

**Proceedings of the
12th Annual Conference of the
United States Electronic Thesis and Dissertation Association
USETDA 2022
September 21-21, 2022
Cleveland, Ohio and Online**

Preface

This volume contains the papers presented at USETDA 2022, the 12th Annual Conference of the United States Electronic Thesis and Dissertation Association held as a hybrid event on September 21-23, 2022 at the Crowne Plaza Hotel in Cleveland, Ohio.

USETDA Conferences are an excellent educational opportunity for ETD professionals from graduate schools, libraries, academic computing and others who work with electronic theses and dissertations (ETDs). The conference theme "*Making Connections – Scholarly Communication in the Digital Age*" will focus on the impact and implications of connecting scholars and research from across the country and around the world. We will examine the present use and availability of ETDs and related initiatives while also exploring new and emerging ETD practices, needs, and influences impacting administrative, graduate school and library professionals.

The full program includes two interactive keynote plenary panel discussions, one 90-minute workshop, eight 20-minute brief breakout presentations, eight 50-minute extended breakout presentations, four poster presentations including user group meetings as well as a variety of networking opportunities.

Special thanks goes to the sponsors of the USETDA 2022 Conference for making this event possible! An archival version of the conference Website is available at <https://www.usetda.org/usetda-conferences/>.

To view the video recordings of these sessions visit:
<https://www.youtube.com/@usetda>.

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John Hagen
Executive Director, USETDA

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Program Committee

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Valerie Emerson
Sally Evans
Lusiella Fazzino
Teri Green
John Hagen

Teri Robinson
G.W. Swicord
Cynthia Tindongan
Stacy Wallace
Emily Wuchner
Aura Young

Brigham Young University
University of Iowa Graduate College
The George Washington University Libraries
George Mason University Libraries
St. John's University, NY Libraries
University of Toledo, College of Graduate Studies
United States Electronic Thesis and Dissertation Association
(USETDA)
Mississippi State University Libraries
University of Florida Libraries
Ohio University Graduate College
University of Florida, Graduate School
University of Illinois at Urbana-Champaign Graduate College
UNC Charlotte, Center for Graduate Life

BRIEF BREAKOUT 13

Creating a More Efficient ETD Workflow at Brigham Young University. Presented by Ellen Amatangelo ([Brigham Young University Library](#)).
Moderator: Cynthia Tindongan.

Abstract. In 2019, the Brigham Young University Library began working with the Graduate Studies Department to develop a new workflow for processing incoming theses and dissertations. This presentation will examine our course of action for creating a more efficient process through open discourse in collaborative meetings, and flexibility from IT teams. A comparison of the old and new workflows will be examined, along with how decisions were made along the way.

Track: PRESENTATION

Keywords: theses and dissertations processing, institutional repositories, collaboration, workflows

Presentation: In-person

Presentation Type: Individual

Presentation Format: Brief

CREATING A MORE
EFFICIENT ETD WORKFLOW
AT BRIGHAM YOUNG
UNIVERSITY

Ellen Amatangelo
Scholarly Communications Coordinator
BYU Library

OUTLINE

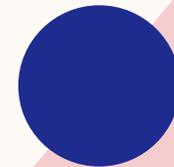
Introduction

Timeline

ETD workflows through the years

System demo

Questions



TIMELINE



BYU ETD Workflow 2012-2020

| | | |
|---|--|--|
| 1 Graduate Studies | 2 LAO | 3 LAO |
| Release ETDs to LAO queue | Wait for paper forms from students, and check approvals | Order print copies |
| 4 LAO | 5 Cataloging | 6 Cataloging |
| Release ETDs to Cataloging queue | Create electronic records including unlinked handle URLs | Add Sirsi ID in ETD system queue and release ETD to Scholarly Communications queue |
| 7 Scholarly Communications | 8 Scholarly Communications | 9 Scholarly Communications |
| Download spreadsheet from main SC queue and move ETDs to completed SC queue | Publish ETDs to Institutional Repository | Link handle URLs to ScholarsArchive records and send spreadsheet to cataloging |
| 10 LAO | 11 Acquisitions | 12 Cataloging |
| Receive print copies and send to Acquisitions | Create brief print records and deliver to Cataloging | Finish processing print version |

- Each department had their own queue
- When an item was marked as complete in one queue, it disappeared and moved to the next queue
- Could not track progress of other departments
- ETDs moved backwards from Cataloging to Scholarly Communications



BYU ETD Workflow 2020-2022

| | | |
|--|---|---|
| 1 LIT | 2 Cataloging | 3 Acquisitions |
| Pull ETDs from Graduate Studies system into our system | Create stub electronic record and enter Sirsi ID | Review PDF and request print copy |
| 4 Scholarly Communications | 5 Scholarly Communications | 6 Cataloging |
| Download spreadsheet from system and publish to Institutional Repository | Generate handle and enter URL in ETD system | Add handle URL to electronic catalog record |
| 7 Cataloging | 8 Acquisitions | 9 Cataloging |
| Unshadow record and mark as published | Create print record and send print copy to Cataloging | Finish processing print version |

- Automatically pulls ETDs from Graduate Studies system to Library system
- Cataloging record not public until after repository record
- Less people involved = faster turnaround time



No more print copies
for non-creative works!

BYU ETD Workflow 2022

| Non-Creative Works | | |
|--|--|---|
| 1 LIT | 2 Scholarly Communications | 3 Scholarly Communications |
| Pull ETDs from Graduate Studies system into our system | Download spreadsheet from system and publish to Institutional Repository | Generate handle and enter URL in ETD system |

| 4 Cataloging |
|---|
| Create electronic catalog record, including permanent handle link |

| Creative Works | | |
|--|-----------------------------------|-----------------------|
| 1 LIT | 2 Acquisitions | 3 Acquisitions |
| Pull ETDs from Graduate Studies system into our system | Review PDF and request print copy | Create print record |

- Separate workflows for creative works and non-creative works
- Faster time from receipt to online
- Updated from personal names to job titles

SYSTEM DEMO

THANK YOU

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Scholarly Communications Coordinator

Brigham Young University

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<https://scholarsarchive.byu.edu>

BREAKOUT 4

Did You Hear That? That's Graduate Students Sharing Their Research! Virtual presentation by Valarie Burke ([University of Nevada Las Vegas Graduate College](#)). Moderator: Teri Green.

Abstract. Graduate students work tirelessly and for countless hours on their research including their theses and dissertations. It is important for them to know how to present their work in various settings including a formal defense, conference presentation, and a 3-minute elevator pitch. The Graduate College at the University of Nevada Las Vegas hosts several platforms for students to practice and perfect their delivery while also networking and being given the opportunity to earn scholarships. In 2014, I spearheaded the creation of the annual Rebel Grad Slam, a 3-minute thesis competition, where students present their research in a condensed and compelling way. Event participants are evaluated on how well they explain and communicate the most significant parts of their scholarship/research. There are 3 rounds, judges include faculty, staff, alumni, and community partners, and over \$10,000 in scholarships are provided.

A second platform for graduate student scholarly work is the annual Research Forum. In its 25th year, the Graduate College and the Graduate and Professional Student Association collaborate to host this event that showcases the excellence in research of over 150 students in more than 40 disciplines. Participants select between a podium or poster session and over \$20,000 in scholarships are awarded each spring. In addition, the Graduate College's Grad Academy hosts over 60 professional development workshops annually for graduate students with faculty, staff, and campus partners on various topics including, qualitative vs quantitative research, writing a literature review, thesis and dissertation preparation and formatting, working with a faculty mentor, citation management, and how to publish. This session will focus on the many resources offered by the centralized Graduate College office to assist students in preparing, conducting, presenting, and publishing their scholarly work.

Track: PRESENTATION

Keywords: thesis, dissertation, 3MT, research forum, communication, networking, graduate

Presentation: Virtual

Presentation Type: Individual

Presentation Format: Extended

Did You Hear That? That's Graduate Students Sharing Their Research!

Valarie Burke, Ph.D
Assistant Dean of Graduate Student Services
Office of Postdoctoral Affairs
University of Nevada Las Vegas





THE GRAD ACADEMY:

Innovative Leadership, Professional, & Career Development

**REBEL
GRAD
SLAM**



WHAT

The idea is to explain who you are, what you study, why you study it, what your research question is, how you're analyzing it, and — most importantly — why it matters to folks outside your field using 1 PowerPoint slide and less than 3 minutes!

WHY

The Rebel Grad Slam 3-Minute Thesis Competition is an opportunity for graduate students to showcase their research and scholarship in an engaging way. This is a fast paced research rumble to highlight the innovative and impactful work being done by UNLV graduate students.



HOW

1. Register to participate by October 14: bit.ly/rgs21
2. Submit the authorized Rebel Grad Slam PowerPoint to gradrebel@unlv.edu by 11:59 p.m. on October 18.
3. Visit the Rebel Grad Slam website to check out resources
 - Hear from past Rebel Grad Slam participants
 - Watch videos of past winners

Judges

1. UNLV faculty, staff, alumni, and community members are invited to judge.
2. They receive training prior to the session they will judge.
3. Scoring Rubric.
 - *Comprehension, Content, Engagement, and Communication
4. Finals Judges – handpicked.

PRELIMINARY ROUNDS

Each student only participates in one round.

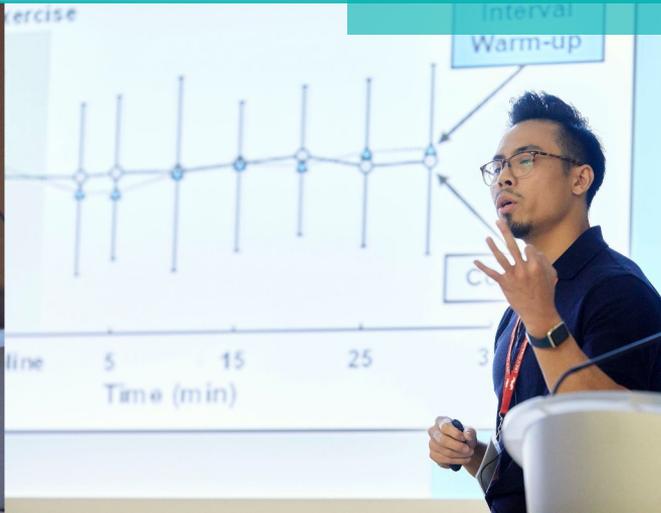
- Monday, October 25, 2021: 12:00-1:00 p.m., via Webex
- Monday, October 25, 2021: 5:00-6:00 p.m., via Webex
- Tuesday, October 26, 2021: 12:00-1:00 p.m., via Webex
- Tuesday, October 26, 2021: 5:00-6:00 p.m., via Webex
- Wednesday, October 27, 2021: 12:00-1:00 p.m., via Webex
- Wednesday, October 27, 2021: 5:00-6:00 p.m., via Webex



SEMI-FINAL ROUNDS

Each student only participates in one round (if you advance to the semi-finals).

- Monday, November 1, 2021: 9 - 10:30 a.m., via Webex
- Monday, November 1, 2021: 11 a.m. - 12:30 p.m., via Webex
- Monday, November 1, 2021: 1:30 - 3 p.m., via Webex



FINALS ROUND & RECEPTION

- Tuesday, November 2, 2021: 4:00-6:00 p.m., Philip J. Cohen Theatre in the Student Union





PRIZES

PRELIMINARY ROUNDS:

- 1st place wins \$200
- 2nd place wins \$150
- 3rd place wins \$100

SEMI-FINAL ROUNDS:

- 1st place wins \$200
- 2nd place wins \$150
- 3rd place wins \$100

FINAL ROUND

- 1st place wins \$1,000
- 2nd place wins \$750
- 3rd place wins \$500

More PRIZES

- **All participants & judges receive a Rebel Grad Slam T-shirt & a gift bag**
- **The College with the most Grad Rebel participants wins a free lunch**
- **The overall 1st place winner's College will be awarded the Rebel Grad Slam Trophy to keep & display for the academic year**
- **The 1st place winner will participate in the Western Association of Graduate Schools (WAGS) 3MT Competition.**

GPSA Annual Student Research Forum

- 2023 = 25th year!
- Graduate & Professional Student Association & Graduate College
- Spring event that showcases the excellence in research conducted at the graduate student level with more than 160 students representing more than 40 disciplines





Annual Student Research Forum

- **Conference-style format, students present their work through posters or podium presentations.**
- **10 minute podium presentation with a slide deck**
- **5 minute poster presentation**
- **Evaluated by faculty judges with a strict rubric.**



PRIZES

- **Session winners are granted monetary awards and support to advance their research.**
- **Podium Session Winners:**
 - 1st Place - \$500 scholarship
 - 2nd Place - \$350 scholarship
- **Poster Session Winners:**
 - 1st Place - \$400 scholarship
 - 2nd Place - \$250 scholarship

Funding

- Throughout the year, the GPSA awards research and travel grants to students to support projects that directly affect their degree program and make a contribution to their discipline.
- In 2021-2022, \$175,000 was budgeted to support graduate and professional student research and conference travel via our sponsorship fund.
- The Annual Research Forum is an opportunity for students to share their GPSA sponsored work with the UNLV community.
- This Forum is open to all graduate and professional students wishing to share their research, practice their presentation skills, or obtain constructive comments on their work from faculty.
- *Participation in the Annual Research Forum is a requirement for students who received GPSA funding during the 2021-2022 academic year.





MORE INFORMATION

unlv.edu/graduatecollege/academy

unlv.edu/graduatecollege/rebelgradslam

gradrebel@unlv.edu

Valarie.Burke@unlv.edu or 702-895-5773



UNLV | GRADUATE COLLEGE



BRIEF BREAKOUT 11

Creating a Thesis Dissertation Writing Program: A Case Study. Presented by Lily Compton, Elena Cotos and Kristin Terrill (Iowa State University Graduate College). Moderator: Katherine Johnson.

Abstract. The Center for Communication Excellence (CCE), housed within Iowa State University's Graduate College, runs the Thesis/Dissertation Writing Program (TDWP). The CCE works with a team of graduate students serving as consultants in different communication skill development areas, including disciplinary and interdisciplinary writing with a focus on specific academic genres. This presentation will describe how the CCE consultants provide different forms of peer support to graduate students in their writing process before they deliver their Thesis/Dissertation drafts to their Program of Study Committee.

As training is substantial to the quality of peer consulting, we will demonstrate the self-paced consultant training model, which comprises three parts: web-based asynchronous training that covers cross-disciplinary conventions of scientific writing, live observations of experienced writing consultants, and a practicum that includes formative supervised consultations and a summative assessment. Completed training leads to certification and potential employment by the CCE. Certified writing consultants can opt to extend their training for the TDWP Thesis/Dissertation, where they learn effective strategies for identifying and correcting common writing and formatting issues in individual consultations as well as protocols for conducting writing retreats, formatting boot camps, and walk-in clinics.

Importantly, this presentation will also showcase the operational model for the TDWP, including the organizational hierarchy and the working relationships with partners from the Graduate College and the University Library. We will highlight how policies and guidelines for Thesis/Dissertation formatting are formulated and maintained. Additionally, we will address some of the previous disconnects that have been resolved through the TDWP. Finally, we will share the hiring and funding model drawing from the CCE and Graduate College resources, discussing how different sources help make the services of interdisciplinary, disciplinary, and thesis/dissertation writing consultants sustainable.

Track: PRESENTATION

Keywords: Thesis Dissertation Writing Program, Working relationships, Hiring and funding model, Consultant training

Presentation: In-person

Presentation Type: Individual

Presentation Format: Brief



IOWA STATE UNIVERSITY
Center for Communication Excellence
Graduate College

Creating a Thesis Dissertation Writing Program - A Case Study

USETDA 2022 September 23

Lily Compton, Elena Cotos, and Kristin Terrill

Find us on:



@IowaStateCCE!



TDWP is one of seven programs today.



Center for Communication Excellence

- Pilot in 2014 – proof of concept
- Established in 2015 with the Academic Communication Program, Graduate Peer Mentor Program, and International Teaching Assistance Program
- Added Thesis Dissertation Writing Program (TDWP) in 2019



Center for Communication Excellence

SEVEN PROGRAMS

1. Graduate Peer Mentoring
2. Peer Review Groups
3. Academic Communication
4. ***Thesis Dissertation Writing***
5. English Language Development
6. International Teaching Assistants
7. Interpersonal Communication

Goals of the TDWP

Provide writing support



Individual TD writing consultations

- 60 mins with TD consultant
- Focused on all aspects of writing

Facilitate accountability



Writing retreats

- 4-hour blocks with on-hand assistance from TD consultants
- Dedicated spaces for uninterrupted, distraction-free work time

Provide formatting support

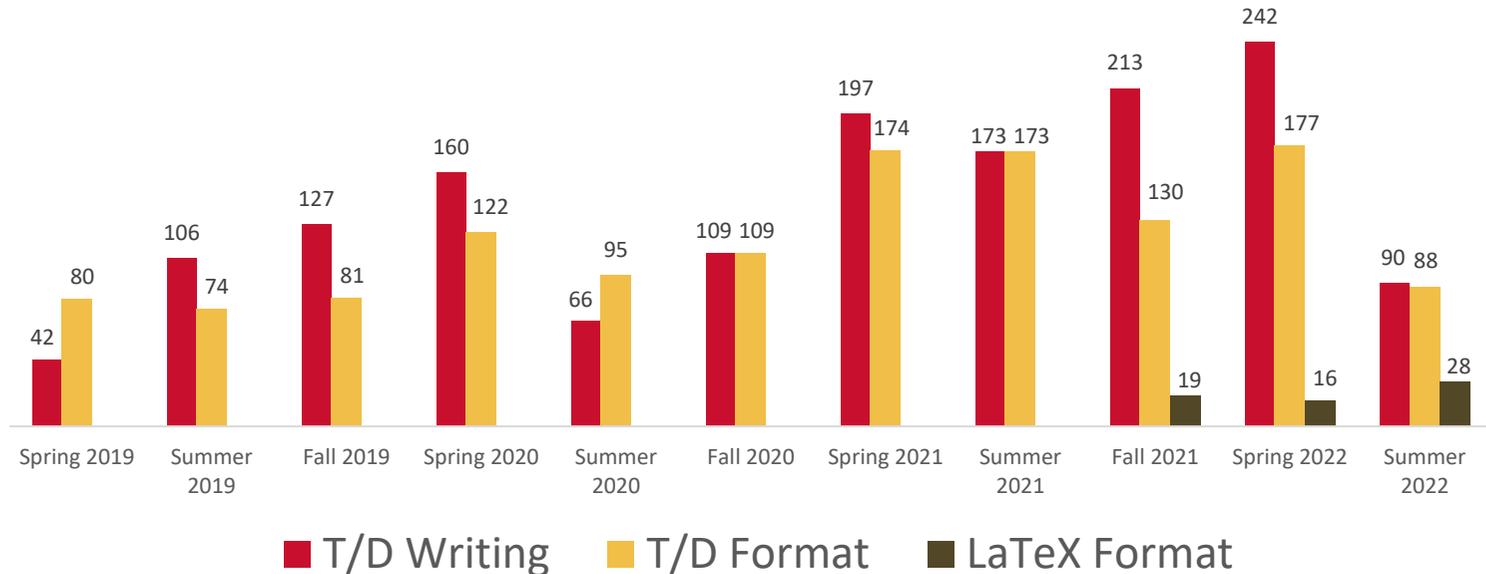


Individual Format Checks, Bootcamps, Walk-in Clinics, and Resources

- 30 mins format checks
- 90 mins bootcamps
- Up to 30 mins walk-in clinics
- Various tools (templates, videos, etc.)

TDWP Consultations

Number of Writing and Formatting Consultations

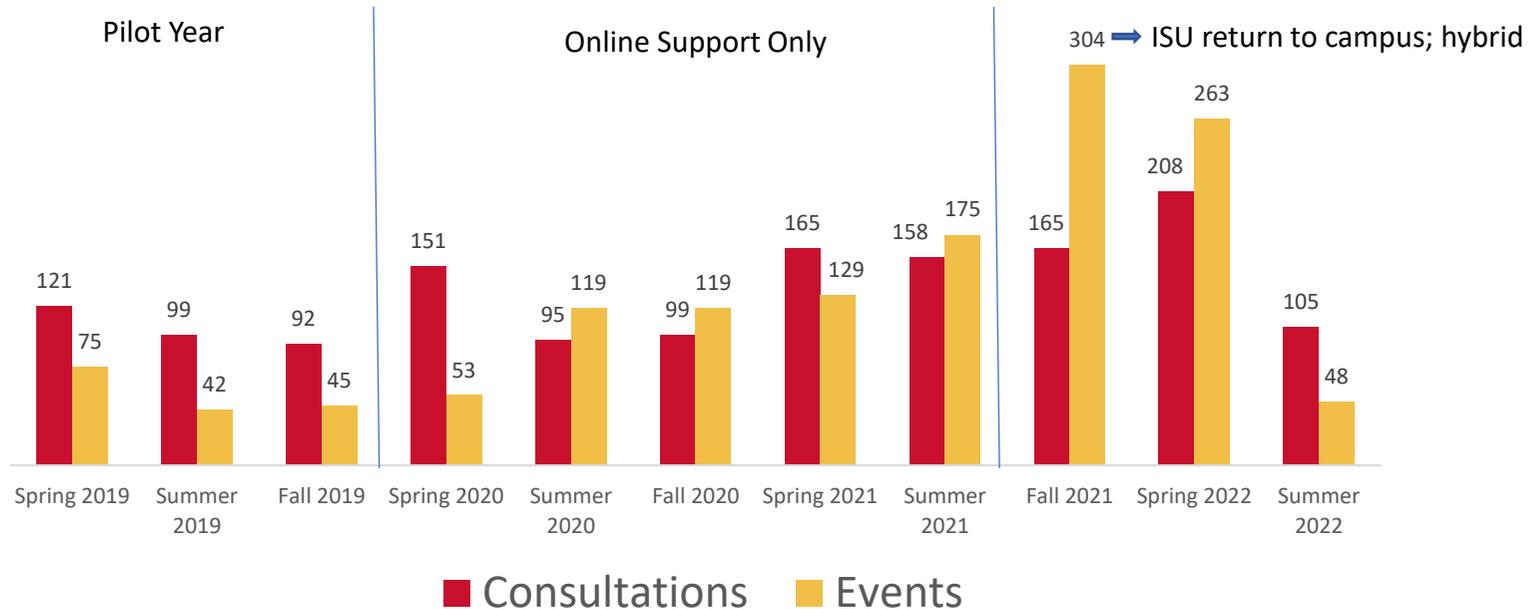


Notes:

1. The LaTeX numbers do not track email support for LaTeX.
2. The Virtual Walk-in Clinics started in Spring 2021 and are not reflected in these numbers.

TDWP Consultations

Number of Unique Students Assisted through Consultations and Events



Note:
The numbers for Events increased starting Summer 2020 because the informational seminars were officially offered by a CCE staff under the TDWP.

Iowa State University (ISU) Graduate College

ETD Size: 660 average

CENTER FOR COMMUNICATION EXCELLENCE Thesis/Dissertation Program

Program Coordinator



- Supervises consultant and reviewer
- Monitors and updates guidelines, templates, etc.
- Organizes events
- Deals with special cases
- Lias with other collaborators

Consultants

- Assist students with writing issues
- Assist students with formatting issues
- Conduct preliminary checks before students upload to ProQuest

Reviewers

- Review formatting
- Approve files in ProQuest
- Request changes

GRADUATE SERVICES AND FACULTY SERVICES

Director



Staff

Staff

- Monitor exam results, paperwork, etc.
- Check student details before passing the files to the reviewer
- Deliver files to ProQuest
- Monitor extended embargos

COLLABORATORS



ProQuest



University Library



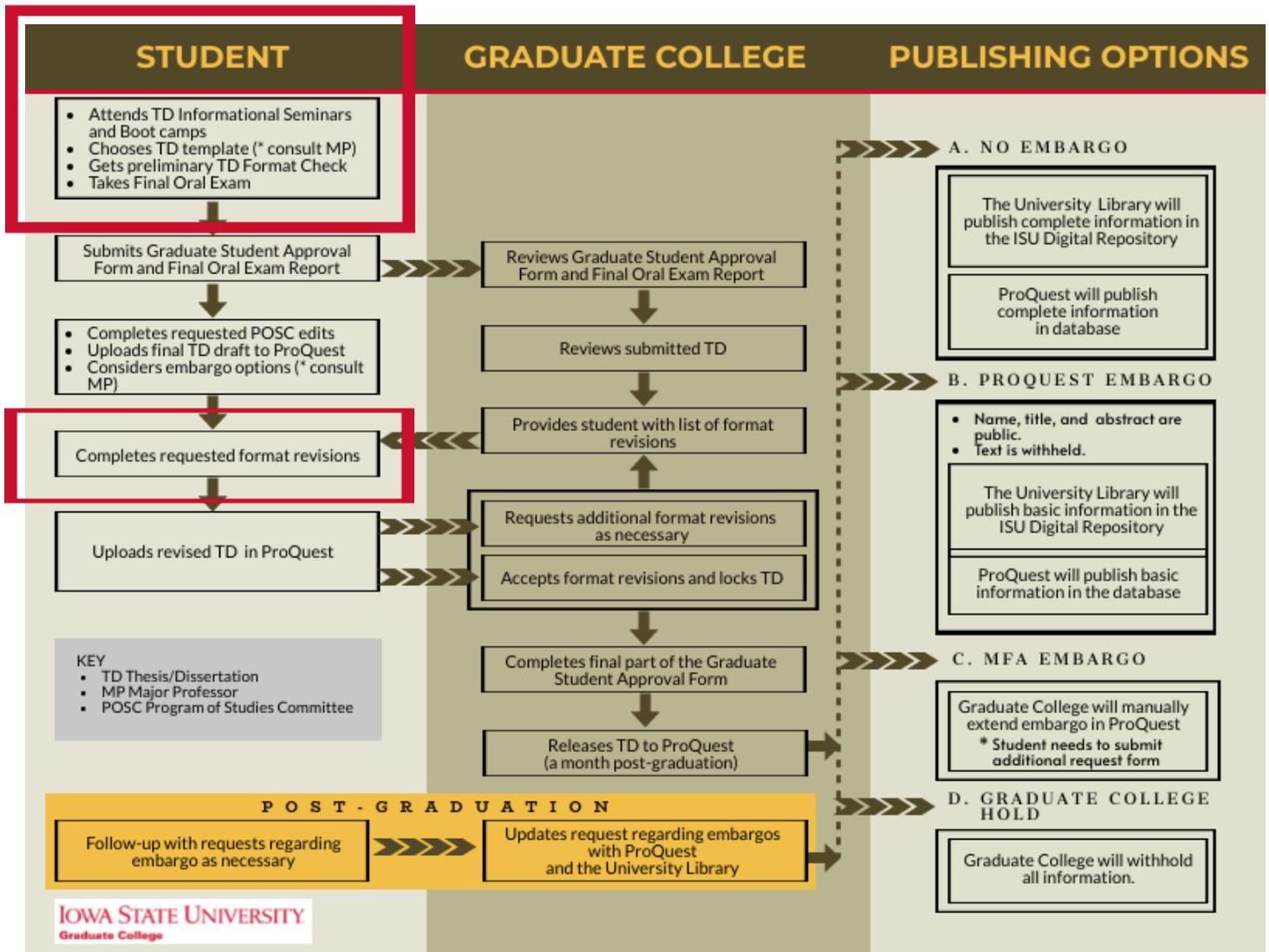
Office of Legal Counsel



Office of Intellectual
Property and
Technology Transfer

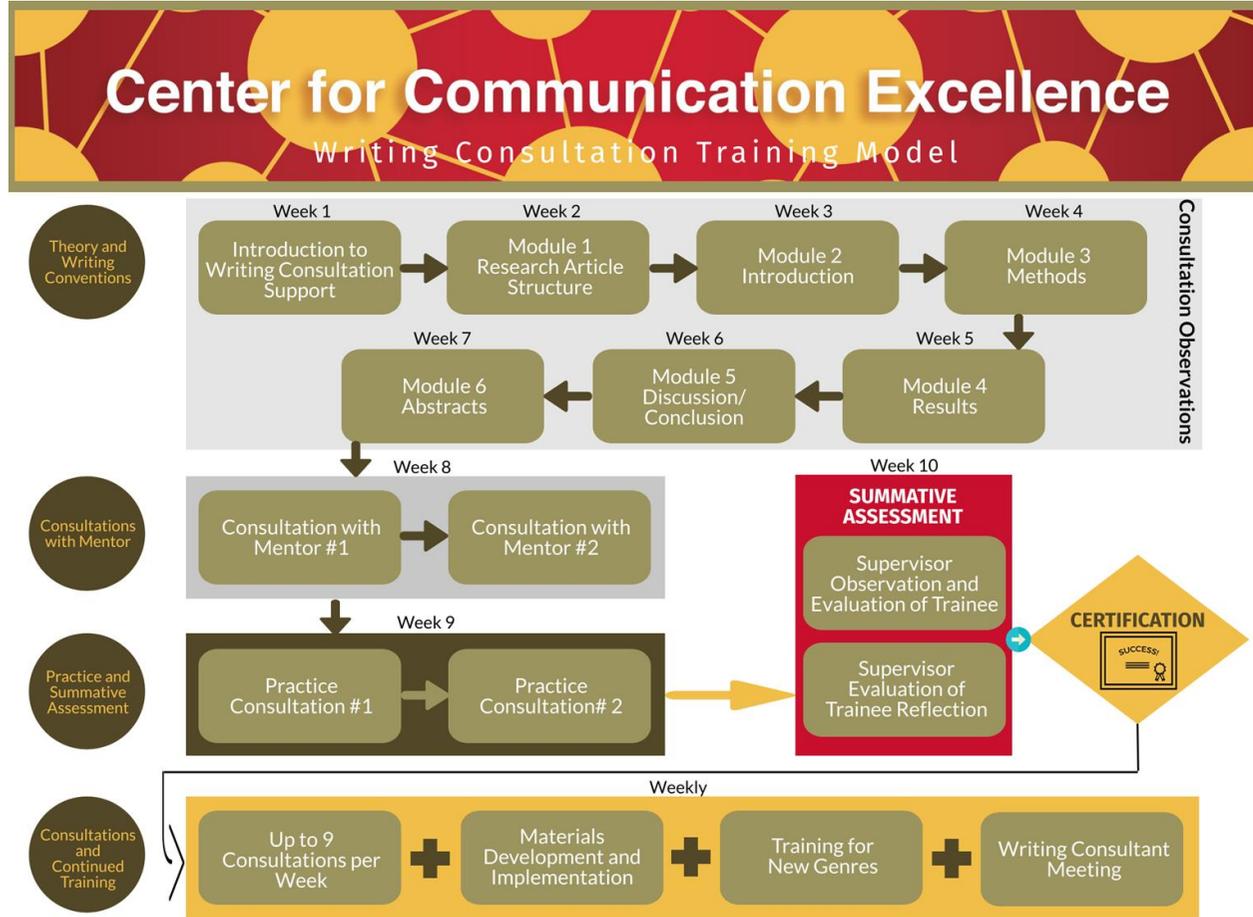
TDWP 
writing, accountability, formatting

TDWP 
formatting



Consultant Training Model

Prerequisite:
completed writing
training



TD Consultant Training Model

Added training

- templates
- guidelines
- checklists
- troubleshooting



Thesis/Dissertation
CONSULTANT TRAINING

Self-Paced Training

- Complete training module in learning management system
- Identify formatting mistakes in practice exercise
- Implement formatting fixes in practice exercise

T/D Format Check (3 Observations)

- Check scheduling system for format check appointments
- Request permission to observe consultations with one or more T/D consultants
- Complete 3 T/D format check observations

T/D Format Check (1 Mentoring Session)

- Schedule a format check appointment with one peer mentor
- Ask questions and get additional insights as necessary about observed sessions and self-paced training materials

T/D Format Check (3 Co-Consultations)

- Check scheduling system for T/D format check consultations
- Request permission to co-consult with one or more T/D consultants
- Complete 3 co-consultations for format check

T/D Writing Consultation (3 Observations)

- Check scheduling system for T/D writing consultations
- Request permission to observe consultations with one or more T/D consultants
- Complete 3 T/D writing consultation observations

T/D Writing Consultation (3 Co-Consultations)

- Check scheduling system for T/D writing consultations
- Request permission to co-consult with one or more T/D consultants
- Complete 3 co-consultations for T/D writing

Final Steps

- Request feedback from peer mentor(s)
- Contact supervisor for next steps
- Celebrate completion of training



- Home
- Syllabus
- Modules
- Quizzes
- Discussions
- Grades
- People
- My Surveys

▼ Module: Templates and Formatting Requirements

🔗 TD Consultant Training Requirements

📄 Important TD Format Check Terms

📄 Traditional vs Journal Templates

📄 Word vs Overleaf-LaTeX Templates

📄 Required vs Optional Formatting

✔️ TD Format Check Components

📄 Preliminary Pages

🔗 Learning Check: Identifying & Fixing Errors in Preliminary Pages
1 pts

📄 Headings

🔗 Learning Check: Identifying & Fixing Errors in Headings
3 pts

📄 Figures and Tables

🔗 Learning Check: Identifying & Fixing Errors in Figures and Tables
1 pts

📄 Body of Manuscript

🔗 Learning Check: Identifying & Fixing Errors in Body of Manuscript
1 pts

📄 References and Appendices

📄 References with both numbering and alphabet

🔗 Learning Check: Identifying & Fixing Errors in References and Appendices
1 pts

👤 TD Format Check Consultation

📄 TD Format Check Consultations How-To

📄 Consultant's Checklist

📄 Graduate College Reviewers' Checklist

📄 TD Resources

📄 CCE TD Website

- Home
- Syllabus
- Modules
- Quizzes
- Discussions
- Grades
- People
- My Surveys

Required vs Optional Formatting

What is 'Required' Formatting?

Regardless of format (thesis or dissertation) or template (Word or LaTeX), some of the formatting in the templates are required. These required formatting include the global formatting and some pages in the preliminary pages section.

The global formatting guidelines are shown in the following table.

| Component | Guidelines |
|-----------------------|---|
| Page Margins | 1-inch all around. |
| Fonts | 12pt standard proportional font (Times New Roman, Arial, Calibri, etc.) |
| Line Spacing | |
| Blank Space on a Page | |
| Page Numbering | |

In addition to the required formatting:

- Title Page
- Table of Contents
- Abstract

What is 'Optional' Formatting?

Formatting that is optional means members (department), Optional formatting, respectively pages.

We will discuss both types of formatting.



◀ Previous

CCE TD Consultant Training > Quizzes > Learning Check: Identifying & Fixing...

Home
Syllabus
Modules
Quizzes
Discussions
Grades
People
My Surveys

Learning Check: Identifying & Fixing Errors in Preliminary Pages

Due: No due date | Points: 1 | Questions: 1 | Time Limit: None

Submission Details:
Time: less than 1 minute
Current Score: 0 out of 1 *
Kept Score: 0 out of 1
* Some questions not yet graded

Instructions

Instructions:
Based on what have you read in the Preliminary Pages page, try to identify and fix the formatting errors in the following document (only focus on the Preliminary Pages). There are 8 (eight) errors in the Preliminary Pages. At the end of this quiz, you can view a sample document with annotations to describe the errors.
[Identify & Fixing Errors in Preliminary Pages.docx](#)
[Download File Download](#)

Page 1 of 63

1

Transfer of Supervisory Responsibilities into Novel Situations and Segmental Accuracy Using Real Time Individual Pick Training

by

April Tan

A thesis submitted to the graduate faculty
in partial fulfillment of the requirements for the degree of

MASTER OF ARTS

Major: Teaching English as a Second Language/Applied Linguistics

Program of Study Committee:
Dr. John Lewis, Major Professor
Dr. Annette Perdue-Stringer
Dr. Gailburck Decker

The student author, without presentation of the scholarship herein, was approved by the program of study committee, is solely responsible for the content of this dissertation/thesis. The Graduate College will ensure this dissertation/thesis is globally accessible and will not censor alterations.

Additional Details

FUNDING & COST

- One time thesis dissertation fee \$145
- Fee covers the stipends for consultants (tuition waiver comes from the consultants' departments)
- Fee also covers part of the salaries for program coordinator and reviewers

TRAINING & SUPERVISION

- CCE recruits and trains
- CCE hires and supervises
- CCE monitors issues and concerns
- CCE maintains guidelines and provides ongoing professional development

COMMUNICATION & COLLABORATION

- CCE collaborates with departments and other units (library, OIPTT, etc.)
- CCE collaborates with Graduate College staff (paperwork, graduation details)



IOWA STATE UNIVERSITY
Center for Communication Excellence
Graduate College

Reach out if you have any questions!

Thank You!

<https://cce.grad-college.iastate.edu/>

Find us on:



@IowaStateCCE!

BREAKOUT 8

A Pandemic Pivot: From Paper Thesis Submissions to ETDs. Hybrid presentation by Nicholas Dease, Amy Ballmer (Pratt Institute Libraries) and Austin McLean (ProQuest part of Clarivate). Moderator:

Abstract. COVID-19 necessitated an urgent shift from paper based agreements and graduate works in a highly compressed timeline. This session will explain how multiple stakeholders across an institution converged to move a decades-old process to a virtual, electronic workflow. The discussion will include an overview of procedural steps, challenges encountered, and lessons learned.

Like many academic institutions, Pratt Institute Libraries had to quickly transition to a fully remote learning environment in 2020. The current practice of accepting graduate theses in print, reviewing them for formatting issues in person, and providing in-person access to historical theses had to be completely reimagined. With only a few short months to pivot, the libraries and its key stakeholders established a fully remote temporary submission process using Google Drive and online forms. With the Spring 2020 submission period complete, they had the freedom to research and move their ETD workflow to ProQuest's Dissertations and Theses (PQDT). This months-long process entailed collaboration among library staff, institute faculty, as well as communication with other institutions via an environmental scan. Best practices were determined and formatting requirements were adjusted for a digital workflow. After a successful implementation in Spring 2021, they still had a full batch of 2020 theses that needed to be digitally corrected and uploaded to PQDT. In 2021, these 'retrospective' theses were successfully uploaded and are now fully accessible as of 2022. It took nearly two years to fully pivot to digital, but the libraries learned a lot in the process. This session will explore all of our findings as well as touch on further refinements for the future.

Track: PRESENTATION

Keywords: Academic Libraries, Electronic Dissertations and Theses, Best Practices, Collaboration

Presentation: Hybrid

Presentation Type: Individual

Presentation Format: Brief







BREAKOUT 7

Kent State University's Journey Toward Accessible ETDs Through Enterprise Education and Expansion. Presented by Virginia Dressler, Cynthia Kristof and Alison Haynes ([Kent State University Libraries](#)). Moderator: Sally Evans

Abstract. This session presents a strategy for implementing a state-wide consortial requirement for accessible ETDs. As of January 2023, all participants in the OhioLINK ETD Center will be required to upload documents that meet a minimum accessibility standard. At Kent State University (KSU), adherence to deadlines, style guides, and other requirements are coordinated by a “Gatekeeper” in each College. Accessibility requirements and training will be communicated by an ad-hoc task force through the Gatekeepers to students and their faculty advisors. Good working relationships between staff in various departments, faculty and graduate students are key to the success of implementation. A set of training materials and other resources to meet the needs of graduate students will be developed. These will include written instructions, a video tutorial, and timelines for each College as well as a series of “Bring Your ETD” open office hours for students and reminders about the University Help Desk located in the Library for one-on-one assistance. One important objective is to provide graduate students with a point-of-need service in a variety of formats that fit their learning style preferences. (An incidental benefit of this new requirement is the education of graduate students on accessible document creation, which has become a skill needed in the labor force of the 21st century.) Gatekeepers will perform a final check of submitted ETDs for accessibility before they are published to the ETD Center. Questions and technical difficulties are managed by the University’s ETD Administrator, who functions as a liaison with OhioLINK. Additionally, accessibility remediation will be performed on all TDs that are requested and digitized via KSU’s Interlibrary Loan service (since 2017), and subsequently added into the OhioLINK ETD Center.

Track: PRESENTATION

Keywords: accessibility, electronic theses and dissertations, remediation

Supplementary: In-person

Presentation Type: Individual

Presentation Format: Brief

BREAKOUT 8



Kent State University's Journey Toward Accessible ETDs Through Enterprise Education and Expansion

Virginia Dressler, Digital Projects Librarian

Alison Haynes, IT Compliance Coordinator

Cindy Kristof, OhioLINK ETD Administrator for Kent State

Accessibility as part of DEI

- **“Inclusion is not a matter of political correctness. It is the key to growth.” — Rev. Jesse Jackson, 2007**
- **Within the Libraries University**
 - Digital Accessibility University Libraries Committee initiated – 2019
- **Within the University**
 - First enterprise-level focus was on full website redesign, circa 2014.
 - First hires of accessibility specialists in 2018
 - Digital Accessibility Compliance Coordinator position moved to Division of Information Technology, 2020

Accessibility as part of DEI

- **Services, documentation, and education**
 - Standard printed materials
 - Scanned documents
 - Born-digital documents
 - Central to our standard operations

Retrospective TD scanning & remediation

- **Since 2017, the Digital Projects unit has been digitizing TD requests from Interlibrary Loan (ILL)**
 - 133 requests fulfilled to date (Sept 2022)
 - Previously, print titles were mailed to patrons
 - Digitization also supports green initiatives, reducing emissions not have to mail content
 - [Penn State GHG emission report \(2021\)](#)

Retrospective TD scanning & remediation

- **Print copies are scanned to benchmarks**
 - Access copy emailed to patron
 - Compressed
 - OCR'd
 - Full resolution version is prepared for OhioLINK (PDF/A 1b)
 - Deskewed/cropped
 - Redact signatures
 - Run through remediation in Acrobat using Accessibility Check tool
 - Current hiccups- Tables are hard!

Within OhioLINK

- **OhioLINK Accessibility Statement – March 2021**
 - https://www.ohiolink.edu/content/ohiolink_accessibility_statement
 - OhioLINK is committed to the ongoing improvement of inclusivity and accessibility of its shared collections and materials created by the Central Office.
 - OhioLINK will conform to the Ohio State University's Minimum Digital Accessibility Standards (MDAS) policy and use the procedures and workflows OSU provides.
 - The OhioLINK Central Office is actively working to assess the conformance status of all local and vendor platforms.

ETDs at Kent State University

- **Graduate College**
 - Dean Manfred Van Dulmen
- **University Libraries and Information Technology**
 - ETD Administrator – Cindy Kristof
 - Coordinator for Digital Accessibility Compliance – Alison Haynes

ETDs at Kent State University

- **College “Gatekeepers” or ETD Contacts**
 - Style Guides and other graduation paperwork
 - Review and approve ETDs
 - Work with students and their advisors on individual College requirements
 - An established conduit for communication
- **Numbers**
 - Total of 4,645 Kent State ETDs from the start of the OhioLINK ETD Center
 - Average of 620 per year, over the last ten years

Overview of College of EHHS

- <https://www.kent.edu/ehhs>
- **25 Master's programs**
- **14 Doctoral programs**
 - Doctor of Philosophy
 - Doctor of Audiology
 - Doctor of Education
- **Audiology, exercise, athletic training, nutrition, counseling, tourism, sports, recreation, hospitality, in addition to education at all levels and educational administration**
- **Gatekeeper provided 20 example theses and dissertations with different research methodologies and presentation of data, both qualitative and quantitative**

“Test” College and Timeline

- **College of Education, Health and Human Services (EHHS)**
 - Approximately 15 ETDs per semester
 - Gatekeeper
 - Assistant Dean
 - Editing, word processing, and proofreading services
 - Graduate students

“Test” College and Timeline

- **Questions – Meeting on September 20**
 - Communication to the College
 - Training – for both students and Gatekeepers
 - Written instructions
 - Video
 - Face-to-face or other real-time assistance
- **Will evaluate in December 2022**
 - Launch for entire campus in January 2023

Planned Messaging for Gatekeepers and Students

- **Messaging aligns with OhioLINK standards AND university's ETD standards** (determined during this process)
- Designed to create **self-sufficiency** at each level to not overly burden the gatekeepers, Kent State's ETD OhioLINK Administrator or Accessibility specialists.

Planned Messaging for Gatekeepers and Students

- **Multimodal materials reinforce and support each other:**
 - a **printed tip sheet** with an accessible digital version
 - accompanying **webpage with screenshots** and links to further information from OhioLINK and Adobe
 - and a **60-minute training**: half tutorial (available both recorded and in-person) + half hands-on application).

Planned Messaging for Gatekeepers and Students

- **Scalable**

- 1st version targets the imminent graduates in the pilot group
- 2nd version (for both ongoing and finishing students) will have tips for progressive writing rather than just completed theses and dissertations.
- Rigorously **researched and tested** to provide correct, precise instructions for both Macs and Windows users.
- Better to focus significant QA time at the beginning than regularly correct tip sheet and reissue.
 - Significant or several mistakes will erode trust in us as a SME and discourage accessibility efforts.

Sample of Digital/Print Tip Sheet

STEPS TO CREATING AN ACCESSIBLE ETD

Equal Access = Essential for Some. Useful for All.

A Partnership Between Kent State University Libraries and the Digital Accessibility Team

Thank you, graduate student, for your efforts to upload accessible ETDs. You are joining thousands of other students across Ohio working to comply with state and federal standards for academic resources, therefore ensuring Equal Access to the results of your hard work and academic discipline for ALL future readers! Below are the steps you'll need to follow.

- Approachable, inclusive, and encouraging language to emphasize opportunity rather than duty.
- Indicates which departments are involved
- Uses brand fonts and colors to imply familiarity with other university content

Sample of Sample of Digital/Print Tip Sheet, con't.

PREPARE YOUR SOURCE DOC IN WORD



1. Check each of your figure descriptions (*captions*) of images, graphs, formulas, or charts. If you have completely explained the visual elements of the figure in its description and/or surrounding paragraphs, you do not need to create separate alt text.
2. **Complete ALL edits before converting to PDF.** Creating the PDF and checking it for accessibility should be the FINAL STEP in preparing your ETD for submission.

EXPORT FROM WORD AS A PDF



1. Select **File > Save As** or **File > Save a Copy**.
2. In the **Save As** dialog box, choose the **File Type > PDF** then select **Options***.
3. Select the **Document Structure Tags for Accessibility** checkbox, and then select **OK**.
**NOTE: If Options is not available on the Save dialog box, look for a selection under the file format box that reads "Best for electronic distribution and accessibility" and check that.*

Contrasting Font Styles to draw attention

- All explanations in italics and parentheses
- All platform-specific instructions have heavier weight and italics
- Possible exceptions/deviations marked with asterisk and its footnote, right within its section, for better reading comprehension.

Sample of Sample of Digital/Print Tip Sheet, con't.

PREPARE YOUR SOURCE DOC IN WORD



1. Check each of your figure descriptions (*captions*) of images, graphs, formulas, or charts. If you have completely explained the visual elements of the figure in its description and/or surrounding paragraphs, you do not need to create separate alt text.
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3. Select the **Document Structure Tags for Accessibility** checkbox, and then select **OK**.
**NOTE: If Options is not available on the Save dialog box, look for a selection under the file format box that reads "Best for electronic distribution and accessibility" and check that.*

Use of Platform Icons- presenting information in more than one way (multimodal)

- Clear progression of Word to Adobe presented graphically
- Graphic progression echoed in the bold section headings- the task categories

Sample of Sample of Digital/Print Tip Sheet, con't.

