ETDs @ FIU
Past, Present and Future
Research and Scholarship Strategies Group
What (and Who) is the Research and Scholarship Strategies Group?
The Birth of a Committee

- **2011**
  - University Graduate School hired an ETD coordinator, Philip Bolton
  - Stephanie Brenenson became the Graduate Studies Librarian
  - Stephanie, Philip, Jamie began talks about ETDs, ProQuest, etc.

- **2013**
  - Jennifer created the Research Data Management Task Force
  - Jill and Stephanie began working together on author’s rights, OA and other projects related to the Digital Commons

- **2015**
  - An informal group of library staff who participated in the prior endeavors began talking about and planning research-related pilots that include data, ORCID & ETDs.

- **2016**
  - We are the: **Research and Scholarship Strategies Group**
  - We embarked on a new ORED/Library partnership which includes UGS and Provost’s office personnel.
History of ETDs at FIU
We’ve come a long way...

- **2004**: UGS & UTS Supported Virginia Tech System
- **2008**: Testing and Configuring DigitalCommons
- **2009**: Migrate ETDs to DigitalCommons & Summer Pilot Program
- **2012**: Fully Digital
- **2013**: Retrospective Digitization
- **2016**: ORCID Field Available
- **2017**: ETD Data Pilot Program
Stats

- 2,699 Electronic Theses and Dissertations
- 1,014,532 total downloads
  - 213,065 downloads this year
- 191 countries and territories

- 5,145 institutions
  - 60% educational
  - 30% commercial
  - 4% gov. & 4% other org.
Current ETD Landscape
Date of Defense

The year is required but all other fields are optional.

Month March ▼ Day 31 ▼ Year 2016

Embargo Period

An embargo will restrict worldwide access to the full text of your ETD (including FIU campuses). Select "No Embargo Required", "6 Months", "1 Year", or "2 Years" depending on how you filled out Part A of your ETD Submission Approval Form.

Year 2017 Month April ▼ Day 19 ▼

Disciplines

Available:
- Architecture
- Arts and Humanities
- Business
- Education

Selected:
- Electrical and Electronics
- Electronic Devices and Semiconductor Nanotechnology Fabrication

Select »
embargo policies

An embargo limits access to the ETD only for intellectual property concerns.

FIU policies allow for limited embargo options of six months, one year, and two years, and a permanent embargo option (MFA students have a thesis sample submission option). Embargoes should be carefully evaluated and chosen before and during the ETD submission process; however, alumni can make written requests for embargoes.

Embargo options during submission process:

Limited Embargoes can be chosen via the Final ETD Approval form and in the Digital Commons system during submission.

A Permanent Embargo must be requested through a Petition for Exception to Graduate Requirements (MFA students may submit a thesis sample without a petition).

Embargo options as alumni:

Limited Embargoes can be added or extended with an email request to the ETD Coordinator.

Permanent Embargoes must be requested in writing and submitted to the UGS office in person or via email attachment. The written request must include the reasons and/or policies that require you to make the request and must be accompanied by a departmental memo that has been approved by the college dean or associate dean.

Once the UGS office receives the embargo request and the departmental memo, the UGS dean will review the request and render a decision.
Arguments against OA

#patent pending
#creative work
#loss of publishing opportunities
#fear of not getting tenure
U.S. Embargo Statistics

2009 - Less than 5% of ETDs were embargoed
2013 - 19-20% of ETDs embargoed
2015 - 20+% of ETDs embargoed
2015 - humanities/social sciences 42% of ETDs embargoed

Stanford - allows 2 year embargo ONLY, 46% embargo rate

Only 7% of publishers refuse to publish OA ETDs

Embargo % by Semester

- Summer 2015: 27.70%
- Fall 2015: 36.70%
- Spring 2016: 32.40%
- Summer 2016: 47.25%
Emargo Disciplines & Frequency
summer 2015 - summer 2016
Embargo Option Chosen
summer 2015 - summer 2016

- PERMANENT: 9
- 2 YEARS: 54
- 1 YEAR: 48
- 6 MONTHS: 19
Retrospective Theses and Dissertation Project
RTD Project: Mass digitization of 4,392 bound theses and dissertation volumes in FIU’s Special Collections Center.
Makes FIU’s past scholarly research accessible to a wide audience

Spans from the first thesis published at FIU in 1974 to mid-2011, when all theses and dissertations were submitted electronically

Digitally preserved through the Florida Digital Archive

Requires individual author permissions to publish in digital commons

- yes or did not opt out: 72%
- unable to reach: 23%
- deceased: 1%
- opted out: 4%
Project challenges:

