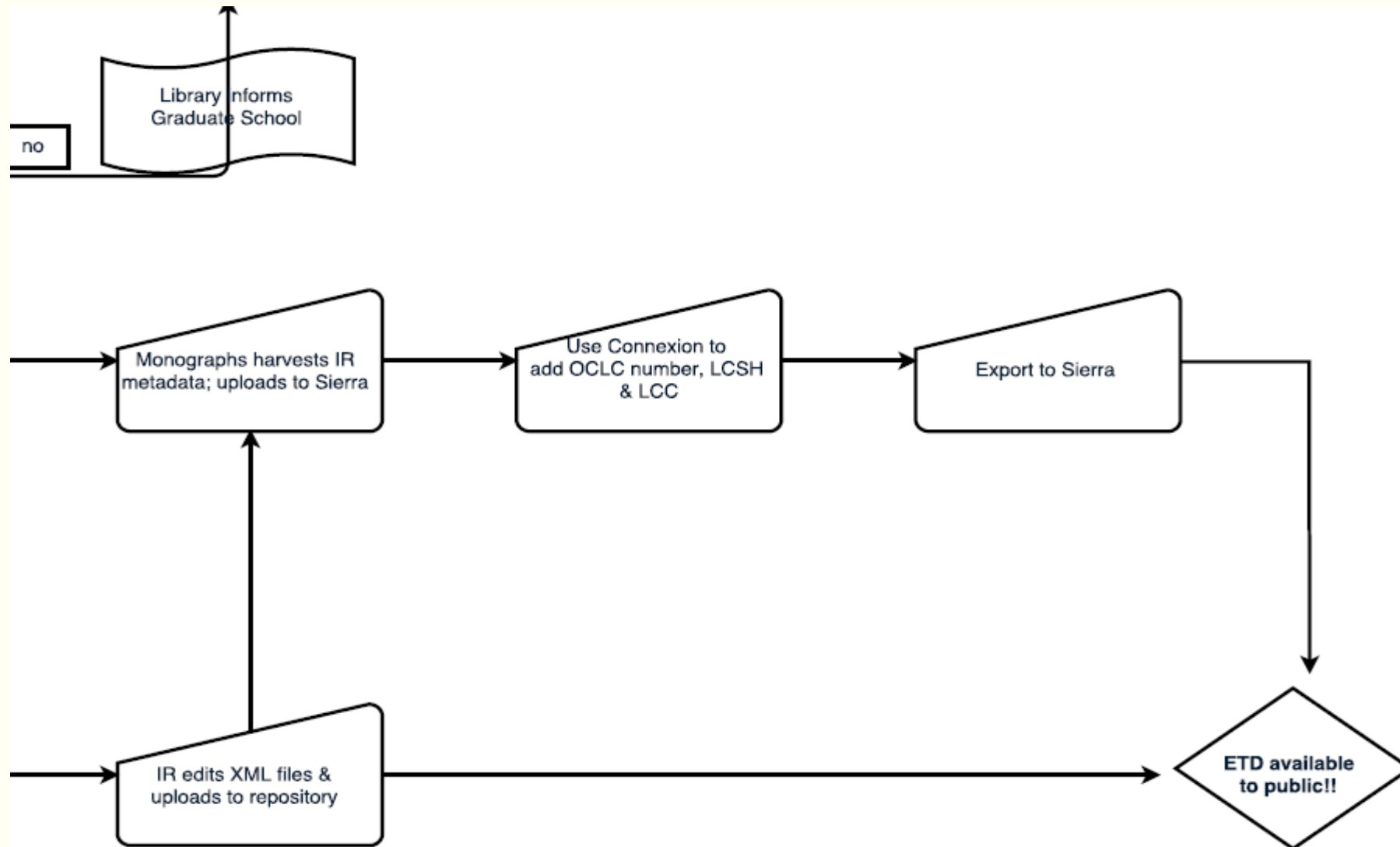
## IR workflow details (cont.)



