UC San Diego Electronic Theses and Dissertations (ETDs) Procedure and Workflow

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I.Background

Workflow snapshot:

The UC San Diego Library is responsible for loading and maintaining MARC records for the campus' Electronic Theses and Dissertations (ETDs).

By the time the MARC records are delivered to the Library, the authors of the ETDs will have obtained final approval for their work from their committees and the Graduate Division and prepared their documents in accordance with Graduate Division guidelines. (In the past the guidelines have sometimes been referred to as the "Blue Book," though they are online today.) Once the ETD was approved, the student will have completed the Dissertation and Thesis Release Form, which authorizes the ETD for either immediate release or release after an embargo period of one or two years (or more in some cases). Finally the student will have uploaded their ETD to ProQuest using an interface that requires them to provide metadata about themselves and the ETD, information such as their name, the ETD's title, abstract for the work, optional keywords, and information on the embargo period for their work when applicable.

The California Digital Library's Merritt repository pulls from ProQuest the XML representations of the students' metadata submission forms and the ETDs themselves. Merritt soon afterwards submits all ETDs and related metadata to eScholarship, though any embargoed resources will not be made freely available until after the embargo release date. Merritt transforms the ProQuest XML forms into MARC records that are delivered periodically to the Library ETD distribution list, along with a spreadsheet tracking all ETDs processed since the October 1, 2015 start date for this workflow. The MARC records will have relevant metadata about the ETD, including any embargo restrictions, keywords, abstracts and the campus department granting the degree, along with the eScholarship link for the ETD. These records are loaded quickly after receipt into Millennium to prevent our creating a MARC record that would duplicate a vastly inferior MARC record that would be created by the periodic OAI-PMH harvest of the eScholarship site.

Although ProQuest is the first link in the submission chain, they usually take at least several weeks to make their copy of ETDs available and to assign links to them. Merritt periodically looks for newly assigned links and updates the ETD spreadsheet that they supply to us along with MARC records. UCSD periodically carries out an OCLC Connexion macro-assisted process to insert the ProQuest links into OCLC and Roger records. If an embargo for an ETD is extended, the OCLC and Roger records are updated manually. Once a title comes off embargo, another macro-assisted process updates the records to show that they are freely available.

The above describes a workflow put into place October 1, 2015. Older natively-digital ETDs were managed using a more manual process that required creation of MARC records and tracking embargoes via a local spreadsheet. A small, diminishing number of titles with extended embargoes still fall in this category. Information on managing embargo information in their records appears as an appendix to this document.

<u>A note on embargoes</u>: The Library receives notifications from the Graduate Division when an embargo is extended and is occasionally pulled into discussions where ETDs may have been released prematurely.

However the Library is in no way responsible for the actual release of ETDs on either the ProQuest or eScholarship platform. We are only responsible for maintaining information on the embargo dates in OCLC and Roger. Because ETD maintenance is a batch processes our catalog date may not be updated to show an item is released until a short time after its release date; during this time the records may still show a recently-lapsed embargo date, but the URLs themselves will resolve to the released resources.

2.ETDs with eScholarship URLs

- Receive email from Perry Willett at Merritt. This email will have two attachments: an Excel spreadsheet and a MARC record file. The spreadsheet is a complete list of all ETDs; the MARC record file is just the new ETDs added since the last email. The emails arrive fairly often, but irregularly. Near the end of the academic quarters the number of ETDs goes up. The largest number, of course, usually arrive at the end of Spring Quarter.
- Save the spreadsheet to the P drive: P:\MSD\ETDs\Merritt Reports\Reports with eScholarship Links\YYYYMMDD (save these reports in folders by year: 2015, 2016, etc. and by month within each year)
- Save the MARC record file to the P drive: P:\MSD\ETDs\MARC Records. (save these reports in folders by year: 2015, 2016, etc. and by month within each year)
- Once files are saved on P drive, go to OCLC. Select OCLC local save file:
 P:\MSD\ETDs\Connexionfile\ETDworking.
- Import the latest MARC record file.
- Open each bib record

Generally accept what is in the record, even if it does not match the PDF. For example, the name may not match exactly.