6. Now confirm that **Accessibility permission flag, Image-only PDF, Primary language** and **Title*** all read as **"Passed"**. See screenshot on page 2/reverse to confirm (*Figure 2*).
**NOTE: Report may generate errors in these areas if not saved following the steps in the Word section above.*
7. **Replace** report document if prompted. Close file.

NOW UPLOAD YOUR ETD, MAKING SURE TO ALSO UPLOAD THE ACCESSIBILITY REPORT YOU SAVED ABOVE. THAT'S IT!



Reach Out to Your ETD Contact for Questions and Assistance
 Scan QR Code for List of Contacts and Contact Information

- Final step has **positive, personal language** for encouragement.
- Since main **medium will be print**, the contact information is represented with a **QR code**.
- **Space-saving** was a priority for this document, so sending users to a webpage to find their college's ETD facilitator both reduces text and emphasizes the facilitator as a first point of contact.

Questions?



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Thank You!

BREAKOUT 9

ETD Administrator User Group Meeting. Presented by Austin McLean, Gilia Smith, April Ellsey and David Jenkins (ProQuest part of Clarivate).

Abstract. New and existing users of the ETD Administrator workflow and management system are invited to participate in an interactive discussion. During this session you will learn about the exciting new enhancements rolled out in 2022, as well as what is on the drawing board for 2023 and beyond. You will be able to share best practices and learn how to get the most from the system, including populating your institutional repository. Please bring your feedback and ideas to this session!

Track: PRESENTATION

Keywords: ETD, electronic theses and dissertations, submission, review

Presentation: In-person

Presentation Type: Panel

Presentation Format: Extended



ETD Administrator Roadmap Review

22 September 2022



2022 ETD Admin Themes

Delivering value to our admins and students

Coming Soon!

Easily Manage Embargos

- Ensure strict enforcement of embargos on the ProQuest platform
- Provide flexibility for admins to manage embargos for ProQuest and the IR.
- Allow institutions to educate students around embargo.

Improve Communication Workflows

- Support customization of email templates
- Provide quick and easy tools to send and resend email to students.

Enable Self Service Site Settings

- Empower admins with the capability to update site settings.
 - Branding
 - Degrees
 - Departments

Streamline and Simplify Tracking Submissions

- Provide admins ability to track steps in the submission workflow.

New 2022 Features Available Today

Embargo Management

IR and PQDT Single Embargo Feature

New 2022

Easily manage
Embargos

- Setting that allows sites to be set up so that IR embargo drives PQ embargo.

Specific instructions for your University Agreement (optional)

This text will appear at the top of the page, above your University Agreement.

For multilingual support, enter instructions in the field below in multiple languages.

This is a special instruction for the University Agreement Page.

Do you want your IR delayed-release selections on this page to govern a single embargo for both this site's IR and ProQuest?*

Yes No

Note: ProQuest passes along all approved IR delayed release selections to the university, which is responsible for enforcement.

Select your IR's delayed release options:

6 month(s)

1 year(s)

2 year(s)

4 year(s)

Select Select

Do you want your IR's access options to be captured as part of the ETD Administrator?*

Yes No

Note: ProQuest passes along all approved IR access selections to the university, which is responsible for enforcement.

Email Template Customization

Improve
Communication
Workflows

New 2022

Manage Dissertations & Theses Run Reports Manage Site

Site Settings Instructions & Emails Administrator Accounts My Profile ETD Dashboard

Instructions & Emails: Customize Email Templates [< Back to Instructions](#)

ETD Administrator sends emails such as Accept ETD and Major Revisions as part of the submission process. A customizable template is available for each email. The templates are available from the drop-down below.

- You can insert placeholders for ETD metadata in the **Subject** or **Message** using the drop-downs provided.
- When the selected email is sent, each placeholder will be replaced with the actual value, based on each author's submission.

Major Revisions

Reply to

Subject * Insert fields in Subject

Changes required for "[ETD Title]"

Message Insert fields in Message

B I U

Dear [Student Name],

Please make the following changes to your submission:

ADMINISTRATOR: ENTER REVISIONS HERE

Regards,
[ETD Site] Administrator

[Revert to last saved state](#) [Save Changes](#)

Preview: Major Revisions

Subject
Changes required for "John's Dissertation Title"

Message
Dear John Q. Public,

Please make the following changes to your submission:

ADMINISTRATOR: ENTER REVISIONS HERE

Regards,
ProQuest Dissertations Demo Site Administrator

A message from your team at ProQuest, Part of Clarivate

You are here:

Submit → Review → **Revise & Approve** → Deliver → Done

You need to:

- Make the changes indicated above to your submission.
- Submit your revisions.

Coming Soon!

Revision email workflow updates

Dear <Jerry Meredith>,

You are here in the ETD submission process:

Submit → Review → **Revise & Approve** → Deliver → Done

We noticed you have entered revisions to your work titled '<My ETD Title>', but have not submitted these revisions to your administrator for review.

If you are finished making revisions and would like to submit them to your administrator, return to your Submit revisions page and click the **Submit revisions** button at the bottom of the page. Please note that your administrator will not receive your revisions until you complete this step.

Questions? Contact ProQuest Support.

Thank you,

Your ProQuest team

The screenshot shows the ProQuest ETD Administrator interface. At the top, there is a navigation bar with 'My ETDs' and 'Resources & Guidelines' tabs. Below this, there are links for 'My Dissertations/Theses List', 'Revise my ETD', 'View my ETD', and 'My Profile'. The main content area is titled 'Pay for your order: Review submission summary'. It contains instructions for the user to verify details, update them if necessary, and click 'Submit Dissertation/Thesis'. Below this, there is a 'Submission Summary' section with details for the dissertation/thesis, including degree, language, title, abstract, subject categories, and keywords. At the bottom of the page, there is a 'Submit revisions' button, which is highlighted with a red arrow. A purple box in the top right corner of the screenshot says 'Improve Communication Workflows', and a yellow banner says 'Coming Soon!'.

Improve Communication Workflows

Coming Soon!

Submit revisions

- Clear instructions to complete submission.
- Takes students directly to submission page.
- Easy “submit” button.

Submission History Tracking

Streamline and Simplify Tracking Submissions

Improve Communication Workflows

Planning!

The screenshot shows the ProQuest ETD Administrator interface. At the top, there's a navigation bar with options like 'Manage Dissertations & Theses', 'Run Reports', and 'Manage Site'. Below that, a dark blue bar contains 'View ETD List', 'Submit ETDs for Students', 'Download Administrative Documents', and 'Deliver ETD Batch'. The main content area is titled 'RCEAS Dissertations' and shows details for a submission: Author: Lisk, Brie; ID: 10197; Status: Waiting for Revisions (Minor). A sidebar on the left lists management options like 'View ETD details', 'Assign administrator', and 'Email history'. The 'Email History' section contains a table with columns for Email, Sent On, Sent By, Details, and Resend.

| Email | Sent On | Sent By | Details | Resend |
|-------------------|---------------------------------|-------------------------|----------------------|--------|
| Revision Reminder | 2018-06-07 18:03:06 (GMT-04:00) | Demo, UMI Dissertations | View | Resend |
| Minor Revisions ^ | 2018-06-07 13:26:42 (GMT-04:00) | UMI Dissertations Demo | View | Resend |
| Resent | 2022-07-14 12:08:20 (GMT-04:00) | PQ Support | View | Resend |

Admin feature (coming soon).

- List of email sent to students
- Ability to resend an email.
- Ability to edit email and resend.
- Clustered by submission stage

Email History <https://6z4slz.axshare.com/>

Submission History Tracking

Streamline and Simplify Tracking Submissions

Planning!

Improve Communication Workflows

View ETD List Submit ETDs for Students Download Administrative Documents Del

Help ?

Demo Dissertation

Author: JwiNmt, DgzzNI
ID: 17098
Status: Ready for Delivery

Manage this ETD

- View ETD details
- Assign administrator
- Add notes
- Edit tags
- View XML
- View checklist
- Email history**
- Decisions:
 - Register decision
 - View Decisions
- Revisions/Changes:

View Email Resend [< Back to Email History](#)

Prior to clicking **Resend**, you can add, change, or remove email addresses in the **To** and **CC** fields below. Separate multiple addresses with commas or semicolons.

Date: 2021-08-01 06:51:17 (GMT-04:00)

To:

Separate multiple addresses with commas or semicolons.

CC:

From: Wednesday1, Test

Subject: Request for minor changes to your submission

Message: Dear DgzzNI JwiNmt,
I'm writing you to request minor changes to your submission, "Demo Dissertation".
ADMINISTRATOR: ENTER REVISIONS HERE

Roadmap

SOON

A4 format addition

- Add new copy format size for international students

Revision email/student workflow improvements

- Remind student to submit revisions and quickly take them to revision page

NEXT

Admin Self Service

- Branding
- Manage departments
- Manage degrees

Email History Page

- New admin page that tracks email sent to students – view, edit, and resend from a single view.

LATER

Tag Sharing

- Ability to share tags with other admins on a site.

Student Self Service Status Updates

- Author self-service shipping address updates.
- Author self-service order tracking.

Undergrad Thesis Submissions to IR

- New ETD Admin site that supports the submission workflow of undergraduate theses with submission to IR.

???

Future Themes

What we're hearing from you...

Accessibility

Student "Dashboard"
Self-Service Status
Tracking

Embargo Management

Templates/Formatting

Non-Traditional Theses

Seamless IR
Integration

Integrated Review
Workflow

????????

← This is a great list, but is there something else we should really be looking into?

...Do any of these resonate with you? Which one(s) stand out to the group?

...But are there other issues, or pain-points that we can help solve?

Remember: "Without the little ideas, there are no big ideas – Twyla Tharp

Checklist Page-Check All Option

On the checklist page, is it possible to add a "Check All" box option at the top of the page. It is time consuming...to have to individually check off 25 boxes (for our particular list).

Add degree date filter for reports

Date Submitted is a current filter, but Degree Year and Month filters would be more help to us when running a report of ETDs delivered to our IR.

Make tags visible to my whole team

I use the 'tag' feature to identify different graduation terms and those ETDs that should not be published until a later time. These tags make my work and groups of submissions easy to organize, but others in my office cannot see these same tags. You need to make the tags visible to all administrative users at one school so we can work together.

See us to learn about our Discovery Community!

Let's Chat Further: april.ellsey@clarivate.com

BRIEF BREAKOUT 15

ETD Formatting / Community Engagement Users Group Meeting. Hosted by Sally Evans ([George Mason University Library](#)) and Emily Wuchner ([University of Illinois at Urbana-Champaign Graduate College](#)). Moderator:

Abstract. In 2021 the United States Electronic Thesis and Dissertation Association (USETDA) founded two groups to support the needs of the ETD community. The ETD Formatting User's Group gives a platform and a source of support and advice to reviewers of theses and dissertations. The USETDA Community Engagement Group focuses on identifying opportunities for members to learn more about important topics in the ever-changing thesis landscape, promoting professional development among members, and creating a space for networking.

At each yearly conference, the groups meet to discuss the past year's challenges, issues and successes in the field, and to share knowledge and resources with colleagues. Furthermore, we will consider the future landscape. How is our field changing? How should our field change?

Track: PRESENTATION

Keywords: ETD Formatting, Community Engagement, USETDA

Presentation: In-person

Presentation Type: Panel

Presentation Format: Brief

ETD Formatting / Community Engagement Users Group Meeting. Hosted by Sally Evans (George Mason University) and Emily Wuchner (University of Illinois at Urbana-Champaign Graduate College).

To view the video recording of this session visit:

<https://www.youtube.com/channel/UCJdoGZmOlfuCGt2IHTCc5mA>

BREAKOUT 3

Embracing the "Electronic" Portion of ETDs. Presented by Kim Fleshman ([Bowling Green State University Graduate College \(BGSU\)](#)) and Ericka Findley ([University of Utah Graduate School](#)). Moderator: Valerie Emerson.

Abstract. Embracing the “electronic” portion of ETDs includes increased scrutiny towards how these works are being consumed. With this comes the responsibility for works to be accessible while maintaining the integrity of the author’s intent. As two graduate school professionals who are working to best accommodate creative ETDs while upholding formatting and accessibility standards, the presenters offer some insight into their experiences with both the nontraditional and the accessible. During their time together at Bowling Green State University Kim Fleshman, the school’s Theses and Dissertations Coordinator, and Ericka Findley, her Graduate Assistant, worked to put together the university’s standards for best practices in accessibility. They also shared a passion that authors should be given the autonomy to present their work in less traditional formats. Fleshman continues to work on these topics at BGSU while Findley has moved on to being a full-time manuscript editor helping to usher in new accessibility requirements at the University of Utah. This presentation will cover some of their initial efforts to bring forth accessibility standards and their continued findings on their separate journeys with some of the complexities of working within the sometimes-challenging confines of Acrobat. It will also contain their experiences and research into nontraditional works, including encounters with video content, transgenre composition, comic books, and more. The two look at the difficulty, and the necessity, of implementing high standards for all of our published content while allowing space for creativity.

Track: PRESENTATION

Keywords: non-traditional, transgenre, accessibility

Presentation: In-person

Presentation Type: Individual

Presentation Format: Extended

Embracing the “Electronic” Portion of ETDs

Non-traditional Submissions and Accessibility

Overview

- Going from paper to other media
 - Music scores that are performed but only the score is submitted
 - Digital Storytelling that includes embedded videos
 - Audio files
 - Comic books
 - Websites
 - Transgenre dissertations
 - Other works that discuss a project instead of the project itself (e.g. dance programs, video games)
- Preservation: Files sizes and where to save them



What Does Alternative Mean?

- Anything beyond the average 5-chapter monograph, technically.
- Reprinted material; coauthored material; deliberate change to the writing or or visual composition formatting

- <https://www.humanitiescareers.pitt.edu/innovative-dissertations>

Overview of Some of the More Famous Alternative Format Works

- Nick Sousanis: *Unflattening*; EdD in Interdisciplinary Studies, Columbia University, 2015



- Anna Williams: *My Gothic Dissertation: A Podcast*; PhD in English, University of Iowa 2019



Chapter Four: "On the Edge of a Moral Volcano"

On the fear of mutiny and subordinating students.



Featured Interviews:

- **Kristen Knepp**, Clinical Psychologist, former resident at the Association of College and University Educators
- **Elizabeth Allan**, Professor of Higher Education, University of Maine, President and Co-Founder of [Stop Hazing](#)
- **David Gooblar**, Lecturer of Rhetoric, University of Iowa, author of *The Missing Course: Everything They Never Taught You about College Teaching* (Harvard, 2019)

Overview of Some of the More Famous Alternative Format Works

- Justin Schell: *We Rock Long Distance: M.anifest and the Circulations of Diasporic Hip-Hop*; PhD in Comparative Studies in Discourse and Societies, University of Minnesota 2013



We Rock Long Distance

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[Conclusion](#)
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Chapter 1

Chapter 1: "Represent Africa with a Spectacular Street Vernacular"

I'm sitting in front of my computer in Minneapolis, looking at footage of the hip-hop artist M.anifest performing in November of 2010 at Citizen Kofi, a nightclub in Accra, Ghana. Reggie Rockstone, the godfather of Ghanaian hiplife and host for the evening's show, warms up the crowd before the opening act. He would bring up a number of VIPs in the house that night, but the most important of those who joined him on-stage was M.anifest's mother.

"I will bring to the stage . . . the woman . . . that gave birth to who you came to see."

As soon as he finishes his sentence, a woman from further back in the club (and outside the frame) shouts out her own characterization of who she came to see.

"A nigga from Ghana!"

Reggie nods his head as a smattering of laughter ripples through the crowd, and asks, "Capiche?" He then proceeds to bring M.anifest's mother to the stage and the show continues.

Megan Adams

- Digital Story telling dissertation example
- 2015 Distinguished Dissertation Award
- Peabody Award-winning Documentary
- Intertwined videos and text
- Currently teaching at University of Findlay

Megan Adams

“Perhaps part of the reason digital dissertations are more the exception are because of the technological constraints and guidelines developed at a university level to attend to issues of access for sustainability.” –Megan Adams

https://etd.ohiolink.edu/apexprod/rws_olink/r/1501/10?p10_etd_subid=102572&clear=10

where they were able to examine their own thoughts and needs in regards to the cameras and storytelling processes. From these meetings, a small group of storytellers emerged and the digital representations of their communities provided powerful, poignant reflections of their homes and personal stories, an example of which can be experienced by clicking Figure 1.2:



Figure 1.2. Hollow vignettes. McMillion video. 2013.

APPENDIX B: [Transcript](#), Hollow vignettes

Accomplishing the initial goals and objectives outlined in the project required McMillion and her team of video editors and web developers to be flexible and open in regards to the creation of the interactive web space. The intent to create a non-linear, interactive, participatory

Kristin LaFollette-Samson

- Transgenre dissertation
- Emerging author in this field
- Intertwined images and text
- Taught undergrad class in subject

Kristin LaFollette-Samson

“I created a project that is a tangible representation of what intersecting art and writing can look like. Because art is such a central part of this project, it didn’t seem fair to the project or my audience to not embrace transgenre composing for the dissertation itself. The project itself queers the traditional dissertation genre by shifting expectations of what a dissertation should look like.”

–Kristin LaFollette-Samson

https://etd.ohiolink.edu/apexprod/rws_olink/r/1501/10?p10_etd_subid=175799&clear=10

Examples of Transgenre Compositions

205

CHAPTER 5: SYNTHESIS (A COLLECTION OF PHOTOGRAPHS AND WORDS)

"Art, at its best, has the potential to be both immediate and lasting."
-Patricia Leavy, *Handbook of Arts-Based Research*

This chapter is designed for the reader to analyze/perceive images as text, and relevant discussions outlining this appear on each page as footnotes. All of the images in this chapter are my own work.

Part 1: Two Modes at Once¹



¹ Before I begin with an introduction to this chapter, I invite you to read Chapter 5 as a transgenre composition with both elements of image (photography) and text. (My previous chapters did incorporate artistic elements through the inclusion of the collages, but the images and text are much more tightly linked in this chapter). In Helms' *Rhizomatics*, he quotes the following from Robert Harvey's 1994 book, *The Art of the Funnies: An Aesthetic History*: "The thing that comics do that no other graphic art does is to weave word and picture together to achieve a narrative purpose. Comics are a blend of word and picture—not a simple coupling of the verbal and the visual, but a blend, a true mixture." Helms goes on to add that "comics work in two modes at once. We read the words and see the pictures, but competent comics readers also read the images and see the words. Good comics create a text in which words and images are woven tightly together." Similar to comics, transgenre compositions are also a form of "graphic art" or "graphic narrative." Words and images are tightly blended together, and to "read" these texts, one must consider two modes at the same time. Readers/viewers see the images and words simultaneously, the two elements inseparable and necessary for the narrative to be fully experienced and understood.

Examples of Transgenre Compositions

Part 3: The Heuristic



Examples of Transgenre Compostions

Part 7: Arts-Based and Queer Methodologies



Accessibility & Non-traditional Submissions

- Father read comic books to vision impaired son

<https://nfb.org//sites/default/files/images/nfb/publications/fr/fr35/3/fr350306.htm>

- Son wanted to read comic books independently

- He discovered a comic book script archive

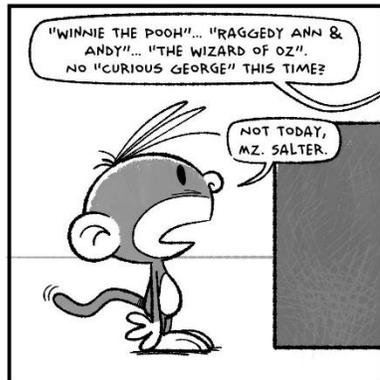
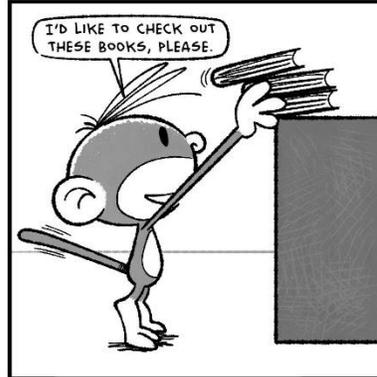
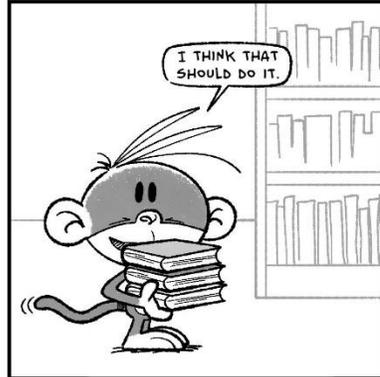
<https://www.comicsexperience.com/scripts/>

- This allowed me to develop a template with our front matter and then the script.

Graphic Comic Example

WEE FREEKZ

by John Boissy



For more comix, visit [facebook.com/weefreekz](https://www.facebook.com/weefreekz)

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Panel 01 (Jo-Jo smiling while holding a stack of books in the library)

Jo: I think that should do it.

Panel 02 (Jo handing his books to Mz. Salter at the checkout desk; Mz. Salter is off-panel on the right)

Jo: I'd like to check these out, please.

Panel 03 (Jo talking to Mz. Salter at the checkout desk; Mz. Salter is off-panel on the right)

Mz. Salter: "Winnie the Pooh" ... "Raggedy Ann & Andy" ... "Wizard of Oz".
No "Curious George" this time?

Jo: Not today, Mz. Salter.

Panel 04 (Jo looking at reader while standing in front of checkout desk; Mz. Salter is off-panel on the right)

Jo: I'm interesting the "inanimate objects as stand-ins for my inner psyche" phase of reading.

Christine Boese

- 1998 website accepted as dissertation
- <http://www.nutball.com/dissertation/>
- Includes all the preliminary front matter
 - Title Page
 - Abstract
 - Acknowledgments
 - Table of Contents

Cynthia McKinney

- Dissertation involved video interviews to provide an understanding of Hugo Chávez as a revolutionary leader.
- Uploaded interviews as supplement, despite their importance to the project.

https://etd.ohiolink.edu/apexprod/rws_olink/r/1501/10?clear=10&p10_accession_num=antioch1431957422

Websites

- Melissa Dollman: *Changing Lanes: A Reanimation of Shell Oil's Carol Lane*; PhD in American Studies, University of North Carolina at Chapel Hill, 2021
<https://carollaneproject.maps.arcgis.com/apps/MapSeries/index.html?appid=578aad3d851746909c6c5a83da691f13>
- Lily Brewer: *Nuclear Citizenship: Mary Kavanagh and Photography as Civil Resistance*; PhD in History of Art and Architecture, University of Pittsburgh, 2022
<http://www.weaponizedlandscapes.com>

No Need to Be Revolutionary

- Jeri E. Wieringa: *Modeling the Religious Culture of Seventh-day Adventism, 1843-1920*; PhD in History, George Mason University, 2019
<http://dissertation.jeriwieringa.com>

Accessibility & Non-traditional Submissions

- Audio file for music scores
- Transcript of a podcast
- Video of a dance
- What other items would you suggest to include when you consider your non-traditional submissions?

How Do These Formats Meet Dissertation Standards?

- Scholarly merit?
 - Must be significant, original, extend the knowledge
- Does the format meet the quality of research and academic standards of that discipline?
- Can this non-traditional document be appropriately assessed by the committee?

How Do These Formats Meet Dissertation Standards?

- York University, Canada PDF
- Graphic Novels Accelerate Critical Thinking
 - https://news.stanford.edu/2022/02/10/graphic-novels-can-accelerate-critical-thinking-capture-nuance-complexity-history/?fbclid=IwAR0FmkQcnvAvyuuH3onQnm_G8NHNFq3MS7i7R49n8NGx_eiAl_VtrTp9eB8
- University of Calgary
 - <https://grad.ucalgary.ca/current-students/thesis-based-students/thesis/non-traditional-thesis>
- BYU-Dissertation titled The Effectiveness of Alternative Dissertation Models in Graduate Education
 - “Surveys found that alumni who completed alternative dissertation formats received more citations for their dissertations than those who completed traditional dissertations, showing that alternative dissertations increase the likelihood of impact. Additionally, respondents reported that alternative dissertation formats facilitate authenticity and collaboration, and prepare students for a career in academia.”

What to Consider with Non-traditional Submissions

- Accessibility

- [Alternative Text SSA Guide](#)
- [WCAG Standards](#)
 - How many software platforms should we support?
 - Doing this in Word vs a PDF
 - Videos need closed captions
 - Should music scores include an audio file? Should dance theses include video?

- Preservation

- [Link Rot](#)
 - Wayback Machine
- Bit Rot
 - File no longer supported
 - No machines left to read/play the format
 - No access to company that saved the content
- [Library of Congress Recommended Formats](#)

Questions?

Thank you for attending our session.



BREAKOUT 10

OhioLINK ETD Center Users Group Meeting. Hosted by Emily Flynn ([OhioLINK](#)).

Abstract. The OhioLINK Electronic Theses and Dissertations (ETD) Center includes 36 institutions and their students in Ohio with over 100,000 open access ETDs. This session will begin with a brief system update then become a discussion with current institutional users of the OhioLINK ETD Center, with a focus on digital accessibility of ETDs. Others who are interested in learning more about the OhioLINK ETD Center are welcome to attend as well. OhioLINK staff will provide a brief update, facilitate discussion, and answer questions about the OhioLINK ETD Center.

Track: PRESENTATION

Keywords: ETD, electronic theses and dissertations, open access, consortium, digital accessibility

Presentation: In-person

Presentation Type: Individual

Presentation Format: Extended

OhioLINK ETD Center Users Group Meeting

Emily Flynn
USETDA 2022

September 22, 2022



Agenda

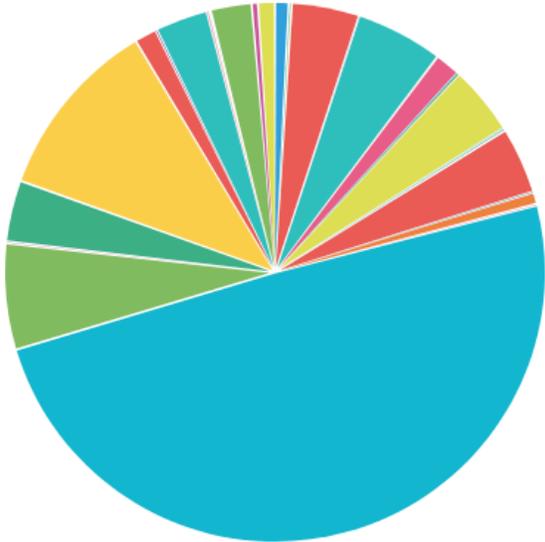
- OhioLINK ETD Center Update
- Digital Accessibility Release and Feature Overview
- Resources for Putting ETD Digital Accessibility into Local Practice
- Q&A



OhioLINK ETD Center Update



Total ETD Count **111,180**



- Antioch University: 899
- Ashland University: 193
- Atheneum of Ohio: 11
- Bowling Green State University: 4,493
- Capital University: 12
- Case Western Reserve University: 5,793
- Cedarville University: 13
- Cleveland State University: 1,681
- Defiance College: 50
- Franklin University: 72
- John Carroll University: 16
- Kent State University: 4,572
- Malone University: 13
- Marietta College: 182
- Methodist Theological School in Ohio: 3
- Miami University: 4,418
- Mount St. Joseph University : 31
- Northeast Ohio Medical University: 18
- Oberlin College: 773
- Ohio Dominican University: 119
- The Ohio State University: 54,882
- Ohio University: 7,046
- Otterbein University: 130
- Tiffin University: 1
- Trinity Lutheran Seminary: 5
- University of Akron: 4,083
- University of Cincinnati: 12,104



OhioLINK ETD Center Overview

- 36 contributing institutions
- 111,000+ ETDs currently
- Nearly 120 million downloads to date
 - 12+ million in FY22
- Digital Accessibility ETD 3.2 release for January 2023



Digital Accessibility Release and Feature Overview



Digital Accessibility Release 3.2

- Scheduling update for January 2023
 - ETD Admin
 - ETD Search
- User Testing
 - Details sent to OhioLINK ETD listserv



ETD Admin

- Digital Accessibility
 - Agreement page wording
 - Option to upload a Digital Accessibility Report file
 - Review page updated
 - New final step of publishing includes an acknowledgement that all local minimal digital accessibility standards are met in the uploaded ETD PDF
 - System will indicate if a Digital Accessibility Report file was uploaded as part of the submission
 - Preview ETD page updated
 - Column option added to the status reports





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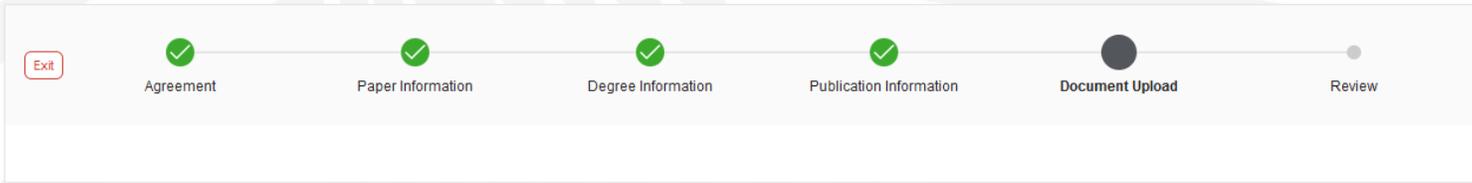
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Keywords [testing, ETD's PDF, electronic theses and dissertations, digital accessibility](#)

Subjects Adult Education

Advisors Jane Johnson, Advisor

Year manuscript was completed 2022

Language English

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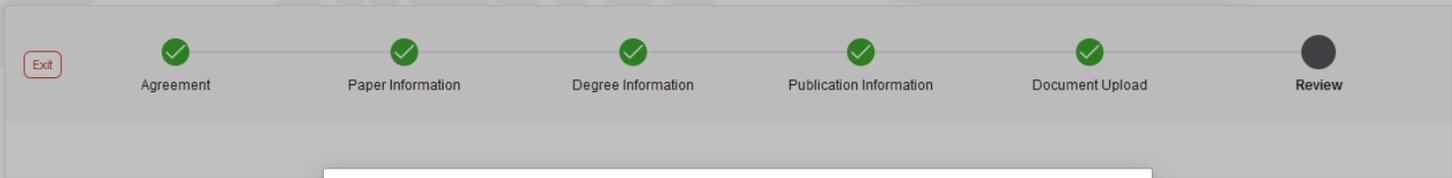
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Subjects Aesthetics
Advisors Ann Doe, Committee Member
Language English

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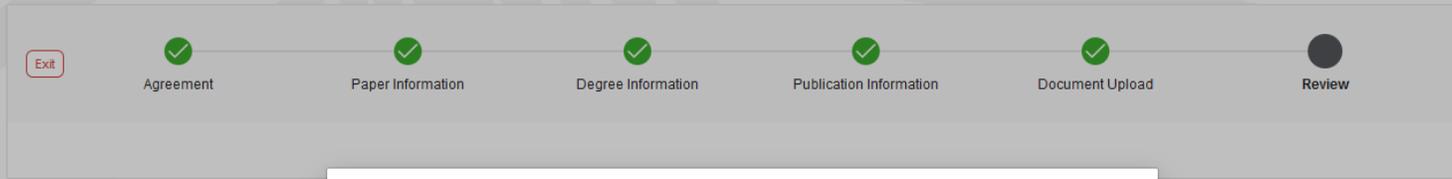
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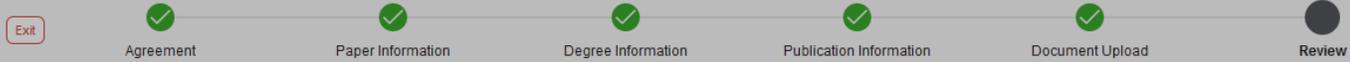
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Subjects Aeronomy
Advisors Jane Johnson, Committee Chair
Language English

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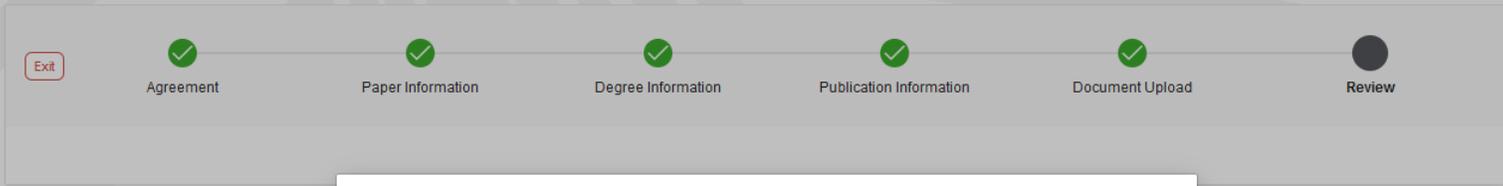
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Advisors Jane Johnson, Committee Chair
Language English

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[unique-term-for-thesis.pdf \(35.78 KB\)](#)

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Digital Accessibility Report

[_ETD-example-2020-08-Alice-in-Wonderland-accessibility-tested.pdf.accreport.html \(8.07 KB\)](#)

Example ETD for the new release: Digital Accessibility release 3.2 for OhioLINK ETD Admin and ETD Search

Flynn, Emily Tester

Permalink: [\(not assigned until submitted\)](#)

Year and Degree

2023, Master of Education, John Carroll University, Nonprofit Administration.

Abstract

This update is scheduled for January 2023 and will add more digital accessibility capabilities and features in the OhioLINK ETD Center, focusing on the submission process and the ETD PDF document itself. Every local institution can and should write a local ETD digital accessibility policy that includes minimal digital accessibility standards to account for local priorities, workflows, and staffing to put into local practice by then.

Committee

Jane Johnson (Advisor)

Subject Headings

[Adult Education](#)

Keywords

[testing](#); [ETD's PDF](#); [electronic theses and dissertations](#); [digital accessibility](#)

Recommended Citations



Citations

Flynn, E. T. (2023). *Example ETD for the new release: Digital Accessibility release 3.2 for OhioLINK ETD Admin and ETD Search* [Master's thesis, John Carroll University]. OhioLINK Electronic Theses and Dissertations Center. http://rave.ohiolink.edu/etdc/view?acc_num=
APA Style (7th edition)

Flynn, Emily. *Example ETD for the new release: Digital Accessibility release 3.2 for OhioLINK ETD Admin and ETD Search*. 2023. John Carroll University, Master's thesis. OhioLINK Electronic Theses and Dissertations Center. http://rave.ohiolink.edu/etdc/view?acc_num=





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Full text release has been delayed at the author's request until (embargo date not yet approved)

Example ETD for the new release: Digital Accessibility release 3.2 for OhioLINK ETD Admin and ETD Search

Flynn, Emily Tester

Permalink: [\(not assigned until submitted\)](#)

Year and Degree

2023, Master of Education, John Carroll University, Nonprofit Administration.

Abstract

This update is scheduled for January 2023 and will add more digital accessibility capabilities and features in the OhioLINK ETD Center, focusing on the submission process and the ETD PDF document itself. Every local institution can and should write a local ETD digital accessibility policy that includes minimal digital accessibility standards to account for local priorities, workflows, and staffing to put into local practice by then.

Committee

Jane Johnson (Advisor)

Subject Headings

[Adult Education](#)

Keywords

[testing](#); [ETD's PDF](#); [electronic theses and dissertations](#); [digital accessibility](#)

Recommended Citations



Citations

Flynn, E. T. (2023). *Example ETD for the new release: Digital Accessibility release 3.2 for OhioLINK ETD Admin and ETD Search* [Master's thesis, John Carroll University]. OhioLINK Electronic Theses and Dissertations Center. http://rave.ohiolink.edu/etdc/view?acc_num=
APA Style (7th edition)

Flynn, Emily. *Example ETD for the new release: Digital Accessibility release 3.2 for OhioLINK ETD Admin and ETD Search*. 2023. John Carroll University, Master's thesis. OhioLINK Electronic Theses and Dissertations Center. http://rave.ohiolink.edu/etdc/view?acc_num=





Submitted

Back

You are seeing ETDs you are able to review that are currently in the Submitted status

| | | Submission Site | Date Submitted | Accession Number | Author Name | Submission Type | Title | Degree | Department | Previous Status | Status Changed On | Digital Accessibility Report |
|--|--|-------------------------------|---------------------|---------------------|--|-----------------|--|----------------------|-------------------------------------|----------------------------------|-------------------------------------|------------------------------|
| | | The Imagination University | 2021-08-30 12:23 PM | imu1630326236423075 | TESTING2 TESTER | Full Text | Submitting an ETD to a submission site with a From address set | Education | Department of Educational Endeavors | Draft | 2021-08-30 12:23 PM | Yes |
| | | Imagination University Honors | 2021-08-30 12:19 PM | luh1630325955868951 | TESTING_TESTER | Full Text | Submitting ETD to a submission site without a From email address set | Learning | Honors department | Draft | 2021-08-30 12:19 PM | No |
| | | The Imagination University | 2021-08-26 04:57 PM | imu1629996937332347 | TESTING_TESTER | Abstract Only | Checking the page that loads after using "Save Comments" | Doctor of Philosophy | Department of Educational Endeavors | Ready to Publish | 2021-08-26 04:57 PM | No |

1 - 3 of 3

Report a Problem

Acceptable Use Policy

Privacy Policy

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Mike DeWine, Governor | Ohio.gov

EDUCATION LINKS
Ohio Department of Higher Education
OH-TECH | OARnet | OSC | OhioLINK
OACC | IUC | OTTA | ODE



ETD Search

- Digital Accessibility Report display





[Need Help?](#)

Search by title, author, keywords, etc.



[Participating Institutions](#)

[Advanced Search](#)



Files

[TEST.pdf \(262.3 KB\)](#)

Digital Accessibility Report

[_ETD-example-2020-08-Alice-in-Wonderland-accessibility-tested.pdf.accreport.html \(8.07 KB\)](#)

Testing what options are visible during submission (draft) on Publication Information page to an ETD Admin account.

Alinder, Emily

Permalink: http://rave.ohiolink.edu/etdc/view?acc_num=jcu1616503335344123

Year and Degree

2022, Master of Science, John Carroll University, Community Counseling.

Abstract

When submitting an ETD as an ETD Admin require addressing the embargo request when it is still a draft?

Committee

Janw Doe (Committee Member)

Subject Headings

[Aesthetics](#)

Recommended Citations



Citations

Alinder, E. (2022). *Testing what options are visible during submission (draft) on Publication Information page to an ETD Admin account.* [Master's thesis, John Carroll University]. OhioLINK Electronic Theses and Dissertations Center. http://rave.ohiolink.edu/etdc/view?acc_num=jcu1616503335344123
APA Style (7th edition)

Alinder, Emily. *Testing what options are visible during submission (draft) on Publication Information page to an ETD Admin account.* 2022. John Carroll University, Master's thesis. *OhioLINK Electronic Theses and Dissertations Center*, http://rave.ohiolink.edu/etdc/view?acc_num=jcu1616503335344123.
MLA Style (8th edition)

Alinder, Emily. "Testing what options are visible during submission (draft) on Publication Information page to an ETD Admin account." Master's thesis, John Carroll University, 2022. http://rave.ohiolink.edu/etdc/view?acc_num=jcu1616503335344123
Chicago Manual of Style (17th edition)





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Search by title, author, keywords, etc.



[Participating Institutions](#)

[Advanced Search](#)



Files

Full text release has been delayed at the author's request until October 31, 2022

Title of the ETD: subtitle additional information

Last, First

Permalink: http://rave.ohiolink.edu/etdc/view?acc_num=jcu1632231352553347

Year and Degree

2022, Master of Business Administration, John Carroll University, Integrated Science.

Abstract

Description **bold**.

Committee

Jane Example (Committee Chair)

Subject Headings

[Adult Education](#)

Keywords

[women's studies](#); [cats](#)

Recommended Citations



Citations

Last, F. (2022). *Title of the ETD: subtitle additional information* [Master's thesis, John Carroll University]. OhioLINK Electronic Theses and Dissertations Center. http://rave.ohiolink.edu/etdc/view?acc_num=jcu1632231352553347
APA Style (7th edition)

Last, First. *Title of the ETD: subtitle additional information*. 2022. John Carroll University, Master's thesis. *OhioLINK Electronic Theses and Dissertations Center*, http://rave.ohiolink.edu/etdc/view?acc_num=jcu1632231352553347.
MLA Style (8th edition)

Last, First. "Title of the ETD: subtitle additional information." Master's thesis, John Carroll University, 2022. http://rave.ohiolink.edu/etdc/view?acc_num=jcu1632231352553347
Chicago Manual of Style (17th edition)



Resources for Putting ETD Digital Accessibility into Local Practice



OhioLINK Resources

- OhioLINK Recommended Minimum Requirements
 - Potential starting point for writing your own institution's local ETD digital accessibility policy and requirements
- Resource list
 - Information and links out to useful tutorials, websites, etc.
- Decisions and Considerations Guide
 - Points to think through when planning local implementation of ETD digital accessibility policy and workflows
- Community Meetings
 - Upcoming Q&A session on October 3
 - Recordings available



Q&A



Questions?

Emily Flynn

Metadata and ETD Coordinator

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support@ohiolink.edu

Follow Us on Twitter: <https://twitter.com/ohiolink>

OhioLINK office

1224 Kinnear Road

Columbus, OH 43212

Phone: (614) 485-6722



BREAKOUT 6

Learning to be an A11y: How Covid Taught Us to Be Accessible Content Advocates. Virtual presentation by Elyse Fox and Michelle Compo (California State University, Sacramento Library). Moderator: Teri Green.

Abstract. Over the course of the Covid-19 campus closures, Sacramento State University Library undertook a large-scale accessibility project to review and make our institutional repository's ETD collection, including born-digital and retrospectively digitized theses (USETDA 2020). A pilot project, initiated in February of 2020 to test accessibility remediation workflows, developed into an unprecedented opportunity to apply the library's entire student assistant work force that transitioned to remote work for 18 months. Evaluating the results of this project has provided the Library with data that supports many of the well-known obstacles to creating accessible content: performing retrospective accessibility remediation is not feasible as the only means to generating accessible content.

In this presentation, we will share how the library adopted a holistic approach to accessibility work in our ETD collection, specifically: (1) how this project was integrated into our ETD processing workflow; (2) demonstrate workflows and best practices to address inaccessible legacy scanned theses; (3) and highlight the proactive approaches we've implemented in partnership with key stakeholders, with an emphasis on accessible content and accessibility practices in the creation of student scholarship, and reducing the Library's need to undertake retrospective accessibility remediation. In a few short years, Sacramento State University Library has helped to shift the institutional culture of accessibility practice as a legal requirement to an act that supports social justice and equity, universal design, and ensures accessibility for all users.

Elyse Fox, MLIS

Elyse Fox is the Library Services Specialist for Digital Projects at California State University, Sacramento. She manages the library's institutional repository and has worked extensively to incorporate accessibility practices and remediation workflows into the institutional repository submission process at Sac State.

Michelle Compo, MLIS

Michelle Compo is the Institutional Repository Student Assistant at California State University, Sacramento. Michelle has played a key role in evaluating workflows and best practices for remediating legacy scanned theses.

Track: PRESENTATION

Keywords: ETD, Electronic theses and dissertations, Accessibility, 508 compliance, Student employees, Remote work, COVID-19 pandemic, Academic libraries

Presentation: Virtual

Presentation Type: Individual

Presentation Format: Extended

Learning to be an A11y:

How Covid Taught Us to be Accessible
Content Advocates

Land Acknowledgement

We are mindful in acknowledging that the land that Sacramento State is located on was and continues to be occupied by the indigenous people of this area, the Miwok, Maidu, and Nisenan. Recognizing their culture that is rich with spiritual ties to the land and waters that resonate with their traditions, we are humbled and take this opportunity to thank and honor those indigenous people of this area.

Helpful Definitions

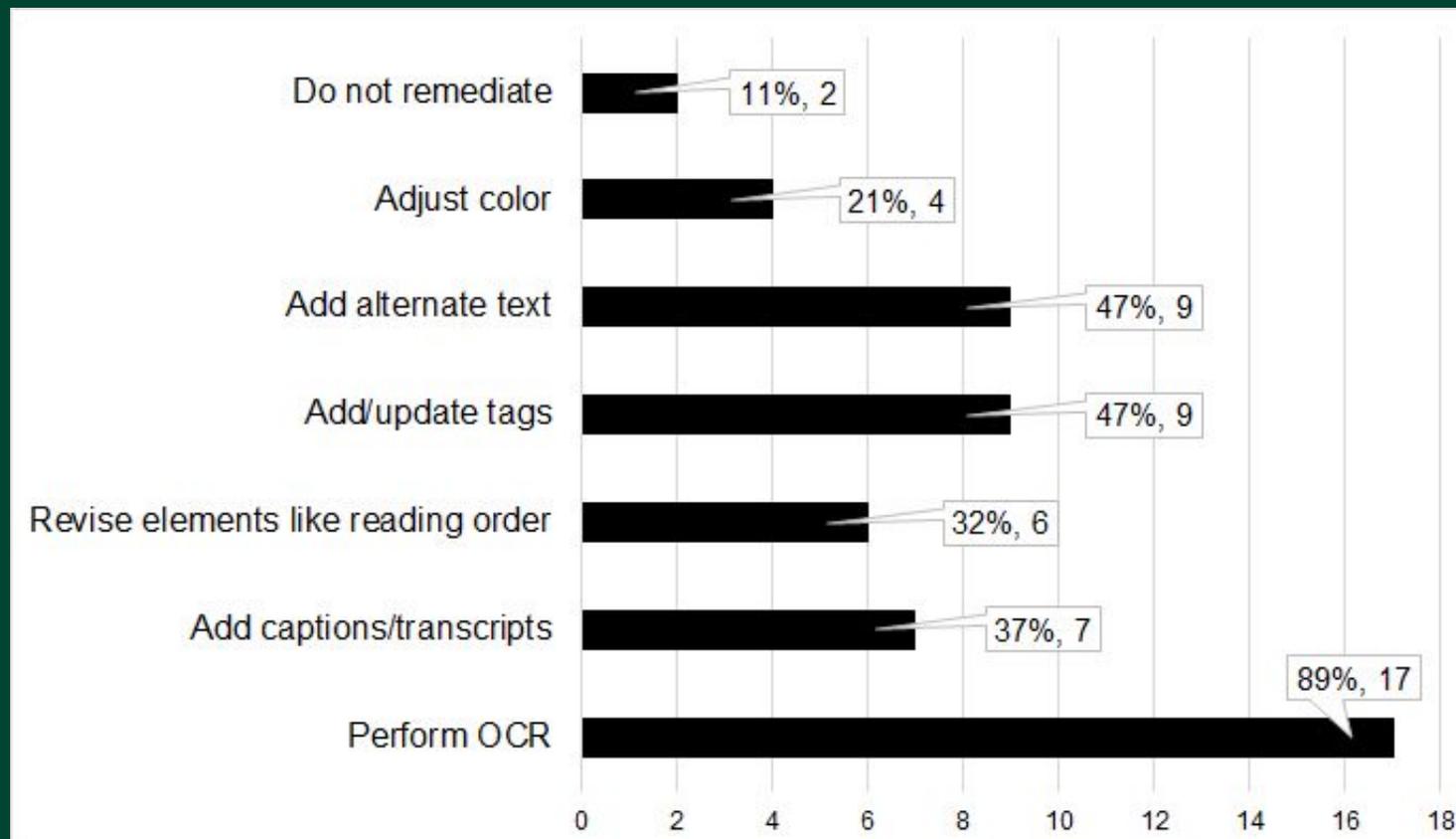
- **A11y:** stands for Accessibility, the “11” being the number of letters between the first and last letter in “Accessibility.” The A11Y Project is a community-driven effort to make digital accessibility easier.
- **IR:** Institutional Repository.
- **508 Compliance:** Shorthand for a law that requires federal government websites to be safe and accessible for people with disabilities.
- **WCAG 2.0:** Web Content Accessibility Guidelines.
- **Remediate:** Additional work done to the document to enhance accessibility.
- **OCR:** Optical Character Recognition. Converting images of text into machine-encoded text.
- **Distribution license:** Gives us permission to post deposited work and outlines the terms and conditions.
- **ETD:** Electronic Theses & Dissertations
- **CSU:** California State University system of 23 campuses
- **IRT:** Information Resources & Technology
- **Sac State:** California State University, Sacramento

Background

- Accessibility projects have addressed web, technology, and physical accessibility, not content
- No Library, institutional, or consortia policy to guide accessibility practices
- Reliance on self-attestation by students at the time of deposit
- Resources to assist students in the creation of accessible documents were hard to find/non-existent
- Library Strategic Plan included a commitment to addressing the accessibility of content produced by the Library

ETD Collection Accessibility: CSU's

Based on a survey conducted Spring 2022



What are your library's remediation efforts?