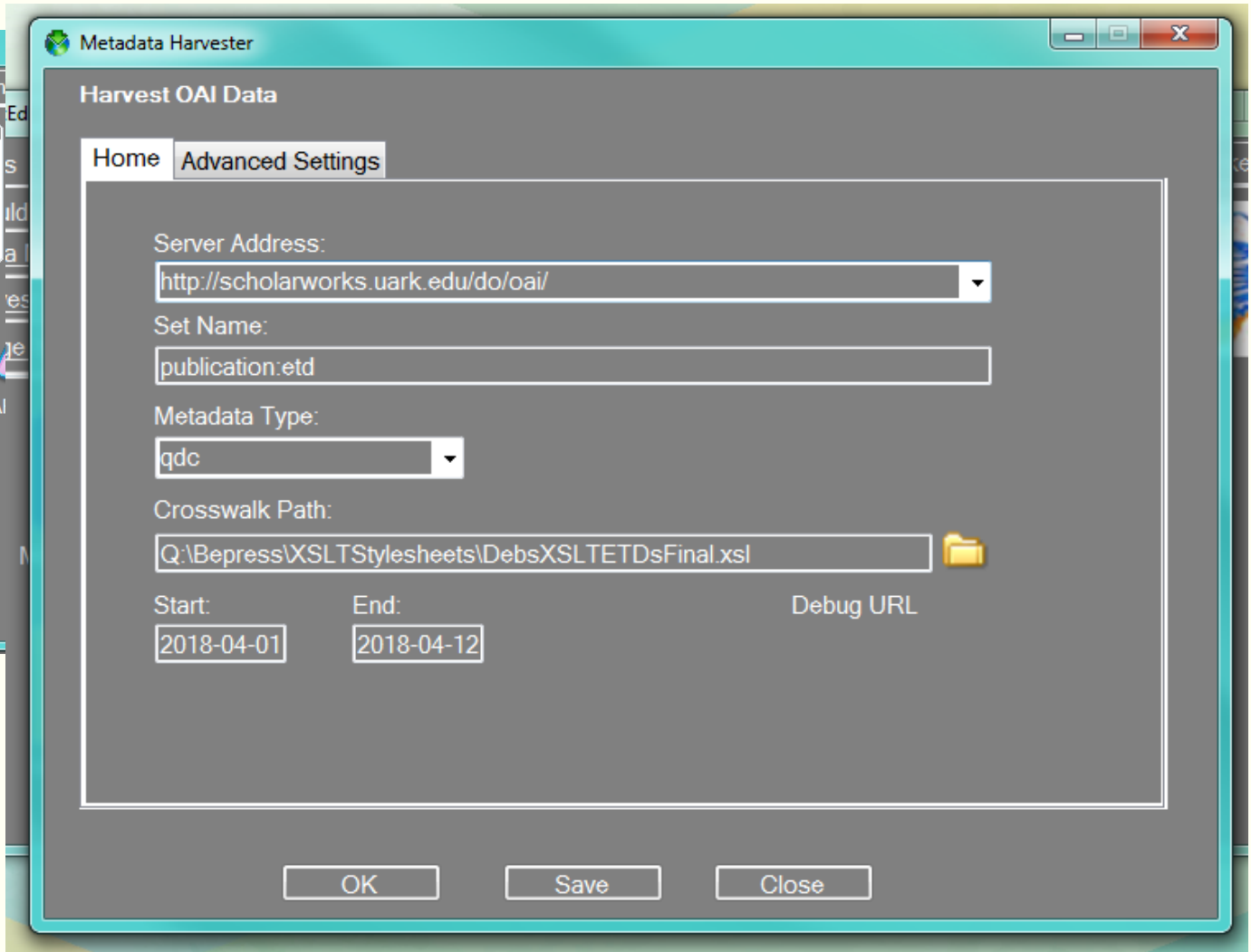
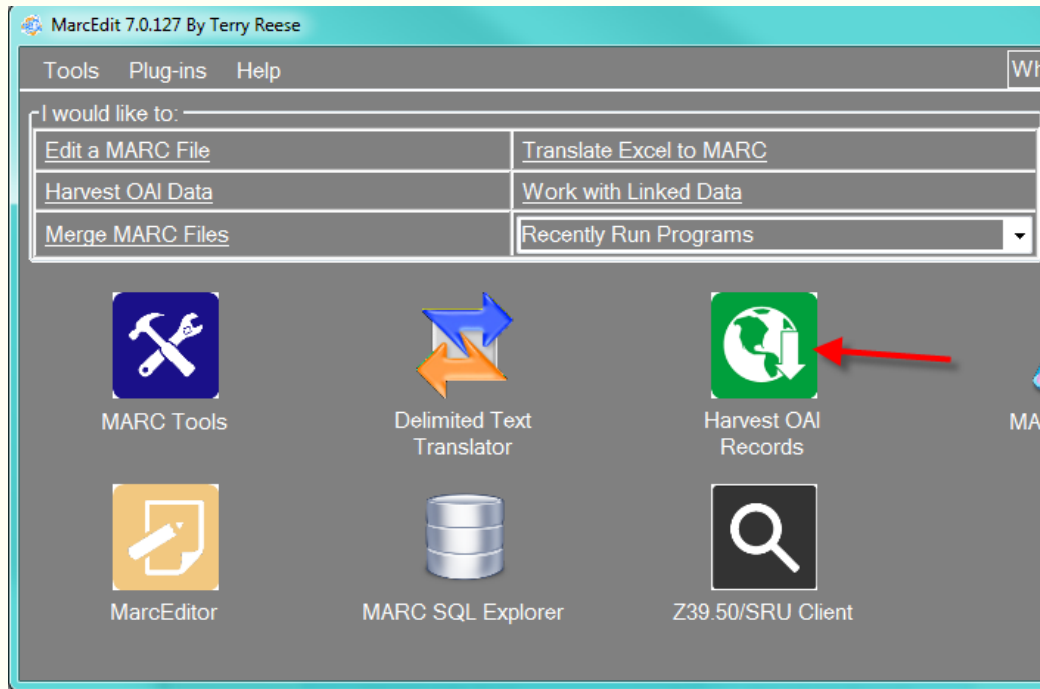
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File Edit Search View Encoding Language Settings Macro Run Plugins Window ?
Clemmer_uark_00110_11561_DATA.xml x Davis_uark_0011A_11553_DATA.xml x Dawson_uark_0011A_11568_DATA.xml x Dempsey_uark_00110_11567_DATA.xml x
1 <?xml version="1.0" encoding="UTF-8"?>
2 <documents xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
3     xmlns:str="http://www.metaphoricalweb.org/xmlns/string-utilities"
4     xmlns:xs="http://www.w3.org/2001/XMLSchema"
5     xmlns:util="http://blank"
6     xsi:noNamespaceSchemaLocation="http://www.bepress.com/document-import.xsd">
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# Workflow Chart – detail



