Overview of the Guide

Section 1 provides an introduction to ETDs.
Section 2 discusses issues for university decision makers and implementers of projects on campuses.
Section 3 presents the topic for students.
Section 4 deals with further technical details.
Section 5 takes a broader view, raising the level to issues related to launching campus initiatives and training those who may train students.
Section 6 provides a glimpse of future directions.

Section 1: Introduction to ETDs

1.1 Introduction

This Guide to Electronic Theses and Dissertations (ETD Guide) was born as a result of the support provided by UNESCO in grants given to Virginia Tech and University of Montreal. It was prepared by an international team of faculty and staff, coordinated by Shalini Urs. Its organization and content are the result of the editorial labor of Joseph Moxley.

This work is a living document that will continue to be updated in connection with the work of the Networked Digital Library of Theses and Dissertations (NDLTD, www.ndltd.org).

The ETD Guide provides information about the following:

For students:
- creating electronic documents
- using digital libraries
- advantages of ETDs

For researchers:
- impact of enhanced scholarly communication
- greater range of expression provided by ETDs

For universities:
- developing digital libraries and electronic publishing
- setting up ETD programs
This latest version of the ETD Guide was produced in 2010. The main guide has basic information about each topic, presented in a clear, point-form style. Throughout the Guide, you will find links that will take you to more detailed information, scholarly articles, and tangential topics, for more thorough reading.

READ MORE

Introduction: Purpose and scope of this document – Edward Fox

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1.2 What are ETDs?

There are two types of electronic theses and dissertations:

All-electronic documents:

- are prepared using electronic tools (e.g. Microsoft Word, LaTeX)
- are submitted as digital documents to an online collection
- may be converted into an alternate digital format that is easy to preserve and archive
- can contain hyperlinks and multimedia components
- support full-text searching; easy to share and discover research

Paper documents converted to digital documents:

- digital file is created by scanning in the pages of paper theses or dissertations
- need more e-storage space
- do not easily support full-text searching

In this Guide, the focus is on the first type of ETD – all-digital. The second type is commonplace in retrospective capture of old works, which can then be shared online.

READ MORE

What are ETDs? – Edward Fox

1.3 Advantages of ETDs

ETDs are a new genre of document. They expand the possibilities for expression and transmission of research results, and will be continuously re-defined as technology evolves. The possibilities for expression are limited only by current technology and the student’s own knowledge of its use.

ETDs can include the following:

- highly accurate colour diagrams and charts
• internal and external hyperlinks
• multimedia including audio and video
• data files
• programs
• simulations
• virtual environments

READ MORE

Why ETDs?

ETDs as a new genre of documents

Purpose, goals, objectives of ETD activities

ETDs provide greater exposure for graduate research, because they are accessible from anywhere, anytime, by multiple users. This helps eliminate needless duplication of investigations, and facilitates increased collaboration between researchers.

Other advantages: education and knowledge

• allow creative and original methods of presenting research
• provide greater exposure for graduate research
• enhance networking possibilities and increasing sharing and collaboration of research results
• encourage universities to develop digital library services and infrastructure

READ MORE

Consider combining some of these, or condensing

Minimize duplication of effort

Improve visibility

Accelerate workflow

Helping students be original

Helping students network professionally

Increasing sharing and collaboration among universities and students

Improving graduate education, and quality/expressiveness of ETDs

Helping universities develop digital library services & infrastructure

Enhancing access to university research

Other advantages: practical considerations
• give students experience with electronic document preparation and digital libraries
• quickly accessible to researchers and potential employers
• can be submitted from anywhere
• save money, paper, and printing costs
• enable online searching for ETDs in library collections and on the Internet

READ MORE
Consider combining some of these, or condensing

**Costs and benefits**

**Helping students be better prepared as knowledge workers**

**Helping faculty** REMOVE – covered better elsewhere

**Increasing readership of ETDs, communicating research results** Remove last paragraph, or update with global statistics [needs editing – repeats a paragraph]

**Searching**

**Browsing: Classification systems, classification schemes used in different disciplines**

**Well known sites/resources for ETDs** [check these links]

1.4 **History of ETD Activities**

The first planning for ETDs started at a meeting in 1987 between UMI, Virginia Tech, ArborText, SoftQuad, and University of Michigan. Participants discussed the latest approaches to electronic publishing and whether or not they could be applied to the preparation of dissertations. Adobe’s Portable Document Format (PDF) became available in the early 1990s, and it became clear that with this, students could easily prepare their own ETDs.

In 1996 USA funded a three-year effort to spread the concept of ETDs around the US. A pilot project at Virginia Tech led to a mandatory requirement for post-1996 theses and dissertations to be submitted only electronically. The NDLTD was formed and first meetings were held in the spring of 1998.

[Do we need something from the perspective of other countries?]

[Maybe add something about the growing annual conference – some stats?]

READ MORE

**Brief history of ETD activities: 1987-2007**

**Global cooperation in ETD activities**

**Overview of rest of the Guide** remove
Section 2: For University Decision-Makers and Implementers

This section of the Guide explains why and how universities can start ETD programs and addresses concerns and problems that may arise.

2.1 Groundwork and Early Stages

There’s really no reason for universities not to start ETD programs, as ETD submission brings advantages to a university over and above the improved service to students. It saves money for the university as well as for students, and brings the university into a new world of information transmission, sharing, and development.