- Do not remediate
- Adjust color
- Add alt text
- Add/update tags
- Revise elements
- Add captions/transcripts
- OCR
- Other?

Question

What remediation effort do you wish you could do, if money/staff was not an issue?

508 Compliance/Accessibility Project

The plan for Sac State University Library

Pilot Project

- Part of IMLS grant
- Backlog of 600 previously digitized theses
- Goal: test accessibility remediation workflow for future large-scale retrospective digitization project

Preparation

- Project manager received training from campus Accessible Technology Coordinator (IRT)
- Technical training manual created

Implementation

- Hired a student assistant to perform accessibility remediation, February 2020
- Student was trained to remediate digitized PDFs using Adobe Acrobat



The Reality...

Transition to remote work:

- 45 student assistants, 5 staff members, all content in ETD collection
- Reactionary: built out existing workflow and enhanced training documentation with recorded demonstrations
- Trained staff to review completed files, assigned students to staff reviewers in cohorts
- Project manager assigned files, conducted trainings, provided oversight on technical issues
- Created a dedicated Slack channel for all project participants, as well as distribution email list



| Assignm | Handle | Author | Semester | Title | Redacted? | Accessibility check/remediati on complete? | Embedded metadata? | Scan by | Scan date | Modified date | Ally score | Ingested? | Notes | |
|---------|--------|---|-------------------|-------------|---|--|--------------------|----------|------------------|---------------|------------|-----------|------------|----------|
| 7 | SA_07 | http://hdl.handle.net/ | Brown, Mary McCa | SUMMER 2009 | The effects of text bullying on high sc | SG/04-15 | SG/04-20 | SG/04-22 | Databank IMX, Sa | 2010-06-02 | 2020-04-20 | 67% | rf 5/21/20 | leader p |
| 8 | SA_07 | http://hdl.handle.net/ | Burnett, John S. | SUMMER 2009 | Determining the effectiveness of a pr | SG/04-16 | SG/04-20 | SG/04-22 | Databank IMX, Sa | 2010-06-02 | 2020-04-20 | 67% | rf 5/21/20 | leader p |
| 9 | SA_07 | http://hdl.handle.net/ | Castellan, Emmett | SUMMER 2009 | Implementing sustainability initiative | SG/04-20 | SG/04-22 | SG/04-22 | Databank IMX, Sa | 2010-06-02 | 2020-04-22 | 67% | rf 5/21/20 | leader p |
| 6 | SA_07 | http://hdl.handle.net/ | Chan, Chau Nguyer | SUMMER 2009 | Understanding communication styles | SG/04-22 | SG/04-23 | SG/04-23 | Databank IMX, Sa | 2010-06-02 | 2020-04-23 | 67% | rf 5/21/20 | leader p |
| 6 | SA_07 | http://hdl.handle.net/ | Crawfo | | | | | | | | 2020-04-28 | 67% | rf 5/21/20 | leader p |
| 7 | SA_07 | http://hdl.handle.net/ | Dabke | | | | | | | | 2020-04-29 | 67% | rf 5/21/20 | leader p |
| 8 | SA_07 | http://hdl.handle.net/ | Dadag | | | | | | | | 2020-04-29 | 67% | rf 5/21/20 | leader p |
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| 0 | SA_07 | http://hdl.handle.net/ | Dyke, T | | | | | | | | 2020-04-30 | 67% | rf 5/21/20 | leader p |
| 1 | SA_07 | http://hdl.handle.net/ | Eastm | | | | | | | | 2020-05-07 | 67% | rf 5/21/20 | leader p |
| 2 | SA_07 | *Not in SW | Enrigh | | | | | | | | 2020-05-07 | 67% | | leader p |
| 3 | SA_07 | http://hdl.handle.net/ | Faughr | | | | | | | | 2020-05-11 | 67% | rf 5/21/20 | leader p |
| 4 | SA_07 | http://hdl.handle.net/ | Franze | | | | | | | | 2020-05-11 | 63% | rf 5/21/20 | leader p |
| 5 | SA_07 | http://hdl.handle.net/ | Gaines | | | | | | | | 2020-05-15 | 66% | rf 5/21/20 | leader p |

- 00_Training documents
- 04_Lynn
- 0809
- 508 COMPLIANCE REVIEW
- 508 Remediation (Misc)
- Attachments
- CMS_SC
- SA_13
- SA_16
- SA_18
- SA_29
- SA_31

Issues

OneDrive proved inefficient for file sharing

Shared google doc for tracking resulted in loss of data

Students skill level varied

Accessibility work was not acknowledged in records

| | | |
|--|----------------------------------|-------------|
| | 1951SniderJanet_Redacted.pdf | April 5, 20 |
| | 1951StephensYvonne_Redacted.pdf | April 5, 20 |
| | 1955WhiteheadDonald_Redacted.pdf | April 5, 20 |

2015-10-15
CSUSLib-CMS-SA-EF
2020-04-29
CSUSLib-CMS-SA-AV

Initial View Custom Advanced

StephensYvonne_Redacted.pdf

Title: A survey of yearbook production practices in Calif

Author: "Stephens, Yvonne Jean"

Subject: M.A., Education (Secondary Education)

Keywords: Thesis



| Assignm | Handle | Author | Semester | Title | Redacted? | Accessibility check/remediati on complete? | Embedded metadata? | Scan by | Scan date | Modified date | Ally score | Ingested? | Notes |
|---------|---|-------------------|-------------|---|-----------|--|--------------------|------------------|------------|---------------|------------|------------|----------|
| SA_07 | http://hdl.handle.net/ | Brown, Mary McCa | SUMMER 2009 | The effects of text bullying on high sc | SG/04-15 | SG/04-20 | SG/04-22 | Databank IMX, Sa | 2010-06-02 | 2020-04-20 | 67% | rf 5/21/20 | leader p |
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| SA_07 | *Not in SW | Dullum | | | | | | | | 2020-04-29 | 67% | | leader p |
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| SA_07 | http://hdl.handle.net/ | Eastm | | | | | | | | 2020-05-07 | 67% | rf 5/21/20 | leader p |
| SA_07 | *Not in SW | Enrigh | | | | | | | | 2020-05-07 | 67% | | leader p |
| SA_07 | http://hdl.handle.net/ | Faughr | | | | | | | | 2020-05-11 | 67% | rf 5/21/20 | leader p |
| SA_07 | http://hdl.handle.net/ | Franze | | | | | | | | 2020-05-11 | 63% | rf 5/21/20 | leader p |
| SA_07 | http://hdl.handle.net/ | Gaines | | | | | | | | 2020-05-15 | 66% | rf 5/21/20 | leader p |

Issues

Most questions were resolved by project manager

Communication challenges

Access to technology: internet connectivity and software licensing

- 00_Training documents
- 04_Lynn
- 0809
- 508 COMPLIANCE REVIEW
- 508 Remediation (Misc)
- Attachments
- CMS_SC
- SA_13
- SA_16
- SA_18
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| | | |
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2015-10-15
CSUSLib-CMS-SA-EF
2020-04-29
CSUSLib-CMS-SA-AV

Initial View Custom Advanced

StephensYvonne_Redacted.pdf

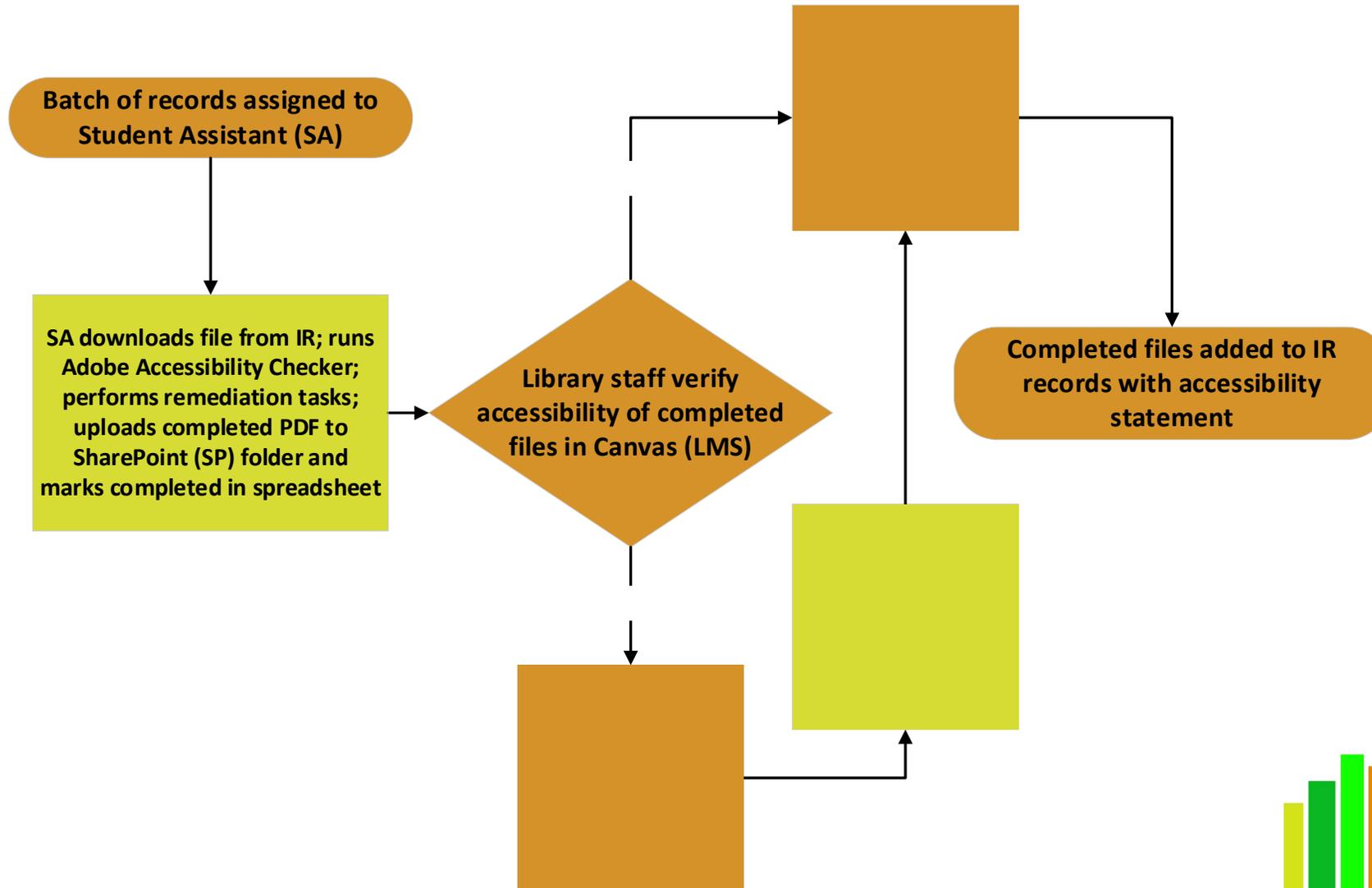
Title: A survey of yearbook production practices in Calif

Author: "Stephens, Yvonne Jean"

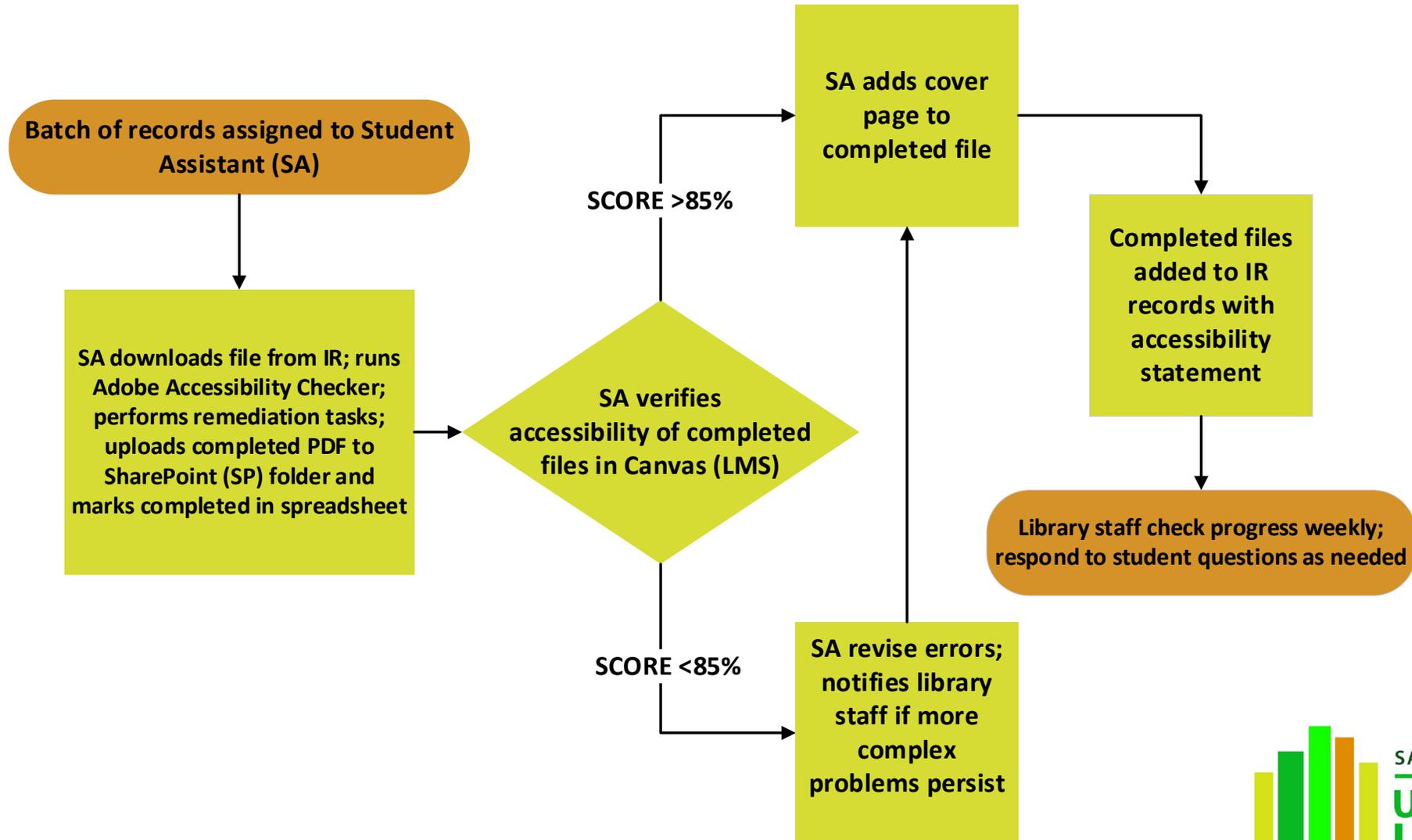
Subject: M.A., Education (Secondary Education)

Keywords: Thesis

Workflow Diagram #1



Workflow Diagram #2



From Project to Practice

Long-term project implementation

- Compliance/Accessibility work is now being hosted on Microsoft Teams
 - Create task items for students as ETD submissions are reviewed
 - 1 student assistant remediates seasonal submissions and addresses digitization requests and other inaccessible legacy scanned pdf's
 - Continue to work on legacy submissions as time permits
- PROs of Teams:**
- Better file sharing (integrated with SharePoint)
 - Ability to create task items and communicate via task card
 - Built in chat function
 - Dedicated channels for specific projects
 - Ability to manage schedules, remote students can clock in/out

Gauging Success

- Between March 2020-August 2021, only ~1/3rd of PDF files were made accessible
- Learning curve when training staff and students is lengthy and requires oversight
- Returned to on-campus work September 2021, reduction in dedicated work force

Changes Implemented

- Guidelines on creating accessible documents were added to the submission workflow, and a [LibGuide](#) was created and linked to the ETD submission guidelines LibGuide
- The accessibility attestation in the student distribution license was made more prominent and directs students to resources and contact information
- **Acknowledgement of accessibility for remediated files added to IR records:**
This document has been made accessible by Sacramento State University Library. For questions or to request enhancements, please contact lib-508accessibility@csus.edu
- **ETD submissions are checked for 508 compliance upon ingest; accessibility statement added to IR records for compliant files:**
The accessibility of this document been verified by Sacramento State University Library. For questions, please contact lib-508accessibility@csus.edu
- Strengthened departmental commitment to proactively supporting accessibility needs, outside of traditional services and physical spaces

Framing Accessibility Work and 508 Compliance

Accessibility as a Burden:

- Doing the minimum to avoid legal issues
- Relying on language in distribution license, low accountability
- No resources for depositors on making documents accessible, relying on staff remediation if/when requested



Framing Accessibility Work and 508 Compliance

Accessibility as Justice and Equity:

- Empower users to do own accessibility work
- Provide resources and opportunities for education on accessible documents
- Leverage gatekeeping abilities

QUESTIONS?

Contact:

Elyse Fox

Digital Initiatives Librarian

elyse.fox@csus.edu

BREAKOUT SESSION 1

Whose Queue is it Anyway? Integrating Accessibility in Your Templates, Educating Support Staff, and Showing When the Rules Can Bend.

Presented by John Fudrow ([University of Pittsburgh Libraries](#)). Moderator: Cynthia Tindongan.

Abstract. In this presentation, I will discuss our approaches to training staff approvers on best practices for electronic thesis and dissertation review. Via a comprehensive informational site, support services, and evolving training tools, our efforts reduced the turnaround time and efficiency of our approval process. These methods also made on-boarding new staff much less daunting and allowed for continuing discussions around expanding what formatting variations are acceptable and how we might envision combining accessibility checks with formatting advice. I will also share tips and advice on how to gauge the expertise of support staff that will be working with the ETD files and how you can structure training via workshops, tutorials, and one-to-one instructional support. Throughout I will recount our challenges and successes in identifying who was responsible for each aspect of the review process and how we made the most efficient use of our unique skills and experience.

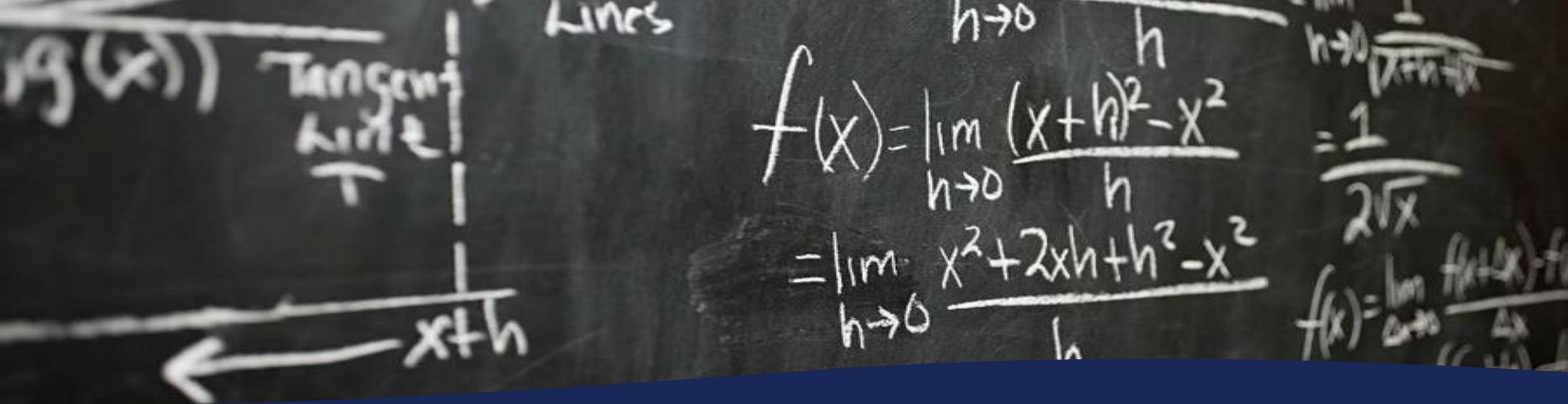
Track: PRESENTATION

Keywords: templates, accessibility, instruction, standards, formatting

Presentation: In-person

Presentation Type: Individual

Presentation Format: Extended



Whose Queue is it Anyway?

Integrating accessibility in your templates, educating support staff, and showing where the rules can bend.

John Fudrow

Repository Librarian

University of Pittsburgh

Brief History of Time

- Repository Librarian - 2014- Present
- Manage Institutional Repository
- Coordinate ETD Support and Training





Overview

- Our Panel (Background and History)
- Scenes from a Hat (Our Process)
- Helping Hands (Revised Support Setup)
- Party Quirks (Training Tips)
- Questions Only

Our Panel

(Background and History)

- ETD Program Start - 2005
- IR Platform - Eprints
- De-centralized Approval



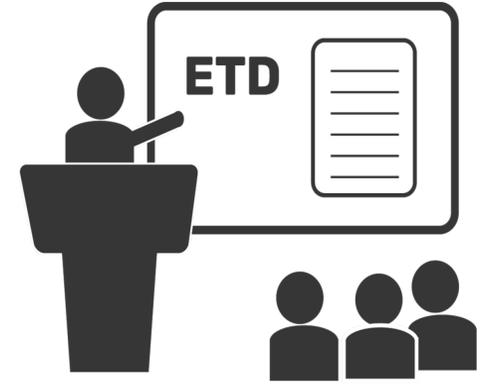
Office of the
Provost



Registrar's
Office



Graduate
School Student
Services Staff



University
Library System
Support Staff

ETD Process Group

A camel is a horse designed by a committee.

Unknown . . . probably someone that sat on a committee .



ETD Guidelines

- Based largely on print manuscript standards
- Loosely addressed basic accessibility
- Focused more on format than function

Templates

- MS Word Template
 - *Formatted to allow for easy conversion to PDF via both PC and Mac*
- LaTeX template
 - *Heavily customized and using conflicting packages*

Approval Process

- Students submit via D-Scholarship (Institutional Repository)
- Individual staff in their graduating school review
- Staff send comments (sometimes annotated PDFs) to students
- Students revise and reupload.
- Staff approve after graduation'

Institutional Repository

- Eprints platform (for now)
- Allows for embargo and restricted metadata via our dark archive state
- File agnostic

Technology

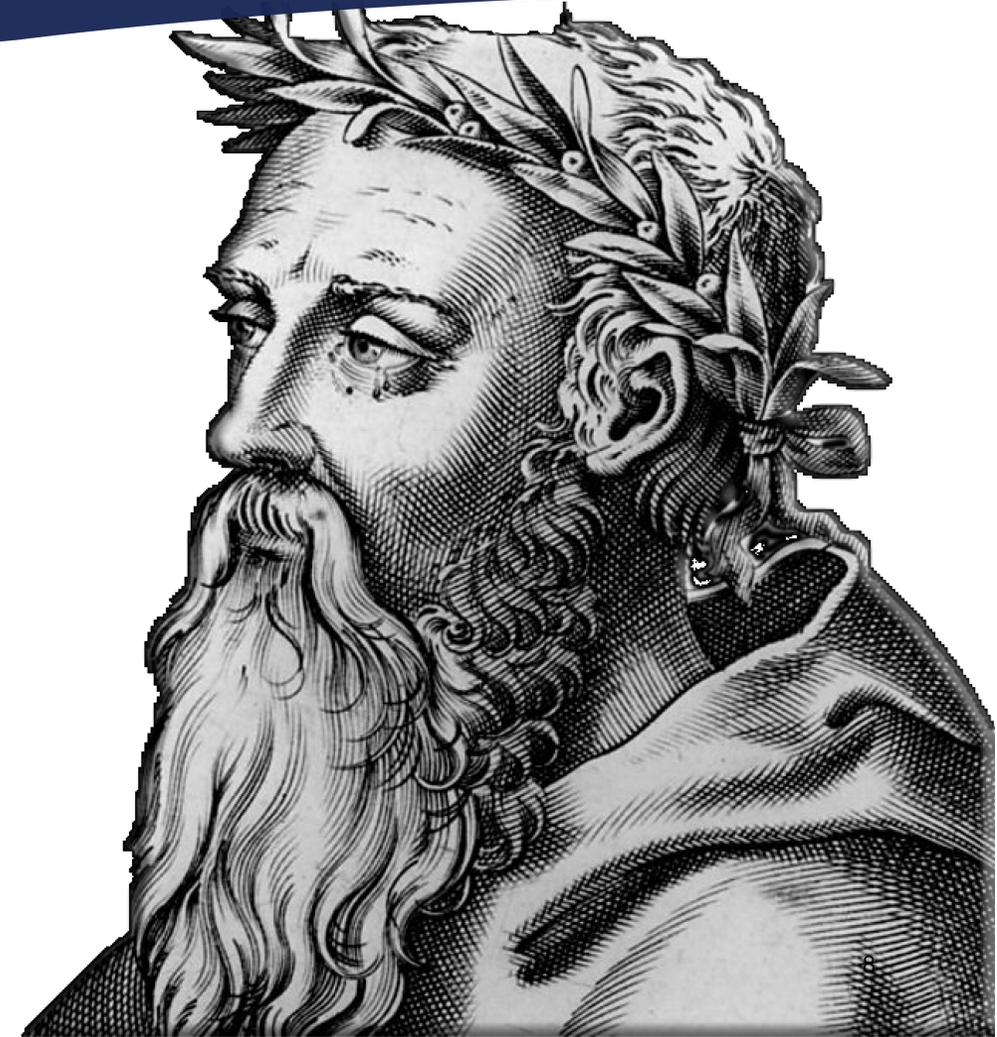
- Most students only need MS Word or a LaTeX compiler/Overleaf to convert
- Cloud based apps are not supported (yet)
- Currently no need for Adobe Acrobat

Scenes from a Hat

(Our Process)

Nothing endures but change.

~Heraclitus



Helping Hands

(Updates and Upgrades)

Common Issues

1. Preserving bookmarks in the final PDF was often unsuccessful
2. Links were broken to chapters/captions/notes
3. Page numbers shifted from preliminary sections to the body
4. Unclear instructions on how to create landscape-oriented pages
5. Where to ask for help.

Refinement of Process

1. ETD Process group changed membership
2. Set forth on a multi-phase analysis and restructuring of the process
3. Updated the information site to be more concise and feature more instructional guides.
4. Eliminated analog forms and areas of the workflows that created impasses

Pitt ETD Process

Prepare

- 1. Templates**
 - Word and LaTeX
 - Format Guidelines
- 2. Training**
 - LibGuides
 - Workshops (Virtual & In-person)
 - Video tutorials

Write

- 1. Copyright Primer**
- 2. ETD Support**
 - Ask A Specialist
 - Live chat/walk-in desk
 - Consultations

Submit

- 1. D-Scholarship@Pitt (Institutional Repository)**
 - Student submission
 - Graduating school performs review
- 2. More ETD Support**
 - Help with unclear editorial advice or complex issues

Adding Accessibility Shortcuts

Word

1. *Customize styles to allow for inclusion in PDF bookmarks*
2. *Take advantage of the template space to add instructions and tips*
3. *Keep images in-line*
4. *Provide suggested font families*

1.2 Using Styles to Correctly Ensure Your Document is Accessible¶

Using headings and other styles correctly throughout your document ensures that it is accessible to people with print disabilities. Screen readers and other accessibility technologies use styles to navigate the document. It is important that you use styles for emphasis instead of just adjusting the font of the text, as screen readers cannot recognize bold or italic but can recognize styles. For a Pitt ETD it is preferable to use a sub-section for important text, but you can also use the styles **Strong (bold)** or *Emphasis (italics)*.¶

1.3 Consistency in Style Use¶

The most important thing to consider when adding elements to your ETD, is to aim for consistency. If you add block text or quotations that vary from the Normal style, your best bet is to create a style for that customization and use it throughout the document. It's also best to minimize the amount of in-line editing that you do, as when you adjust a few lines of text that varies from the rest of the document, it will most probably be flagged on review.¶

1.3.1 Heading Levels¶

You may have noticed that the Heading 3 style is left aligned, rather than the center alignment that Headings 1 and 2 use. That is intentional and adheres to the ETD Formatting Guidelines. You don't need to adjust any of the formatting with the Headings that are included. This includes the number of spaces before or after the Headings. If you add an extra space after a

→ 2¶

LaTeX

1. *Provide instructions on placement of figures*
2. *Suggest always using caption labels and text*
3. *Encourage the use of the PDFX package to create tagged sections*
4. *Mandate sans serif font when possible, to allow for better spacing options*

FY22 ETD Approval Analysis*

| | Bookmarks Included | Alt Text | Acceptable Font Family | File Info |
|------------|--------------------|----------|------------------------|-----------|
| Yes | 347 | 0 | 359 | 0 |
| No | 14 | 361 | 2 | 361 |

**There were logistical delays in the approval of some ETDs due to staffing changes in one of the larger schools. This total is still representative but not equal to the total number of ETDs approved over this fiscal year.*

Party Quirks

(Techniques and Tips)



Assessing Approval Efficiency and Staff Comfort Levels

- Staff Survey of Familiarity of ETD Guidelines
- Open Request Form for Updates or Changes to be Made
- Open Meetings by ETD Support for Questions and Troubleshooting
- Staff-oriented lists of do's and don'ts
- Checklist of approval steps customized to a Sharepoint form

Attempted Training and Engagement with Staff

- Monthly Open Zoom/In-person Meeting on Things to Know about Word, Accessibility, copyright, etc.
- Behind the Scenes site for forms, policy documents, and process maintenance
- Utilization of Ask an Expert/ETD Support Services for Workflow Questions and Policy Snags

Take Two

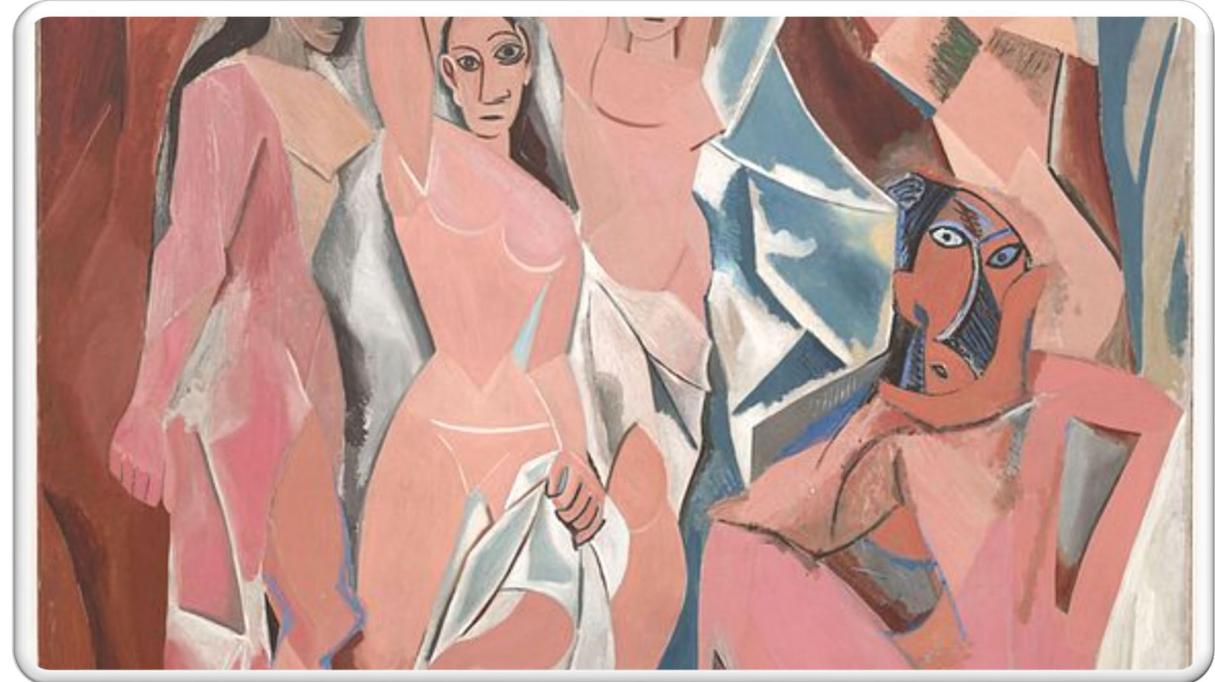
Future Training and Engagement with Staff

- Provide tagged boilerplate language to be used on departmental sites and in responses to students
- Engage with staff to make connections with faculty for in-class workshops and more integration with their research process
- Create an on-boarding workflow and informational packet to be given earlier in the process
- Provide open training sessions that focus on office software such as Word and Adobe, to be further utilized in staff's non-ETD responsibilities

Take Three

Learn the rules like a pro, so you can break them like an artist.

~Pablo Picasso



Rules to Break and Paths to Make

Function over Form

1. Shorter paragraphs and breaks in-between
2. Don't worry about justification (but be consistent)
3. Page Breaks
4. Bibliography Styles
5. Supplemental Files

Individual Expression

1. Customization of Layouts for different disciplines
2. Suggestions for three-paper theses and dissertations
3. Variant versions (open access vs copyright restricted)
4. Non-textual submissions

Remove Redundancy

1. Don't rely on one application to solve every issue
2. Monitor LaTeX developments and test for conflicts
3. Make sure IT staff are aware of requirements for staff devices but also public stations

Finale

- Listen
- Plan
- Innovate
- Instruct
- Reflect
- Keep Listening



Thank You

John Fudrow

jfudrow@pitt.edu

[Electronic Theses and Dissertations \(pitt.edu\)](https://pitt.edu/electronic-theses-and-dissertations)



BRIEF BREAKOUT 14

Archiving Student-Authored Video Games in the Digital Age. Presented by Anne Morrow (University of Utah, Marriott Library). Moderator: Emily Wuchner

Abstract. Video game design and development programs are increasingly popular on college and university campuses. Unfortunately, efforts among archivists, preservationists, and librarians, to archive and preserve student-authored video games in academic libraries are virtually nonexistent. In 2019, the presenters introduced a practical archival preservation plan for student authors of video games. The presenters developed an online archival collection of video games produced by teams of graduate students.

We propose to update attendees concerning the adoption rate of the digital preservation plans and trends in author plan selections. The student-created video game archive collection's usage statistics and analytics will be analyzed and presented. Finally, the authors will share opportunities for future development and growth.

Track: PRESENTATION

Keywords: video game design, digital preservation, archiving

Presentation: In-person

Presentation Type: Individual

Presentation Format: Brief

**BS
in Games**

**Minor in
Games**

**BS in CS with
EAE Emphasis**

**Master of Entertainment
Arts & Engineering**

**Dual MBA/MEAE
Degree**



[Advanced Search](#)

▼ YEAR

2010 ▼ TO 2020 ▼



UPDATE

▼ GRADUATE UNDERGRADUATE PROGRAM

Graduate 45

Undergraduate 62

▼ PLATFORM

PC 71

Windows 69

Mac 17

Xbox 15

Filters: Year Start: 2010 ✕ Year End: 2020 ✕ Collection: "ir_eae" ✕

1 - 25 of 107

< 1 2 3 4 5 >

Gallery view

25 ▼

Sort by Title A-Z ▼

| | Date | Title | Platform | Genre | Graduate Undergraduate Program |
|---|------|---------------------------|-------------|------------------------------|--------------------------------|
| 1 | 2015 | 404 Sight | PC; Windows | Action; Runner; Free to Play | Graduate |



7152 Total

| # | <u>Hits</u> | <u>Value</u> |
|---|-------------|--|
| 1 | 1286 | <u>Abyss of Neptune</u> |
| 2 | 200 | <u>A Divided Light</u> |
| 3 | 177 | <u>404 Sight</u> |
| 4 | 126 | <u>Cyber Heist</u> |
| 5 | 125 | <u>Clawface</u> |
| 6 | 121 | <u>A Boy and His Beard</u> |



| | |
|--------------------------------------|--|
| Studio/Team Name | Abyssmal Games |
| Team | Barmukh, Animesh; Chilagani, Rajesh; Ganesh, Karan; Geil, Colin; Keller, Jackson; Masih, Avinash; Naidu, Vishal; Pani, Arindam; Peterson, Danny; Pulis, Michael; Venkatesh, Vikram; Williams, Jordan |
| Official Website | https://synodicarc.com/ ; https://twitter.com/SynodicArc |
| Title | Abyss of Neptune |
| Description | <p>Abyss of Neptune is a survival horror game set in the deep seas of the Bermuda Triangle. You are sent to investigate a mysterious underwater signal, but there is more to it than what meets the eye. Do you have what it takes to survive the abyss?</p> <p>Team Members: Animesh Barmukh - Lighting Artist; Rajesh Chilagani - Engineer; Balaji Ganesh - Engineer; Karan Ganesh - Producer; Colin Geil - Tech Artist; Jackson Keller - Environment Artist; Avinash Masih - Tech Artist; Vishal Naidu - Engineer; Arindam Pani - Engineer; Danny Peterson - Character Artist; Michael Pulis - Engineer; Vikram Venkatesh - Engineer; Jordan Williams - Tech Artist</p> |
| System Requirements | MINIMUM: OS: Windows 10 (64-bit) Processor: Intel Core i3-4160 @ 3.60GHz or equivalent Memory: 8 GB RAM Graphics: NVIDIA GeForce GTX 1050 DirectX: Version 11 Storage: 6 GB available space RECOMMENDED: OS: Windows 10 (64-bit) Processor: Intel Core i5-4690 3.5 GHz or equivalent Memory: 12 GB RAM Graphics: GeForce GTX 1060 or equivalent DirectX: Version 11 Storage: 6 GB available space |
| Playthroughs, Let's Plays, & Reviews | https://www.youtube.com/channel/UC6v0W6FYp5yAwpQ6vyfdAHA |

Video game duality

Object

Collection of individual files

Interdependency

Libraries seek to archive and preserve files

Preservation role to migrate and maintain files

Activity

Interactive Experience-based

Libraries seek to support interactive access

Archival role to capture the gameplay experience

Entertainment Arts & Engineering (EAE) Thesis Game Archival Agreement

The J. Willard Marriott Library archives, preserves, and provides access to student-created scholarship in USpace, the institutional repository for the University of Utah. In 2017, the library was awarded a grant from the Institute of Museum and Library Services (IMLS) to develop and implement archival processes for complex born-digital works, such as EAE's original thesis Games (<https://www.imls.gov/grants/awarded/1g-74-18-0111-18>).

With this Archival Agreement you decide and choose:

- What game content you allow the library to record, archive, and preserve.
- How you want the library to communicate your copyright ownership and any permissions
Possible licensing is available here <https://creativecommons.org/choose/>
- The level of access you are willing to let others have to your game, as well as any other content related to your game.
- The keywords and descriptions for your game, which will be added to a library catalog record of the game.

There are 5 steps to completing this form:

1. Select your preferred archival plan for the Game (pages 2-4)
2. Choose a copyright ownership statement and, if desired, licensing option (page 4-5)
3. Select the preferred range of access you will allow others to have to the Game and its components (page 5)
4. Describe your Game and assign keywords to it (pages 5-6)
5. Sign the form and let us know how best to contact you (pages 6-9)

Uspace Born-Digital Intellectual Property Submission Form

The J. Willard Marriott Library strives to archive, preserve, and provide access to student-created intellectual properties, including software, in USpace, the institutional repository for the University of Utah.

USpace Archival Services

- Librarians create a local record of the Work in USpace and the University of Utah Primo catalog to ensure the Work displays in relevant searches across library holdings
- The Work will be added to WorldCat, a worldwide catalog of library holdings
- Author-submitted ephemera is added to the record for the Work
- The Work will be ingested in Rosetta Digital Preservation System to better prolong the life and utility of the Work

Agreement options

1. Embargo Period for the Work

Author(s) grant above rights to Marriott Library, following an embargo period not to expire before MM/DD/YYYY. ____ / ____ / _____

2. Limit Public Access to the Work beyond embargo

Author(s) grant Marriott Library permission to preserve the components of the Work, in whole or in part, limiting access to on-site (e.g. Special Collections Reading Room) and/or by University IPs.

3. Select License Option

I want people to ask my permission to reuse (All Rights Reserved)

I want people to copy, distribute, adapt if they attribute me (CC-BY)

I want people to copy, distribute, and adapt only if non-commercial (CC-BY-NC)

I want people to copy and distribute non-commercially, but not adapt (CC-BY-NC-ND)

| 2020 game title | Tier | Prof Dev Wa | License | Access | Metadata | Signatures | |
|------------------------------|------|-------------|---------------------|---------------|----------|------------|--|
| Ballad of the Masked Bandits | 3 | | All Rights Reserved | all | yes | yes | |
| Blaze | 5 | | CC-BY | all | yes | yes | |
| Disarmed | 4 | | All Rights Reserved | Limit to SC R | yes | yes | |
| Hell to Raze | 4 | | All Rights Reserved | all | yes | yes | |
| Henchman for Hire | 5 | | CC-BY | all | yes | yes | |
| Impact | 2 | | All Rights Reserved | all | yes | yes | |
| Kane's Shadow | 4 | | CC-BY-NC-ND | all | yes | yes | |
| KillSteel | 5 | | CC-BY-NC | all | yes | yes | |
| Personal Space | 4 | | CC-BY-NC | all | yes | yes | |
| Revel Rousers | 5 | | CC-BY-SA | all | yes | yes | |
| Sand to Surf | 5 | | All Rights Reserved | all | yes | yes | |
| We Went Back | 5 | yes | All Rights Reserved | all | yes | yes | |



Revel Rousers Final Wrap Kit.zip



Ballard-Of-the-Masked-Bandits_FinalWrapkit.zip



Disarmed Wrap kit.zip



henchmanforhire_LATE_1509289_101169568_HenchmanForHire_ReadMe.zip



Blaze Wrap Kit.zip

Challenges going forward

Additional

BRIEF BREAKOUT 12

Implementing Collaborative Digital Repository: The DAATJ Experience in Bangladesh. Virtual presentation by Dr. Md. Zillur Rahman (Ahsanullah University of Science and Technology Library). Moderator: John Hagen

Abstract. Purpose

The purpose of this article is to describe the background, purpose, and achievement of the digital repository DAATJ which preserves the research output of Agricultural universities in Bangladesh. Digital Archives on Agricultural Theses and Journals (DAATJ) is an initiative to be imparted to nationwide digitization, help the future researcher on all the past agricultural theses and journals, resist duplication of research, disseminate the results of MS and PhD research worldwide, reduce the reviewing cost of past studies and to set an example to other types of universities.

Design/Methodology/approach

The article describes the success stories of DAATJ

Findings

DAATJ is the first collaborative digital repositions of ETDs and Journals in Bangladesh. It was established on 21 November 2012 with the financial help of the World Bank for Bangladesh - Higher Education Quality Enhancement Project (HEQEP), under Window 3 (University-wide Innovation) of Academic Innovation Fund (AIF), the Ministry of Education and University Grants Commission of the People's Republic of Bangladesh. At the 1st phase of its development it was planned to host all the MS/M.Sc. and PhD ETDs and journals of three universities viz. Bangladesh Agricultural University; Bangabandhu Sheikh Mujibur Rahman Agricultural University and Sher-e-Bangla Agricultural University. The 2nd phase also included another six agro-based universities, schools, and departments of different universities in the country. It was linked with the websites of BdREN to facilitate resource sharing of the respective universities. To date, a total of 7351 documents have been uploaded to the archives of 6703 ETDs and 648 articles.

This article also finds that over the last ten years of its establishment only five universities contributed 6670 MS thesis i.e. 99.50% and 33 PhD theses i.e. 0.49% which indicates that research activities are very poor in these public universities. Irrespective of the success rate, they have set a milestone in setting up digital repositories in Bangladesh.

Originality/Value

The article shares DAATJ experiences with the broader community and guides the simplest practices within the development of a national and global digital repository.

Track: PRESENTATION

Keywords: ETDs, Digital repository, Bangladesh, DAATJ, Collaborative repository, Agro-based university, Agricultural university

Presentation: Virtual

Presentation Type: Individual

Presentation Format: Brief

Implementing collaborative digital repository: the DAATJ experience in Bangladesh

Dr. Md. Zillur Rahman

Librarian

Ahsanullah University of Science and Technology

zrahman@aust.edu

Purpose

The purpose of this article is to describe the background, purpose, and achievement of the digital repository DAATJ which preserves the research output of Agricultural universities in Bangladesh. Digital Archives on Agricultural Theses and Journals (DAATJ) is an initiative to be imparted to nationwide digitization, help the future researcher on all the past agricultural theses and journals, resist duplication of research, disseminate the results of MS and PhD research worldwide, reduce the reviewing cost of past studies and to set an example to other types of universities.

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Implementing Collaborative Digital Repository: The DAATJ Experience in Bangladesh. Virtual presentation by Dr. Md. Zillur Rahman (Ahsanullah University of Science and Technology Library).

To view the video recording of this session visit:

<https://www.youtube.com/channel/UCJdoGZmOlfuCGt2IHTCc5mA>

BREAKOUT 2

Opening a Communication Channel with the ETD Librarian. Presented by Kelley Rowan ([Florida International University Libraries](#)). Moderator: Ellen Amatangelo.

Abstract. This presentation will share the results of a new initiative developed by the ETD Librarian at Florida International University (FIU) to develop a personal connection between students and the ETD Librarian. The goal is threefold; to provide a personal contact and open communication channel within the library to whom students can address publishing best practices and concerns with, to better inform and engage students in the metadata process of submitting theses and dissertations, and to spur the growth of knowledge and usage of ORCID. A previous initiative that added an ORCID and a license option to the metadata fields had resulted in a growth in licensing usage but the use of ORCID continued to remain flat at approximately 30%.