# Harvesting set-up



sierra

Select

File	Name
275	scholarworksharvest_7-31-17.mrc.
274	scholarworksharvest_7-31-17.mrc.
3	1027486.afu.scholarworksHarvest.
5	1027486.afu.scholarworksHarvest.
2	1027486.afu.scholarworksHarvest.
4	1027486.afu.scholarworksHarvest.
201	harvesttestload2.mrc.errlog
203	harvesttestload2.mrc.lmarc
200	harvesttestload2.mrc.errlog (testing)
202	harvesttestload2.mrc.lfts
87	AVON 7-19.mrc.errlog
89	AVON 7-19.mrc.lmarc
86	AVON 7-19.mrc.errlog (testing)
88	AVON 7-19.mrc.lfts
10	20170710.HathiTrust.new.utf8.rlp.m
12	20170710.HathiTrust.new.utf8.rlp.m
9	20170710.HathiTrust.new.utf8.rlp.m
11	20170710.HathiTrust.new.utf8.rlp.m
14	20170710.ecrl.update.utf8.rlp.mrc.e
16	20170710.ecrl.update.utf8.rlp.mrc.l
13	20170710.ecrl.update.utf8.rlp.mrc.e
15	20170710.ecrl.update.utf8.rlp.mrc.l
104	Cheetah170712.mrc.errlog
106	Cheetah170712.mrc.lmarc
103	Cheetah170712.mrc.errlog (testing)
105	Cheetah170712.mrc.lfts
108	Consumer Protection and Advertisin
110	Consumer Protection and Advertisin
107	Consumer Protection and Advertisin

exchangeprep.png Date taken: Specify date taken

View PNG File Dimensions: 969 x 699

## Load Actions



- (B) LOAD a MARC file (slow load rate)
- (A) LOAD YBP Approvals
- (L) LOAD YBP No INVOICE
- (J) LOAD YBP Shelf Ready
- (C) LOAD a MARC file (slow load rate)
- (G) LOAD Generic Ebook Records
- (H) LOAD Crystal Bridges Records
- (R) LOAD ProQuest Records
- (I) LOAD LISA Inventory (slow load rate)
- (K) LOAD Knovel Records
- (E) LOAD Morgan and Claypool Records
- (D) LOAD Alexander Street Records
- (Q) LOAD without overlay
- (N) LOAD a MARC file
- (S) LOAD a MARC file (440to830)
- (X) LOAD Internet Orders with Invoice
- (Y) LOAD DDA Discovery Records
- (Z) LOAD DDA Invoice Records
- (T) LOAD Young Law Library E-Resources
- (W) LOAD CRL Records
- (1) MATCH AND ATTACH Items
- (2) LOAD Concert Streaming Audio Recording
- (3) LOAD HATHITRUST CRL Records
- (4) LOAD Kanopy Records
- (5) LOAD Credo Reference Records
- (6) LOAD ECCO records
- (7) LOAD btest Records
- (8) LOAD Academic Complete Records
- (9) LOAD ETD Records