The success of the development and implementation depends on the commitment of and collaboration between library staff, graduate administrative staff, the IT team, graduate deans, graduate students and their mentors, and ultimately the university’s higher administrative officers.

READ MORE

Universities [stats need updating or removing]
Why ETDs? [remove or integrate]
Reasons and strategies for archiving electronic theses and dissertations [remove or integrate]

2.2 How to Develop an ETD Program

Put Sharon/Nancy’s document here, and compare with:

How to develop an ETD program

2.3 Common ETD Submission Workflow

Student writes ETD on a computer
Student converts ETD to required format, usually PDF
Student obtains approval of examination committee and collects necessary approval signatures
Student fills out forms required for electronic submission and submits them to the graduate school
Student goes to library URL and follows links to the institutional repository site
Student gets and ID and a password that enable submission
Student enters metadata about the ETD
Student locates ETD file and uploads it to the site
Grad school staff are automatically notified that an ETD has been submitted
Grad school staff check the ETD, and ETD is either approved, or corrections are requested
When grad school staff approve ETD, a library cataloguer is notified
Cataloguer checks metadata, adds additional categories if necessary, and catalogues the ETD
ETD is released to appropriate level of access

Scenarios illustrating approaches, schedules and workflow – merge with above

Role of the Graduate School / Graduate Program
Section and condense this, and leave original as READ MORE

Role of the Library and Archives
S & C, leave O

What are the key concerns and their resolution?

Intellectual Property Rights
Cross-ref w/ ETD terms, generalize, separate examples

Publishers and prior publication
Update

Human resources and expertise needed for an ETD program
C, leave O

Sources for funding
Australia only – separate and put as Resource document

Costs
Keep job skills, remove $ references, change section title

Processing charges
Delete – just make sure there’s reference elsewhere to deciding about funding, whether or not to have student fee

Budgets
Delete – just make sure there’s reference elsewhere to budget considerations

Plagiarism
C, leave O

Assessment and Measurement [Separate Section? This is pretty specialized.]

Introduction
Types of Assessment
The Assessment and Measurement Process
Measuring Production and Use of ETDs: Useful Models
Statistics and Usage
Measurement in Related Contexts

Guidelines for Implementing an Assessment Program for ETDs

Student Comments (or Student Data)

Resources List

Link to Resources on website

Policy Initiatives: National, Regional, and Local; Discipline specific; Language specific

Needs comprehensive review and updating

Policy Initiatives: The Case of France

Needs comprehensive review and updating

E-Commerce: fee based methods

Delete

CHECK – DOES METADATA/SUBMISSION PROCEDURE GET COVERED SOMEWHERE ELSE?

submitted with related metadata e.g. library cataloguing information such as title, author, abstract etc.

It is covered in the "Universities" section at


See also under "Students/How to prepare"


Section 3: For Students

Students

How to learn about ETDs? (workshops, online resources, helpers)

- Students
- How to learn about ETDs? (workshops, online resources, helpers)
- Importance of satisfying local requirements
- Learning from other ETDs
- How to prepare an ETD? (approaches)
- Overview: writing with word processors and structured editors
- Writing in word processing systems
- Microsoft Word and Office 2007
- Using Style Sheets
- Using Plug-ins: Bibliography Plug-in
• Corel WordPerfect
• LaTeX
• Other Systems
• FrameMaker
• Writing directly in SGML/XML
• Preparing a PDF document
• From LaTeX
• Preparing for conversion to SGML/XML
• in MS Word
• in WordPerfect
• in LaTeX
• checking and correcting
• Integrating multimedia elements
• Providing metadata – inside, outside documents
• Protecting intellectual property / how to deal with plagiarism
• Naming standards: file names; unique IDs
• How to submit your ETD?
• local support
• typical workflow, local policies and procedures
• Becoming a researcher in the electronic age

Section 4: Technical Issues

• Technical Issues
• Infrastructure
• Contexts: local, regional, national, global
• Networking
• Seamless access: Open Archives Initiative, federated search
• Production of ETDs
• Overview: hardware, software, multimedia, scripts, encoding, document representations/conversions
• Page Description Languages
• Markup Languages
• XML Software
• DTDs for ETDs
• Berlin DTD workshop
• Support for students to write directly in XML
• Conversions
• Conversions from Word, Word Perfect or other RTF-compatible tools to SGML/XML
• Conversions from LaTeX to SGML/XML
• Rendering-style sheets
• Metadata, cross walks
• Naming Standards
• Encryption; Watermarking
• Packaging
• Post processing
• Backups; Mirrors
• Dissemination of ETDs
• Identifying: URN, PURL, DOI
• Metadata models for ETDs
Section 5: Training

This section contains some detailed examples of training and training resources. Whole thing needs to be condensed into considerations for training, with articles linked as READ MOREs.

- Training the Trainers
- Initiatives to support ETD projects in Latin America
- Tool kits for trainers
- Identifying what is available
- Demonstrations, explanations
- Initiatives and Projects
- Guidelines and Tutorials for ETDs
- Specific Guidelines
- Creating an online database of problem solving solutions
- Help develop a broad local team
- Standards, cooperation, and collaboration
- Outreach/helping others
- Developing Centres of Expertise where appropriate and helpful

Section 6: The Future

Handle this same as previous section – there’s a lot of info, but no quick notes.

- The future
- Expanding ETD initiatives
- Transforming Graduate Education
- Managing technology changes
- Interoperability
- A vision of the future
Section 7: ETD Terms and Definitions
Add John’s document