A study was conducted to determine whether students understood when and why to use the ORCID and embargo options and the results showed that students did not understand the usefulness of these tools. At FIU, the ETD submission process is split into two parts with the graduate school coordinator being the main contact with students and the ETD Librarian doing the publishing in the institutional repository. Our ETD Coordinator offers workshops to help guide the students through this process, however, students have previously had no contact with the ETD Librarian. This novel approach aims to change that. Attendees will be able to assess the workload of this approach and determine whether aspects of this process may be useful at their own institution. Time will be provided for discussion and questions.

The speaker is an avid presenter at international, national, and regional conferences as well as a developer and presenter of numerous workshops within the Digital Scholars Studio at Florida International University. Ms. Rowan has 35 publications of journal articles, reports, workshops and conference presentations. In addition to her role as the ETD librarian, she also works with external community partners in preserving and publishing their digital collections through the dPanther repository. Finally, she serves as the tech privacy expert and survey development expert in her library at FIU. You can find her publications through Digital Commons.

Track: PRESENTATION

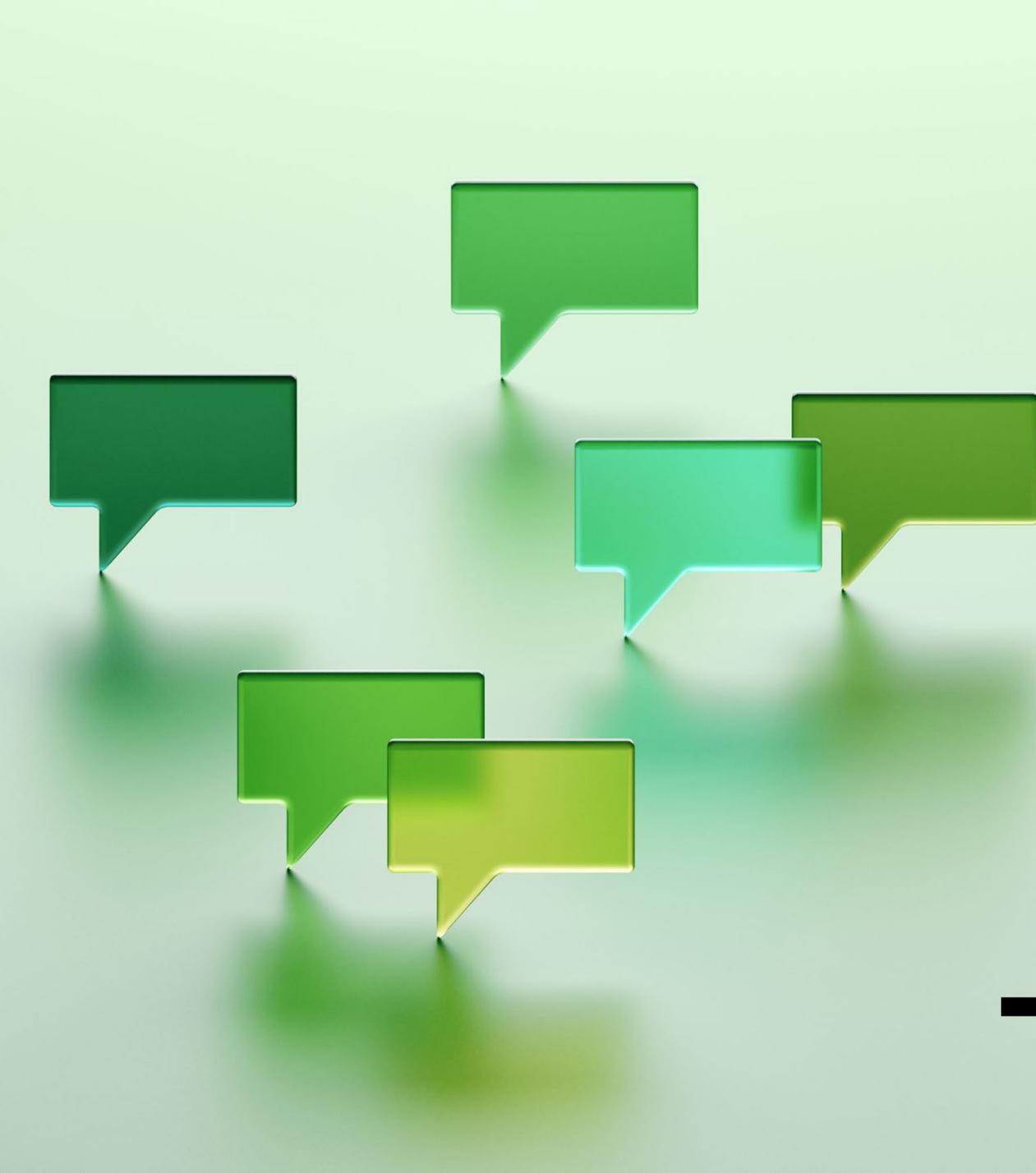
Keywords: ETD, electronic thesis and dissertation, academic library, ORCID, Metadata, Digital Commons

Presentation: In-person

Presentation Type: Individual

Presentation Format: Extended

Wednesday 4:10 - 5:00 PM



Opening a communication channel with the ETD librarian

Kelley Rowan, Digital Archives Librarian
Florida International University

+

USETDA Conference 2022

Agenda

- History of FIU & workflow
- Project goals
- Process
- Results
- Q&A



FIU snapshot



- FIU is the largest minority serving (HSI) institution in the nation.
- 51,119 Students (58,928 in 2020)
- Librarian to student ratio is ~30:1

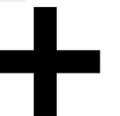
Points of Pride

Highest Research Activity

The Carnegie Classification of Institutions of Higher Education ranked FIU R1: Doctoral Universities – Highest Research Activity

Preeminent Research

The Florida Board of Governors designated FIU as an “Emerging Preeminent State Research University”



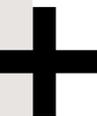
Graduate school to Library workflow

ETD publishing

- ✓ Students work with the graduate school.
- ✓ Students enter the metadata in Digital Commons and upload their submission.
- ✓ Once assigned as editor, the library publishes and preserves ETDs.

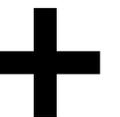
Communication

- Give students an additional point of contact regarding their ETD
- Increasing ORCID usage
- Encouraging open access



Past communication

- Adding embargo
- Changes to an ETD
- Publishing timeline
- Panic about published ETDs





Past ORCID research



- Students who embargoed did not necessarily sign up for ORCID and vice-versa
- Students did not understand ORCID
- ORCID usage has stayed steady at ~30% (summer 2022, 44%)

Open Access

High embargo rate

~50% (summer 2022, 35%)

Citations, download & view stats

FIU ELECTRONIC THESES AND DISSERTATIONS

An Examination of Motivation and Teacher Identity in Minority High School Students Enrolled in a Career and Technical Education Teacher Preparation Program

[Elizabeth M. Aguila](#)

Document Type

Dissertation

Degree

Doctor of Philosophy (PhD)

Usage

Abstract Views: 235

Downloads: 224

[see details](#)

 Download

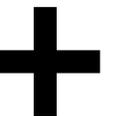
224 DOWNLOADS

Since January 05, 2021

 **PLUMX METRICS**

[PlumX Metrics Detail Page](#)

 **INCLUDED IN**



The process



+

The ORCID letter

- Helpful, congratulatory, approachable
- Spaces, bold, and color
- Include a direct link
- Offer to input their ORCID

Hi _____

Congratulations on submitting your _____! I want to take this moment to introduce myself. I am Kelley Rowan, the Digital Archives Librarian who will be publishing your _____.

I want you to know that I am available for any questions you have regarding Digital Commons and I can help clarify the ORCID, embargo, and license options, among others that you will see there.

Before I publish your work, I want to make sure you have signed up for a unique identifier (ORCID) so that your research and scholarly output is easily credited to you and your name is not confused with another person with the same or similar name.

If you plan on doing future research or publishing, you'll find an ORCID identifier is often required. Also, it is a great addition to a resume or CV!

Sign up should take about 1 minute: <https://orcid.org/> and then you can add the identifier to your Digital Commons submission or send it to me and I will add it.

Also, if you're considering using a license, we suggest choosing any license that includes "non-commercial" use.

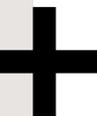
I hope this helps you and if you have any questions or concerns about any of the options you encounter in Digital Commons, please don't hesitate to reach out to me at krowan@fiu.edu.



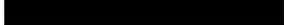
The embargo letter

I see that you embargoed your dissertation and I want to share some information with you to make sure you have chosen the option best suited to your needs.

Should you embargo? You may have heard from others that you should. Here in the library, we are experts in understanding copyright and open access concerns. Here is a quick list of pros and cons you may want to consider before deciding:



Embargo letter



Pros of open access (no embargo)

- Research shows that open access publications receive more attention and have greater impact worldwide.
- More readership and downloads leads to more citations!
- More citations helps potential collaborators find you.
- Open access helps advance society as a whole with immediate access to recent research.
- Open access helps break down economic and cultural barriers by making your research available to everyone, not just an elite few with journal and library access.

Your open access thesis or dissertation is still copyrighted and protected but you may choose a license if you would like it to be shareable. We suggest choosing any license that includes “non-commercial” use.

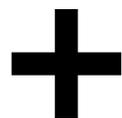
Cons

- Most cons relate to administrative fees, which we don’t have!
 - You may receive requests from “predatory journals” (think, fake journals) that claim they want to publish your work for a fee. Just ignore these emails.
 - **Myth:** If it’s available, you won’t be able to get published in a journal. This is false. Most publishers DO NOT consider a thesis or dissertation a “finished product” and therefore, its presence in an institutional repository does not create a conflict. In the rare case that a publisher requests it, we can embargo it at any time.
 - **Myth:** Authors think they are giving away copyright. You are NOT! I will be applying copyright notices on both your pdf and in the repository that indicate you are the copyright holder.
- 



| B | C | D | E | F | G | H | I | J | K |
|-----------------|--------|-----------------------|---------|-------|--|-------|--------------|----------|--|
| date of defense | degree | discipline | embargo | ORCID | License | email | date emailed | response | notes |
| 5.13.2022 | PhD | data science | no | no | no | | 8.2.2022 | | |
| 6.29.2022 | PhD | virology | 6 mo. | yes | no | | 8.2.2022 | | |
| 8.26.2022 | PhD | environmental science | 1 yr. | yes | no | | 8.2.2022 | | |
| 8.26.2022 | PhD | biology | 1 yr. | no | no | | 8.2.2022 | 8.3.2022 | Had an ORCID but didn't enter it. Seemed grateful I reached out, asked for further clarification on licensing and embargo. On 9.9 I went back and added his ORCID after realizing he never entered it. |
| 6.24.2022 | MS | statistics | no | yes | under a Creative Commons Attribution-Share Alike 4.0 License. | | | | |
| 8.29.2022 | PhD | GSS | no | yes | This work is licensed under a Creative Commons Attribution-Noncommercial 4.0 License | | | | |
| 6.28.2022 | PhD | Public affairs | no | no | no | | 8.2.2022 | 8.4.2022 | explained that he did not understand ORCID at all and thought it was subject dependent. Was interested in signing up for anything to support future publishing. Signed up for ORCID. Asked me to add the number to DC. |
| | | | | | This work is licensed under a Creative Commons Attribution 4.0 | | | | |

Tracking



Workflow & time commitment

1

Enter the data for
151 students

2

Choose the correct
letter and send

3

Track responses

4

Enter ORCIDiDs

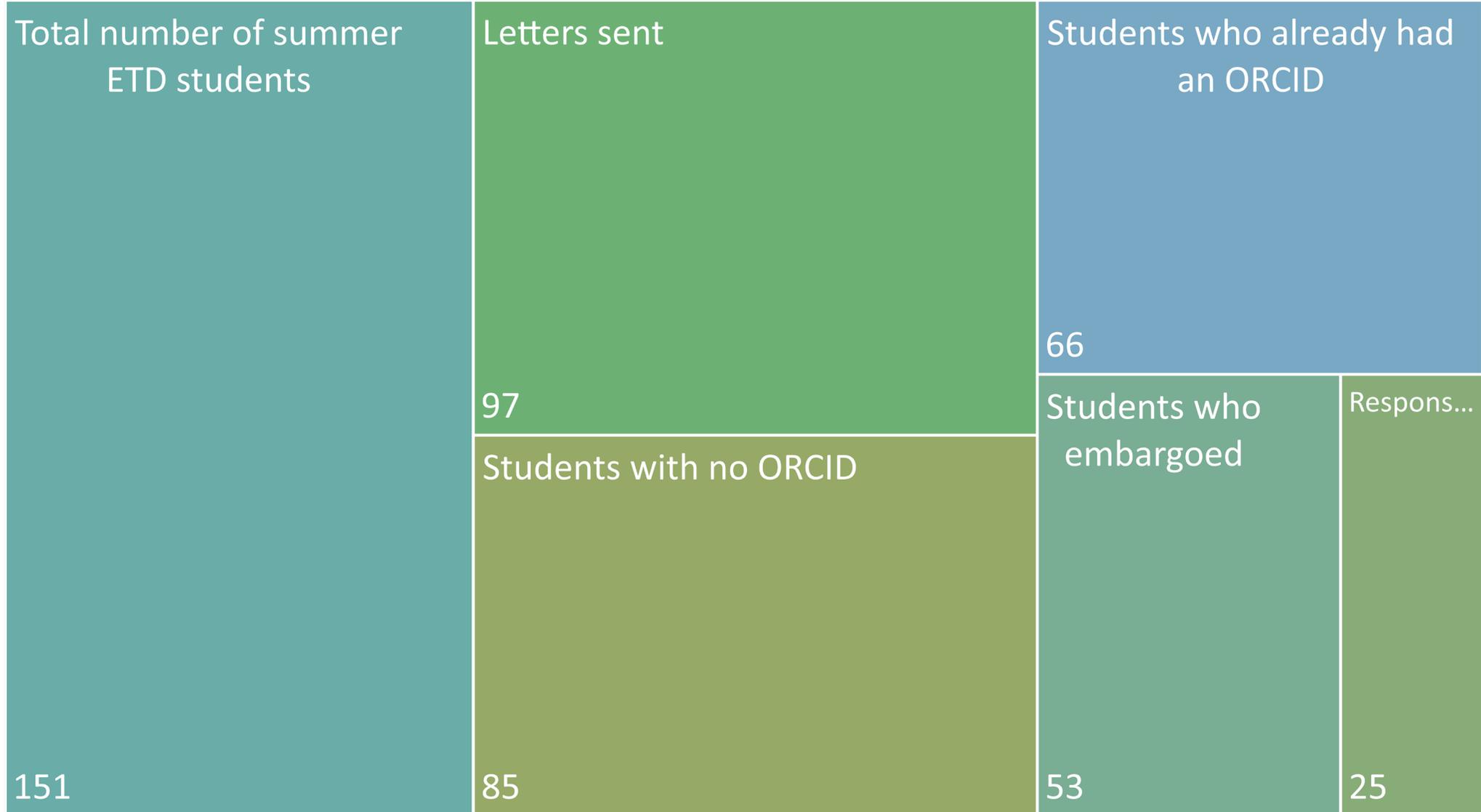
5

Respond to
inquiries and send
thank you notes.



Starting Stats

- Students who already had an ORCID
- Total number of summer ETD students
- Students who embargoed
- Letters sent
- Responses
- Students with no ORCID



Embargo Results



+

Embargo Results

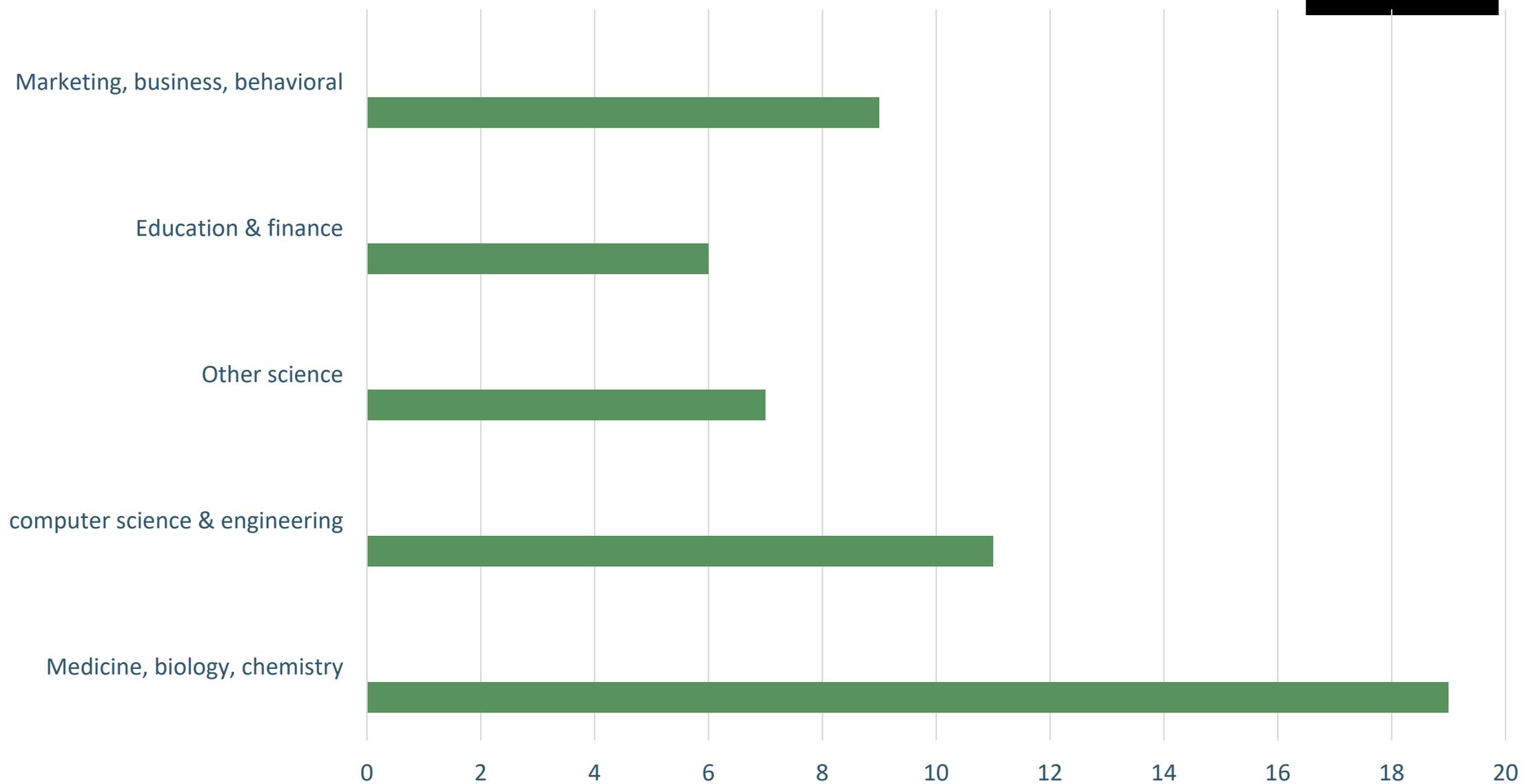
Not a single person removed or lessened the length of their embargo

One student asked me to increase their embargo from 1 to 2 years

One student attempted to put in a 7 year embargo

One person offered an explanation for keeping the embargo

Who embargoes?



Who embargoes?

- 45% hard sciences
- 55% various disciplines

- 57% of science graduates embargoed
- 20% of other disciplines embargoed



Takeaway

**Fundamental
misunderstanding
of what
librarians know and
do**



ORCID
Results

ORCID

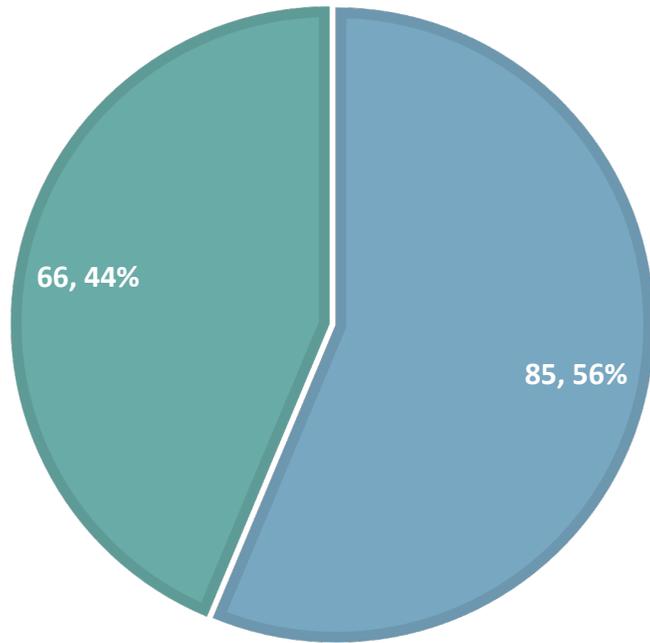
+

—

STUDENTS WHO ORIGINALLY ENTERED AN ORCID

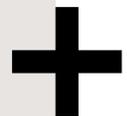
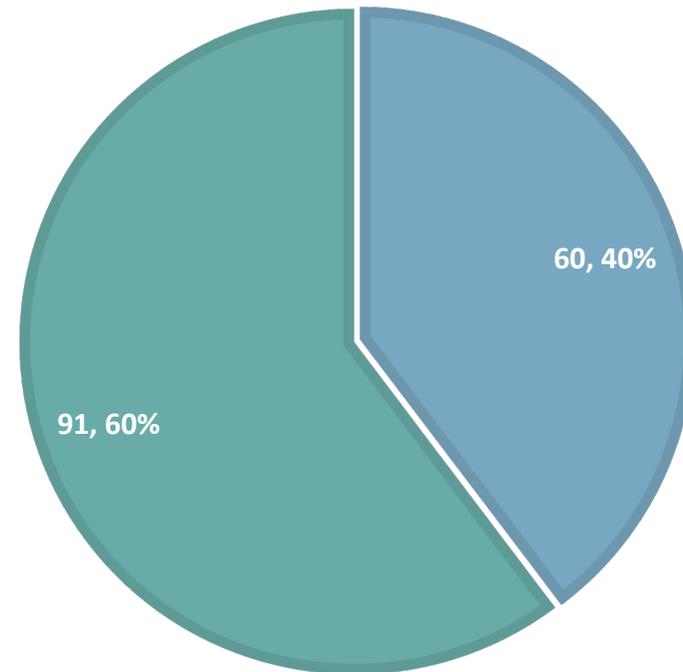


■ Students without an ORCID ■ Students who have an ORCID



TOTAL # OF STUDENTS WITH AN ORCID AFTER LETTERS

■ Students without an ORCID ■ students who have an ORCID



Usefulness of ORCID



37% of students who already had an ORCID had no content added.

63% of students who already had an ORCID entered content.

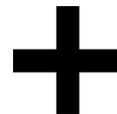
79% of students who received requests to register for ORCID did not enter content.

21% of students who received requests to register for ORCID entered content.

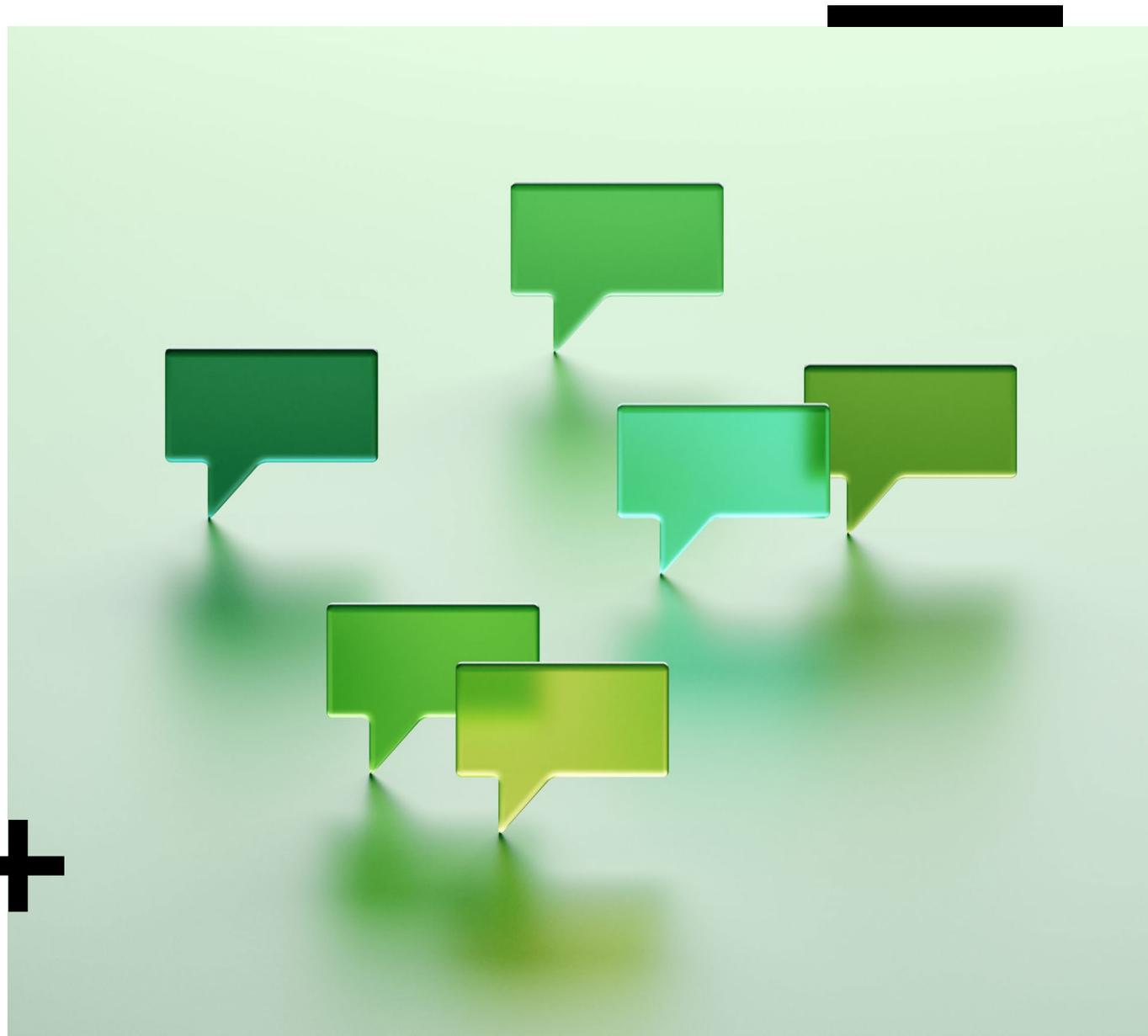


Takeaway

Students are not going
to enter more data
into Digital Commons



Communication



25 responses

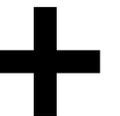
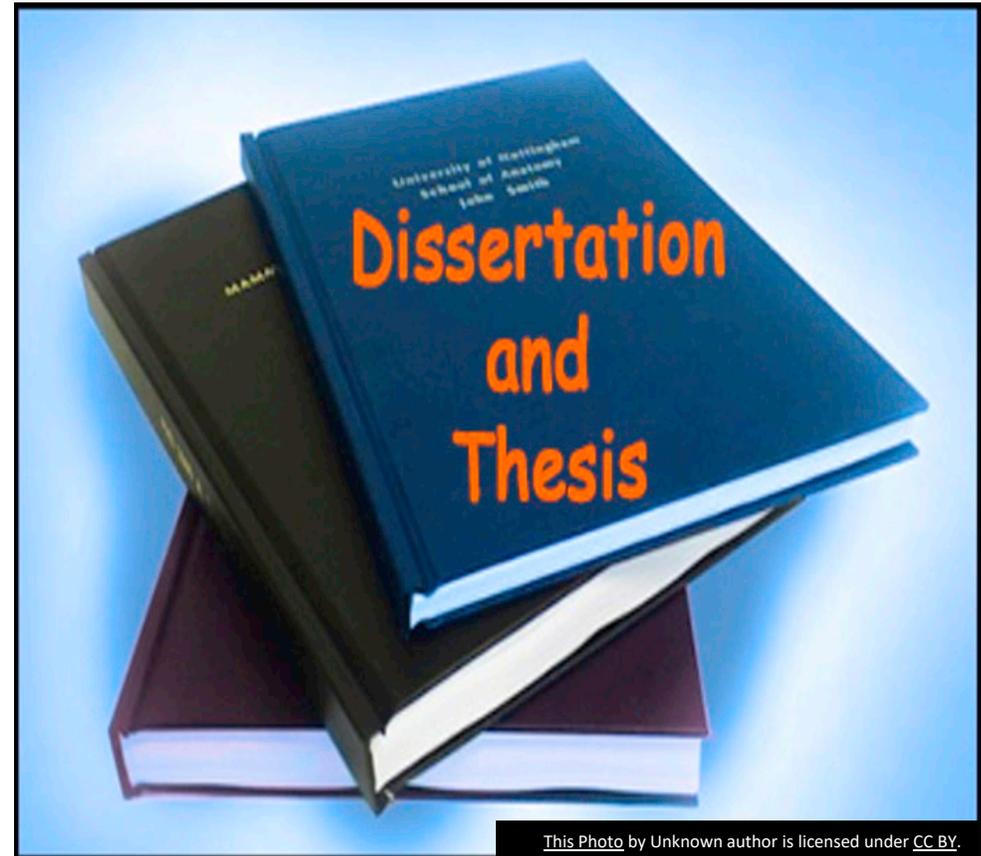
- Majority thanked me for reaching out
- Conversations
 - Binding
 - Licensing
 - ORCID
 - Using ORCID in a resume

- 1 student panicked and told me not to publish their ETD
- 1 sent ORCID without text
- 75% of students ignored the email



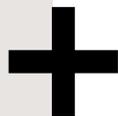
Takeaway

An appreciative (or at least responsive) 25% of students who engaged in meaningful dialogue is worth continuing.



Next Steps

- Send out only ORCID letters?
- Add licensing education in future?
- Try another approach with embargoes?
 - Highlight the benefits of linking to the ETD & benefit of usage stats.
 - Further education about retaining rights when publishing before a dissertation?
- Offer DSS workshops?!





Q&A

Do students fill out their ORCID profiles; usefulness?



Q&A

If you encourage open access, how?

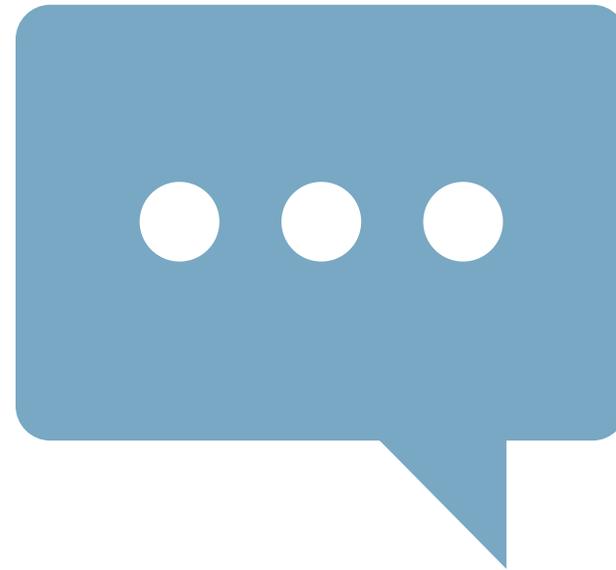
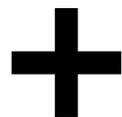


Thoughts?

Kelley Rowan

Krowan@fiu.edu

305-348-1079



BREAKOUT 5

Student Previously Published Items (SPPI) in an ETD: Making it Easier for Students While Maintaining Functional Formatting. Presented by Larry Tague, Shirley Hancock and Kelsey North ([University of Tennessee Health Science Center - College of Graduate Health Sciences](#)). Moderator: Katherine Johnson.

Abstract. Students wanting to include their previously published information or articles in an ETD have several options for doing so. Universities understand this need and do their best to accommodate the student. However, the digital world of ETDs in institutional repositories (IRs) and the subsequent public exposure have forever changed the publishing responsibilities of universities. In the past world of paper theses and dissertations, the only public exposure was through libraries that subscribed to UMI (University Microfilms Inc.). Otherwise, theses and dissertations were placed in the library archive as large book-style reports--often with minimal formatting and rarely an embargo. These manuscripts were seen by very few. Most universities no longer function in the world of obscure paper. Today, functional formatting and university publishing are more important than ever before. Quality formatting is important for the academic image of the university as well as assisting the reader's accessibility to the information and illustrating the creative competence of the student.

Previously published information (PPI) is usually included in an ETD by references to a list of citations, and yes, this is the easiest way for students to include their own SPPI—by occasionally inserting a few quotes or paraphrases. Sometimes, with publisher permission, tables or figures are included for illustration purposes. However, many students would like to display (with permission) more or all of their work published as students. Understandable!

Our ETD program is in the process of developing and testing methods for including SPPI that eliminates any reformatting of their final submissions to journals, etc., and dramatically reduces the amount of information needed in the body chapters of ETD manuscripts by isolating detailed SPPI to appendices. This mode of inclusion maintains the functional formatting of the ETD body. We use both Word and Overleaf LaTeX for including SPPI, but we have two methods for including SPPI using Overleaf LaTeX.

Track: PRESENTATION

Keywords: ETD, Electronic Theses and Dissertations, Student Previously Published Items, formatting, appendices, institutional repositories

Presentation: In-person

Presentation Type: Individual

Presentation Format: Extended

Student Previously Published Items (SPPI) in an ETD: Making it Easier for Students While Maintaining Functional Formatting. Presented by Larry Tague, Shirley Hancock and Kelsey North (University of Tennessee Health Science Center College of Graduate Health Sciences).

To view the video recording of this session visit: <https://youtu.be/QSiNKnwnicc>

POSTER 4

Connecting Students to the Jacksonville University's Institutional Repository. Presented by Allison Crawford ([Jacksonville University Library](#)).

Abstract. This poster presentation will highlight the development of Jacksonville University's Institutional Repository. Managed by the library, our repository is still in its early stages; however, it is growing. This discussion will include the process of finding the right hosting platform for our institution, the progress that we have made managing the repository and the future for the repository.

In terms of repository participation, the departments that have graduate studies at Jacksonville University vary in the formats in which they submit theses. Some are still submitting in physical bound copies; others are submitting in pdf and still others not submitting at all. The challenge has been bringing the non-submitting departments on board and transitioning the bound copy submissions to pdf.

Going forward I believe more promotion of the repository is needed among graduate faculty and students within our departments. Additionally our goal is to digitize the many years' worth of bound theses that we have in our Special Collections/Archives.

In keeping with the conference theme, "Making Connections: Scholarly Communications in the Digital Age" this presentation will demonstrate our efforts to promote and increase participation in our institutional repository among our graduate degree programs at Jacksonville University.

Track: POSTER

Keywords: bound theses, pdf submissions, Promoting the IR

Presentation: In-person

Presentation Type: Individual

Presentation Format:

CONNECTING STUDENTS TO THE JACKSONVILLE UNIVERSITY'S INSTITUTION REPOSITORY



Abstract

Jacksonville University's Institutional Repository. Managed by the library, our repository is still in its early stages; however, it is growing. This discussion will include the process of finding the right hosting platform for our institution, the progress that we have made managing the repository and the future for the repository.

In terms of repository participation, the departments that have graduate studies at Jacksonville University vary in the formats in which they submit theses. Some are still submitting in physical bound copies; others are submitting in pdf and still others not submitting at all. The challenge has been bringing the non-submitting departments on board and transitioning the bound copy submissions to pdf.

Background

Jacksonville University's (FL) Carl S. Swisher Library has been collecting and cataloging print Theses since the 1962. The subjects include biology, choreography, engineering, fine arts, nursing and Physics. In July 2018, a variety of Institutional Repository platforms were researched.

Objectives

The objective was to find a platform that would fit our needs as they are currently and the foreseeable future. The University was and is at the present day growing their degree offerings. Once a platform was chosen a proposal was written to demonstrate the structure of the new electronic institutional repository and why the platform was chosen. The other objective was getting students to use it. Of course!

Methods

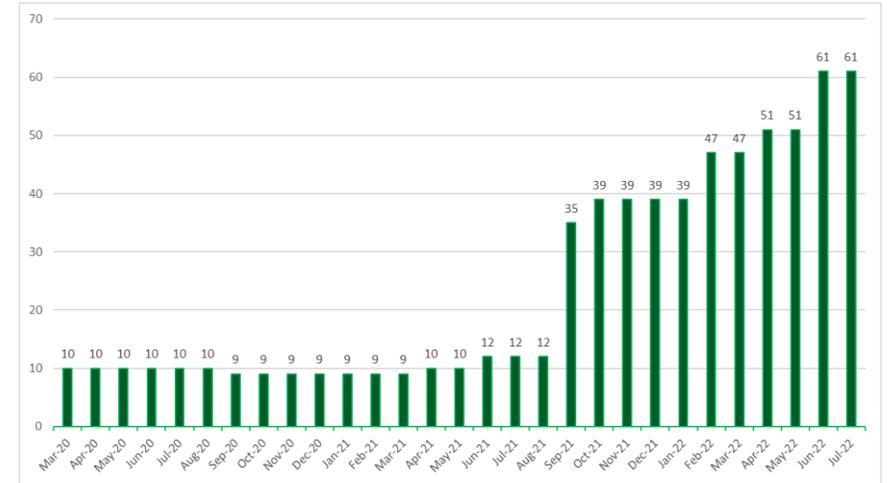
- Meetings with my director regarding what the University was looking for
- Researched Departments that required Thesis, Dissertations, or other final project requirements.
- Researched other universities and colleges institutional repositories
- Set up in person and phone meetings with sales representatives that included demonstrations of Proquest Open Dissertation, ProquestETD, CONTENTdm, DSpace, Bepress.
- The library promotes the Institutional Repository each Fall and Spring semester in its newsletter.
- The Access Services Librarian created a Research Guide,

Results

The proposal to implement an institutional repository was accepted with CONTENTdm as the platform. It was chosen for its ease of use and, price and that it fit the need of the university. Each Year has seen steady growth. In 2020 Jacksonville University contracted with CONTENTdm. However, before the Institutional Repository could be promoted the Covid-19 closed the library. The small number of theses that were on the platform during this time were from our previous trial period. Since after midterms of 2021, there has been a steady increase.

Conclusions

Since this institutional repository has been implemented, the students who submit papers are from the Marine Science and Nursing /DNP programs. There is not a set time to expect thesis or DNP to arrive. The word is getting out and the repository is being used with little difficulty. Future plans for the repository include transiting print format submissions to electronic, accepting faculty conference papers, digitizing print theses and perhaps undergrad conference and symposium presentations.



Jacksonville University institutional repository deposits April 2020-July 2022



Institutional Repository

- Home
- Dissertation and Thesis Policy
- Dissertation and Thesis Submission
- Citations
- Digital Repository

Contact

Allison Crawford
Access Services Librarian
904-256-7934

Welcome

Welcome to the Swisher Library's Institutional Repository website. Here graduate students will find the details for submitting final documents (i.e. thesis, dissertation, capstone, etc.) and other resources.

Contact information:

Allison Crawford, M.Ed., MLIS acrawfo4@ju.edu

Institutional Repository Research Guide

POSTER 2

ETD Topics and Keywords Search Results Revealed the Increasing Need for an Asian American Studies Degree Program. Virtual presentation by Boutsaba Janetvilay ([California State University, Fresno Library](#)).

Abstract. A Cataloging and Metadata Librarian conducted a simple analysis of the trending subjects and keywords used in students' electronic theses and dissertations. Using nine major keywords that are relevant to the subject area of Asian American studies the results indicated among the top five across the overall California State University ScholarWorks system. The observations provided two folds; the need for a degree in Asian American studies with an emphasis on Hmong and Lao studies and the need to improve on Ethnic Studies. With the California statewide implementation of the Ethnic Studies requirement, the author is seeking evidence to propose a degree program with an emphasis on local history based on the revealing needs of the region.

Track: POSTER

Keywords: Impact of ETDs, Research practices, degree program, Asian American Studies, Ethnic Studies

Presentation: Virtual

Presentation Type: Individual

Presentation Format:

ETD Topics and Keywords Search Results Revealed the Increasing Need for an Asian American Studies Degree Program.

A poster presentation at the Twelfth Annual Conference United States Electronic Thesis and Dissertation Association, September 21–23, 2022 Cleveland, Ohio, and Virtual.

MAKING CONNECTIONS: Scholarly Communication in the Digital Age

Boutsaba Janetvilay, MLIS, MAEd.

Cataloging/Metadata Librarian
California State University of Fresno, Library



Introduction

A simple analysis of the trending subjects and keywords used in students' electronic theses and dissertations revealed program needs and improvement. Using nine major keywords that are relevant to the subject area of Asian American studies the question is how frequently the terms were used. Can the result serve as evidence and help develop a prospect for Asian American Studies major at Fresno State?

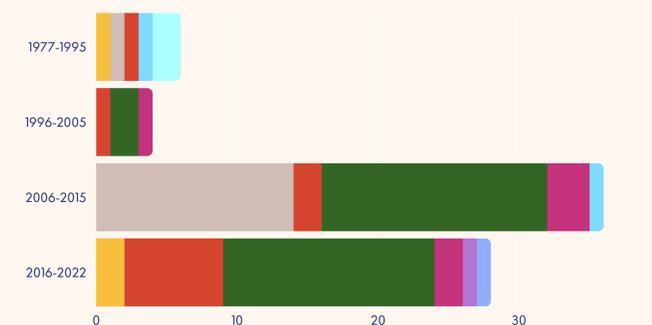
Objective

The objective of the study is to find proof and evidence that clearly indicate the need for a degree in Asian American studies. By examining the use of the nine terms, from 1977 to the present the study hopes to reveal content relevant to the needs for Asian American studies as well as improve Ethnic Studies. The university serves a local community that is predominate of Southeast Asian descent. The purpose of the study is to find some evidence of more ETDs focused on Asian American topics.

Analysis

The nine terms were: "Asian American studies," "Asian American," "Southeast Asian," Hmong, Lao, Cambodian, Khmer, and Vietnamese. The most prominent indication is Hmong, showing an increase used from 2006-present as highlighted in green, followed by "Asian American" (tan), and "Southeast Asian" (orange).

The Asian American related terms analysis indicated increasing frequent occurrence of Hmong, Asian American, and Southeast Asian.



Methodology

- A thorough search was conducted to identify literature that has been published about Institutional Repositories, content, and data analysis. The nine most relevant terms of the Asian Americans of Southeast Asian ethnic groups in the local community of Fresno were identified as the highly dominant populations to study. A simple search on CSU ScholarWorks provided results of frequently used of these terms by year. The years were broken into four decades, except from 1977-1995 due to low occurrence of terms. The examination process includes data collecting on a spreadsheet and comparing the ranges of numbers that occurred throughout the last 45 years. Further data analysis needs to include the entire California State University ScholarWorks result for an indepth examination for the development of Asian American program degree studies for Fresno State.

Fresno State student population 2020/21

Ethnicity

| | | |
|-----------------------|--------|-------|
| African American | 706 | 2.8% |
| American Indian | 84 | 0.3% |
| Asian | 3,039 | 12.2% |
| Hispanic | 13,999 | 56.1% |
| Pacific Islander | 40 | 0.2% |
| White | 4,430 | 17.8% |
| Other/ Unknown | 1,488 | 6.0% |
| Non-Resident Alien | 1,160 | 4.7% |
| International Student | 512 | 2.1% |

Results/Findings

The analysis of the nine terms revealed the increasingly frequent use of the term Hmong as the highest, followed by Asian American, and Southeast Asian. The data provided a small indication that there is an increasing desire for emphasis in the field of Asian American topics or area studies. The Institutional Repository student's ETD data indicated a possibility and potential of further study to find evidence in support of the development of Asian American studies degree major.

- The emphasis on Asian American studies in Southeast Asian American
- Hmong, being the most frequent occurrence term
- Need to improve Ethnic Studies

Conclusion

The observations provided two folds; the need for a degree in Asian American studies with an emphasis on Hmong, and Southeast studies, and the need to improve on Ethnic Studies. With the California statewide implementation of the Ethnic Studies requirement in 2021, the author is seeking evidence to propose a degree program with an emphasis on local history based on the revealing needs of the region. Based on the findings from the Fresno State ScholarWorks there is definitely a need to further investigate the development of Asian American studies with an emphasis on Hmong and Southeast Asian studies. Further studies are also required for more context and content used as evidence to support the need for the development of the degree program as well as Ethnic Studies.

Related literature

Bhardwaj, Raj Kumar. Content Analysis of Indian Research Data Repositories: Prospects and Possibilities. DESIDOC Journal of Library & Information Technology. Nov2019, Vol. 39 Issue 6, p280-289. 10p.

POSTER 1

If ETD Data Falls in a Generalist Repository, Does It Make a FAIR Sound? Presented by Andrew Mckenna-Foster ([Figshare](#)).

Abstract. For the past 10 years and continuing today, researchers and their support services are adapting to the paradigm of open science and open data. However, creating FAIR (<https://go-fair.org>) data remains challenging. Graduate students, as potential future full-time researchers, are a population that should show proficiency in data sharing and can greatly benefit from the practice. Sharing data, media, and other non-traditional outputs (NTRs) associated with an electronic thesis or dissertation (ETD) helps students display expertise early in their careers and provide credibility for their work. We were interested in assessing how well graduate students are adhering to the FAIR principles when sharing NTRs, if there is change over time, and if it matters where the records are shared. In this poster, we examine metadata records for ETD data and other outputs and compare metadata quality for records shared directly by students and those shared through an institutional repository. **Methods:** The Figshare platform offers an ideal set of records to examine because it is used by individual researchers ([figshare.com](#)) and for institutional repositories. We used the Figshare API to collect a sample of 710 ETD records and 46 ETD collections and we programmatically and manually evaluated the metadata. **Results:** We find that records shared in institutional repositories have significantly richer metadata than those from [figshare.com](#) and a higher number of views per month, likely illustrating the positive impact of librarians and curation on the FAIRness of outputs. A major area for improvement across all records is appropriate linking to related digital records. We offer suggestions for both data sharing practitioners and the Figshare platform on ways to encourage and apply more FAIR sharing practices.

Track: POSTER

Keywords: ETD datasets, metadata assessment, generalist repository, institutional repository

Presentation: In-person

Presentation Type: Individual

Presentation Format:

If ETD data falls in a generalist repository, does it make a FAIR sound?

Andrew Mckenna-Foster  0000-0001-7641-6588  6 Briset Street, London, EC1M 5NR, UK

ABSTRACT

For the past 10 years and continuing today, researchers and their support services are adapting to the paradigm of open science and open data. Graduate students, as potential future full-time researchers, are a population that should show proficiency in data sharing and can greatly benefit from the practice. In this poster, we examine metadata records for ETD data and other outputs and compare the FAIRness of records shared directly by students and those shared through an institutional repository. We find that records shared in institutional repositories have significantly richer metadata and a higher number of views per month, likely illustrating the positive impact of librarians and curation on the FAIRness of outputs. We offer suggestions to encourage and apply more FAIR sharing practices.

METHODS and RESULTS

We harvested metadata for Datasets, Figures, and Media shared in the Figshare repository universe. Figshare is used by individual researchers to share outputs through personal accounts and licensed by institutions for data or generalist institutional repositories. All are searchable through the interface or API.

