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# Designing for Dual Submission of ETDs

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# DESIGNING FOR DUAL SUBMISSION OF ETDS:

## *Finding What Works*

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USetdA 2013  
Claremont, California

# OVERVIEW

1. *Short Bio of FIU*
2. *History of ETDs/ProQuest at FIU*
3. *Perspective*
4. *Implementing, Problems, and Adjustments*
5. *Submission Logistics*
6. *Demonstration*
7. *Recommendations*

# BIO OF FIU

*Florida International University  
Public Research University  
Miami, FL*



*2012 Degrees awarded  
Master 94 theses  
Doctorate 156 dissertations*

# HISTORY OF ETDS

- *Shipped to ProQuest until Spring 2012*
- *Optional ETD Submission through 2011*
- *Implemented UMI ETD Administrator Fall 2011*
- *Dual Submission Spring 2012*

**HISTORY  
OF  
ETDS**

*ProQuest Decision*

*Mandatory*

VS.

*Optional*

# HISTORY OF ETDS

## Optional ProQuest for PhD/EdD

- Time
- Preservation
- Proven Process

# PERSPECTIVE



*All Quality Assurance done through  
DigitalCommons*



*Submission by Graduate School only*



# PERSPECTIVE

## University of Miami



- *ProQuest mandatory for doctoral students*
- *Students must make both submissions*

# PERSPECTIVE

## Florida State University



- ProQuest mandatory for doctoral students
- Students submit to ProQuest wait 3-6 months for ETDs in repository

# PERSPECTIVE

	FIU	UM	FSU
Two submissions by one party?	No	Yes	No
Delayed IR deposit?	No	No	Yes
Catalog Delay?	No	No	Yes
Mandatory or Optional PQ?	Optional	Mandatory	Mandatory
Staff time (Rank 1=most)	1	3	2

# IMPLEMENTING, PROBLEMS, AND ADJUSTMENTS



- *Initiated Summer 2011*
- *Mid-September requested Administrator*
- *Late-September template site up*
- *Scheduled walkthrough October*
- *Live in February 2012*

# IMPLEMENTING, PROBLEMS, AND ADJUSTMENTS

- *Department Fields*
  - *New Programs*
  - *Small Programs*
- *Agreement*
  - *Pulled agreement out for students*
- *Sending to ProQuest*
  - *Backend System Hurdles*

# IMPLEMENTING, PROBLEMS, AND ADJUSTMENTS

## General Counsel

- FERPA
- ProQuest Agreement

### **Doctoral Students Only (Optional)**

The University Graduate School will submit your dissertation (in full-text) to ProQuest's Dissertations & Theses Database. Submissions to this database ensure your research is visible to other researchers via myriad commercial databases. Any embargo that you wish to apply to your DigitalCommons ETD will apply to the ProQuest submission.

By signing below, you agree that you have reviewed and accepted ProQuest's terms available at:  
<http://libguides.fiu.edu/content.php?pid=233174&sid=2464966>

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

# SUBMISSION LOGISTICS

- *Students submit final paperwork by deadline*
- *Once paperwork is reviewed, students receive email with instructions for uploading to DigitalCommons*
- *Upload the file(s)*
- *Graduate School performs final check*

# SUBMISSION LOGISTICS

- *Assigns Library staff ETD*
- *Library Staff performs conversion*
- *Posts Final ETD (continues more processes)*
- *Library staff sends PDF/As to Grad School*
- *Grad School makes ProQuest submissions*



# SUBMISSION LOGISTICS

## FIU Graduate School Submission to ProQuest

- *Opt-in rate = 85%*
- *7-9 minutes per submission (max 45)=  
5.25-6.75 hours of staff time*

# DEMONSTRATION

**FIU**

Favorites | Main Menu > Campus Community > Personal Information > Biographical > Person FERPA > Review FERPA

FERPA Bio Demo | FERPA Addresses | FERPA Phones | FERPA Email Adrs | FERPA Activities | FERPA Photo

Philip Bolton ID: 0109031

**Bio/Demo Data**

Date of Birth: 03/02/1987 Birth Location:  Employee  
 Gender: Male Marital Status: Single  Contingent Worker  
 Person of Interest

**Releasable Name Information**

Short Name	Prefix	First Name	Middle Name	Last Name	Suffix
Primary	Mr	Philip	C	Bolton	Jr

Return to Search | Previous in List | Next in List | Notify

FERPA Bio Demo | FERPA Addresses | FERPA Phones | FERPA Email Adrs | FERPA Activities | FERPA Photo

bepress™ FIU Electronic Theses and Dissertations

Manage Submissions | Upload Submission | Usage Reports | Configuration | Mailing Lists | My Account

My Submissions ?

Close ir\_series  
 Preview site  
 Update site  
 Go to site  
 Preferences  
 Log out  
 Administrator report

**Show these submissions:**

State: Withdrawn show all submissions

Assigned to: Philip Bolton Jr

Last Name is

Search

ID	Author	Title	Last Event	Date of Last Event	Waiting for Administrator	Type	Locked by Administrator
1568	Philip Bolton Jr	Format Title like this.	Editor assigned	Mon Aug 15 2011			

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UMI ETD ADMINISTRATOR

Manage Dissertations & Theses | Run Reports | Manage Site

View ETD List | Submit ETDs for Students | Deliver ETD Batch

**Update List:** [View all](#) | [View mv ETDs](#) | [View active ETDs](#)

Status: Rejected

Last event: Any Last Event

Administrator: Any Administrator

Student Last Name is

Update List | Clear Form

**No matches were found.**  
[Display previous list](#) or change query using form above.

## RECOMMENDATIONS

- *Philosophy*
  - *Dual submission (can inform OA policy logistics)*
- *Number of submissions per semester*
- *Existing Policies*
  - *Optional/Mandatory*
  - *Mailing in*
  - *Payment*
- *Staff (grad school/college vs library)*
  - *Centralized Graduate School or colleges as facilitators*
  - *Ability to add duties/time to staff*
- *Student and support faculty input*

## RECOMMENDATIONS

*Figure out top 2-3 values and build off that.*

*For FIU that was:*

- *OPTIONAL submission to ProQuest*
- *Retaining IR-centric processes & PRESERVATION*
- *MINIMIZING tasks for students near graduation*

*Questions, Concerns,  
Complaints?*