- Large page counts
- Images, charts, oversized pictures
- Supplemental content
- OCR to make full text searchable
- Pdf needs to be small enough to be easily downloaded while retaining quality of the original
- Finding authors
ETD Data Pilot Program
**ETD Data Pilot Program**

- Partnership between the University Graduate School and the Libraries
- Provides graduate students submitting Master’s Theses and Doctoral Dissertations with the opportunity to archive *finalized* research data sets associated with their published ETD - Launching 2017

The goals of the pilot are to:

1. Establish data submission guidelines
2. Develop strategies for educating graduate students on data archiving
3. Assess data storage capabilities and needs for long term storage and access to data.
1. Establish Submission Guidelines

- **Accepted Formats**
  - Non-proprietary
  - Open, documented standards
  - Commonly used by your community/discipline
  - Standard character encoding (ASCII, UTF-8)
  - Unencrypted

- **UK Data Archive Acceptable Formats for Preservation**

- **Documentation/Metadata Template**
  (Readme_{LastName}.txt)
Submit to Digital Commons
- Documentation [.txt] + Data submitted as a compressed file in supplemental file field alongside ETD in Digital Commons

Quality Control
- Appropriate format
- Readability (not corrupt)

Accessibility
- Assign Unique Identifier
- Create a record and publish in dPanther
- Link dPanther record to the Digital Commons ETD Record
2. Develop Strategies for Educating Graduate Students on Data Archiving

- Online Resources
- Consultation
- In Person Training
ETD Data Pilot Program

This guide provides submission guidelines and information about the ETD Data Pilot Program.

preparing your data for submission

Good documentation and metadata along with archiving in a preferred file format, can help ensure continued long term access and re-usability of your data. When submitting data, students should submit the documentation, metadata and data as a compressed file in the supplemental field on their ETD submission form in Digital Commons. Below is a general outline for preparing your data. Each tab provides more details additional details to consider and prepare your data for submission including:

- Generate your documentation and complete metadata.
- Ensure data is in an appropriate format.
- Follow all privacy and ethical standards set by the University and ensure your right to archive the data.

submitting your data alongside your etd

All graduate students submitting a thesis or dissertation through the graduate school are eligible to submit and archive their finalized data sets alongside their ETD. All data sets will be made openly accessible through the Library's dPanther system and Digital Commons.

Students submitting their data should review the section “preparing your data for submission” which outline
3. Assess data storage capabilities and needs for long term storage and data access

- Where is all this data sitting?
- How much data will we get? Do we need size limits?
- How long will the data be left publicly accessible?
- Do we preserve it?
ORCID

- Stands for Open Researcher and Contributor ID
- Launched as an effort to solve problems regarding name ambiguity in research and scholarly communications
  - Multiple researchers have the same name
  - A researcher uses different versions of his or her name
  - A name change occurs as a result of marriage or for other legal reasons
  - A researcher has multiple family/last names
ORCID Features

- Registration is free
- Researches receive unique persistent identifiers
- You can use ORCID to connect with other identifiers, affiliations, and creative and scholarly works
- Enables auto-updates of a researcher’s record when creative and scholarly works are published
- Researchers own their ORCID identifier and control the privacy settings on their account and what information is connected
- You can use the same identifier throughout your career, regardless of changes in discipline, location, name, or affiliation.
- ORCID records contain minimal data—records only describe connections between identifiers and provide citations for source items.
Find more information and sign up for your ORCID at orcid.org
ETD Education

- UGS Graduation Workshop
- ETD LibGuide
- Manuscript Review and One-on-One Consultation
ETD Education:
UGS Graduation Workshop

- Discuss the steps and requirements that graduate students need to complete in order to graduate

- Discuss forms and commencement; a significant portion of the workshop was devoted to ETD requirements

- Includes a brief introduction to ORCID
ETD Education: ETD LibGuide

- One of the major resources our graduate students use for ETD formatting guidance.

- Features video tutorials and downloadable templates and samples that assist students as they format their ETD manuscripts.

- [http://libguides.fiu.edu/etd](http://libguides.fiu.edu/etd)
ETD Education: Manuscript Review and One-on-One Consultation

- I review a hardcopy of the manuscript and return it to the student with formatting corrections that need to be made. This occurs for every doctoral and thesis-bound master’s student.

- Students can submit an optional digital draft prior to submitting the final version of their manuscript. This provides an additional opportunity for students to receive feedback.

- Students can always call, email, or come to the UGS office (MARC 240) if they have questions regarding ETD formatting. No appointment is necessary, but students are welcome to make one if they prefer.