DATA COLLECTION

The Figshare API provides programmatic access to public metadata records. We retrieved 2,606 records searching for "thesis OR dissertation" anywhere in the metadata. We manually confirmed that 709 records were related to a thesis or dissertation and assessed those records' metadata for richness and interoperability.

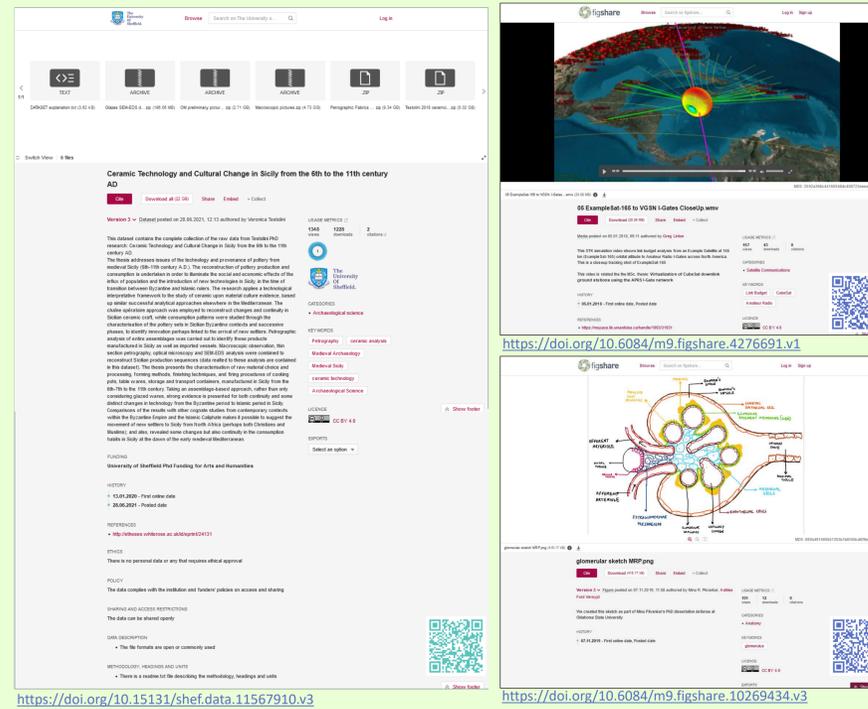


Figure 1. Example records. A) Dataset from an institutional data repository, B) Media from figshare.com, C) Figure from figshare.com

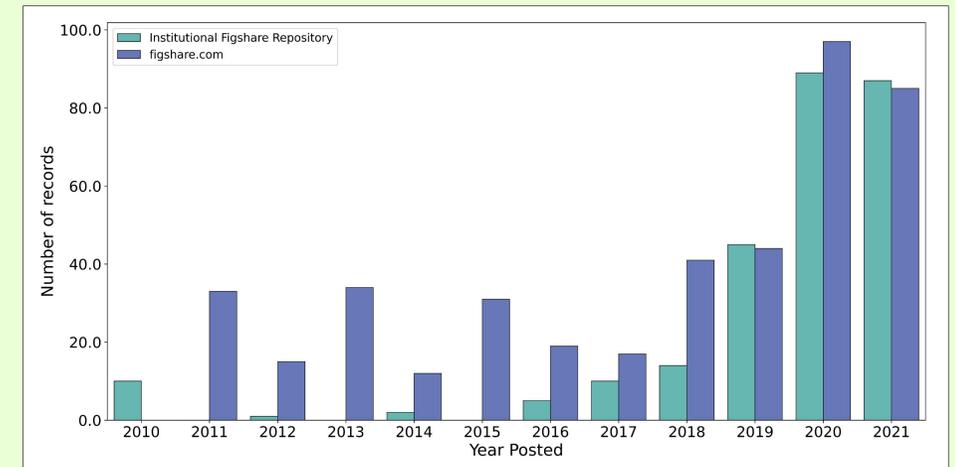


Figure 3. The number of records posted over time equalizes for institutional repositories and figshare.com after 2018.

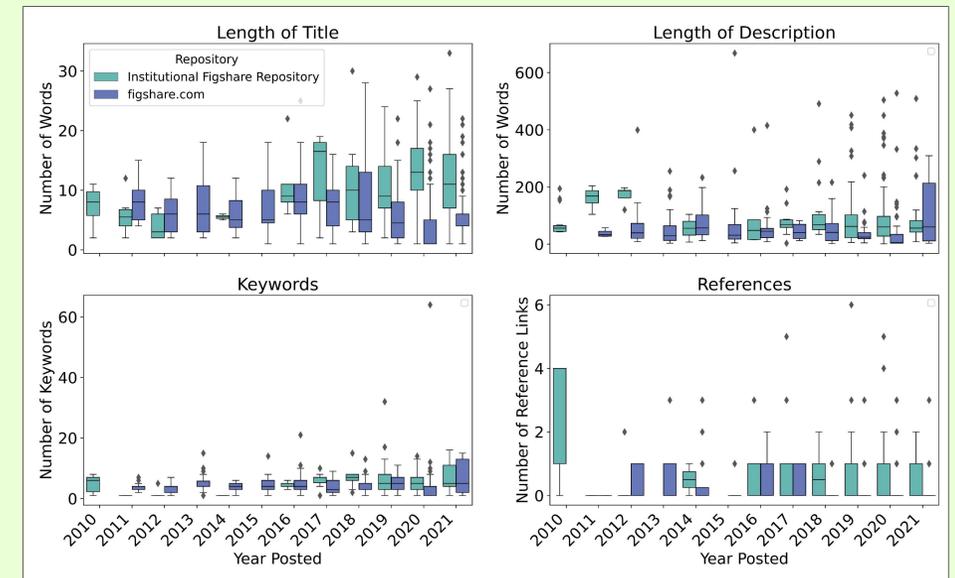
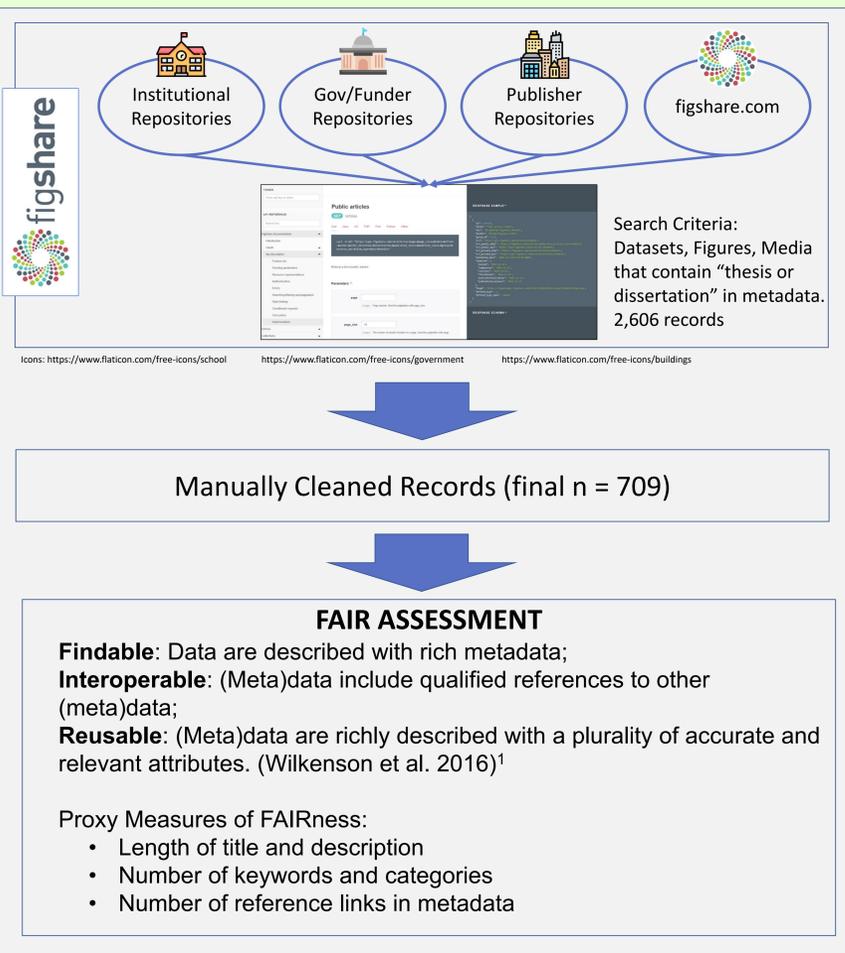


Figure 4. An assessment of metadata richness and interoperability over time shows some improvement in institutional records and no clear pattern for figshare.com records.



DATA AVAILABILITY

Data and code are available here: <https://doi.org/10.6084/m9.figshare.16766932>



1. Wilkinson, M. D., Dumontier, M., Aalbersberg, I. J., Appleton, G., Axton, M., Baak, A., Blomberg, N., Boiten, J.-W., da Silva Santos, L. B., Bourne, P. E., Bouwman, J., Brookes, A. J., Clark, T., Crosas, M., Dillo, I., Dumon, O., Edmunds, S., Evelo, C. T., Finkers, R., ... Mons, B. (2016). The FAIR Guiding Principles for scientific data management and stewardship. *Scientific Data*, 3(1), 160018. <https://doi.org/10.1038/sdata.2016.18>

CONCLUSIONS

- ETD related data shared through an institutional repository are FAIRer than those shared by individual students in a generalist repository.
- Records from institutional repositories have higher views per month.
- There does not seem to be an increase in metadata richness or interoperability for student shared records over time.

How Figshare interprets and has applied these results:

- Records should include descriptive titles, background and methods in the description, five or more keywords, and reference links to related objects.
- New user interface for metadata entry is already under development and should help students apply metadata more effectively
- Added a new help page for graduate students sharing their research
- Planning future webinars for both students and library curators.

Figure 2. Box plots of proxy measures for FAIRness show institutional records are FAIRer and receive more views per month. The horizontal line within each box is the median, the upper and lower box ends represent 75% and 25% of the data respectively, and the vertical lines indicate the highest and lowest values up to 1.5 times the height of the box. Points outside that range are outliers and are represented as diamonds. * $p < .006$

POSTER 3

Vireo 4: Connecting Diverse Parts of Organizations to Customizable ETD Submissions. Presented by Emily Wuchner (University of Illinois at Urbana-Champaign Graduate College) and Courtney Mumma (Vireo/Texas Digital Library).

Abstract. In 2010, the Texas Digital Library (TDL) released the first version of Vireo—open source software developed to ease the electronic thesis submission and review process, as well as to deposit the final document in the institutional repository. Now, a decade and a few versions later, TDL and the broader community of open source developers have released Vireo 4, which introduces a number of new features. These updates continue to ease the submission and review process for students and thesis reviewers as well as continue to archive student works in repositories. For instance, Vireo 4 users can create independent workflows (based on submission type, college, degree, etc.) that enable institutions to collect different information based on submission type. So, for example, an institution can collect different information from doctoral students than master’s students at the time of document submission. While in Vireo 3 students typed information such as committee member names, email addresses, and department names, in Vireo 4, institutions can upload lists of controlled vocabulary that display as drop-down menus for student use, thus providing consistent spelling and terminology and reducing metadata editing.

This poster will offer a side-by-side comparison of Vireo 3 (released in 2015) to Vireo 4 (released in 2020). Using visuals from the interface and descriptions, we will highlight these updates to help users better understand the changes and how they might be applied and customized. We will also share tips and best practices for implementing Vireo 4 at different institutions. Our poster will appeal to all Vireo users, as well as non-Vireo users interested in learning more. Building connections between students, thesis reviewers, the repository, and the public is one of the core goals of Vireo. Now with the new features available in Vireo 4, institutions can create even stronger connections to further this goal.

Track: POSTER

Keywords: Vireo, open-source, TDL, ETD software

Presentation: In-person

Presentation Type: Individual

Presentation Format:

Poster Presentation

Vireo 4: Connecting Diverse Parts of Organizations to Customizable ETD Submissions.

Presented by Emily Wuchner (University of Illinois at Urbana-Champaign Graduate College) and Courtney Mumma (Vireo/Texas Digital Library).

Video available online at https://youtu.be/wltBxwp_Ril

WORKSHOP

Hybrid Writing Boot Camp. Presented by Emily Redd (East Tennessee State University Graduate School) and Virginia Foley (East Tennessee State University Educational Leadership & Policy Analysis). Moderator: Cynthia Tindongan.

Abstract. The Graduate School at ETSU started the first Thesis and Dissertation Boot Camp program in the fall of 2012 by organizing a team of dedicated faculty and staff to promote the Boot Camp and to run its sessions. Boot Camp at ETSU has since had great success with participation, positive student feedback, and student success. We have had 580 total registrations and 386 unique participants in Boot Camp from all stages of the writing process and of those who were close to finishing, 194 have graduated, many of whom have credited the Boot Camp program with their success. We advertise to all ETSU graduate students working on a major research project and to local and regional institutions. Students from all of these groups have participated.

The COVID-19 pandemic required faculty and staff at East Tennessee State University to rapidly adapt and update how we meet student needs. In this presentation we will provide an update on how our boot camp has evolved to a hybrid camp, due to COVID-19, and will also detail how, what, when, and who is involved in setting up and running our boot camps in addition to providing an overview of our optional workshops that are offered during each session.

This workshop is intended to be interactive, so questions will be proposed throughout the presentation to explore the variety of options and best practices for boot camps at other institutions.

First, participants will be asked to reflect on the resources they have or know of at their own institutions:

1. Activity 1 - Reflective

- a. List as many resources you know of on your campus that help writers
- b. List spaces on your campus that could hold a camp but also provide the right environment
- c. List faculty or staff that are motivated and want to help
- d. What types of students need the most help (certain disciplines, demographics, etc.)?

Second, participants will be divided into groups to discuss their lists

2. Activity 2 - Divide into groups and discuss lists

- a. Those that do not have a Boot Camp, or are not sure if it's even needed
- b. Those that have been thinking about or have tried Boot Camp and can't get it started
- c. Those that have a Boot Camp and want to improve it or share best practices

*** [BREAK] ***

Third,

3. Activity 3 - Participants will be asked to create a pilot for their Boot Camp. Remove all barriers and imagine what the ideal Boot Camp looks like at their institutions.

Lastly, we will go around the room and do a Q & A, share thoughts and ideas about the workshop and if it sparked plans, or revealed the need for more research, then create a final to-do list to take back.

4. Take Away – go back and...

a. Gather data. Who needs the most help at your institution?

b. Reach out for support and volunteers

c. Tour spaces

d. Run a pilot. Why not?!?

Track: WORKSHOP

Keywords: boot camp, graduate school, graduation, writing, thesis, dissertation

Presentation: In-person

Presentation Type: Individual

Presentation Format:



EAST TENNESSEE STATE
UNIVERSITY

HYBRID WRITING BOOT CAMP

Emily Redd, Publications and Special Projects
Coordinator, Graduate School, East Tennessee State
University

Dr. Virginia Foley, Associate Professor, Faculty, East
Tennessee State University

Boot Camp Origin: What and Why?

- 2010-2011, Graduation and retention rates were low among nursing and education graduate students
 - Completing coursework but not starting or finishing thesis/dissertation
 - Working professionals
 - Full time jobs
 - Families
- Dedicated space, time, and resources to help graduate students finish major research projects



Boot Camp Overview

- *Who:*
 - Graduate School Dean,
 - Thesis/Dissertation Coordinator/Graduate School staff,
 - ETSU faculty,
 - Graduate Student Research and Instruction Librarian, and
 - Center for Academic Achievement (writing center) Director
- *Where:* Campus library, reserved spaces with catering
- *When:* Friday evenings, Saturday days (best for working professionals)
- *How:* Logistics are handled by Graduate School staff
- Fall 2012 – Launched first boot camp, open to all disciplines



Boot Camp Evolution

- Original model (2012-2020):
 - \$150 fee for catering, 4 weekends, focus on space and time away from distractions
 - In-person orientation, workshops, and check-ins were held throughout each camp
 - “Homework” submissions via D2L (Desire2Learn) requested for those who needed accountability
- 2018:
 - Registration started to dwindle as catering costs increased
 - Originally, 16 registrants were required to cover catering, but that increased to 18-20
 - No-fee camps were discussed
 - 16 registrants in the fall of 2019, and 19 in the spring of 2020



COVID-19



- Fall 2020 Virtual Boot Camp model
 - Free
 - Focus was on dedicated time and making progress
 - Pre-boot camp tasks were to prepare devices, Zoom technology, spaces, and meals ahead of time
 - Zoom orientation
 - Zoom workshops
 - Zoom check-ins
 - Homework submissions via D2L continued and accountability check-in forms were used
 - This weekend, I accomplished...; I'm still having trouble with...; I'd like to know more about/get help with...
 - 60+ registrants both semesters



Hybrid Boot Camp

- Fall 2021 Hybrid Boot Camp model
 - Hybrid = identical and concurrent offerings via Zoom and in-person
 - Free
 - Focus was on dedicated time and making progress
 - Pre-boot camp tasks were to prepare devices, Zoom technology, spaces, and meals ahead of time
 - Hybrid orientation
 - Hybrid workshops
 - Hybrid check-ins
 - Homework submissions via D2L continued and accountability check-in forms were used



Workshops

- Getting Started
- Choosing the Topic
- Researching the Topic
- Graduate Student Writing Basics
- IRB Process
- Literature Review
- APA Workshop
- Qualitative Research Methods
- Overview of Statistics
- How to Revise/Proofread Your Own Writing
- Thesis/Dissertation Submission and Review Process
- Defense Preparation





Boot Camp: Does it Work?

- 580 total registrations and 386 unique participants from all stages of the writing process
- 194 have graduated, many of whom have credited the Boot Camp program with their success.



Activity 1 - Reflective

- List as many resources you know of on your campus that help writers
- List spaces on your campus that could hold a camp but also provide the right environment
- List faculty or staff that are motivated and want to help
- What types of students need the most help (certain disciplines, demographics, etc.)?



Activity 2 - Groups

- Divide into groups and discuss lists
- Group 1: Those who have no Boot Camp, or are not sure if it's even needed
- Group 2: Those who have been thinking about or have tried Boot Camp and can't get it started
- Group 3: Those who have a Boot Camp and want to improve it or share best practices



Activity 3 – Create a Pilot

- In an ideal world...
 - Who, what, where
 - Logistics
 - Goals
 - Outcomes



Q & A and Take Away

- Q & A, share ideas
- Go back and...
 - Gather or review data. Who needs help?
 - Reach out for support and volunteers
 - Determine who can handle logistics
 - Tour spaces
 - Run a pilot – why not?!?!



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Boot Camp Website:

<https://www.etsu.edu/gradschool/etd/bootcamp.php>



PLENARY PANEL DISCUSSION 2

Dancing with the Stakeholders: An Interactive Discussion on Types of ETD Stakeholders and How They Can Affect ETD Management. Guided by G.W. Swicord ([University of Florida Libraries](#)), additional panelists include Stacy Wallace ([University of Florida Graduate School](#)), Lily Compton ([Iowa State University Graduate College](#)) Emily Flynn ([OhioLINK](#)). Moderator: Emily Wuchner.

Abstract. The methodologies for managing ETD collections vary widely across institutions. For many (most?), when they think of those differences, they are thinking about the workflows needed for the various platforms used by their organizations and the possibilities for efficiency gains. Technical requirements are very important. So is the organizational context. In this Talkshop, we will discuss the number and nature of the stakeholders that ETD staff can have. Whose voices are loudest? How do you relate to those different stakeholders? Do any of your stakeholders support one another in managing their submission workflows? Does your platform affect the types of stakeholders you have or add stakeholders other than the platform vendor or local coding team?

Track: PLENARY

Keywords: Inter-organizational relations, Organizational behavior, Stakeholder management

Presentation: In-person

Presentation Type: Panel

Presentation Format: Extended

Welcome to Dancing with the Stakeholders



A free-wheeling discussion of the
role-holders and organizations
surrounding ETD processes

USETDA 2022

Cleveland, OH and online

Housekeeping

- Our technical moderator is Emily Wuchner
 - Associate Director for Student Experience, Graduate College
 - University of Illinois Urbana-Champaign
- She is wrangling slides for the panel
- Online participants can message her to ask questions of the panel and for help with using Hopin



UNIVERSITY OF
ILLINOIS
URBANA-CHAMPAIGN

Today's Panelists

G.W. Swicord

- Theses and Dissertations Project Manager
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- Iowa State University Graduate College



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Emily Flynn

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- OhioLINK



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- UF Graduate School



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Let's talk about ETD stakeholders

- Who are your stakeholders?
 - How many are there?
 - How do you relate to different ones?
- Do any of your stakeholders support one another in managing their submission workflows?
 - Common editorial offices?
 - Shared training for students?
- How does your platform affect the number and nature of your stakeholders?
 - Vendor coders, local, both?
 - Platform choices made for you?
- Does your institution's structure make it easier or harder to work with your stakeholders?
 - High autonomy for all units, for degree grantors but not you, for no one outside upper admin?

Wrapping up

- Please feel free to contact any or all of our panelists after the conference:
 - Lily Compton, lcompton@iastate.edu
 - Emily Flynn, eflynn@ohiolink.edu
 - G.W. Swicord, gswicord@ufl.edu
 - Stacy Wallace, beloved@ufl.edu
- If you haven't already done so, please consider joining <https://groups.google.com/forum/#!forum/irmanagers>
 - It's a great place to ask questions about ETD processes
 - G.W. hopes to use today's session to help build an environmental scan of stakeholder contexts in our community and will announce it there
 - If you don't want to join another listserv but are interested in participating, please feel free to email gswicord@ufl.edu

PLENARY PANEL DISCUSSION 1

ETD Formatting and Reviewing: Hot Topics and Questions. Presented by Larry Tague (University of Tennessee Health Science Center - College of Graduate Health Sciences), Sally Evans (George Mason University Library), Stacy Wallace (University of Florida Graduate School), Ericka Findley (University of Utah Graduate School) and a LaTeX Support/Product Specialist (Overleaf). Moderator: Lily Compton.

Abstract. The primary objective of ETD formatting and review programs is to assist and instruct students in the process of creating a presentable and functional book about their academic research adventures. This exercise not only helps the student with future professional endeavors but also provides a public example of a quality publication from the academic institution.

With the above criteria in mind, the panel moderator will focus the discussions using topics and questions associated with the formatting and review process assigned to ETD program directors and their staff. Formatting and review models will be provided by four panelists representing institutions with less than 100 ETDs/year to over 1200 ETDs/year. The needs of these groups vary depending on institutional support and differences in process requirements. Panelists, representing these groups, will provide a very brief history of their ETD program, and their formatting and review model which will be made available to the audience before the panel presentation. The panel moderator will provide the audience with a 3 minute overview of the panel process. Each panelist will have 3 minutes or less to present their model during the panel presentation; adding support to their written information if needed. The panel moderator will ask each panelist (individually) four questions based on the history and models of the four ETD programs. These questions will be determined prior to the USETDA conference with the consent of the USETDA Formatting Group. Each panelist will have one minute to respond to each question (16 minutes for all questions). The last phase of this presentation (~29 minutes) will entertain questions and comments from the audience for either specific panelists or all panelists to answer. The process will be controlled by the moderator.

This panel will bring selected topics and questions about formatting and reviewing to the attention of our ETD community through the USETDA annual meeting. It will provide information to ETD programs large or small that will help them achieve the goal set forth at the beginning of this abstract. Moderator: Lily Compton (ETD and Graduate Communications Director, Iowa State University).

Track: PLENARY

Keywords: ETD formatting, ETD reviewing, ETD process management, Large ETD programs, Small ETD programs

Presentation: In-person

Presentation Type: Panel

Presentation Format: Extended



University of Tennessee Health Science Center
UTHSC Digital Commons

ETD Conferences and Academic Works

College of Graduate Health Sciences

Fall 9-16-2022

ETD Formatting and Reviewing: Hot Topics and Questions

Larry Tague

Sally Evans

Lily Compton

Stacy Wallace

Ericka Findley

See next page for additional authors

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Authors

Larry Tague, Sally Evans, Lily Compton, Stacy Wallace, Ericka Findley, and Lee Spence

UNIVERSITY OF TENNESSEE HEALTH SCIENCE CENTER
GEORGE MASON UNIVERSITY
IOWA STATE UNIVERSITY
UNIVERSITY OF FLORIDA
UNIVERSITY OF UTAH
OVERLEAF



ETD Formatting and Reviewing: Hot Topics and Questions

A Panel Discussion

Authors and Emails: Larry Tague (Editor), Sally Evans, Lily Compton, Stacy Wallace, Ericka Findley, Lee Spence

September 2022

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Dedicated to all of the ETD administrators
who work tirelessly to provide graduate
students with functional and well formatted
theses and dissertations

Preface

One of the most important products from university graduate programs is highly qualified professionals. Ultimately, student success is one measure of a university's academic quality. But another measure of academic quality is the institution's online continuous display of ETDs. This display is a public picture of content and style representing the students and their university. Thus, ETD administrators are tasked not only with the format reviews but also the continuous improvements in all aspects of the ETD workflow to ensure the integrity of their institutions' public-facing ETDs.

To facilitate the plenary discussion about ETD formatting and reviewing for different sized institutions at the USETDA Conference, each chapter of this manuscript, except for one, provides a brief ETD administrator sketch of their university ETD formatting and review process that produces varying numbers of ETDs per year. The additional chapter, provided by the Overleaf panelist, describes how the Overleaf free tool-set can support the ETD formatting and review process.

This information along with a **Q & C survey** (Questions and Comments) is available to all USETDA conference registrants prior to the conference for their questions and comments. Asking questions or providing as many comments as possible prior to the panel discussion will help to make this program a successful event.

We invite you to consider the following questions and thoughts as you review the information:

- Is ETD capacity tied to ETD process management, or is it only tied to the human financial support of these programs?
- Does your university consider its ETD formatting and review process to be an asset or a liability?
- How is your ETD program organized?
- How well is your review process working?
- Do you have enough support relative to reviews and reviewers to produce high-quality and reader functional digital manuscripts?
- How do the campus-wide stakeholders coordinate their efforts to assist students and faculty with ETD creation, formatting, and review?

- Does your university invest in innovative ETDs?
- Is the quantity of ETDs produced inversely proportional to quality?
- What criteria should we consider in efforts to improve styles (formatting) and reader functions?
- What role should ETD administrators play in improving the universities' ETD products?

Collecting ETD formatting and reviewing information allows administrators and institutional ETD stakeholders to examine different university methods, and question, comment, or make suggestions. By actively participating in this panel discussion, we hope you will be better equipped to provide constructive advice with documented examples to your own stakeholders and for your own ETD programs.

This manuscript will be expanded after the 2022 USETDA conference to integrate gaps brought up during the plenary discussion. Subsequently, each of the initial chapters in this manuscript will be finalized as the first version of this e-book to recognize the original authors' contributions. It is our intention that this e-book will be presented as an open project. After the first version has been published, we invite ETD administrators and universities to participate in this project by submitting a chapter about their own practices. This e-book will be constantly evolving as contributions are accepted and authors' updates are provided annually.

Acknowledgements

First, we would like to thank John Hagen for having the vision to use this abstract topic for a plenary. We share his passion for demystifying some of the electronic thesis and dissertation (ETD) workflows and concerns. Through this plenary, we aim to better understand some of the different workflows institutions have.

Next, we want to thank the University of Tennessee Health Science Library, along with Digital Commons for hosting our e-book project, and we would like to thank Overleaf for providing a functional and collaborative LaTeX environment for the writing. We believe that this e-book will be a valuable and evolving resource for all the ETD administrators who may be reconsidering a change in their existing workflow as well as those who are just beginning in their positions and do not know where to begin. We recognize that this is a specialized field that is not well-known and hope that they will find a community through the contributors of this e-book and the USETDA.

Finally, we want to thank our respective institutions, the University of Tennessee Health Science Center, George Mason University, Iowa State University, the University of Florida, and the University of Utah, for the opportunity to oversee our ETDs and their trust in us to maintain institutional standards. Without professional support from our supervisors, colleagues, and campus collaborators, this e-book would not be possible. Their willingness to share their insights and provide professional development opportunities have allowed us to increase our knowledge about ETD issues beyond margins and line spacing.

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List of Abbreviations

| | |
|--------|---|
| Bb | Blackboard |
| CGHS | College of Graduate Health Sciences |
| ETD | Electronic Thesis and Dissertation |
| ETDLP | Blackboard Electronic Thesis and Dissertation Learning Portal |
| GMU | George Mason University |
| IR | Institutional Repository |
| ISU | Iowa State University |
| MS | Microsoft |
| MST | Microsoft Team(s) |
| UDTS | University Dissertation and Thesis Services |
| U of U | University of Utah |
| UTAH | University of Utah |
| UTHSC | University of Tennessee Health Science Center |

Chapter 1

The University of Tennessee Health Science Center (UTHSC): ETD Formatting and Review Process

Author: Larry Tague, ETD Program Director and Assistant Dean for Academic Affairs, College of Graduate Health Sciences (CGHS)

This chapter is an abbreviated overview of the UTHSC ETD formatting and review process to support the USETDA plenary panel discussion "ETD Formatting and Reviewing: Hot Topics and Questions".

All ETDs processed for UTHSC are managed through the College of Graduate Health Sciences (CGHS). Currently, the CGHS processes approximately 30-50 ETDs per year. Our **ETD Repository** is managed by the UTHSC Library's Archivist and Special Collections Librarian via Digital Commons (Elsevier) .

As you peruse the UTHSC overview along with the other ETD formatting and reviewing overviews, please take note of questions and comments you have for our USETDA plenary panel and add them to this **Pre-Panel Q & C Survey** (Questions and Comments). Questions or comments prior to the panel discussion will assist in making this a more useful event. This Q & A Survey link is also available at the beginning of all formatting and review Overviews, but please collect all of your questions and comments for all overviews you peruse before responding to this survey. Thanks for your assistance.

1.1 Evolving Theses and Dissertations on the UTHSC Campus: A Brief History

After one year (1996-1997) of evaluating the potential for an ETD program, ETDs became optional in 1998, and two ETDs were posted (1998) to a web server <https://etd.uthsc.edu> hosted by the Department of Physiology which was retired in 2016. Today, for legacy readers, that same address now forwards to our UTHSC Digital Commons Institutional Repository (IR) address.

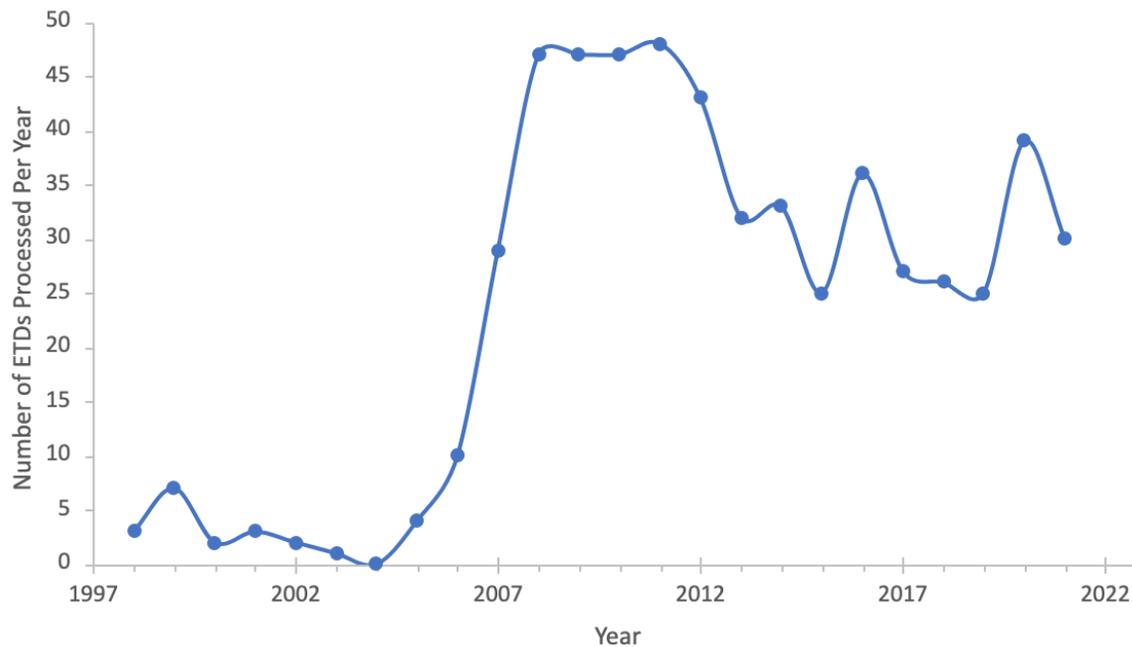


Figure 1.1: UTHSC ETDs Processed Per Year.

During the past 23 years the number of ETDs that we process per year has varied from 0 to about 50; see **Figure 1.1**. Note in this figure that the number of ETDs began increasing a year before (2007) they became mandatory (2008), and the number of ETDs remained constant for several years. The number of ETDs began decreasing at the same time the university began moving many of its Master’s degree programs to Program Projects with capstone papers. Since we are only halfway through 2022, we may see as many as 40 ETDs in 2022. This increase in ETDs may be the result of a continuing increase in the number of graduate students. In 2007, we started requiring ETDs to be single-spaced documents. In May 2008 the Library stopped accepting paper copies.

1.1.1 Tools history

Tools for creating ETDs and formatting have also evolved. A Microsoft Word template was developed in 2009 to help alleviate many common formatting errors, and with minor edits, and an updated version is still being used. Even though the Word template was an improvement, the lack of transparency relative to Word’s hidden code, along with student template management issues, have been a continuing problem. Hence, in 2018 we subscribed to Overleaf and created our own LaTeX template based on LaTeX code originally created by Steve R. Gunn and modified into a template by Sunil Patel (<http://>

www.LaTeXtemplates.com/template/masters-doctoral-thesis) to better assist students with formatting and document organization.

1.1.2 Review process history

Our review process has also evolved over time. Until 2009, student ETD reviews were not limited by either the number of reviews or the total time needed. At the Dean's request, for more than a year we documented ETD review and administrative time for every ETD. From this data, the average time needed for each ETD plus a little extra was 12 hours. Students were informed that any review time needed past 12 hours would be their responsibility to secure private review at their expense. This policy is still in place and has worked well.

At one time, we had a review manager and as many as three reviewers, but with reduced student numbers, improved student training, better review strategy/policies, and added tools, we now have only one primary reviewer; our review manager. Processing ETDs from conception to acceptance "takes a village".

1.2 Administrative ETD Relationships and Process-Flow

Figure 1.2 illustrates our ETD stake holders and collaborators on and off campus. The task listed for the ETD Program Director and the ETD Review Manager under the Thesis/Dissertation Program constitutes 90% of all activities associated with ETDs. ETD functions between the Thesis/Dissertation Program and the Graduate Program Services is coordinated through the Checklist (**Figure 1.3**) in our ProQuest (Collaborator) Administrative account. Graduate Program Services manages and provides checkoff approval for non-ETD graduation requirements while the Thesis and Dissertation Program provide checkoff approval for everything associated with the ETDs. Once all requirements have been checked off the Assistant Dean for Academic Affairs sends an email signifying that the student is approved for graduation. Recipients of this email includes the student, all graduate college Deans, advisor, the Registrar's office (for diploma preparation), the Library, and the ETD Review Manager. The Dean then certifies the student's graduation. The month and year of this final approval is the date placed on the bottom of the ETD title page rather than the ceremonial date of graduation. The Assistant Dean for Academic Affairs then saves a copy of the student's ETD (pdf), the Declaration of Authorship, a file of proper names and degrees for the student's advisor and committee members, any supplemental data, and if Overleaf LaTeX was used, a zip file of these transactions to university cloud storage. In addition, the ETD in PDF/A-1b format along with all metadata are uploaded to ProQuest publishing with appropriate embargo if needed. The Assistant Dean for Academic Affairs then enters all metadata along with the abstract in an Excel spreadsheet shared with the Archival Librarian for transmission to Digital Commons for inclusion on our Institutional Repository.

University of Tennessee Health Science Center (UTHSC)

ETD Size: 50 average

THESIS/DISSERTATION PROGRAM

Assistant Dean for Academic Affairs and ETD Program Director



ETD Review Manager

- Collects demographic information from students
- Starts ETD training and reviews
- Assist with formatting issues
- Review formatting
- Request formatting changes with comments
- Manages formatting review cycles
- Compares ETD and ProQuest Abstracts
- Checks for copyright permissions in ProQuest and ETD
- Check formatting and content for ETD Approval and Declaration of Authorship (DOA) forms
- Collects digital approvals from advisor and committee for ETD and DOA
- Delivers ETD approvals to the Assistant Dean for Graduate Programs
- Manages additional ETD reviewers as needed

- Supervises and approves review manager's hours
- Reviews updates for guidelines, templates, training materials, etc.
- Schedules training events
- Configures resources for training and ETD reviews
- Liases with other collaborators
- Deals with special ETD issues
- Finalizes ETD reviews
- Approves embargo requests
- Submits graduation approvals to whom it may concern
- Delivers approved ETDs to ProQuest
- Delivers metadata and ETD documents to University Library via Microsoft SharePoint
- Populate spreadsheet with Digital Commons required content for ETDs (shared with University Library)

GRADUATE PROGRAM SERVICES

Assistant Dean for Graduate Programs



Program Coordinator

Program Coordinator

- Monitor exam results, paperwork, etc.
- Coordinate student progress and status with Program Directors
- Check off required paperwork in ProQuest Administrator

COLLABORATORS



ProQuest



University Library



UT Research Foundation (Patent Office)



UTHSC Legal Counsel



UTHSC Information Technology Services



UTHSC Teaching and Learning Center



Overleaf LaTeX



ETD Advisory Committee

Figure 1.2: UTHSC ETD Stake Holders

| Manage this ETD | Checklist: |
|---|--|
| View ETD details | <input checked="" type="checkbox"/> Embargo Note: <input type="text" value="None requested - LT - 9/3/22"/> |
| Assign administrator | <input checked="" type="checkbox"/> Received Report of Final Examination Note: <input type="text" value="fw-7/19/2022"/> |
| Add notes | <input checked="" type="checkbox"/> Received Approval Page (for dissertation/thesis) Note: <input type="text" value="fw-8/16/2022"/> |
| Edit tags | <input checked="" type="checkbox"/> Received Survey of Earned Doctorate (Ph.D.s only) Note: <input type="text" value="fw-7/19/2022"/> |
| View XML | <input checked="" type="checkbox"/> Received Permanent Address Form Note: <input type="text" value="fw-7/19/2022"/> |
| View checklist | <input type="checkbox"/> Received Graduate Student Clearance Form Note: <input type="text"/> |
| Decisions: | <input checked="" type="checkbox"/> Received Diploma Application Note: <input type="text" value="fw-7/19/2022"/> |
| Register decision | <input checked="" type="checkbox"/> Received Exit Interview Questionnaire Note: <input type="text" value="fw-7/19/2022"/> |
| View decisions | <input checked="" type="checkbox"/> Received Copyright Filing Payment (if applicable) Note: <input type="text" value="Help from PQ, but will most likely be changed to no."/> |
| Revisions/Changes: | <input type="checkbox"/> All degree requirements have been met; approved degree for conferral Note: <input type="text"/> |
| Revise details | <input checked="" type="checkbox"/> Review supplemental files Note: <input type="text" value="Admin and DOA approved - LT - 9/4/22"/> |
| Revise PDF | |
| Revise supplemental files | |
| Revise administrative documents | |
| Revise PQ publishing options | |
| View revision history | |
| View history | |
| View order | |

Figure 1.3: ProQuest Administrative Checklist

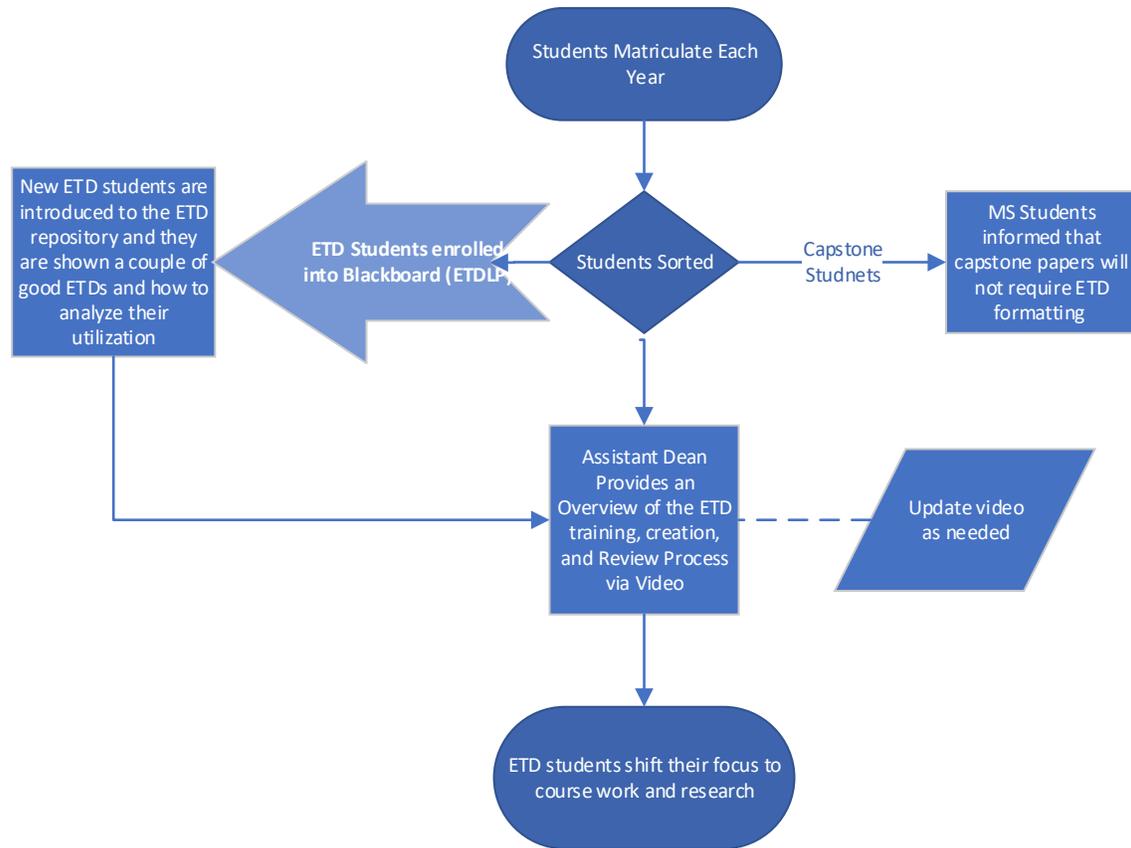


Figure 1.4: Matriculation: Introducing Students to the ETD

1.3 ETD Formatting and Review Process Training

1.3.1 Beginning with matriculation

Incoming students who must provide an ETD are introduced to our supported tools for ETD creation, formatting, reviewing, and archival. The flow chart shown in **Figure 1.4** illustrates the student ETD introductory process during matriculation.

Originally, the introduction of the ETD process for new students was accomplished by a live presentation which was recorded and moved to the Bb ETDLP, but the "live presentation" is being phased out for a recorded session that provides more detail and it is not limited by time. The recorded video is posted on the Blackboard ETDLP course site, but will soon be moved to the MST ETDLP. This will change the purpose, format, and time needed for the "live presentation" during matriculation.

Students are also presented with an **approximate** ETD process timeline (**Figure 1.5**

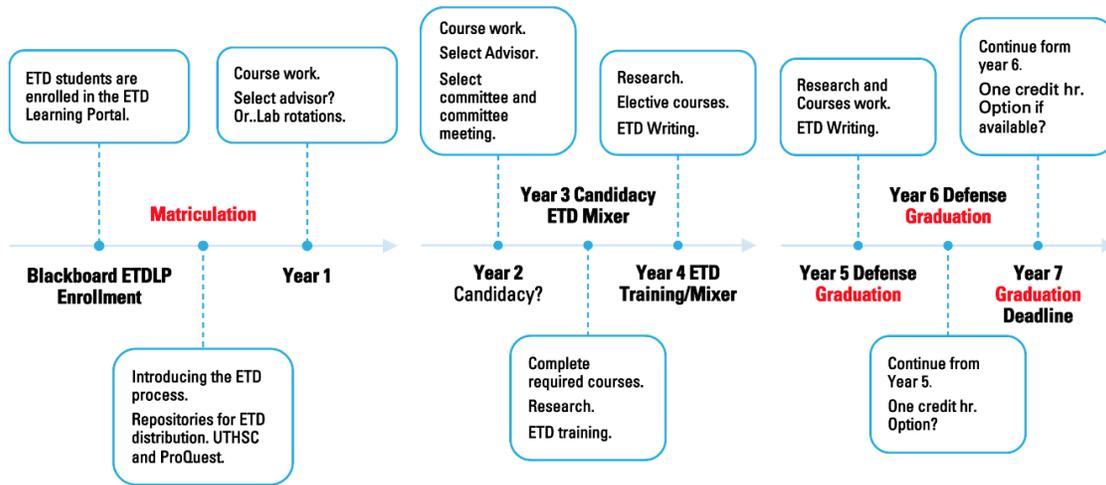


Figure 1.5: An Approximate ETD Process Timeline for Ph.D. Students

Our ETD training includes instruction for both a MS Word Template and an Overleaf LaTeX project template. Template exercise training for Word and LaTeX is more than training to use software tools. This training includes the review process relative to recognizing formatting errors; hence this process includes format training by example. These exercise templates include about 90% of the most common discrepancies that we see when reviewing ETDs. Once located, students must execute the proper solution to each problem. Students who follow directions and complete as many corrections as possible rarely have issues with their own manuscripts.

The following flowcharts and descriptions of our training process provide overviews of the ETD training post matriculation which includes Blackboard, MST, and LaTeX resources.