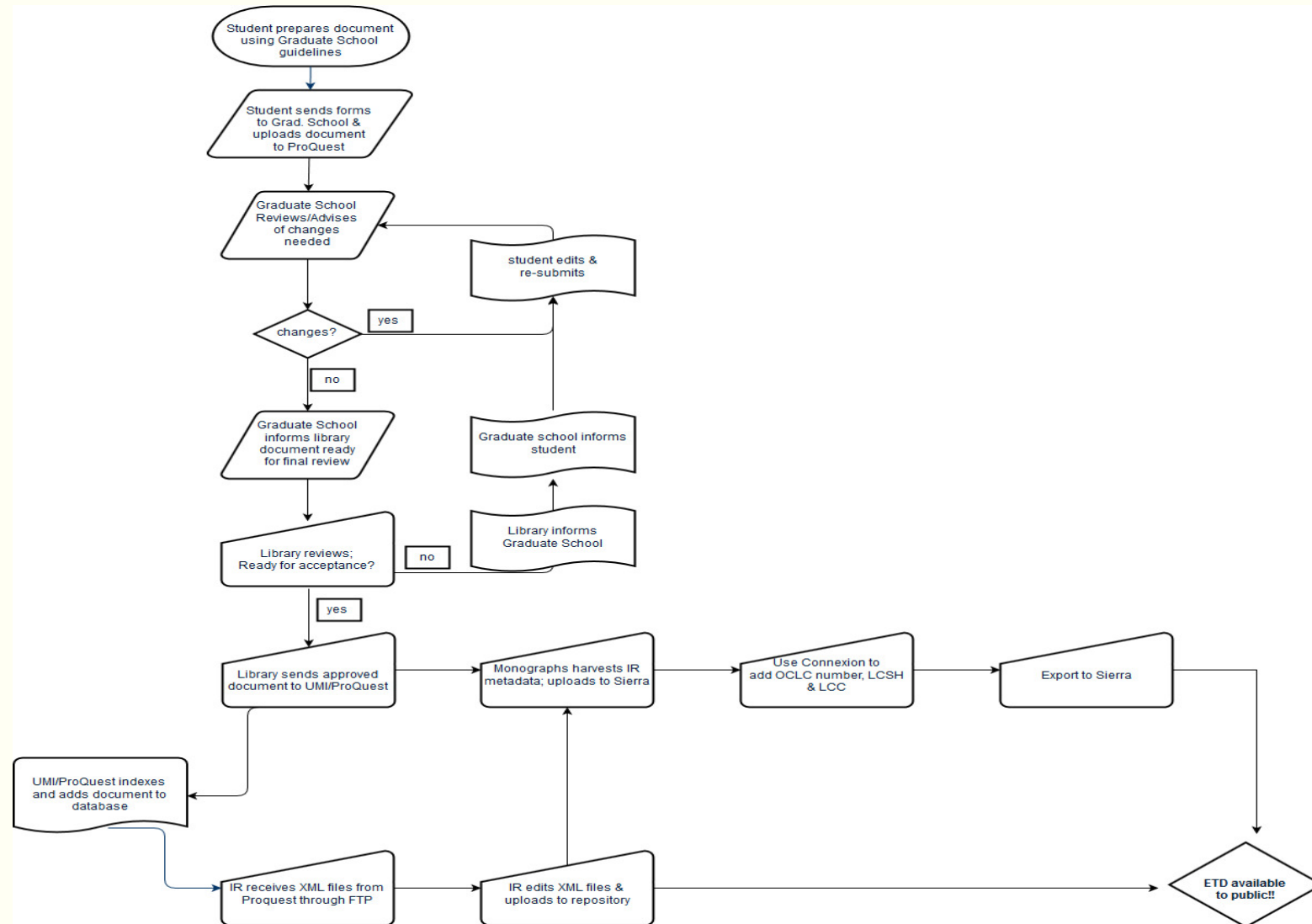
Cancel

OCLC

1026415945 Held by AFU - no other holdings

020		9781339386928
020		1339386925
050	4	SB191.R5 #b G37 2016
090		#b
049		AFUA
100	1	Gasore, Elie Rene, #d 1968- #e author.
245	1 0	Growth and productivity of irrigated rice (oryza sativa L.) for a tropical high altitude environment in Rwanda / #c by Elie Rene Gasore.
264	1	[Fayetteville, Arkansas] : #b University of Arkansas, Fayetteville, #c 2016.
300		1 electronic resource (82 leaves) : #b illustrations (chiefly color) ; #c 28 cm
336		text #b txt #2 rdacontent
336		still image #b sti #2 rdacontent
337		computer #b c #2 rdamedia
338		online resource #b cr #2 rdacarrier
500		UMI 37-45646.
500		Advisors: Richard J. Norman Committee members: Andronikos Mauromoustakos; Derrick M. Oosterhuis; Larry C. Purcell; Clifford S.
520	3	Yield components, grain yield, biomass and plant N accumulation, and N fertilizer responses of irrigated rice (Oryza sativa, L.) were e for nitrogen (N) fertilizer rate (0, 60, 90, 120, 150, 180 kg N ha <sup>-1</sup> ), season, growth stage and cultivar of different subspecies and plant typ sea level). Variations in irradiance (17.2+/- 0.32 MJ m <sup>-2</sup> day <sup>-1</sup> in DS and 9.4 +/- 0.66 MJ m <sup>-2</sup> day <sup>-1</sup> in WS) were linked to seasonal diff were greater in the DS (9.0 t ha <sup>-1</sup> ) than in the WS (5.3 t ha <sup>-1</sup> ). Total plant N uptake was in the same range (200 to 250 kg N ha <sup>-1</sup> ) for b with the number of spikelets per panicle (r <sup>2</sup> = 0.70) and spikelets per m <sup>2</sup> (r <sup>2</sup> = 0.80). In most cases, yield components were equivaler to 10 t ha <sup>-1</sup> ) in the temperate. Rice genotypes of Indica x Japonica subspecies combinations were overall greater in yield, harvest ind day-1 at maturity. The average total crop duration of 145 days may be considered as the current optimal for achieving the yield potent generally minimal with most measured attributes maximized when the lowest N rate of only 60 kg N ha <sup>-1</sup> was applied. This suggeste g kg soil <sup>-1</sup> ). The Indica x Japonica combinations may represent a cultivar improvement strategy for greater adaptation and grain yield
500		"May 2016"
502		#b Ph.D. #c University of Arkansas, Fayetteville #d 2016.
504		Includes bibliographical references.
650	0	<a href="#">Irrigation farming</a> #z <a href="#">Rwanda</a> .
650	0	<a href="#">Rice</a> #z <a href="#">Rwanda</a> .