1.3.2 Blackboard (Bb) training resources and suggested student flow

Even though Bb was initially used for exchanging ETD review process documents only; due to email attachment size limitations at that time, the utilization Bb resources has evolved for training. All ETD training was initially F2F via ETD workshops; first "talking-head" presentations and later computer hands-on how-to workshops, but that changed to include Bb as a training resource center which now includes a variety of training videos as well as textual formatting and processing information. **Figure 1.6** illustrates the sequential relationship between our training resources. Note that the first two segments of this training flow involve activities associated with Bb. All ETD students are asked to download two documents located at the top of the homepage for the Bb electronic thesis and dissertation

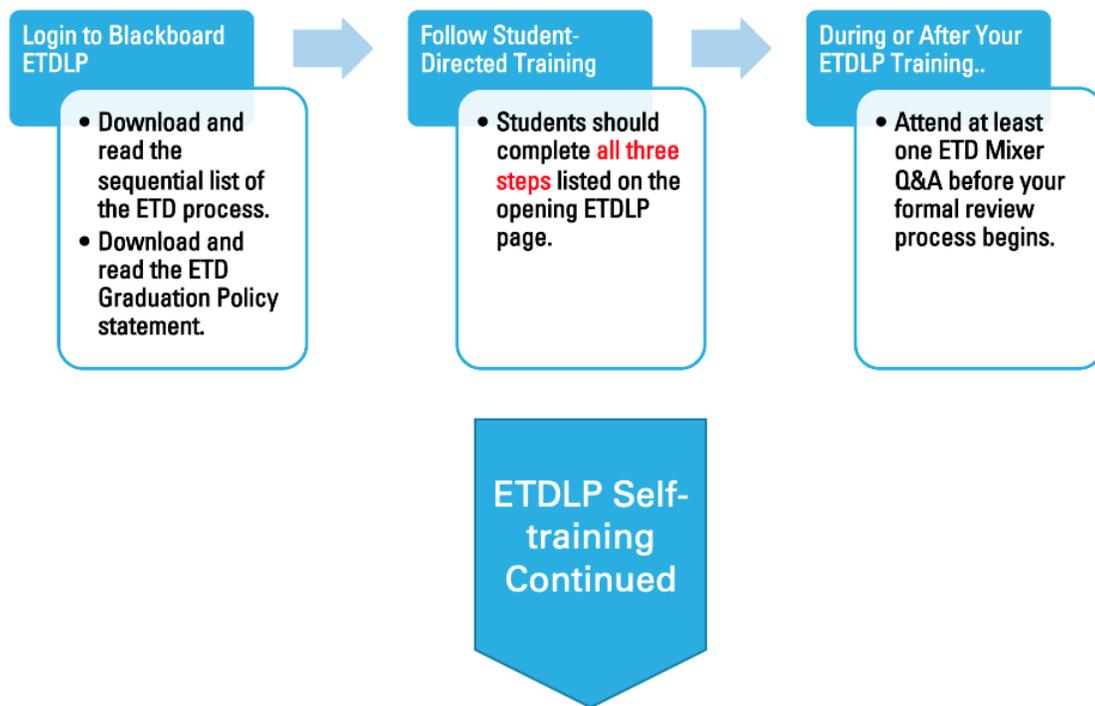


Figure 1.6: ETD Training Resources: Blackboard and Microsoft Teams

learning portal (ETDLP). These two documents provide the student with a current sequential list for navigating the ETD process and the graduation policy statement that includes major annual graduation deadlines. The second flow segment in this figure directs students to follow a specific training process within this course site. **Figure 1.7** shows the step-wise (1, 2, and 3) training flow for the Bb resource. The time needed for a general overview of this content; with no interactive utilization, is 1-2 hours. However, interacting in-depth with all of the interactive components; including email communication, could take 2-3 days, but much of this time is waiting for responses, configurations, file exchanges, and review time. If it is close to an ETD submission deadline, ETD exercise template reviews always come after any ETD manuscript formatting reviews and may take up to five days or longer.

1.3.3 Microsoft Teams (MST) for ETD training and reviews

MST has multiple options for selecting a team design to fit the needs of ETD instruction or reviews. For ETD instruction/training the "class" configuration is adequate, and for ETD reviews private channels are created which include the student, the student's advisor, the Review Manager, and the Assistant Dean. The rationale for moving our ETD instruction from Bb to MST is because of enhanced collaborative communication; no direct emails are needed, and the Class Notebook with assignments is much easier to configure and manage. For ETD Reviews, private channels(30/Team) have the collaborative conversational post area along with an area for exchanging ETD files. Unlike Bb, MST allows off-campus faculty to be included in student private channels without the need for a campus ID and email address. **Figure 1.8** illustrates the MST-ETD flow for instruction. In each Class MST you begin with one channel "General" configured as an open channel; meaning that all members of the team can read, reply, and create their own conversations. Additional channels can be created and configured as needed. Each channel is a group of Team members with a specific purpose. Team instructors or owners have complete control over channels relative to membership and permissions For ETD Pre-Mixer instruction, the permission was changed for the General channel so students could access, read, and reply to existing conversations, but they could not create conversations. Instructors/Owners use this channel for making announcements. A separate channel; "ETD Mixer Open Forum Discussions" is created allowing students to create their own conversations and hold focused discussions. Every channel has a Post and a Files section. Conversations go into the Post area and files can be uploaded or created in Files. In an open channel, both students and instructors can create a variety of file types. With a "Class Notebook" configuration, in the General channel there is a Files area with a Class Materials folder where instructors can add or create information (files) that can be accessed by the students, but students cannot create or upload files to this folder, but they can copy or download files.

Communications

MST Conversations eliminate the need for individual direct email communications. However, any conversation that is directed to either an individual member(s) of the channel or



Figure 1.7: Blackboard ETDLP Training flow

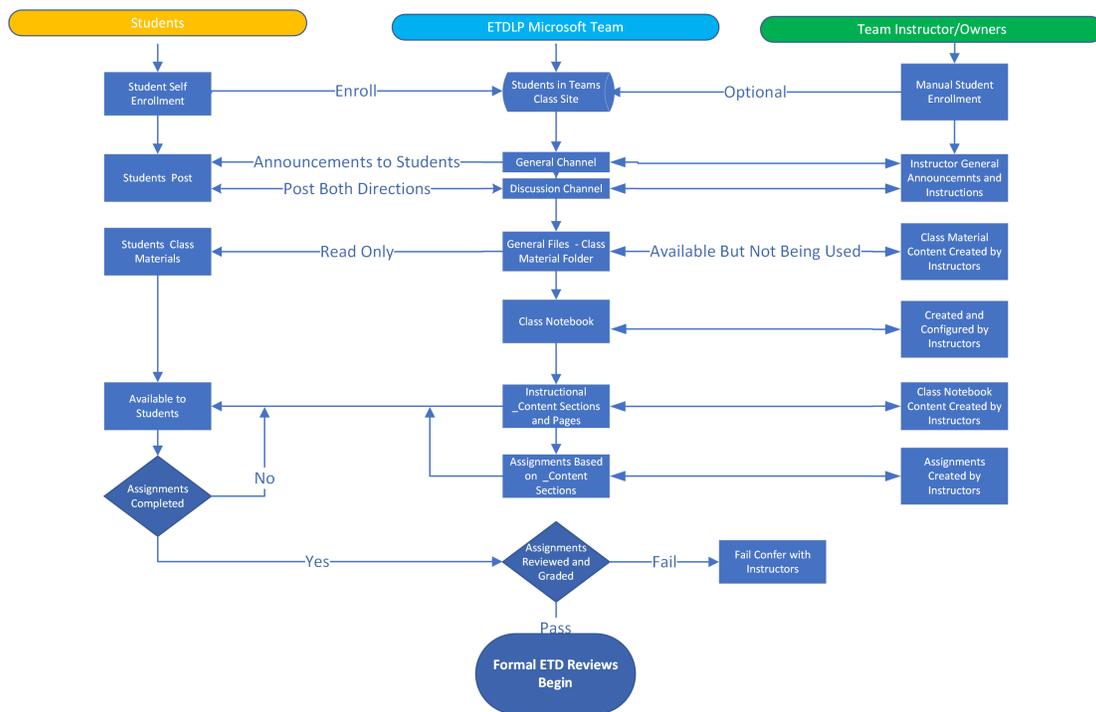


Figure 1.8: MST for ETD Instruction

to the whole channel membership using the "@" directive will receive an email notification, and the ability to submit a reply to the conversation. Conversations in Teams are NOT emails, but rather they are like individual discussion topics where everyone belonging to the channel sees all of the replies; including the replies coming from an email response. This communication configuration keeps everything in one area; all conversations and replies. Note: In private channels, these conversations are also private; open only to the members of the channel. However, the downside of private channels is the total private channel limitation of 30 channels per Team and that includes deleted teams. However, deleted private channels remain recoverable for 30 days and afterward are permanently deleted reducing the private channel count so that additional private channels can be created. Since our total number of private channels needed is under 60 per year, creating two Teams satisfies our needs for a year. If private channels are deleted as soon as they are no longer being used, one team would probably be sufficient. However, we use two Teams divided equally between the months of the year for .docx or .pdf document reviews. Each Team can accommodate up to 10,000 members; making it suitable for our ETD training needs.

Class Notebook

With a Class-type MST, the Class Notebook is the center of instruction. When this notebook is created, it creates independent notebooks for each student which can be used for sending customized assignments.

In each area of the Class-Notebook sections are created which hold pages of academic content (see **Figure 1.9**). In the past, we created assigned materials as separate sections within the Content area of the notebook, but in the future, we will be creating a Team for all instruction and each section will be a separate ETD Mixer(date) with pages holding the assigned materials. All students who must provide ETDs will be enrolled in this MST when they matriculate. In this way, all ETD students will have access to all ETD instruction whenever it was provided. Additional sections will be created to hold content, e.g., Word templates, ETD exercises, etc. Even though students cannot be compelled to participate in this instruction, assignments can be given and tracked. Anytime a student wants to participate in the most recent ETD Mixer as a refresher it will be possible without adding them to a separate Team. Our plan is to keep two or three recent ETD Mixers available. All ETD students must attend at least one Mixer

1.4 ETD Formatting and Process Requirements

The basic requirement for formatting is consistency. We have very few must do items such as the title page, margins, etc. They can use APA, MLA, etc., etc., but what they must do is be consistent. However, our ETD program is also responsible for the Advisor and Research Committee's ETD approval page and its proper formatting as approved by our legal department. We collect digital approval through password protected Google

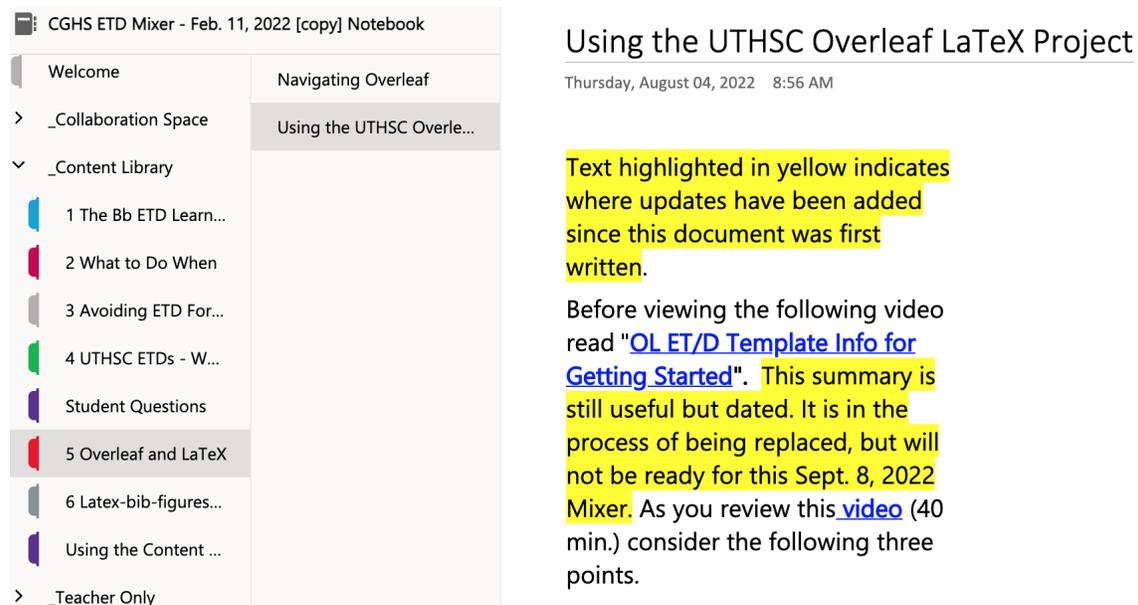


Figure 1.9: MST Class Notebook Configure for Instruction

forms. The ETD program is also responsible for obtaining a Declaration of Authorship from students with their Advisor’s approval.

1.4.1 The ETD Formatting Guide 1

The Introduction to the Guide describes why formatting is important for both the reader, the student, and the university. It describes the required training available through the ETD Mixers; provided two times per year, and in the Blackboard ETD course site (ETDLP). The Guide mimics an ETD in both organization and formatting so that when a student peruses the document they are being introduced to the proper structure and style for their own thesis or dissertation. Subsequent chapters of the Guide are described in broad terms of structure and function. The majority of formatting information is provided in chapters 2-4, and in chapter 5 which describes the formatting that is provided automatically when using the universities templates for Word and LaTeX. The appendices (A-K) in the Guide provides a list of terms and numerous specific examples of proper formatting

1.4.2 The ETD Review and Approval Process (RAAP) Guide

The ETD RAAP Guide is to be used in conjunction with the ETD Formatting Guide. The RAAP describes how the student should move step by step through the CGHS format review cycle to obtain final approval of their ETD. The primary sections from the table of contents for the RAAP Guide are as follows:

Introduction, CGHS Graduation Policy for Thesis and Dissertation Students (revised January 2022), STOP: Do You Need an Embargo (i.e., Delayed Release) for Your ET/D?, Overview of the CGHS ET/D Format Review Process, Pre-Review Requirements, Try to Correct as Many Discrepancies as Possible When Preparing for CGHS ET/D Format Reviews, Submit Your ET/D (MOU or DOA) for Review, Review Scheduling, NEW: Everyone Now Needs a Preliminary ET/D Review (rev1-p), What Happens During an ET/D Review?, How to Use the Reviewer's Comments, Note Regarding CGHS's Final Paperwork Requirements, What Happens During the Final ET/D Review?, NEW: Complete the Online ET/D Process Evaluation, Forms CGHS Must Approve to Fulfill the CGHS Paperwork Requirements for Your Advanced Degree, The End of the Road—Confirmation That All Requirements Have Been Met, File Management Steps You Should Take at the End of the Review Process, What Happens to Your ET/D after Approval?, Finality of the Official Copy, Do You Want a Printed Copy of Your ET/D?, ET/D Advisory Committee, Appendix A. Introduction to the ETD Reviews Team (if using Word), Appendix B. Sample Research Advisor and Committee Detail Template (for ProQuest), Appendix C. Sample Completed Research Advisor and Committee Detail (for ProQuest), Appendix D. Sample ET/D MOU and Approval Page Template (LaTeX and Word versions are visually the same), Appendix E. Sample Completed ET/D MOU and Approval Page, Appendix F. Sample ET/D Declaration of Authorship Template (for LaTeX and Word), Appendix G. Sample Completed ET/D Declaration of Authorship, Appendix H. CRediT Taxonomy Model for Contributor Roles

This RAAP Guide as well as the Formatting Guide are designed to mimic an ETD in both formatting and organization. If students pay attention to the organization and formatting of these documents they will know a lot about formatting their own ETD.

In many ways, this Guide is an expanded version of the "Sequential List of What Needs to Be Done to Prepare for Writing the ETD and Getting It Approved" which is in both our Bb and MST sites. The RAAP Guide was updated Jan. 2022, but our Formatting Guide is three years old and in need of minor updates. Our refresh cycle for Guides is every three years.

1.5 The ETD Review Process

As mentioned previously, we have a separate course site in Bb; "ETD Reviews year", that have been used in the past for reviewing ETDs in private Bb groups. This Bb review site has recently been replaced by MST review sites. In addition, all of the training resources in the Bb ETDLP are in the process of being copied/moved into an MST Class Notebook site.

The following schematic, **Figure 1.10**, illustrates the ETD review flow starting with the pre-review. Even this flowchart covers the majority of our ETD review steps, it does not cover the steps for the ETD approval pages or Declaration of Authorship reviews which includes the creation of Google form; soon to be replaced with Microsoft forms. It also does not cover the Review manager checks in ProQuest to make sure the abstracts match.

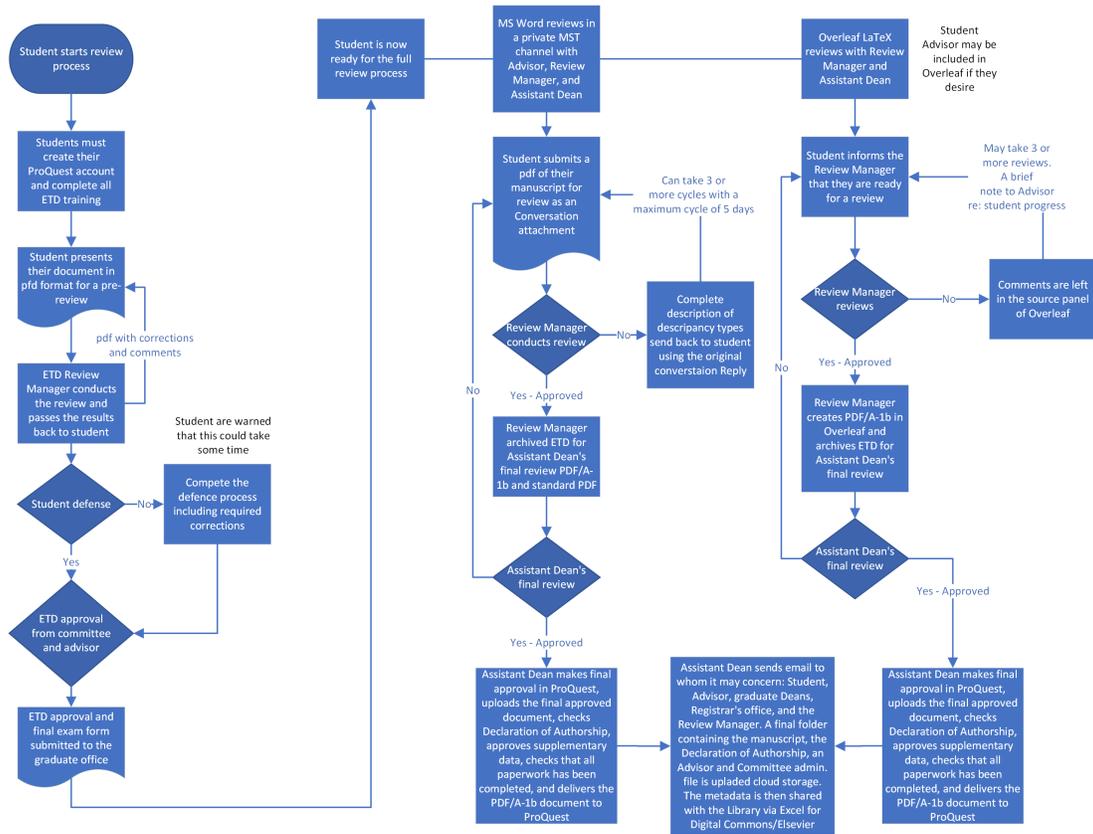


Figure 1.10: UTHSC ETD Review Process

summed for all ETD review over several years to adjust the free review time if needed.

Since the total number of pages reviewed is also collected, we can determine an average review time per page. If the average review time per page changes significantly for an individual student, the Review Manager is sometimes asked to explain. However, depending on the complexity of a document, or the review process, e.g., Word vs. LaTeX, these times do vary.

1.7 The ETD Advisory Committee (ETDAC) and Its Role in All Aspects of the ETD Process

Prior to the organization of the ETDAC, the ETD Task Force committee was in place until about 2010, but this was not a structured committee, and it was unbalanced relative to student and faculty participation, and did not include the Review Manager. In 2016 the ETDAC was organized by the Assistant Dean for Academic Affairs (ETD Program Director) to include an equal number of graduate students and faculty as voting members and a number of ex-officio (non-voting) members, e.g., the Dean, the ETD Program Director, the Review Manager, a Library representative, and a representative from the Teaching and Learning Center (currently without representation). There are two Chairs; one student and one faculty, and they alternate actively serving as Chair every other month.

The committee bylaws were drafted by ETD Program Director, submitted to the first committee members for review, and after several revisions voted on and approved. The creation and purpose of this committee is clearly stated in Article I and II of the bylaws shown in Figure 1.12.

The ETD Program Director with input from the ETDAC Chairs provide monthly agendas. Meeting minutes are maintained and all meetings are video recorded. A MST site has been created where all business and communications for this committee occur (see Figure 1.13).

When the ETDAC votes to approve major changes in the ETD process, the ETD Program Director (the Assistant Dean for Academic Affairs) takes these recommendations to the Graduate Studies Council for a vote of approval before moving them to policy. Several ETD process and formatting issues gone before Graduate Studies Council, e.g., the proposition of moving ETD previously published content with multiple authors from manuscript body chapters to appendices.

So far, the structure and function of the ETDAC has been very effective and seems to be well received by both faculty and students.

ETDAC Bylaws May 2021

Article I: Name

The name of this committee shall be the "Electronic Thesis and Dissertation Advisory Committee of the University of Tennessee Health Science Center, College of Graduate Health Sciences". It may also be referred to as the ETD Advisory Committee, or the ETDAC.

Article II: Vision and Objective

Electronic theses and dissertations will be employed to enhance the academic experience of students and faculty, illustrate the creative accomplishments of our university's academic endeavors, and provide a research resource to the larger community.

The ETDAC shall exist to be advisory to the Assistant Dean for Academic Affairs in the College of Graduate Health Sciences relative to all matters concerning electronic theses and dissertations at the UTHSC, and provide a conduit of communication about ETDs between students, faculty, and the College of Graduate Health Sciences' (CGHS) administrative staff.

Figure 1.12: The ETDAC Blaws: A Vision and Objective.

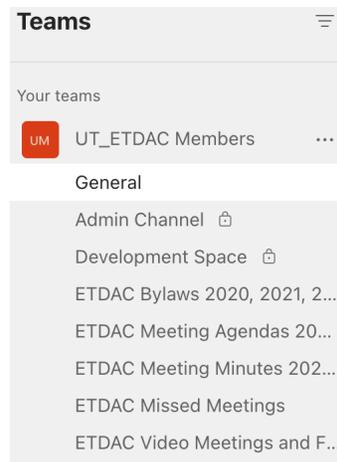


Figure 1.13: ETDAC Microsoft Team Site.

1.8 Conclusions

This chapter is an overview of the UTHSC ETD formatting and review process for a panel discussion during the USETDA 12th annual conference. The purpose of this panel is to help discover formatting and review process differences between different sized ETD programs based on the number of ETDs processed per year.

The current chapters in this manuscript are precursors to a book that will include many more universities in addition to the five reporting at this time. This is a book that will be continually available for updates; a *living book*, and at predetermined intervals, updated editions will be downloaded and republished. However, a predetermined interval could be shortened if additions are made to the book that provides new and useful information.

1.9 Sources

Sources are not included for the purpose of this channel, but will be included as references in the "book" version.

Created: September 13, 2022

Chapter 2

ETD Formatting and Review Process: Dissertation and Thesis Services at George Mason University

Author: Sally R. Evans, Coordinator, University Dissertation and Thesis Services (UDTS) at George Mason University (Mason; Fairfax, VA)

This chapter is an overview of the UDTS Submission Process at Mason in support of the USETDA 2022 plenary panel discussion “ETD Formatting and Reviewing: Hot Topics and Questions.”

As you peruse the GMU overview along with the other ETD formatting and reviewing overviews, please take note of questions and comments you have for our USETDA plenary panel and add them to this **Pre-Panel Q & C Survey** (Questions and Comments). Questions or comments prior to the panel discussion will assist in making this a more useful event. This Q & C Survey link is also available at the beginning of all formatting and review Overviews, but please collect all of your questions and comments for all overviews you peruse before responding to this survey. Thanks for your assistance.

2.1 Background

2.1.1 History of Theses and Dissertations at Mason

George Mason University is a relatively new school. After starting as the Northern Virginia branch campus of the University of Virginia in 1959, it later became an independent four-year institution in 1972. The first thesis was submitted the following year, and the first dissertation was submitted in 1985. With the submission of this first dissertation, Mason required all dissertations to be submitted to ProQuest; this rule was put in place by the university at large and is stated in the catalog.

Until the late 1990s, the Thesis and Dissertation review and submission process was not centralized or standardized. Various staff and faculty members from each college

and school within the university system were tasked with performing Format Reviews; formatting rules varied between the colleges and schools themselves; and the colleges and schools were allowed to collect paper copies of the documents however and whenever they saw fit, delivering the paper copies to Special Collections and Archives in Fenwick Library as time permitted. One paper copy was bound at the expense of University Libraries and shelved; the other was left loose and held in the Archives.

Part of the issue surrounding this arbitrary system stems from Mason's lack of a centralized Graduate School. While the university boasts numerous graduate programs, and the Graduate Council exists to direct policy, there is no Graduate School at Mason at the time of writing this article (September 2022).

2.1.2 Creation of University Dissertation and Thesis Services

By the late 1990s, the Graduate Council, the Office of the Provost, and University Libraries realized that their model was not sustainable; with that knowledge, they began to craft a centralized solution. In 2001, University Dissertation and Thesis Services (UDTS) was created, and in doing so, the formatting rules, submission requirements, and workflow were standardized. The first version of Mason's University Formatting Guidelines was created. All guidelines, templates, forms, resources, etc. were held on the UDTS website, thesis.gmu.edu (which is still in existence).

UDTS was established as a part of University Libraries, specifically under Special Collections and Archives (which made sense at the time, as a loose paper copy of each document was held in the Archives). The first UDTS Coordinator, Robert Vay, had the following duties:

- Review and approve the formatting of all theses and dissertations;
- Meet in person with all master's and doctoral students to inform them of Final Submission procedures, paperwork, and requirements;
- Meet in person with all master's and doctoral students to accept final submissions of theses and dissertations (and all necessary paperwork) by the Final Submission deadline each Spring, Summer, and Fall semester;
- Sign each student's Transmittal Sheet (**Figure 2.1**) and submit it to the Registrar's office;
- Collect a completed Survey of Earned Doctorates from each doctoral student and submit them to NORC;
- Process doctoral students' ProQuest submissions, entailing the following steps:
 - Collect the ProQuest submission form, a CD containing the full text of the, and a hard copy of each doctoral student's Title Page and fully signed Signature Sheet;



George Mason University Thesis/Dissertation/Project Submission Form

Return to:
University Dissertation & Thesis Services
2005 Fenwick Library
George Mason University
Fairfax, VA 22030

A digital version of the thesis, dissertation, or project named below will be provided to the library for processing and placement in the Mason Archival Repository Service (MARS; mars.gmu.edu) for use in scholarly research and reference.

Author name (Last, First): _____ G# _____

Thesis/Dissertation/Project title: _____

Degree/Discipline: (e.g., M.A. in History): _____

School or College (e.g., COS): _____

Keywords

All Theses, Dissertations, and Projects will be placed in MARS and will eventually be made accessible (either immediately or after an embargo lifts) as an electronic document (ETD) to faculty, students, and other researchers through the University Libraries. Please list 4-6 CASE-SENSITIVE keywords or keyword phrases.

For Certification by the Author:

This is to certify that I will save and hold harmless George Mason University from any damages which may arise from copyright violations of the work named above. I have reviewed my submission, and it is complete. I understand that this transmittal sheet will not be forwarded to the Registrar's Office if this submission is incomplete.

Thesis/Dissertation/Project author signature _____ Date _____

Thesis/Dissertation/project received by University Dissertation & Thesis Services _____ Date _____

For use by UDTS only:

Date into Eavner: _____ Date to Registrar: _____ Location of SS: _____

Figure 2.1: Transmittal Sheet, George Mason University. All students writing theses and dissertations must submit this completed, signed form to UDTS by the Final Submission deadline each semester in order to remain eligible to graduate.

- Collect any checks for bound copies, copyright registration, and/or Open Access publication;
- Send all materials to ProQuest;
- File one loose copy of each document in the Archives.
- Send the second loose copy to the University Bindery.

The following responsibilities are not within UDTs' purview:

- Reviewing content.
- Checking references;
- Confirming adherence to citation guides (e.g., APA, MLA, IEEE, etc.).

As previous, the bound copy of each thesis and dissertation was held in the stacks and circulated.

During the calendar year 2001, 226 theses and dissertations were submitted to and processed by UDTs. All were hard copies.

sectionThe Introduction of Electronic Theses and Dissertations

In 2006, Mason University Libraries created our IR, MARS (Mason Archival Repository Service; mars.gmu.edu). In the Fall 2007 Semester, optional electronic submission of theses and dissertations was introduced. During the first full calendar year, ETDs were an option (2008), 319 total theses and dissertations were submitted; 80% of those were electronic. Over the next few years, an average of 65% of graduate students per calendar year opted to submit their theses and dissertations electronically. There was no embargo policy in place, as the electronic submission was optional. Even so, students who chose the electronic option were still required to submit one unbound paper copy of their theses and dissertations, to be held loosely in the Archives.

Access to MARS was not limited to persons directly affiliated with Mason; there was no campus-only option. Once the document became available (either immediately or after an embargo was lifted), it could be seen and downloaded by anyone with Internet access. Users did not have to pay or register to view materials within MARS.

2.1.3 Transitioning to Universal Electronic Submission

In 2011, Sally R. Evans accepted the position of UDTs Coordinator, doing so with the understanding that University Libraries, the Office of the Provost, and the Graduate Council wanted to transition to universal electronic submission of all theses and dissertations. Throughout 2011 and early 2012, she gave presentations outlining the many positive aspects of universal electronic submission to the Graduate Council and individual colleges and schools within Mason's system.

In May 2012, the Graduate Council voted to transition to universal electronic submission of all theses and dissertations. For the remainder of 2012, Evans served on a subcommittee comprising representatives from all of Mason's affected colleges and schools, as well as members of the Provost's office. The subcommittee was responsible for crafting an embargo policy.

2.2 Embargo Policy

2.2.1 Original Policy

After considerable research into the embargo policies of other universities, the subcommittee presented their proposed embargo policy to the Graduate Council in Fall 2012:

- 6-month, 1-year, and 5-year embargo periods;
- Authors could renew embargoes for any of the above stated periods, in perpetuity;
- In order for students to embargo for any period, they had to obtain signatures from both their committee chair and the graduate associate dean of their college/school. The embargo would not be put in place without both signatures.

The new ETD and embargo policies took effect in January 2013 and remained in place until February 2018. Once the document was uploaded to the IR, MARS, it could not be viewed by anyone until the embargo lifted. There would still be a visible record of the document in MARS, with the author's name, the title of the work, and the abstract immediately visible to any user capable of finding this information, but until the embargo lifted, the document could not be accessed.

In the record, the Description details the embargo period, and the lock symbol denotes an embargoed document (see **Figure 2.2**).

If anyone clicks the "View/Open" link, they are taken to the online form seen in **Figure 2.3**: All requests go directly to the UDTS Coordinator, who advises the user that the document will not be available until the stated embargo lifts. From January 2013 through February 2018, the Coordinator also provided the following option: if the user wished, the Coordinator would ask the author of the document if he/she/they would be willing to communicate with the user. If the author was amenable, the Coordinator put the two parties in contact. If the author did not agree or did not respond in a reasonable amount of time, the Coordinator told the user to wait until the embargo lifted. This option has rarely been exercised.

2.2.2 Current Policy

In May 2017, after conferring with the UDTS Coordinator, students in the MFA Creative Writing department met with the Graduate Council, making their case to include an option



Figure 2.2: Image of embargoed document in Mason's IR, MARS (Mason Archival Repository Service). The description explains the embargo period, and the lock image further denotes limited access to this thesis.

The screenshot shows the 'Request a copy of the document' form on the Mason Archival Repository Service (MARS) website. The page header includes the George Mason University logo and the title 'Mason Archival Repository Service'. A navigation bar contains 'MARS Home' and 'Request a copy of the document'. The main heading is 'Request a copy of the document', followed by the instruction: 'Users of this system, can login to view this document.' There is a 'Login' link. Below this, it says 'Enter the following information to request a copy of the document from the responsible person.' The document title is 'The Moorlands'. The form fields are: 'Name:' with a text input box; 'Your e-mail address:' with a text input box and the note 'This email address is used for sending the document.'; 'Files:' with two radio button options: 'All files (of this document) in restricted access.' (selected) and 'Only The requested file.'; and 'Message:' with a large text area. On the right side, there is a 'Search MARS' section with a search box and a 'Go' button, and two radio button options: 'Search MARS' (selected) and 'This Collection'. Below that is a 'Browse' section with links for 'All of MARS' (Communities & Collections, By Issue Date, Authors, Titles, Subjects) and 'This Collection' (By Issue Date, Authors, Titles, Subjects). At the bottom right is a 'My Account' section with 'Login' and 'Register' links. A 'Request copy' button is located at the bottom left of the form area.

Figure 2.3: Form to request a copy of an embargoed document in MARS.
The request is sent to the UDTs Coordinator.

to embargo their works permanently. After a great deal of deliberation over the course of the Summer 2017, Fall 2017, and early Spring 2018 Semesters, the Graduate Council made the final ruling in February 2018:

- New embargo policies were instituted: 2 years, 5 years, and 10 years.
- The embargoes would continue to be renewable for perpetuity.
- All students would continue to have to complete, sign, and submit the Embargo Request Form (ERF), regardless of intent to embargo.
- Students who wish to embargo would continue to have to collect signatures from both their committee chairs and the graduate associate deans of their colleges/schools.
- Campus-only access was introduced.
 - Embargoed theses and dissertations can now be accessed on campus.
 - Users can go to Fenwick Library, to the Special Collections Research Center (SCRC; formerly Special Collections and Archives), where they could view a specific thesis or dissertation on a specific laptop from which they could not download, email, or print anything.
 - When the UDTS Coordinator receives a request for an embargoed document (see Figure 3), the user is advised of the following options:
 - * The user can visit SCRC and view the embargoed document there.
 - * The Coordinator can see if the author would be willing to speak to the user.
 - Students can petition to opt out of campus-only access.
 - * On the revised Embargo Request Form; **Figure 2.4 (see Error! Reference source not found.)**, the student must check the box next to the following text: “I request that George Mason University prohibit on-campus viewing for the duration of the embargo.”
 - * At the time of Final Submission, the student submits the completed, signed ERF to the UDTS Coordinator, along with a detailed letter of rationale explaining why the document should not be accessible in any way throughout the duration of the embargo.
 - * The UDTS Coordinator forwards the ERF and letter of rationale to the Associate Provost for Graduate Education, who is responsible for approving or denying the student’s request. The decision is final and cannot be appealed.



Electronic Thesis and Dissertation Embargo Request

Return to: University Dissertation & Thesis Services | 2005 Fenwick Library
 George Mason University | Fairfax, VA 22030

ALL Master's and Doctoral students writing theses and dissertations are REQUIRED to complete and sign this form and submit it to University Dissertation & Thesis Services, regardless of intent to embargo.

Student Information (Required)

Name: _____ G#: _____

Degree Program: _____ Semester of Graduation: _____

Permanent Email Address: _____

Embargo (check only one):

I do NOT wish to embargo my work. I authorize immediate access to the full electronic text of my work through Mason's Institutional Repository, MARS (Mason Archival Repository Service, mars.gmu.edu).

I request that George Mason University delay the availability of my work for the period indicated below (check only one):

Two (2) years Five (5) years Ten (10) years

If you have chosen to embargo your work for ANY period, you must obtain both signatures listed below prior to submitting this form to University Dissertation & Thesis Services (UDTS). This form will not be accepted, and embargo will not be granted or applied, without BOTH signatures. Signatures are required ONLY if you are requesting to embargo your work for ANY period.

Committee Chair (please print): _____

Committee Chair Signature: _____

Graduate Associate Dean of College/School (please print): _____

Graduate Associate Dean Signature: _____

Access to embargoed documents

Theses and dissertations embargoed for any period will be accessible electronically on-campus in the Special Collections Research Center **UNLESS** the author provides detailed and compelling evidence that the document should NOT be available for any on-campus viewing. Permission to prohibit on-campus viewing may be granted by the Associate Provost for Graduate Education. **DO NOT CONTACT THE PROVOST'S OFFICE DIRECTLY. The UDTS Coordinator will contact the Provost's office on your behalf.**

I request that George Mason University prohibit on-campus viewing for the duration of the embargo. I have attached a separate Word document (filed "StudentLastName_FirstName_RestrictCampusViewing") providing a detailed rationale for this request, including supporting evidence.

Following to be filled out by Office of the Provost only: The Associate Provost for Graduate Education:

Approves prohibition of on-campus viewing for the duration of the embargo.

Denies request for prohibition of on-campus viewing.

Comments: No evidence provided. Evidence provided is insufficient to justify prohibition.

Associate Provost for Graduate Education (Print) _____ Signature _____ Date _____

Renewing an embargo

At the time the work is uploaded to MARS, the author will receive an email notification, with an official PDF attached, stating that the embargo will begin and end on a certain date, and advising the author that it is his/her responsibility to keep track of the embargo lift date. The author will further be advised that it is his/her responsibility to notify the UDTS Coordinator via email (ads@gmu.edu) that he/she wants either to lift the embargo prior to the termination date, or that he/she wants to renew the embargo (or institute a new limit).

In the form, the author will also be advised that he/she should retain this form and place it in the care of his/her attorney, next of kin, etc. In case of death, incapacity, etc., it is up to the author's estate, power of attorney, etc., to ensure that the embargo continues.

Student Agreement

I am submitting my thesis or dissertation for inclusion in the Electronic Theses and Dissertations program of George Mason University. The work (collection of files and associated metadata) will be accessible permanently through the Mason Archival Repository Service (MARS).

I hereby grant to George Mason University the irrevocable, non-exclusive royalty free right to reproduce, distribute, display, and perform this work in any format including electronic formats throughout the world for educational, research and scientific non-profit uses during the full term of copyright (including renewals and extensions made possible by acts of the United States Congress) via the digital institutional repository mechanisms maintained by George Mason University. I also hereby grant to George Mason University the non-exclusive right to sub-license these rights to others should George Mason University become unable to continue distribution. I warrant that I have the copyright or other right or permission to make this grant to George Mason University unencumbered and complete. With the approval of the repository, administrative revisions to available documents within this service will be accepted.

I agree that George Mason University may, without changing the content, translate the submission to any medium or format for the purpose of preservation.

I also agree that George Mason University may keep more than one copy of this submission for purposes of security, back-up and preservation.

If the submission contains material for which I do not hold copyright, I represent that I have obtained the unrestricted permission of the copyright owner to grant George Mason University the rights required by this license, and that such third-party owned material is clearly identified and acknowledged within the text or content of the submission.

IF THE SUBMISSION IS BASED UPON WORK THAT HAS BEEN SPONSORED OR SUPPORTED BY AN AGENCY OR ORGANIZATION OTHER THAN GEORGE MASON UNIVERSITY, I REPRESENT THAT I HAVE FULFILLED ANY RIGHT OF REVIEW OR OTHER OBLIGATIONS REQUIRED BY SUCH CONTRACT OR AGREEMENT.

George Mason University will clearly identify my name(s) as the author(s) or owner(s) of the submission, and will not make any alteration, other than as allowed by this license, to my submission.

Authorized and agreed to by the University Librarian on behalf of George Mason University.

Student Signature: _____ Date: _____

Dean of University Libraries Signature: _____ Date: _____

DO NOT CONTACT THE DEAN OF UNIVERSITY LIBRARIES DIRECTLY. THE UDTS COORDINATOR WILL COLLECT THIS SIGNATURE ON YOUR BEHALF.

Figure 2.4: Current GMU Embargo Request Form.

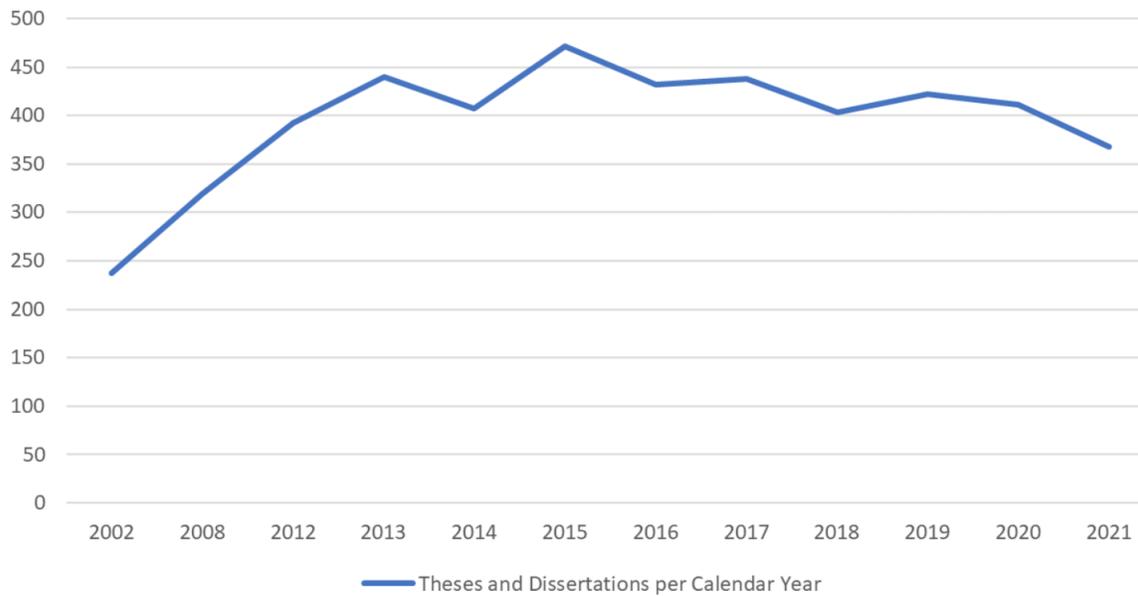


Figure 2.5: GMU Theses and Dissertations Per Calendar Year. This figure shows the number of theses and dissertations submitted to UDTs per calendar year from 2002 through 2021.

2.3 Current Status

2.3.1 Numbers

As seen in [Figure 2.5](#), the number of theses and dissertations submitted between 2002 and 2013 rose significantly: 319 documents were received in 2002; 440 were received in 2013. The number of submissions leveled out over the next few years, averaging in the low to mid 400s.

Final submissions experienced a noticeable downturn in 2021: only 368 total theses and dissertations were submitted. The drop is most likely due to the COVID-19 epidemic and the challenges it presented.

2.3.2 The Place of UDTs in the University

As of September 2022, UDTs is still under the umbrella of University Libraries. However, this department is no longer a part of Special Collections and Archives (now SCRC). From October 2014 through October 2018, UDTs was part of the Mason Publishing Group (MPG); beginning in October 2018 and continuing through the present (September 2022), UDTs is housed in Digital Programs and Services.

Figure 2.6 outlines the role and duties of UDTS; further details are provided below.

The UDTS department consists of one employee: the UDTS Coordinator. While the Coordinator was able to hire graduate assistants from 2011 – 2014, the budget has not allowed for additional members of the department (full-time or part-time) or graduate assistants since May 2014.

As always, the UDTS Coordinator does not perform the following tasks:

- Reviewing content.
- Checking references.
- Confirming adherence to citation guides (e.g., APA, MLA, IEEE, etc.).
- Checking for plagiarism.

Again: committees, departments, colleges, schools, etc. are responsible for the aforementioned duties.

The duties of the UDTS Coordinator are as follows:

- Maintain and update website (thesis.gmu.edu).
- Maintain University Formatting Guidelines, updating as necessary. UDTS updated the University Formatting Guidelines (<https://library.gmu.edu/udts/resources#guidelines>) in January 2022 in an effort to clarify some formatting rules and to make the guidelines more user-friendly overall.
- Provide LaTeX template.
- Provide and maintain Word template.
 - In 2011, UDTS worked with the now-defunct Division of Instructional Technology to build the Interactive (Word) Template. It has been regularly updated since then to improve ease of use.
 - In 2022, in response to popular demand, UDTS created a “Manuscript” template. It is a Word document, based on the original template and with the same functionality, but intended for use by students who have opted for the manuscript-style thesis/dissertation.
- Review and approve the formatting of all theses and dissertations.
 - Reviews focus strictly on formatting (adherence to correct margins; placement of main headings on individual pages; existence and order of required pages; placement, captioning, and listing of Tables and Figures; pagination; etc.).
 - Approximately 85% of all students must go through at least 2 rounds of review before the format is approved.

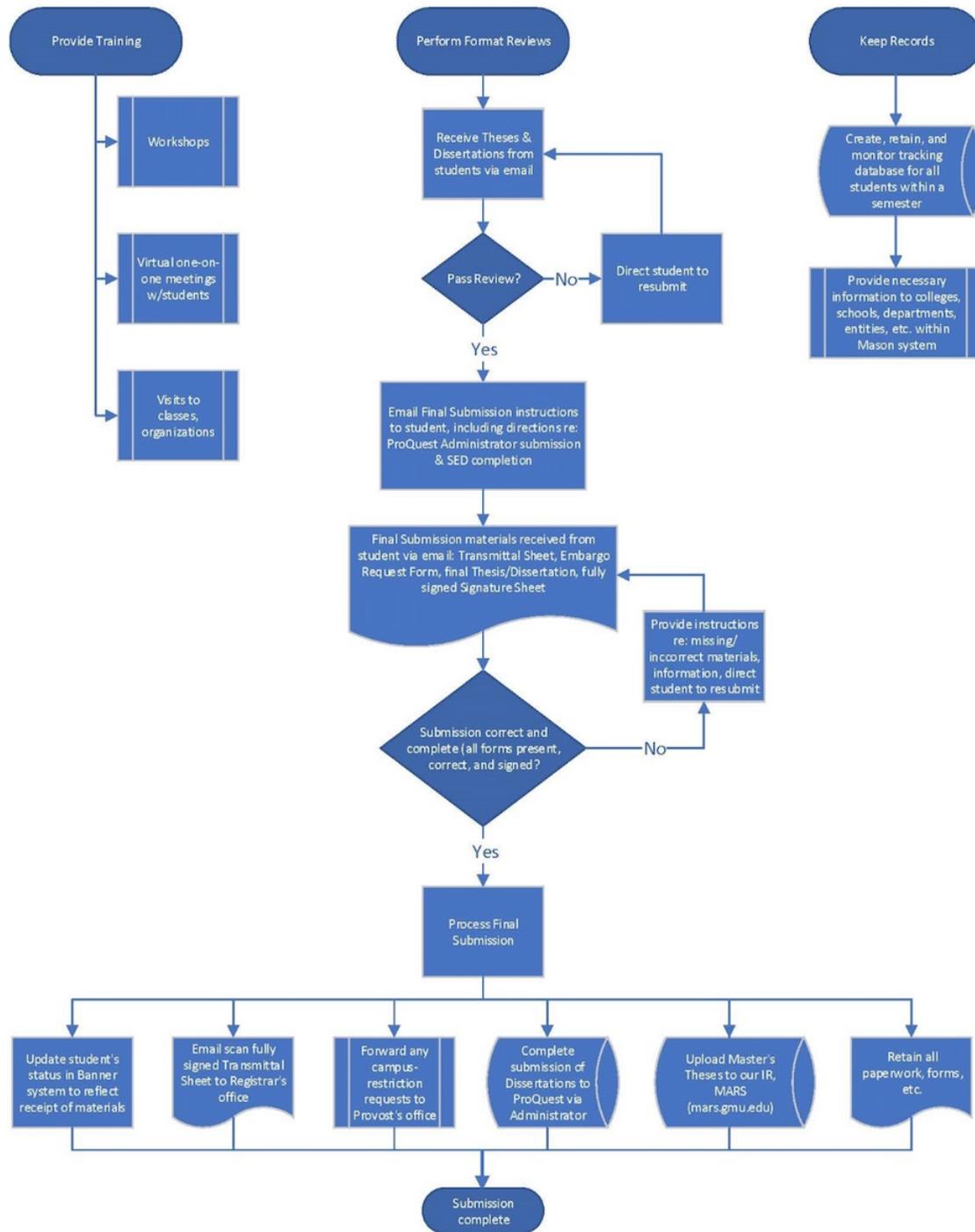


Figure 2.6: GMU Dissertation and Thesis Services: Duties.