# Workflow Chart





# Statistics

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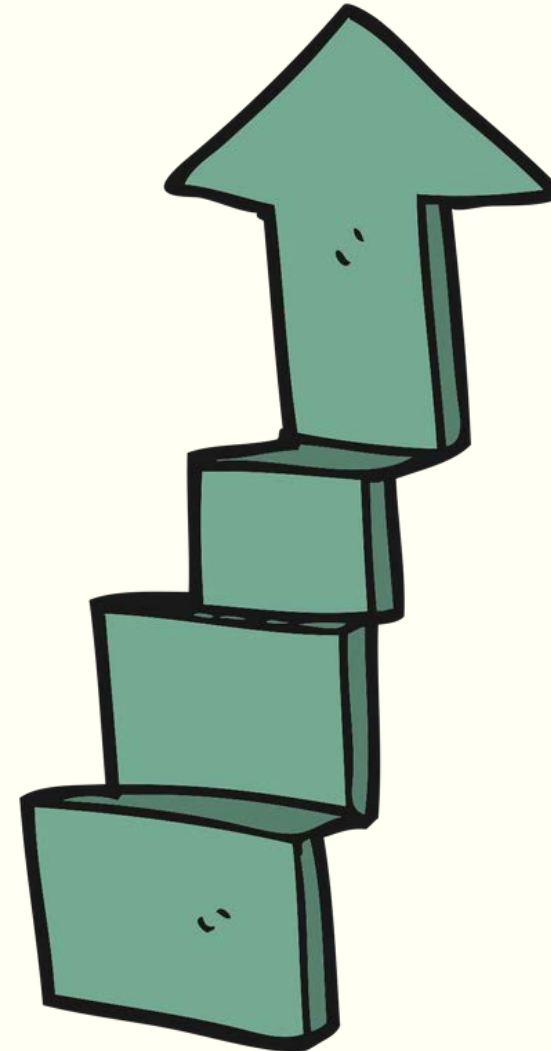
- Overall
  - Time needed for ETDs in the past
    - Approx. 30 minutes to an hour per thesis or dissertation from start to finish.
  - Time currently being used
    - Approx. 10 to 30 minutes per thesis or dissertation from start to finish.
- Specifics
  - IR
    - To create a combined file of 13 records 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

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- IR
  - XML files
- Monographs cataloging
  - Batch uploading – data sync collections



# Credits

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Statistics gathered by:

Jennie Allred

Khandi Gordon

Graphics created by:

Rachel Paul using Canva

THANK  
YOU



# Contact Information

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Cataloging Librarian  
Monographs Unit Head  
rlp001@uark.edu

Cedar Middleton  
Institutional Repository Coordinator  
ccmiddle@uark.edu





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QUESTIONS?

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