- Email Final Submission procedures to all master's and doctoral students.
- Accept and process final submissions of theses and dissertations (and all necessary paperwork, including the Transmittal Sheet and Embargo Request Form; (see Figure 2.1 and **Error! Reference source not found.**) via email by the Final Submission deadline each Spring, Summer, and Fall semester.
- Sign each student's Transmittal Sheet (see Figure 2.1).
- Enter receipt of the Transmittal Sheet into Mason's Banner system.
- Forward the scanned, fully signed Transmittal Sheet to the Registrar's office.
- Confirm completion of SED by all doctoral students.
- Confirm submission of all doctoral students' dissertations to ProQuest via the Administrator.
- Approve and deliver dissertations to ProQuest via the Administrator;
- Upload theses to MARS, along with metadata.

2.3.3 Services

In addition to the aforementioned responsibilities, UDTS also provides the following services to Mason's graduate students.

2.3.4 Meetings via Scheduler

Students can set up appointments through the LibCal Scheduler: <https://gmu.libcal.com/appointments?u=6908> (see Figure 2.7 and Figure 2.8). UDTS strives to offer appointments at various times throughout the week. These meetings fulfill various purposes, but students most commonly request meetings to ask questions and receive information about deadlines and requirements they must fulfill, and to receive help with the Word template. Because the UDTS Coordinator is currently on full telework, all meetings take place via Zoom, Skype, Google Meet, Teams, and so on; the platform is left to the student's discretion.

2.3.5 Workshops

In addition to the various workshops and presentations offered by Mason University Libraries (<https://library.gmu.edu/workshops>; see Figure 2.9), UDTS provides biweekly sessions explaining the process students must complete (see Figure 2.10), and the Word template (see Figure 2.11).

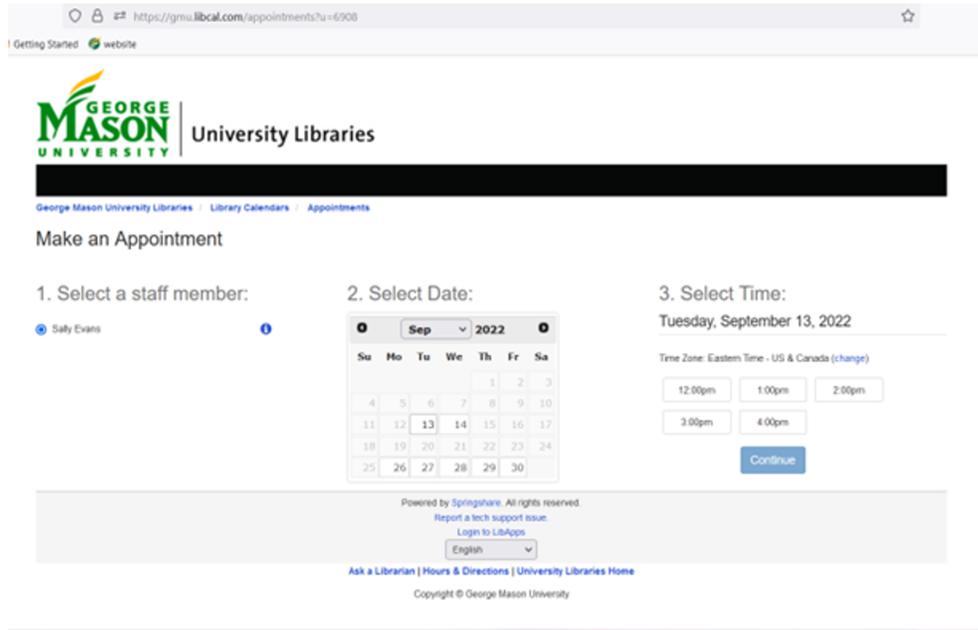


Figure 2.7: UDTs LibCal Scheduler: Landing Page.



Figure 2.8: UDTs LibCal Scheduler: Appointment Request Form.

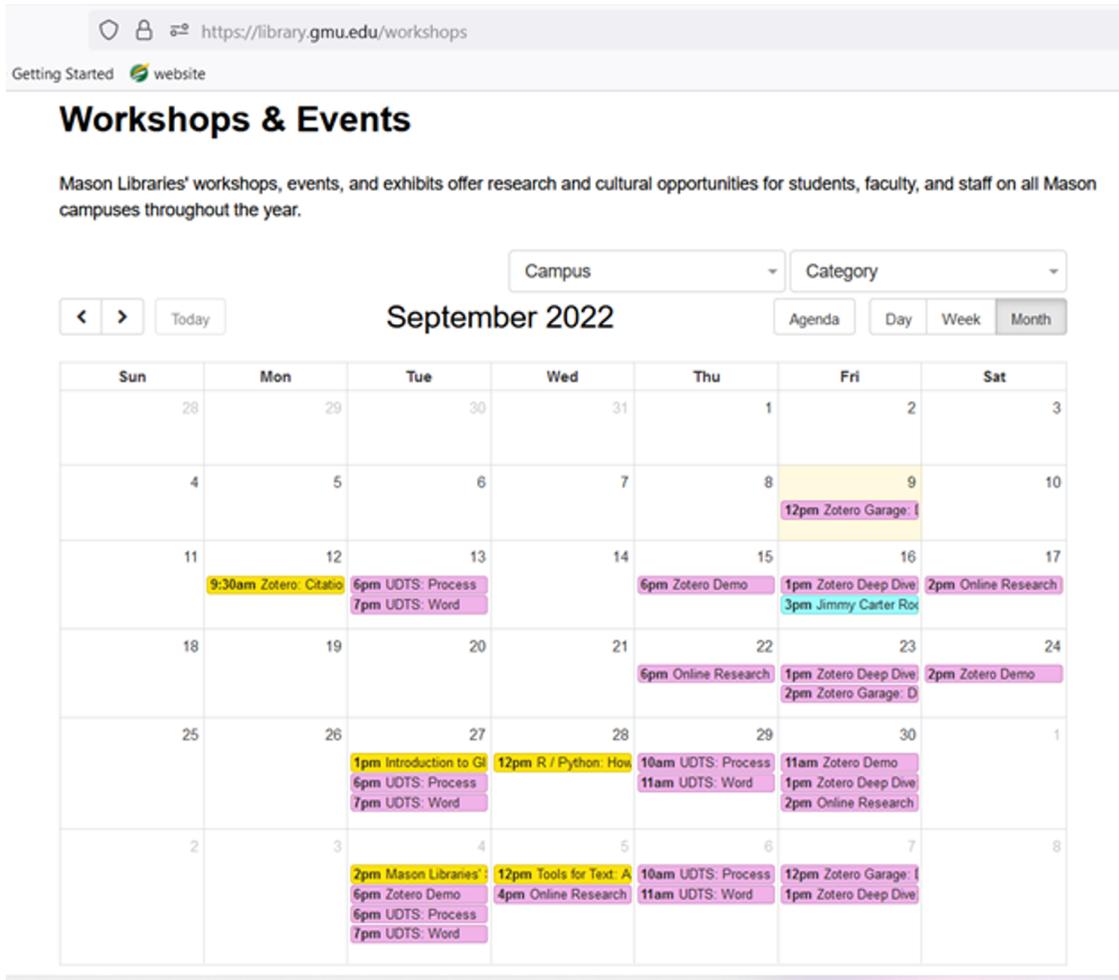


Figure 2.9: GMU Libraries' Workshops and Events Calendar.

The screenshot shows the registration page for a 'UDTs: Process' session. At the top left is the George Mason University logo and 'University Libraries'. Below it is a breadcrumb trail: 'George Mason University Libraries / Library Calendars / University Libraries Workshops & Events'. The main heading is 'UDTs: Process' with an 'Online' tag. A paragraph of text describes the session: 'Please join Sally Evans, Coordinator of University Dissertation & Thesis Services, as she walks you through the process you must complete in order to complete and submit your thesis or dissertation so that you can graduate on time. She'll discuss *Format Review* deadlines v. *Final Submission* deadlines, offer tips to make your life a little less stressful, and answer any questions you may have.' A light green box contains event details: Date: Tuesday, September 6, 2022; Time: 6:00pm - 7:00pm; Time Zone: Eastern Time - US & Canada; Campus: Online Session; Online: This is an online event. Event URL will be sent via registration email; Categories: Dissertation & Thesis Services, Graduate Students, Online Session. A 'Begin Registration' button is present, with a note that registration is required and there are 6 seats available. On the right, an 'Event Organizer' box features the GMU logo and identifies Sally Evans as the coordinator at the 2005 Fenwick Library. Social media icons are also visible.

Figure 2.10: Registration page for process session offered by UDTs at GMU.

GEORGE MASON UNIVERSITY | University Libraries

George Mason University Libraries / Library Calendars / University Libraries Workshops & Events

UDTS: Word

UDTS: Word Online

Please join UDTS Coordinator Sally Evans as she walks you through the [Interactive Word Template](#), which is formatted according to our [Guidelines](#). You are not required to use the template, but it is designed to make formatting your document easier and less stressful.

Date: Tuesday, September 6, 2022 [Show more dates](#)
Time: 7:00pm - 8:30pm
Time Zone: Eastern Time - US & Canada ([change](#))
Campus: Online Session
Online: This is an online event. Event URL will be sent via registration email.
Categories: Dissertation & Thesis Services Graduate Students Online Session
Attachments: [InteractiveTemplate_July21_2022.docx](#)

Registration is required. There are 7 seats available.

[Begin Registration](#)

[Browse/Search for more events](#)

Event Organizer


Sally Evans
2005 Fenwick Library

Figure 2.11: Registration for the GMU Word template session by UDTS.



Figure 2.12: UDTS' partners within GMU. Created by Lily Compton, Iowa State University, and used with permission.

2.3.6 Class/Group specific presentations

UDTS also provides workshops tailored to the needs of individual departments, classes, groups, etc. These sessions are created at the behest of the specific population.

2.4 Partners

While University Dissertation and Thesis Services is a one-person, standalone department within University Libraries, the duties of the office require interaction, coordination, and cooperation with various other departments, entities, and persons within Mason's system (see [Figure 2.12](#)).

2.4.1 Registrar's Office

UDTS submits completed, signed, scanned Transmittal Sheets (see [Figure 2.1](#)) to the Registrar's office after updating the student's record in the Banner system. The Registrar's office previously entered the data into Banner, but UDTS took over that step in 2018.

2.4.2 Office of the Provost and the Graduate Council

The Office of the Provost and the Graduate Council function as a de facto Graduate School. As University Libraries is a part of the Office of the Provost, UDTS frequently interacts with their members. A primary duty shared between the Provost and UDTS involves granting or denying approval for students to opt out of campus-only access.

The Graduate Council is an integral element in the duties and responsibilities of UDTS, as it oversees graduate courses, certificates, concentrations, degree programs, and policies. The Council and the Office of the Provost frequently work in tandem, as the Council may advise the Provost regarding: the following:

- Academic policies governing graduate education
- Approval of new and revised graduate courses and programs
- Review and assessment of graduate programs
- Planning and attainment of graduate education strategic goals
- Policies and resources for graduate student support
- Program Coordinators, Graduate Program Directors, etc.

2.5 Resources

Beyond the departments and entities UDTS relies on to keep the process running smoothly, Mason also recommends the following sources of support for our graduate students.

2.5.1 Mason Publishing Group

The Mason Publishing Group (MPG) provides support and resources to the George Mason community for creating, curating, disseminating, and archiving scholarly, creative, and educational works. As the Digital Repository Library is a member of this department, maintenance of MARS falls under MPG's repositories.

When students have questions about publishing, copyright, author's rights, and so on, UDTS refers them to MPG, specifically the Office of Scholarly Communication. This division exists to help members of the Mason community make informed decisions about:

- Sharing and using copyrighted material in research, learning, teaching, and publishing
- Open Access and toll access publishing options
- Open Educational Resources
- Reputation Management (and other Digital Scholarship questions)

2.5.2 Assistance with Writing and Editing

When students inquire about resources and support for writing and editing their theses and dissertations, UDTS suggests the following options: Mason's Writing Center and independent contractors who are not directly affiliated with Mason.

2.5.3 Writing Center

Mason's Writing Center offers the following services:

- Graduate and undergraduate consultants
- In-person and online appointments
- Tailored support for multilingual writers, advanced graduate student writers, and writers with disabilities

2.5.4 Freelance Editors

UDTS maintains a list of freelance editors who are not directly affiliated with the university. These contractors set their own fees. Any agreement made with Mason's students is entirely between the contractor and the client, and Mason is never involved in the interaction. The editors offer a variety of services, ranging from simple grammar and spelling checks to intense assistance in crafting a document's structure. Furthermore, some contractors can help students with University Formatting Guidelines.

2.5.5 Subject Librarians

When students need guidance involving research and reference methods and resources, UDTS recommends contacting their Subject Librarians. They can also give guidance to students using Zotero (https://infoguides.gmu.edu/search_help/zotero).

2.6 Sources

Catalog, George Mason University:

<https://catalog.gmu.edu/policies/academic/graduate-policies/#ap-6-10-9>

Graduate Council, George Mason University:

<https://provost.gmu.edu/retired-grad-ed-04>

Mason Publishing Group:

<https://publishing.gmu.edu/about/>

Scholarly Communications within Mason Publishing Group:

<https://publishing.gmu.edu/communication/>

University Dissertation & Thesis Services:

<https://library.gmu.edu/udts>

University Formatting Guidelines:

<https://library.gmu.edu/udts/resources#guidelines>

University Libraries:

<https://library.gmu.edu/>

Writing Center, George Mason University:

<https://writingcenter.gmu.edu/about-the-wc>

Zotero:

https://infoguides.gmu.edu/search_help/zotero

Chapter 3

The Iowa State University (ISU) Graduate College: ETD Formatting and Review Process

Author: Lily Compton, Graduate Communication Programs Coordinator, Center for Communication Excellence, Graduate College

This chapter is an abbreviated overview of the ISU Electronic Thesis and Dissertation (ETD) formatting and review process to support the USETDA 2022 plenary panel discussion “ETD Formatting and Reviewing: Hot Topics and Questions.”

All ETDs processed for ISU are managed through the Graduate College. Currently, ISU processes approximately 600-700 ETDs per year. These numbers do not include creative component capstone projects. The ETD formatting and review process is completed in **ProQuest ETD Administrator**. Approximately a month after graduation, the Graduate College delivers all approved ETDs to be published in ProQuest. Following that, the same files are delivered to the University Library to be published in the **Institutional Repository (IR)**.

As you peruse the ISU overview along with the other ETD formatting and reviewing overviews, please take note of questions and comments you have for our USETDA plenary panel and add them to this **Pre-Panel Q & C Survey** (Questions and Comments). Questions or comments prior to the panel discussion will assist in making this a more useful event. This Q & C Survey link is also available at the beginning of all formatting and review Overviews, but please collect all of your questions and comments for all overviews you peruse before responding to this survey. Thanks for your assistance.

3.1 A Brief History

The University Library began to digitize hard copies of theses and dissertations in (Insert YEAR). The earliest piece of student work found in the repository is 1910. The switch from hard copy submissions to digital submissions began in (Insert YEAR). Since 2014, ISU has

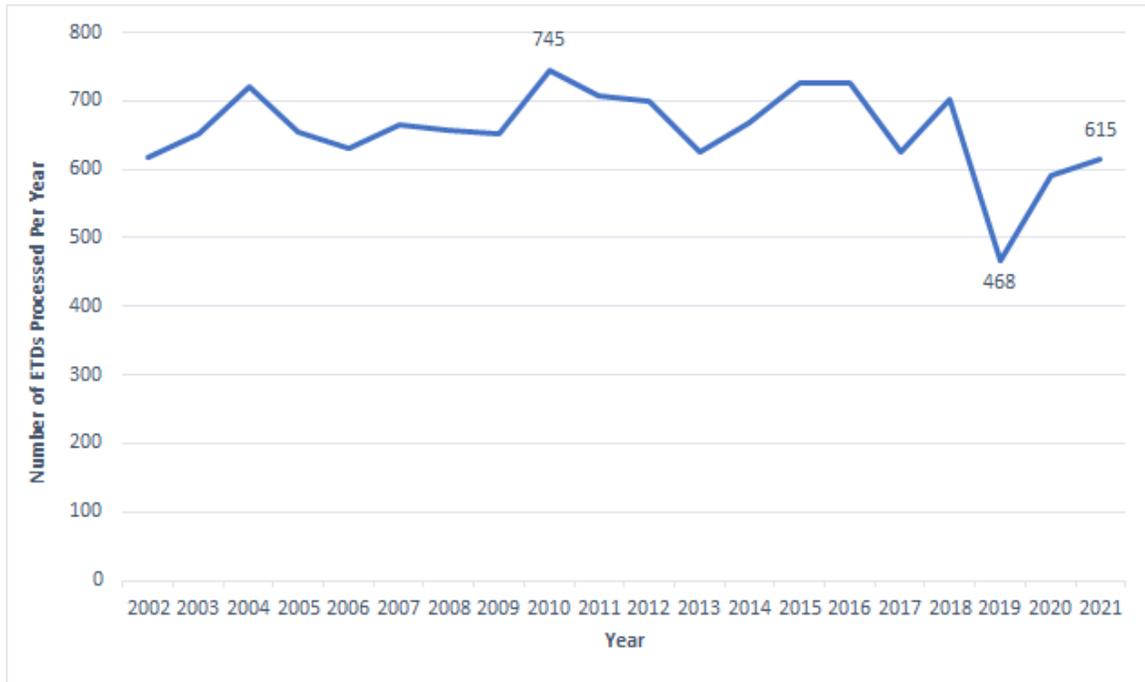


Figure 3.1: ISU ETDs Processed Per Year

moved the ETD formatting and review process to ProQuest to facilitate the transition from hard copies to electronic versions.

During the last 20 years (2002-2021), ISU has processed 600-700 ETDs annually; see **Figure 3.1**. The highest number of ETDs was for the academic year Fall 2010 to Summer 2011 with 745 files, while the lowest number of ETDs was for the academic year Fall 2019 to Summer 2020 with 468 ETDs. The drastic decline coincided with the COVID-19 pandemic that resulted in delayed graduation for many graduate students.

The earliest copy of formatting guidelines can be traced back to 1951. Hard copies of thesis manuals were provided to students (see **Figure 3.2**).

Each year, updates were made to the manual and reprinted. The Graduate College had one reviewer that completed format reviews of each hard copy, including the measurement of page margins with a ruler. Today, the ETD formatting and review process is completed entirely online.

In 2015, the **Center for Communication Excellence (CCE)** was established to provide writing support to all graduate students and post-doctoral associates. In 2018, programming was expanded to provide ETD support. Today, the CCE runs the **Thesis/Dissertation Writing Program** that provides writing support as well as formatting assistance.

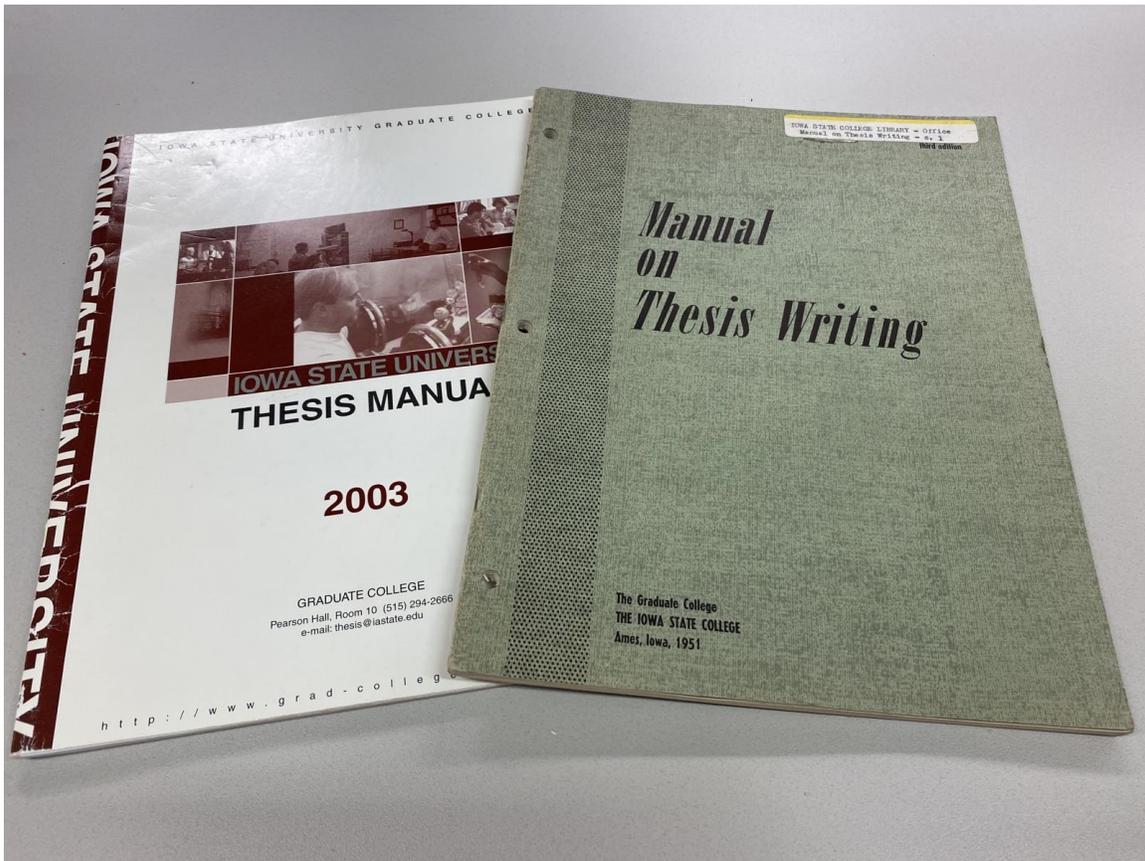


Figure 3.2: Hard Copies of Thesis Manuals

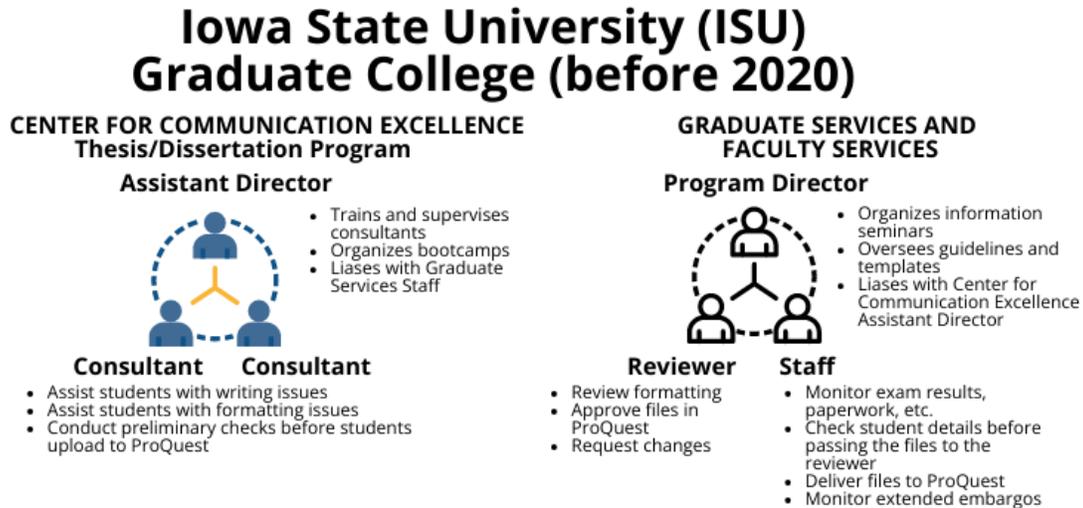


Figure 3.3: ISU Graduate College Organizational Structure for ETD Tasks and Responsibilities Before 2020

3.2 Administrative ETD Organizational Structure, ETD Review Process, and Embargoes

3.2.1 Organizational Structure and Personnel

Before 2020, we had one primary reviewer who reported to the Program Director for Graduate Services and Faculty Services. The CCE trained graduate students to be consultants to provide assistance with formatting before the submission in ProQuest. **Figure 3.3** shows the ISU Graduate College organizational structure related to ETD tasks and responsibilities. The Program Director was responsible for maintaining the formatting standards and supervising the ETD reviewer, while the CCE Assistant Director was responsible for communicating new and revised guidelines to the consultants and updating existing ETD templates.

In 2020, the Graduate College restructured and moved all ETD formatting and review under the CCE while maintaining record-keeping tasks under the Graduate Services and Faculty Services. **Figure 3.4** shows the current organizational structure. Under the new structure, a Program Coordinator supervises both the ETD reviewer and consultants. The Program Coordinator also maintains the guidelines and templates, plans events, supervises consultant training, and collaborates with other units and stakeholders. Moving the entire

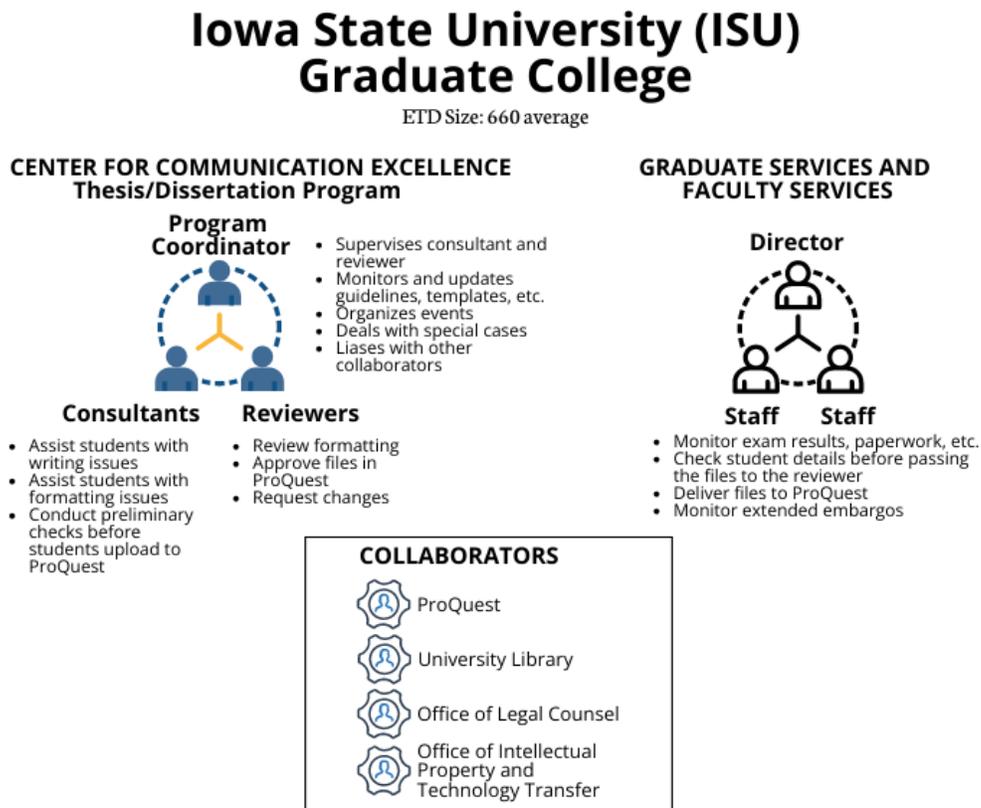


Figure 3.4: ISU Organizational Structure For ETD Tasks and Responsibilities After 2020

ETD process under the CCE has streamlined the communication and shared information between the consultants and reviewers. For instance, if there is a question or deviation from our templates, the coordinator, reviewers, and consultants explore options, discuss, and decide together as a team. **Figure 3.4** also includes the list of our ETD stakeholders and collaborators on and off campus.

We currently have one primary reviewer who approves the ETDs in ProQuest. We have a secondary reviewer who assists during the last six weeks of each semester to ensure that the review process has a decent turnaround time. During those weeks, the reviewers split the reviews based on the students' last names, i.e., A-M and N-Z. Having the secondary reviewer also ensures that we have a backup if the primary reviewer is unable to review a file or needs to take time off.

In addition to the reviewers, we have three to four consultants who assist students with preliminary format checks. One of the consultants specializes in LaTeX and Overleaf, while the others work with Microsoft Word documents.

3.2.2 ETD Review Process

The ETD review process begins after the students have finalized their revisions and received approval from their major professors. At that time, they upload their final draft to ProQuest and ensure that their Graduate Student Approval Form and Final Oral Exam Report have been filed with the Graduate College (See **Figure 3.5**).

Once these documents have been received, a Graduate College staff checks them and lets the reviewers know that the ETDs are ready for review. Any incorrect details from the preliminary page, e.g., students' university numbers, committee members' names, etc., will be logged in a spreadsheet. The reviewers integrate those details into the request for format revisions.

The reviewers retrieve the ETDs from ProQuest and proceed with the review process. One of three template emails is sent to the students: (1) Accept, (2) Major Revisions, and (3) Minor Revisions. A list of required revisions with relevant resources is included in the reviewers' responses (See **Figure 3.6** as an example of template requesting major revisions.) Students then complete the revisions and repeat the process as necessary until their ETDs are accepted. When ETDs have been accepted, the reviewers lock the files in ProQuest. At that point, no further changes are allowed.

Once the ETDs have been locked, a Graduate College staff completes the final part of the Graduate Student Approval Form, and this step completes the graduation requirements. About a month after graduation, all approved and locked ETDs are delivered to ProQuest for publication. After that, ProQuest shares the data with the University Library, and the ETDs are then published in the IR.

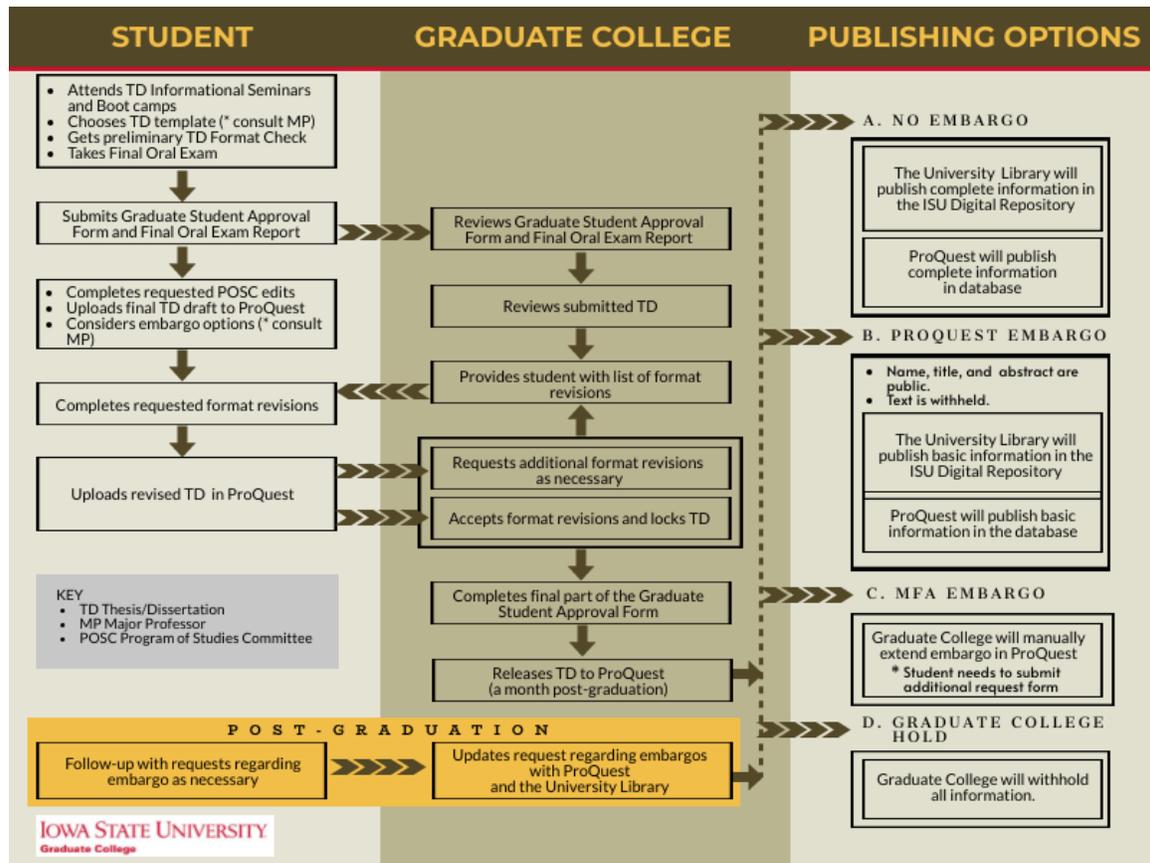


Figure 3.5: ISU ETD Format Process

Dear [Student Name],

Your paper is being returned to you because of numerous formatting errors. Please review the formatting guidelines listed on our website below. You may also make an appointment with a CCE thesis/dissertation consultant, or hire an editor if you have difficulty understanding the requirements. You must adhere to the formatting requirements. Please make sure you have checked your paper carefully before resubmitting it.

Please check out the following resources:

1. The [Thesis/Dissertation Writing Program](#) website includes several important tools:
 - a. [The Student Checklist](#)
 - b. [Formatting Examples with Annotated Samples](#)
 - c. [Formatting Tutorials](#)
 - d. [Formatting Templates](#)
2. The Center for Communication Excellence offers [individual thesis/dissertation formatting consultations](#). Trained consultants will help you to identify what needs to be corrected but will not make the changes for you.

ADMINISTRATOR: ENTER REVISIONS HERE

Additional Instructions for Ph.D. Students Only

Please complete the two surveys below. (We aim to have a 100 percent response rate from our doctoral degree recipients on both forms.)

1. The first is an online NSF-sponsored "[Survey of Earned Doctorates](#)." When you do the online version, be sure to request the "Certificate of Completion." A copy will automatically be emailed to Iowa State University.
2. The second is an [ISU Exit Survey for AAU Accreditation](#) so that we can find out about your experiences at Iowa State as a graduate student.

Regards,
[ETD Site] Administrator

Figure 3.6: Sample of Reviewer Email Template: Request for Major Revisions

3.2.3 Scope of ETD Reviews

The ETD reviewers focus on formatting guidelines as set forth by the Graduate College. Some of the key items they focus on include the organization of chapters to match one of the approved templates (see Templates), pagination, and consistency in overall design.

The reviewers do not review any of the content as they are considered the responsibility of the major professor and committee members. For example, the number of chapters included in an ETD are determined and approved by the major professor and committee members.

A good example to illustrate the scope of reviews is the References. The reviewers monitor the placement of References depending on the type of template that has been used. References can appear at the end of an ETD if they relate to the entire work or they can appear after each respective chapters that have been written up as manuscripts. The choice of citation style (e.g. APA or MLA), on the other hand, is decided by the student and the major professor and is generally dependent on the discipline. Thus, the reviewers do not monitor the accuracy of the References, but they will check the line spacing for individual references and between references.

The review process takes about 15 minutes per ETD. An ETD with a request for minor revisions generally gets completed in two iterations while one with major revisions can take up to four iterations. Reviewers keep working on the process until all files are cleared for the graduation semester. Students receive reminders about two weeks after the submission deadline. If they fail to make progress or provide justification for their delay, their graduation can be deferred to the following semester.

3.2.4 Embargo Processing

There are currently three types of embargoes:

1. Traditional embargo
2. MFA embargo
3. Graduate College hold

The traditional embargo is offered in ProQuest with the option of withholding the content for 6 months, 1 year, or 2 years. The same duration is reflected in the institutional digital repository. This option is typically selected by students who wish to submit parts of their ETD as manuscripts or if they are applying for patents.

The MFA embargo offers creative writing graduate students from the Master of Fine Arts program an extended embargo option because it usually requires extra time to publish their works. These students can request an extended embargo of up to ten years with the approval of their major professor. The Graduate College then extends the embargo in the ProQuest system.

In these first two options, the names, titles, and abstracts are released to the public, but the contents of the ETDs are withheld.

The third type of embargo is the Graduate College Hold. This embargo is discouraged and used in special circumstances. In this case, the students must justify why all details of their ETDs must be withheld.

Some ETDs involve sponsored research and intellectual property research. Thus, parts of the ETDs cannot be released to the public. In such cases, students must prepare two versions of their ETDs: a full version to be used for the final examination and a version that excludes proprietary information or intellectual property. A redaction statement must accompany the sections of the ETDs that have been excluded. For more information about these guidelines, see [Availability to Public](#).

3.3 ETD Formatting and Review Support

The CCE offers four types of thesis/dissertation (TD) formatting support: informational seminars, formatting bootcamps, individual consultations, and walk-in clinics. CCE staff and trained consultants work with students in group and individual settings. None of the TD events are mandatory, but most major professors and departments refer their students to our center to receive the orientation and support they need.

3.3.1 TD Informational Seminars

Graduate students are encouraged to attend TD informational seminars to get an overview of the ETD requirements and the ETD review process. Before 2019, these hour-long seminars were held in person once or twice a semester. Because there was so much information to cover, very little time was allowed for questions and answers. Thus, in 2020, most of the key information was converted into four on-demand videos and published as the [TD Seminar Series](#) on the [CCE's YouTube Channel](#). Each semester, the CCE holds two to three informational seminars. Students are encouraged to view the videos before attending the seminars. By providing these on-demand videos, more time is allotted for questions and answers during the live in-person and online sessions.

Students can attend the seminar at any time during their program of study. Ideally, students attend the seminar during the year they graduate to receive an overview of Graduate College requirements, required paperwork, common mistakes, and the review process before they start preparing their ETDs. Then, they are encouraged to attend the seminars again during the semester of graduation so that they can get clarifications and answers.

3.3.2 TD Formatting Bootcamps

The CCE holds TD formatting bootcamps two to three times per semester. These events are usually held in a computer lab at the University Library. The presenter(s) highlight key requirements and students review their drafts as they listen to the presentation. Common mistakes and troubleshooting techniques are featured. The presenters then work with individual students during the remaining time. The presenters are usually trained to deal with Microsoft Word documents, so they usually were unable to help students troubleshoot LaTeX/Overleaf documents. In 2021, the CCE began offering a LaTeX Formatting Bootcamp as a separate event.

3.3.3 Individual TD consultations

Graduate students can also book individual TD consultations to receive formatting help. At the minimum, they are encouraged to make one appointment to get a preliminary format check before submitting their ETDs to ProQuest.

During these sessions, consultants conduct a preliminary format check and identify formatting mistakes. Consultants also demonstrate how to fix those mistakes. Students can repeat the process as often as they want as long as the consultants have open slots.

These 30-minute sessions can be done synchronously or in person. There are plans to pilot asynchronous format checks in Fall 2022. The CCE typically hires three consultants per semester, with one consultant specializing in LaTeX/Overleaf.

The main TD reviewer also provides 30-minute TD formatting consultations during the early months of each academic semester when there are fewer ETDs to review. For these sessions, students are not required to make appointments. Instead, they check the CCE calendar to see if there are walk-in hours.

3.3.4 Walk-in TD Clinics

These clinics offer students the opportunity to get help not only before submitting their ETDs to ProQuest but also after receiving the reviewers' requests for formatting revisions. Thus, the clinics are scheduled two weeks before and after the submission deadline. During this time, individual consultations are usually fully booked, so these clinics offer alternative options for formatting support.

The walk-in clinics allow students to drop in during scheduled blocks and wait for their turns to get help. The in-person clinics are held at the CCE or designated University Library spaces. Additionally, synchronous walk-in clinics are hosted via WebEx; students wait in the virtual lobby until the consultants bring them into the virtual consultation room.

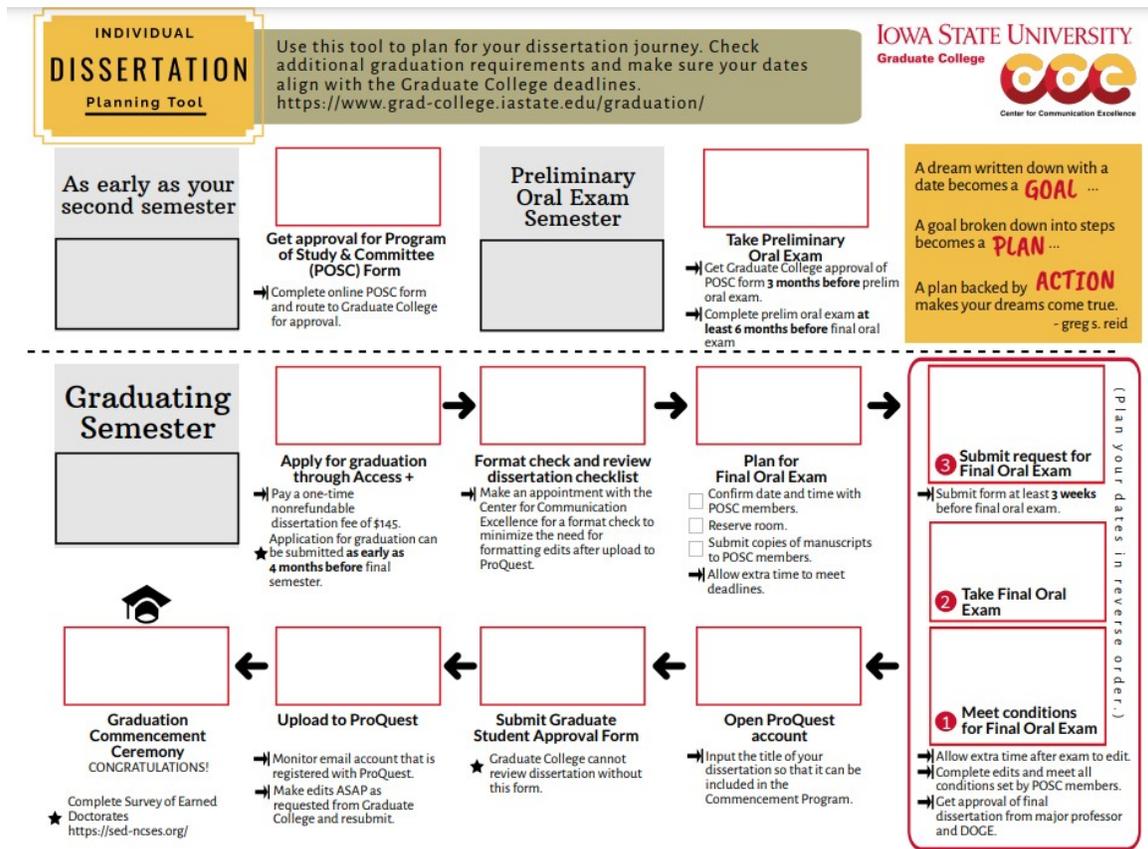


Figure 3.7: Dissertation Planning Tool Mapped to Graduate College Degree Requirements

3.4 Formatting Tools

The CCE creates and provides formatting tools and resources to support students in their formatting process. These tools and resources allow students to work independently through their formatting process before and after their initial ETD submission in ProQuest. These tools are maintained under the **TD Writing Program**.

3.4.1 Planning Tools

Two planning tools are provided, one for thesis and creative components, and the other for dissertations. These tools are mapped to the Graduate College Degree Requirements; see **Figure 3.7**. as an example.

The goal of these planning tools is to help students plan their timelines and meet key deadlines. Students are encouraged to plot their tentative timelines based on the Graduate College deadlines and then discuss with their major advisors about their defense and graduation plans.

The tools incorporate two important tasks related to the TD formatting review process: (1) scheduling a format check before uploading to ProQuest and (2) completing the editing process as necessary after uploading to ProQuest.

These tools also facilitates the tracking of important deadlines since some of the tasks related to the preliminary and final oral exams require a minimum time in between the two events.

3.4.2 Templates

The CCE provides Microsoft Templates and LaTeX/Overleaf templates.

There are two distinct types of ETD styles that are used: (1) Traditional TD Template and (2) Journal Article TD Template. The first template allows students to format their ETDs as a single study that is split into multiple chapters. In this template, no journal manuscripts, published or unpublished, can be included. The second template allows students to format their ETDs as multiple publishable chapters, published or to be submitted as manuscripts.

Before 2020, most ETDs followed one of these two styles. However, there were numerous instances where a mix of both templates was accepted. In 2021, guidelines were clarified, and hybrid formats are no longer accepted.

In the current templates, the Table of Contents in ETDs will clearly distinguish between the two templates. For example, the location of the references and appendices will differ depending on whether it is a Traditional TD Template or a Journal Article TD Template. In the Traditional TD Template, the references and appendices are placed at the end of the ETDs, but in the Journal Article TD Template, the references and appendices appear with the respective chapters since each chapter is an independent manuscript. Another distinction between the templates is the titles of the first and last chapters. In a Journal Article TD Template, the introductory and concluding chapters must have the word "General", i.e. "CHAPTER 1. GENERAL INTRODUCTIONS" and "CHAPTER X. GENERAL CONCLUSIONS" so that they can tie the independent chapters together under a theme.

In addition to the distinguishing features in the Table of Contents, specific features are included in the Journal Article TD Template. Specifically, these manuscript chapters must include the following details: Author Names and Affiliations and a publishing statement, "Modified from a manuscript to be submitted to/under review in/published in Journal Name." They must also include a separate abstract. If the ETDs include one published

chapter, then the Journal Article TD Template must be used. Students are responsible for looking into the copyright and reprint rules stated by the journals.

A variation of the Journal Article TD Template was released in October 2021 after receiving approval from the Graduate Council. This version is used for the Journal Article Template (single-Article Only) and the Fine Arts/Non-Traditional TD Template. Minor changes to the original template were made to accommodate the needs of two stakeholders: (1) departments that allowed a single-journal article thesis and (2) fine arts ETDs that may need to include different typography and page formatting because of disciplinary needs.

3.4.3 YouTube Videos and Frequently Asked Questions (FAQs)

The CCE maintains a [TD Resources playlist](#) on its YouTube Channel to address common questions about ETDs, e.g. selecting an embargo or choosing the appropriate template.

In addition to that playlist, the CCE also maintains a [TD Playlist for Formatting Tutorials](#). These videos show students how to make formatting changes in Microsoft Word documents. The reviewers and consultants include specific links in their feedback to the students so that they can troubleshoot on their own.

In Overleaf, troubleshooting usually requires a change in the LaTeX codes. Thus, it is easier to address common issues through the [FAQ page](#).

Future projects will explore the need for LaTeX/Overleaf videos and Microsoft Word FAQs.

3.4.4 Checklists

In 2021, two checklists were created after a comprehensive review of ETD guidelines. The first checklist is used by the ETD reviewer and the CCE TD consultants; see [Figure 3.8](#). The second checklist is used by students who wish to review their ETD formatting independently; see [Figure 3.9](#).

The main difference between the two checklists is the recommended responses that can be copied and pasted as feedback from the ETD reviewers and CCE TD consultants. Having a standardized list of responses allow students to receive consistent feedback; miscommunications can be reduced because students, reviewers, and consultants all use the same technical language. This is an important consideration since individual students may deal with more than one reviewer and/or consultant. After the reviewers and consultants insert the standardized responses, they can follow up with specific details or customized responses to further illustrate the formatting issues.

3.4.5 Annotated Samples

Annotated samples serve as another way of helping students pay attention to specific formatting guidelines. In these samples, callout boxes are provided to highlight the important

GRADUATE COLLEGE REVIEWER'S THESIS/DISSERTATION FORMAT CHECKLIST (7.1.2021)

| Format Checked | Comments/Resources For Easy Access Formatting Tutorials The Student Checklist Formatting Examples with Annotated Samples Formatting Templates |
|--|---|
| GLOBAL FORMATTING | |
| <p>Margins and Fonts</p> <ul style="list-style-type: none"> <input type="checkbox"/> 1-inch margins all around (bound and unbound) <input type="checkbox"/> All text, tables, figures, and schemas are within the margins <input type="checkbox"/> Same standard proportional font used for all text, except text in Appendices <input type="checkbox"/> 12-point font used for page numbers, body text, headings <input type="checkbox"/> 8-12 point font used for tables, figures, and captions | <ul style="list-style-type: none"> • Document margins <i>must be</i> 1-inch all around throughout the document even if you plan to bind your thesis/dissertation. • Use the same standard proportional font <i>consistently</i> throughout the document. Exception applies to text in Appendices. • Page numbers must be the same font as the text throughout the document. • Use 12pt font <i>consistently</i> for page numbers, body text, and headings. • Text on tables, figures, and captions <i>should not</i> be smaller than 8pt and bigger than 12pt. |
| <p>Page Numbers</p> <ul style="list-style-type: none"> <input type="checkbox"/> Preliminary pages (pages before Chapter 1) use lower-case Roman numerals <input type="checkbox"/> Numbering begins at “ii” on the page following the title page <input type="checkbox"/> Chapter 1 begins with “1” | <ul style="list-style-type: none"> • Page numbers are centered at the top of the page. • Page numbers for preliminary pages (pages before Chapter 1) must use lower case Roman numerals (ii, iii, iv, and so on). • Following the title page, page number must start at ‘ii’. To see how to change page numbers, view |

Figure 3.8: Checklist used by ETD reviewers and CCE TD consultants

| Format Self-Check | |
|--|--|
| GLOBAL FORMATTING | |
| Before You Begin Writing | |
| <ul style="list-style-type: none"> <input type="checkbox"/> Determine structure for thesis/dissertation <ul style="list-style-type: none"> o Traditional: does not include modified journal-paper formats. REFERENCES and APPENDICES are included at the end of the thesis/dissertation. o Journal article: at least one chapter is a journal article planned to be submitted, submitted, or published. The format includes an abstract for the entire thesis/dissertation prior to Chapter 1. Author names and affiliations, an Abstract and introduction begin each journal article. <input type="checkbox"/> Download and read through the current template from the Center for Communication Excellence, Graduate College website <ul style="list-style-type: none"> o Traditional—Microsoft Word template o Traditional—Overleaf LaTeX template o Journal Article—Microsoft Word template o Journal Article—Overleaf LaTeX template | |
| Margins and Fonts | |
| <ul style="list-style-type: none"> <input type="checkbox"/> 1" margins top, bottom, left, and right <input type="checkbox"/> All text, tables, figures, and schemas are within the margins <input type="checkbox"/> Same standard proportional font (Arial, Times New Roman, Calibri, Cambria) used for all text, except text in the Appendices <input type="checkbox"/> 12-point font used for page numbers, body text, headings <input type="checkbox"/> 8-12 point font used for tables, figures, and captions. | |
| Page numbers | |
| <ul style="list-style-type: none"> <input type="checkbox"/> Preliminary pages (before Chapter 1) numbered with lower-case Roman numerals (e.g., ii, iii, iv) <input type="checkbox"/> Numbering begins at "ii" on the page following the title page <input type="checkbox"/> Chapter 1 begins with "1" | |

Figure 3.9: Checklist used by students

details. For example, **Figure 3.10** shows how students should display the preliminary details in a Journal Article TD Template chapter.

Sometimes, annotated samples are created to showcase specific variations. **Figure 3.11** shows annotated samples for different title pages while **Figure 3.12** shows a closer look at the Sample Title Page with **Alternative Student Name**.

3.4.6 Shared Consent Forms

Shared consent forms were added to the guidelines in 2021 because there was an increased number of co-authored chapters included in submissions using the Journal Article TD Template. In many disciplines, published works or journal manuscripts are authored by two or more collaborators. This is a common practice if graduate student researchers are part of a laboratory or sponsored research or grant. Sometimes, the research is based on interdisciplinary collaborations not just among professors but also with students at ISU and other institutions. Thus, guidelines were established to ensure transparency regarding authorships for ETD purposes.

The shared consent forms are only required when two or more graduate students from ISU co-author a manuscript that appears in more than one ETD. If two or more ETDs contain the same manuscript as an ETD chapter, a shared consent form must be included

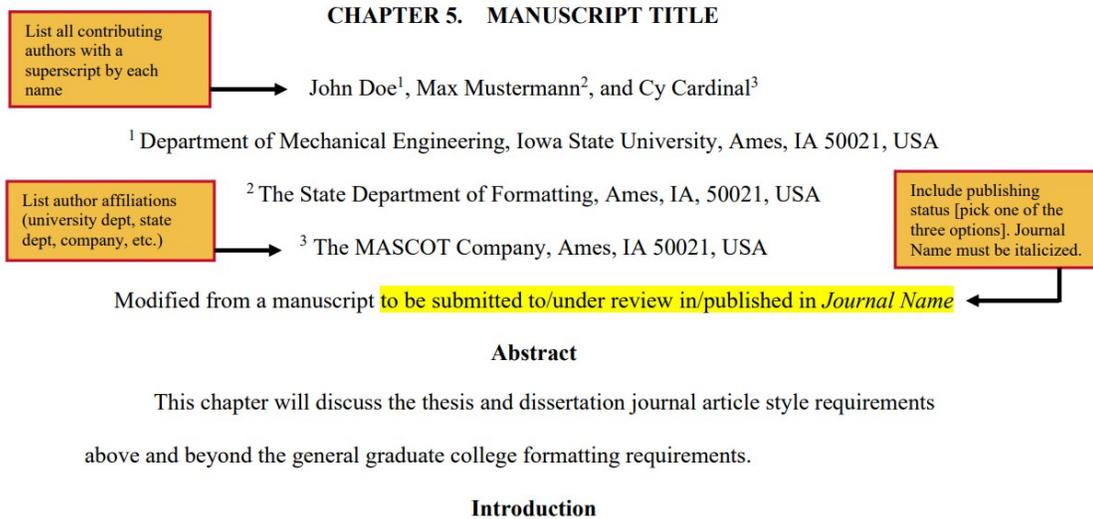


Figure 3.10: Annotated Sample of Publishing Details

Annotated Examples

- | | |
|--|---|
| Sample Title Page | PhD Title Page |
| Master's Title Page | PhD Title Page_Co-Majors |
| Master's Title Page_Co-Majors | PhD Title Page_Specialization |
| Master's Title Page_Specialization | PhD Title Page_2 Specializations |
| Master's Title Page_2 Specializations | PhD Title Page_2 Majors and 3 Specializations |
| Master's Title Page_2 Majors and 3 Specializations | Sample Title Page with Alternative Student Name |
| Mater's Title Page_Double Degree | |

Figure 3.11: List of Annotated Samples for Different Title Pages

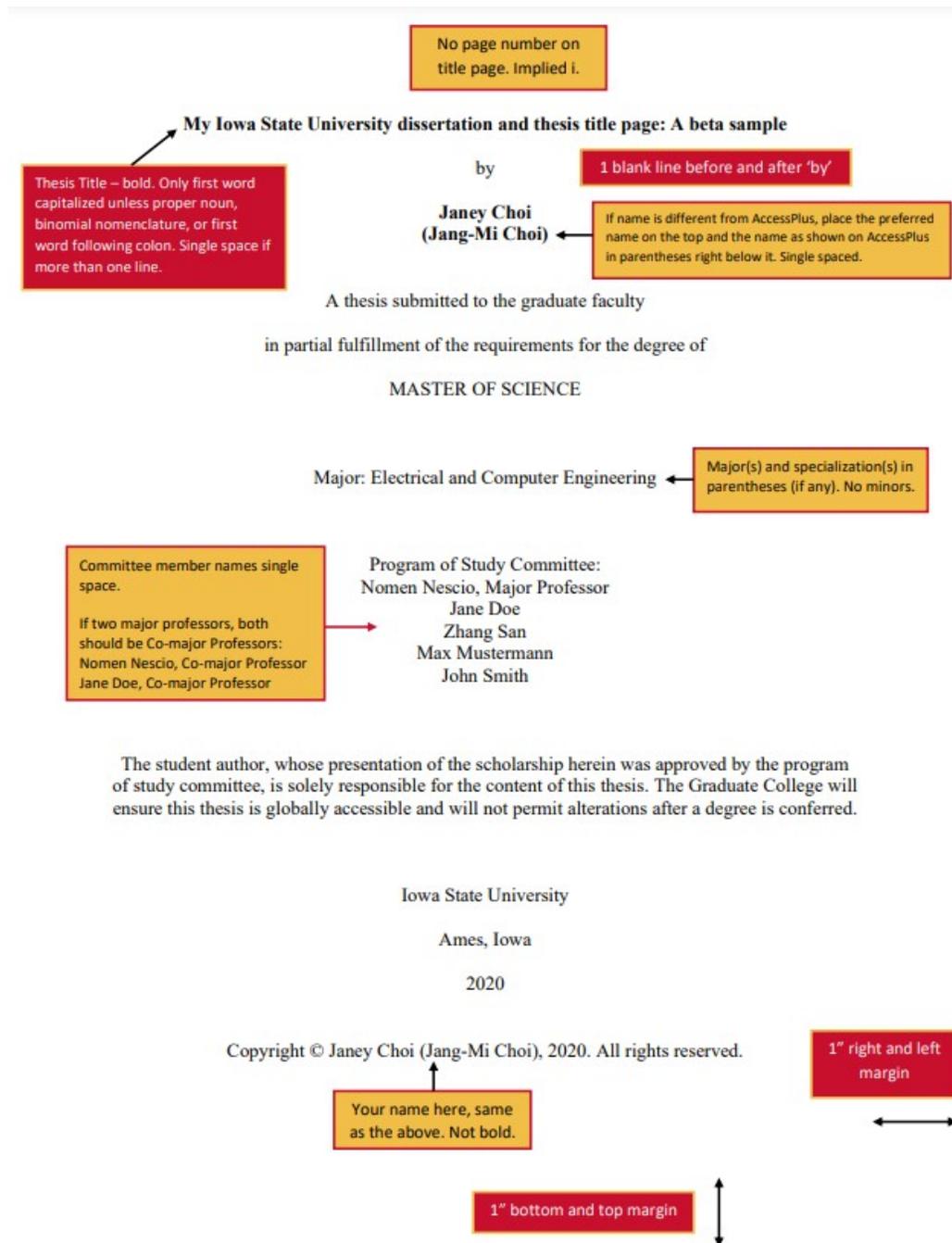


Figure 3.12: Annotated Sample: Sample Title Page with Alternative Student Name

as an appendix. This form is unnecessary if co-authors are not graduate students or if the student co-authors are ISU graduate students but will unlikely include the manuscripts in their ETDs.

There are two templates to capture the shared authorship details. The first option requires details about the overall percentage effort of each student and their respective roles. With this option, signatures are required by all student authors, their major professors, and their Directors of Graduate Education. The second option requires the individual student author to declare all the tasks and responsibilities for the specific manuscript. The list of tasks and responsibilities are taken from the **CRedit (Contributor Role Taxonomy)**. Only the individual student, their major professor(s) and the Director of Graduate Education need to sign the consent form.

During the ETD Review Process, the reviewers will request shared consent forms if they notice more than one author is listed in a Journal Article TD chapter. The following will be included in the feedback:

- I noticed your journal submissions have several authors. If one or more are or were students at the time of writing the article, we need a shared consent from the co-student authors. You can download the Shared Consent Form by clicking on the Formatting Templates above. Attach a copy as an appendix with each chapter as necessary.
- NOTE: If your major professor and you decide that the Shared Consent Form is unnecessary, include this decision under “Student Notes to Administrator” when you resubmit your file, e.g. “My major professor has decided that this shared consent form is not necessary.”

Students would then respond by either submitting their consent forms and including a copy in their ETDs or letting the reviewers know that the consent forms are unnecessary. If the consent forms are required, a signed copy is submitted to the Graduate College for record-keeping, but the signatures are excluded from the ETDs.

3.5 Fees and Funding

Students pay a one-time TD fee of \$145 during the semester they file for graduation. If they should decide to defer their graduation, they will not be assessed another TD fee in the future. The fees are used to pay for part of the salaries of the CCE’s Program Coordinator and TD Reviewers and the stipends of CCE consultants involved in the ETD process. Additionally, the Graduate College also uses part of the fees for the Overleaf subscription. None of the fees are used for the ProQuest subscription that is fully funded by the University Library.

3.6 Notes

1. This draft has been written to provide an overview of ISU's ETD program to the attendees of the USETDA 2022. A revised version will be provided after the conference.
2. Attendees are welcome to submit their questions regarding the contents of this chapter or other questions about ETD Formatting and Reviewing using this [Survey Link](#).

Created: August 29, 2022

Chapter 4

ETD Formatting and Review Process: University of Florida

Author: Stacy Wallace

4.1 A Brief History of ETDs at the University of Florida (UFL)

4.2 ETD Stake Holders at UFL

Figure 4.1 shows a schematic of the ETD stakeholders at the UFL.

4.2.1 Partners

- Graduate School Editorial Office
- Application Support Center (ASC) Committee
- Graduate Staff and Graduate Coordinators
- Students

ETD Partnerships are distributed as illustrated in Figure 4.2

4.2.2 Application Support Center (ASC) (Additional Information)

ASC is a part of the UF Computing Help Desk

Also offers online tutorials for 24-hour access

One-on-one consultation (now by appointment only)¹

¹Due to COVID-19, appointments are done only through Zoom. No walk-ins are being accepted at our physical location. The Editorial Office of the Graduate School sees students in person should the need arise.

University of Florida (UFL) Graduate School Editorial Office

THESIS AND DISSERTATION OFFICE Electronic Thesis/Dissertation (ETD) Program

ETD Size: 1200 average

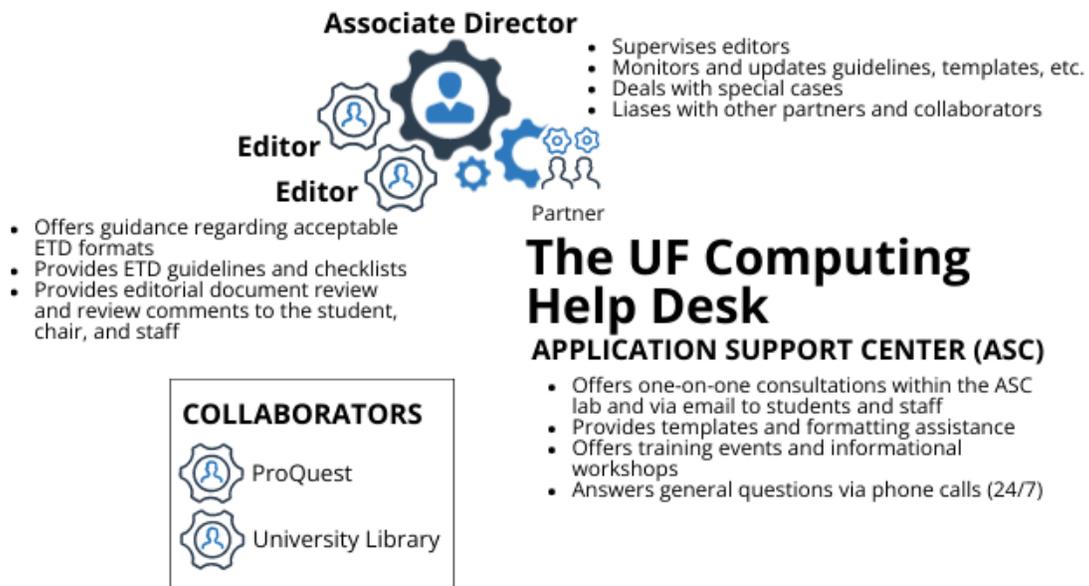


Figure 4.1: ETD Stake Holders the University of Florida

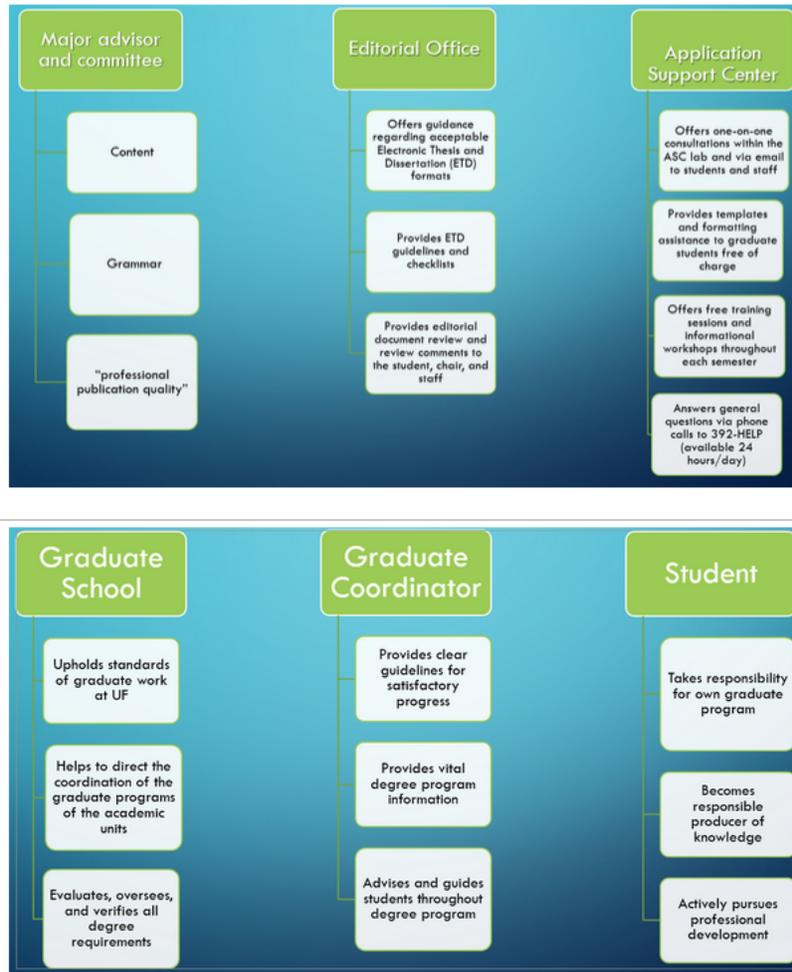


Figure 4.2: ETD Partnerships and Responsibilities

4.2.3 Collaborators

- ProQuest (although we do not use their review portal)
- NSF (Survey of Earned Doctorates)
- UFL Libraries (Publication within the IR, Embargoes, Copyright/Fair Use)

Chapter 5

The University of Utah (U of U) Graduate School: ETD Formatting and Review Process

Author: Ericka Findley, Manuscript Editor, Thesis Office, Graduate School

This chapter is an abbreviated overview of the ISU Electronic Thesis and Dissertation (ETD) formatting and review process to support the USETDA 2022 plenary panel discussion “ETD Formatting and Reviewing: Hot Topics and Questions.”

All ETDs processed for U of U are managed through the Graduate School. Currently, U of U processes approximately 800-1000 ETDs per year. These numbers do not include creative component capstone projects. The ETD formatting and review process is completed initially through our OnBase repository before being finalized in ProQuest ETD Administrator. The Thesis Office Manager is responsible for delivery and publication of manuscripts in ProQuest. If students grant permission, those files are concurrently delivered to the University Library to be published in USpace, our institutional digital repository.

As you peruse the U of U overview along with the other ETD formatting and reviewing overviews, please take note of questions and comments you have for our USETDA plenary panel and add them to this **Pre-Panel Q & C Survey** (Questions and Comments). Questions or comments prior to the panel discussion will assist in making this a more useful event. This Q & C Survey link is also available at the beginning of all formatting and review Overviews, but please collect all of your questions and comments for all overviews you peruse before responding to this survey. Thanks for your assistance.

5.1 A Brief History

The Marriott Library has digitized a large majority of our bound copies of manuscripts. Our earliest digitized manuscript is from 1903. We have digital copies available in our institutional repository of over 3000 manuscripts predating our shift to natively digital

documents. The U of U began requiring digital final copies of manuscripts to be uploaded for publication in ProQuest in 2010.

However, the editing process was completed on paper until 2020 when the COVID-19 pandemic forced changes in processes. Up until this point, the University's Thesis Office completed an exhaustive proofreading and format check. Since, the entire process has been revamped to focus specifically on formatting. The paper copies for the revision process have also been eliminated. With the latest version of our Handbook, we are now embarking on a soft rollout of additional institutional requirements for manuscript accessibility.

5.2 Administrative ETD Organizational Structure and ETD Process

5.2.1 Organizational Structure

The University of Utah has a five-person team working in the Thesis Office, a division within the university's Graduate School. The Thesis Office Manager is a full-time employee answering directly to the Dean of the Graduate School. The Thesis Office Manager is responsible for clearing all manuscripts for publication. We require that all manuscripts be published in ProQuest and offer an optional additional publication in our school's digital repository in our library, USpace. The Thesis Office Manager reviews manuscripts once they are cleared by an editor and uploaded to ProQuest, determining that the uploaded copy meets requirements. From there, they will manually publish the manuscripts after all documents for a semester are prepared. They are also responsible for issuing a "thesis release" in each student's profile to notify the Registrar that they have finished the process and are thus cleared for graduation as far as the Thesis Office is concerned.

Another primary duty of the Thesis Office Manager is reviewing and managing embargoes as necessary. We allow for students to request embargoes in ProQuest which are then subject to the Thesis Office Manager's approval. Students wishing to publish in USpace can also request the necessary embargo from them when filling out the Graduate Information Form. This is a form sent to the student once their editor has cleared them to upload to ProQuest. It is a digital form located in our OnBase system; the form is thus filed in this system after it is filled out. A blank form can be seen in **Figure 5.1**.

The Thesis Office Manager will grant embargo requests for up to two years upon request. Students are entitled to ask for an additional year (for a total of three years) subject to the discretion of the Thesis Office Manager. Any requests beyond that are escalated to the Dean of the Graduate School who consults the matter with the Graduate Council. Because many of our manuscripts come to us from fields in the hard sciences, we maintain that it is a priority for this information to be made available to the public.

In addition to the Thesis Office Manager, the U of U Thesis Office employs three full-time Manuscript Editors. These editors review student submissions to our OnBase system.



You have been cleared for electronic publication of your thesis/dissertation. Please complete this form to provide information that is needed to finalize your graduation and indicate whether you give the University permission to distribute your manuscript via USpace.

Student Information

Academic Year *

Academic Department/Program *

Graduate Degree Type *

Student ID
Enter your 8-digit Student ID and press Tab or Enter. Your Student ID is the same as your uNID, but starts with a zero instead of a u. *

First Name * **Last Name *** **Umail ***

Email * **Phone ***

Is this still a valid personal e-mail address? *

Permanent Address

Country * **Street Address *** **Zip Code ***

State *

Are you a US Citizen *

Gender *

Permission to Distribute Works Via USpace

USpace collects, maintains, preserves, records, and provides access to the intellectual capital and output of the University of Utah. USpace reflects the University's excellence and shares that work with others.

Putting scholarship on the Web will lead to greater accessibility and visibility for you as an author. Items in USpace are indexed by Google, which has the potential of increasing readership and, ultimately, the number of citations to your work. Each document receives a unique URL for easy linking and sharing.

USpace is committed to converting file formats (such as PDF) to ensure that your document remains readable and accessible in the future.

[Marriott Library Online Publishing Agreement | Theses and Dissertations](#)

I authorize the University of Utah to make a copy of my work and publicly distribute it via USpace. *

Signature Date (will be filled in automatically when the form is signed/submitted)

Signature

Click to Sign Document

Note: If your degree is a PhD, the University encourages you to complete the [Survey of Earned Doctorates \(SED\)](#), a voluntary survey conducted by the National Science Foundation.

Submit

Figure 5.1: University of Utah Graduate Information Form.

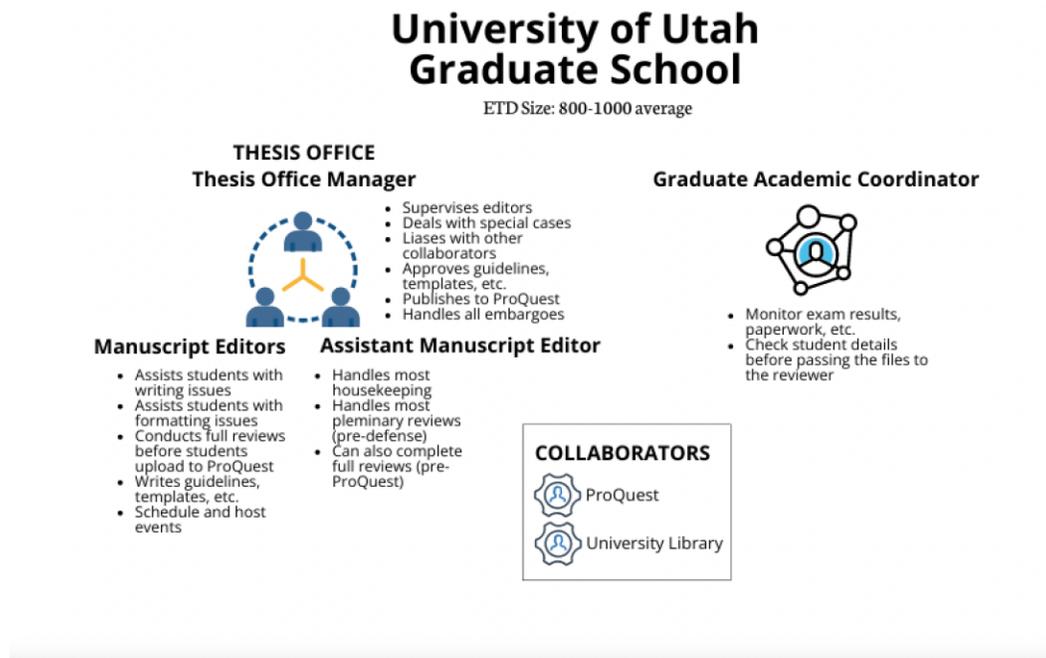


Figure 5.2: University of Utah ETD Organizational Structure.

The editors also handle additional job duties like performing outreach, providing student assistance, and managing tutorials. A part-time Assistant Manuscript Editor primarily handles preliminary reviews to pre-defense drafts of manuscripts. **Figure 5.2** provides an overview of our employee model and where we fit within the university.

5.2.2 Review Process

We strongly encourage students to submit their manuscript for a preliminary review prior to their defense. This can be done at any point in the process. Students do not need to provide us with an entire manuscript in order to benefit from a preliminary review. We accept as little as one chapter. For a preliminary review, the editor provides basic feedback about the manuscript's formatting. This allows us to identify major issues in advance of a full submission. This way, students will likely (and hopefully) require fewer rounds of revisions for the full submission. The goal is to be able to get more submissions at the end of the semester processed for graduation.

At the moment, the University of Utah does not have any hard deadlines for student submissions. Instead, we offer “target dates” to the students, firm suggestions of how they should schedule their final semester. To the best of our ability, we will process any submissions sent into us by the target date for a semester. Upon availability, we will continue to process manuscripts received after the target date until the Graduation Office begins conferring degrees. Our target date for final submissions is currently set for the week of finals, though this is being reviewed. Students submitting on or before the target date may still be ineligible for graduation within that semester if the manuscript is in need of major revisions or if the student fails to resubmit to their editor in a timely fashion.

After a student’s committee has approved their manuscript’s content and formatting post-defense, the student submits for a full review. They fill out a form in our OnBase system that asks them for their student ID, degree information, committee information, and style guide choice. We permit students to use veritably any style guide. We also allow students to format according to the author guidelines for a journal of their choice. Students attach a PDF of their manuscript to this form and it enters our queue.

We have several queues that allow us to keep track of all manuscripts until they are granted approval and have filled out the Graduate Information Form. Preliminary reviews go into their own queue to be selected by the first available editor. Full reviews first go into a queue awaiting digital signatures from their committee members. An email is sent out to all committee members to request these signatures once the manuscript is submitted. We require only a majority of signatures here to indicate that they are satisfied with the manuscript that has been provided to the Thesis Office. After we receive signatures from the majority of the committee, the manuscript moves to a new queue to await signatures from the committee chair and department chair. Upon being routed to the new queue, emails are sent to these two individuals. The manuscript stays in this queue until both signatures are received. It then moves to the pending queue, ready for the next available editor to select the manuscript. Once selected by an editor, it moves to an in-progress queue specific to that editor. Editors review, send back, and get resubmissions all from these individual queues. Once an editor provides format approval, they make this selection and the submission goes to a final queue until the Graduate Information Form is successfully completed.

When an available editor selects a manuscript, they download their PDF and begin the review. Manuscript Editors begin with making sure the department and degree names are correct, as well as the committee names listed on the approval page. Manuscripts are reviewed for formatting only, not content or minor grammar. We are quite strict with maintaining consistency in the citations, especially in regard to capitalization. We also make sure all figures and tables are mentioned in the text and that they appear in proper numerical order and adhere to our strict guides for placement.

With each submission the editor returns a Correction Sheet that allows the editor to check off common errors observed in the manuscript as well as provide typed notes. The bulk of the corrections, however, are handwritten on the PDF using either an iPad or

| DOCUMENT DATE | DOCUMENT TYPE | FIRST NAME | LAST NAME | EMPLOYED | ACADEMIC DEPARTMENT/APR | GRADUATE DEGREE TYPE | MANUSCRIPT SUBMISSION T |
|---------------|---|------------|-----------|----------|-------------------------------------|----------------------|-------------------------|
| 8/30/2022 | GRDSCHL - Thesis Manuscript Submission Form | | | | Psychology | MS | Initial Review |
| 8/26/2022 | GRDSCHL - Thesis Manuscript Submission Form | | | | Atmospheric Sciences | PHD | Resubmission |
| 8/24/2022 | GRDSCHL - Thesis Manuscript Submission Form | | | | Educational Leadership and Policy | PHD | Initial Review |
| 8/18/2022 | GRDSCHL - Thesis Manuscript Submission Form | | | | Pharmacotherapy | PHD | Initial Review |
| 8/10/2022 | GRDSCHL - Thesis Manuscript Submission Form | | | | Electrical and Computer Engineering | PHD | Initial Review |
| 7/22/2022 | GRDSCHL - Thesis Manuscript Submission Form | | | | Geography | PHD | Initial Review |
| 7/22/2022 | GRDSCHL - Thesis Manuscript Submission Form | | | | Materials Science and Engineering | MS | Initial Review |
| 6/14/2022 | GRDSCHL - Thesis Manuscript | | | | Chemistry | PHD | Resubmission |

Figure 5.3: University of Utah Editor Queue in OnBase.

on a Microsoft Surface, depending on the editor’s preference. This allows us to indicate page-by-page what changes need to be made.

Once the Corrections Sheet is filled out, it is sent back along with the marked-up PDF in the editor’s individual queue. The submission stays in the queue until format approval is given. See Figure 5.3 for an example of an editor queue along with the different queues available. When the student resubmits, they indicate the submission is a resubmission and select their editor. This moves the submission back to the top of the editor’s queue (they are also emailed to make sure they are aware of the resubmission). The editor downloads the resubmission and continues this process until they no longer request changes. We do not limit the number of resubmissions a student may have. We continue checking their manuscript until they get it up to our standards. An editor may spend 1-2 hours reviewing each submission.

If a student’s submission requires major revisions, the editor may make fewer detailed comments on the submission, focusing mainly on the larger issues at hand. The student will be referred to our Handbook and resources like our templates and tutorials. This is considered a format review; this also precludes the submission from being considered submitted on-time. The editor indicates this in OnBase and an email is sent to the Committee Chair and Department Chair to let them know the submission contained major errors and will not be considered on-time until a new submission with fewer errors is received. See Figure 5.4 for a visual of our workflow.

Copyright and Coauthor Concerns

Because the University of Utah deals so heavily in the hard sciences, many of our manuscripts contain copyrighted and/or coauthored material. Copyrighted material should be identified in the text, usually by a copyright statement required by the publisher. If the student has elected to reformat the published text to match the university guidelines, this copyright

OnBase Submission Process

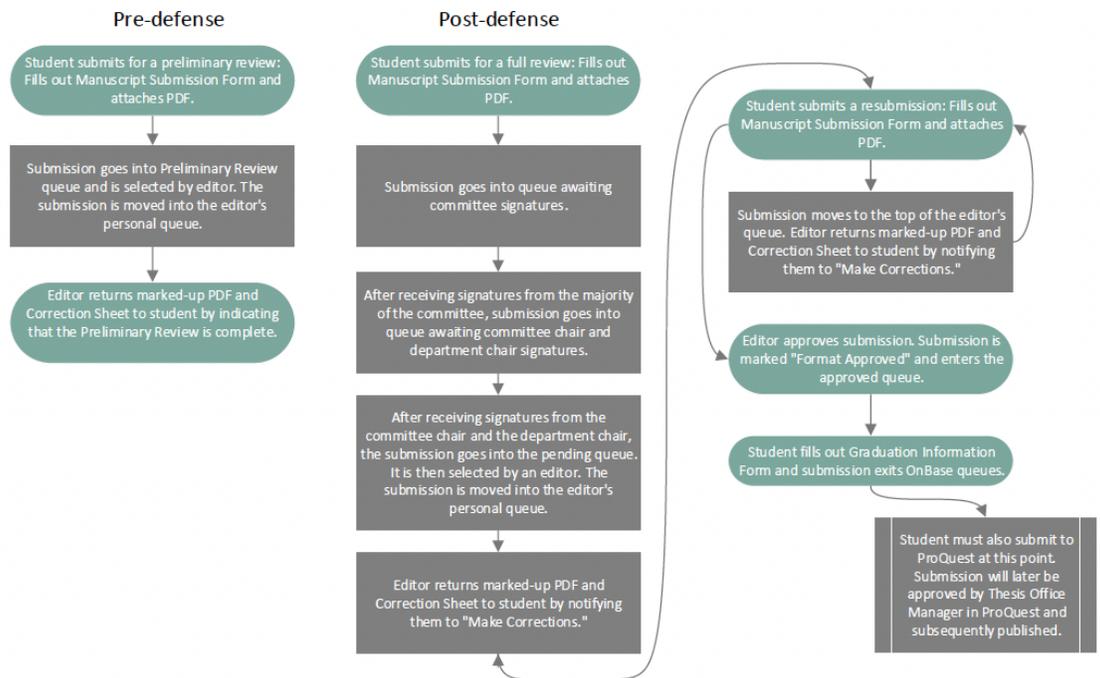


Figure 5.4: [University of Utah ETD Workflow.]University of Utah ETD Workflow.

Coauthor Identification Form
THE UNIVERSITY OF UTAH®

Academic Year *
Academic Department/Program *
Graduate Degree Type *
Student ID (Enter your 8-digit Student ID that begins with a zero and press Tab.) *
First Name * Last Name * Email *
Article Title *

Coauthor Information Add

| Coauthor First Name | Coauthor Last Name | Coauthor Email Address |
|----------------------|----------------------|------------------------|
| <input type="text"/> | <input type="text"/> | <input type="text"/> |

Remove

Submit

Figure 5.5: University of Utah Coauthor Identification Form.

statement is often attached as a footnote to the chapter’s title. If the student wishes to insert pages from the publication directly into the manuscript, the student can create a title page for the chapter with the copyright statement below the chapter title. Students taking this approach must resize the content so that it appears within our allotted margins. Page numbers continuous with the rest of the document must also be placed on these pages.

Students using copywritten material must provide their editor with proof that the publisher allows them to reprint (or adapt, if that is the case). We accept this in the form of an email from the publisher, permission directly from Copyright Clearance, or through a screenshot from their publication agreement. We do ask that they explore all agreements to determine if the publisher requires specific language to be used when providing them credit. We file this evidence in OnBase.

Because much of this material is also coauthored, we also require that the student get signed consent from each of their coauthors to include their work in the manuscript. In addition to providing proper attribution to coauthors in the text (even if unpublished), students are required to fill out a Coauthor Identification Form for each coauthored piece. This digital form collects the information for each of the coauthors (name and email), the title of the piece, and the student information (see **Figure 5.5**). This sends an email to each coauthor asking them to provide us with their signature (**Figure 5.6**). The Manuscript Editor verifies that signatures are received from each coauthor.

Coauthor Release Form



Academic Year *

Academic Department/Program *

Graduate Degree Type *

Student ID (Enter the student's 8 digit ID that starts with a zero and press Tab.)*

Student's First Name *

Student's Last Name *

Article Title

I *
Enter Full Name

hereby authorize the above listed student to submit the listed work to the University of Utah as part of a thesis in partial fulfillment of the requirements for a master's degree.

Signature Date (will be populated automatically when the form is signed and submitted)

Signature *

Click to Sign Document

Submit

Figure 5.6: University of Utah Coauthor Release Form.

5.3 ETD Review Support

5.3.1 Workshops

One of our Manuscript Editors teaches several workshops per semester. This is an hour-long session in which the editor goes over the submission process and basic formatting guidelines, as well as where to locate resources. These workshops are offered online only. The Marriott Library also offers a writing bootcamp several times a semester geared toward the writing process. An editor from the Thesis Office is always a guest once during each bootcamp offering a somewhat downscaled version of the full workshop.

5.3.2 Outreach

A manuscript editor offers in-person presentations to each department on campus each semester. The content presented is much like the workshops, but is often geared more towards some of the specific concerns of each department. Some departments directly request these workshops. Other times, based on the quality of the manuscripts observed from the department in previous semesters, the editor will directly request a session with upcoming graduates. Faculty may also be attendance.

5.3.3 Office Hours and Other One-on-One Options

Every Wednesday, an editor is available for in-person drop-in office hours. Students are encouraged to come by to ask questions specific to their manuscript formatting. We also offer the ability for students to sign up for a 30-minute Zoom consultation with an editor from our website using the Calendly scheduling app. Students are also encouraged to work directly with their individual editors once they have begun the submission process. Editors frequently have one-on-one sessions with their students as necessary (in-person or via Zoom).

5.4 Formatting Tools

5.4.1 Handbook

The University of Utah is doing a soft rollout of a new version of the Handbook for Fall 2022. This Handbook explains the formatting requirements for the manuscripts processed by the Thesis Office. The Handbook contains visual examples and is formatted consistently with our own expectations. This offers students the ability to see the requirements in use. **Figure 5.7** shows some example pages from the Handbook.

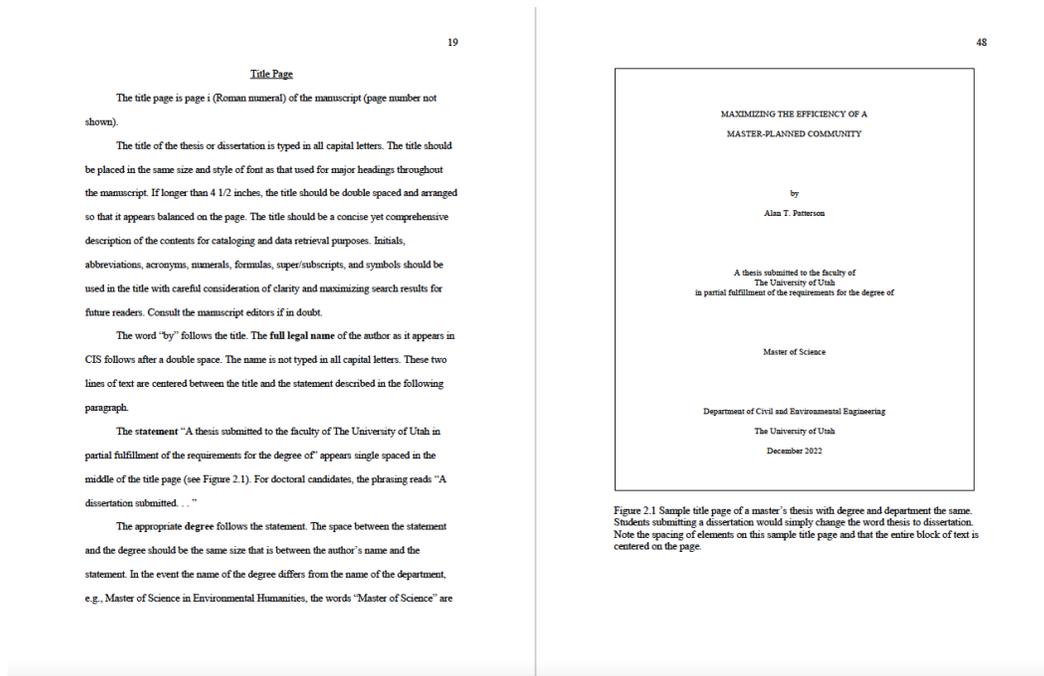


Figure 5.7: University of Utah Handbook Excerpts.

5.4.2 Templates

The University of Utah currently has Microsoft Word and LaTeX templates available for download. The Word template is set up in our desired format. Using the Notes feature, we have explanatory text to guide students to using some of the functions of Word they may not be familiar with using (such as the Styles menu). We are in the process of a soft rollout of a new version of the template that restricts some of the student options and guides them into setting up some basic accessibility functions. The Thesis Office comfortably offers full support in using this template and Word in general through the resources described in Section 5.3.

Our current LaTeX template was created in 2016 by a contracted professor. Several of the formatting requirements in our Handbook are not properly incorporated in this template. At the moment, we have a different set of standards that we apply to LaTeX manuscripts as we are cognizant of these differences. We have contracted another faculty member to create an updated version which should be rolling out shortly. We do our best to offer support for LaTeX-created manuscripts, with faculty in the Mathematics Department sometimes assisting us in assisting our students. Though one of the Manuscript Editors is actively learning to code using LaTeX, we have found that it can often be a challenge for us to troubleshoot the issues we encounter. This is one of our greatest areas of weakness.

5.4.3 YouTube Videos and Visual Guides

The Thesis Office has a dedicated YouTube channel. Our videos walk students through submitting the necessary forms to our office, the basics of our Handbook, and the processes of our office. We are in the process of expanding it to demonstrate how to navigate some of the Microsoft Word functions as well as setting up accessibility requirements in Word and Acrobat.

We have a few visual examples not included in our Handbook available on our website. This is also being expanded to include guides for accessibility requirements. An example can be seen in **Figure 5.8**.

5.4.4 Other Resources

Every student at the University of Utah is provided with a free subscription to Grammarly. While we do not proofread entire manuscripts, we do proofread abstracts. If we note major issues in the abstract or encounter them when skimming the rest of the manuscript, we will suggest the student run their manuscript through the software to catch grammar issues we otherwise would not.

The University of Utah also has a dedicated Graduate section of the Writing Center that is available to help graduate students with the written component of their manuscripts. They do not specialize in assisting students with formatting, though they are competent in Microsoft Word.

Identifying and Labeling Headings and Subheadings in MS Word

Open the "Styles Pane" from the Home menu.



This opens a pane on the right side of the screen.



Figure 5.8: University of Utah Visual Guide Example.

Chapter 6

Using L^AT_EX and Overleaf in an ETD program

Author: Lee Spence, Overleaf Product Specialist and LaTeX Support

6.1 A brief introduction to L^AT_EX and Overleaf

L^AT_EX (pronounced "LAY-tek" or "LAH-tek") is a tool for typesetting professional-looking documents. However, LaTeX's mode of operation is quite different from many other document-production applications you may have used, such as Microsoft Word or LibreOffice Writer: those "What You See Is What You Get" (WYSIWYG) tools provide users with an interactive page into which they type and edit their text and apply various forms of styling. LaTeX works very differently: instead, your document is a plain text file interspersed with LaTeX commands used to express the desired (typeset) results. To produce a visible, typeset document, your LaTeX file is processed by a piece of software called a TeX engine which uses the commands embedded in your text file to guide and control the typesetting process, converting the LaTeX commands and document text into a professionally typeset PDF file. This means you only need to focus on the content of your document and the computer, via LaTeX commands and the TeX engine, will take care of the visual appearance (formatting).

LaTeX is a free and open source project and can be obtained at <https://www.latex-project.org/get/>. Those who do not want to download and maintain a local installation of LaTeX can use a tool called **Overleaf**. Overleaf is a cloud-based, collaborative tool that allows you to create and edit LaTeX documents completely within your computer's browser, allowing anyone to create a LaTeX document without the overhead of having to install LaTeX. Overleaf provides various tools and integration that can enhance the writing and revision process, such as collaborative editing, tracked changes, and reference manager integration. As Overleaf uses a standard LaTeX distribution, any document produced on Overleaf can also be compiled locally, if desired.

There are several resources a LaTeX beginner can use to learn more about LaTeX and Overleaf:

- Learn \LaTeX in 30 minutes
- Overleaf's live and pre-recorded webinars
- <https://www.learnlatex.org/>

6.2 Using \LaTeX and Overleaf to write an ETD

Using \LaTeX to produce a document, including the production of an electronic thesis or dissertation, provides several benefits:

- support for typesetting extremely complex **mathematics**, **tables**, and technical content
- facilities for **footnotes**, **cross-referencing**, and **management of bibliographies**
- ease of producing complicated, or tedious, document elements such as **indexes**, **glossaries**, **table of contents**, and **lists of tables and figures**

The Overleaf editor offers several additional benefits that can improve students' writing processes and streamline the thesis review process. After an ETD program creates an official \LaTeX template that meets the university's formatting requirements, the template can be submitted to the **Overleaf Gallery** and the link to the template can be distributed. When students are ready to begin writing, they can simply navigate to the template in the gallery and create a project based on it, eliminating the effort required by students or university staff to troubleshoot a local \LaTeX installation.

Overleaf's capacity to enhance collaboration is one of its primary features. Because the student's thesis is stored in the cloud, the student's supervisors can always access the most recent version of the thesis and provide feedback at any time. Using the comments feature, the supervisor can easily provide feedback directly within the Overleaf editor. The editor also has a real-time tracked changes feature that visually shows additions and deletions in the text, which can then be rejected or accepted.

\LaTeX includes powerful tools for automatically formatting documents and creating citations and bibliographies. Students who use reference databases such as ProQuest or Google Scholar can export their bibliographic data as .bib files, which \LaTeX can then process. Furthermore, Overleaf integrates directly with the reference management tools Mendeley and Zotero, which simplifies the process even further.

Many students need to keep backups and use version control when writing an ETD. To help manage this, Overleaf integrates with Git, GitHub, and Dropbox. Overleaf's history feature may also be used to audit project changes, label specific versions of the project, and download a version of the project from a particular date and time.



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by
Wilbur Terrance Johnson

A thesis submitted to the graduate faculty
in partial fulfillment of the requirements for the degree of
MASTER OF SCIENCE

Major: Human Development and Family Studies (Marriage and Family Therapy)

Program of Study Committee:
Susan D. Ross, Major Professor
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Iowa State University
Ames, Iowa
2022

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Figure 6.1: An example of an official thesis template that has been uploaded to the Overleaf Gallery.

6.3 \LaTeX accessibility issues

The production of accessible PDFs produced with \LaTeX is an active area of research and development among \LaTeX experts. The following articles provide an overview of creating accessible PDFs with \LaTeX .

- [An introduction to tagged PDF files: internals and the challenges of accessibility](#)
- [Creating accessible PDFs with \$\LaTeX\$](#)
- [PDF accessibility and PDF standards](#)

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