- ➤ Go through each record in the file to make any necessary changes:
 - a. Click on URL to confirm it resolves to the correct ETD.
 - b. In the 040 add \$b eng \$e rda \$e pn
 - c. Fix any typos in the record.
 - d. Check the title. If you have to edit the title to match the PDF, notify Perry at Merritt so that he can update the metadata title as well.
 - e. Check the date: change the date to what is on the PDF. For example, the dissertation PDF says submitted in 2015, but the record has 2016. Change it to 2015 in the fixed fields, 264s, and 502. If the metadata date does not match the PDF, accept as is and do not notify Perry at Merritt. It is not a simple fix.
 - f. If the ETD is embargoed, that means there is no PDF to check the date against. Log in to your Merritt account so you can access the PDF of the embargoed ETD. Change the date/title if necessary.
 - g. Enter the title, author and embargo date on the embargo spreadsheet (see Section 5 below).
 - h. Check for 245 \$b and put in \$b as needed.

- i. Re-type diacritics or other non-ALA characters (most often in the 520 field; includes quotation marks, apostrophes, dashes). Either add where needed or retype them so will pass OCLC validation. Some Greek letters do pass validation, but then 520 gets moved into an 880 in Millennium. Therefore change all Greek letters to the written out form in square brackets, for example: β to [beta].
- j. Fix author suffixes (this is rare).
- k. Embargoed ETD records should have the following fields:

```
506 __ Embargoed until MM/DD/YYYY.
```

856 \$z eScholarship. Embargoed until MM/DD/YYYY \$u

Once all necessary edits are made to a record, click on "validate" to make sure you haven't missed anything.

Repeat the above steps until all records in the local save file are edited and validated.

- Then highlight all records and batch upload into OCLC. Keep the 506 and 856 \$z text as is in the master record.
- ➤ Then highlight all records in the local save file and apply constant data:

 P:\MSD\BMCU\Dissertations\ETDFastCat. The 936 is important because ProQuest URLs are issued after cataloging (anywhere from several weeks to months afterward) and this makes it easy to find the records that still need ProQuest URLs. See next section "Adding ProQuest URLs to records" below.

Constant data: ETDFastCat

949 ‡t 43 ‡x catFEB16;mhc;1;FC ‡l nnet ‡s f ‡r n

949 1*recs-betd2;bn-net;b1-m;

936 mhc no ProQuest URL

- > Export the records to Millennium.
- ➤ Empty OCLC local save file so it is ready for the next batch of records to be imported.

Note: Large numbers of records, which typically appear at the end of quarters and particularly at the end of the school year, could be processed in batch, with edited records being loaded en masse into Millennium.

3.Adding ProQuest URLs to records

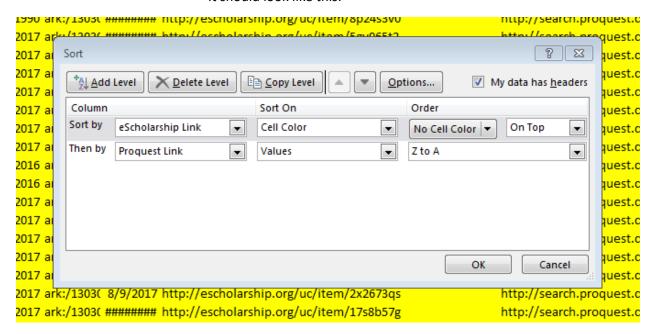
3a.Batch process

Once a quarter (in January, April, July, October), identify records lacking ProQuest links, and use a macro add them to the OCLC master record and in the local record in Millennium.

3b.Identify the records lacking ProQuest URLs

- Run a review file on all resources in Millennium where the 936 \$a = mhc no ProQuest URL. Title
 it "ETDs w/ 936 mhc no ProQuest URL YYYYMM"
- Extract eScholarship URLs from review file and save the resulting text file in the P drive:
 P:\MSD\ETDs\Record processing\AddProQURLsYYYYMM
- Open the text file in Excel and save it using the same name as the text file
- Open the latest cumulative spreadsheet from Merritt
- Once you have both spreadsheets open, go back to the spreadsheet from the review file. Copy the eScholarship URLs.
- Paste all the eScholarship URLs at the end of the eScholarship Link column (Column G) in the latest Merritt spreadsheet.
- Remove the yellow highlighting.
- Highlight Column G and use the "Conditional Formatting" option to find duplicates.
- Then highlight Column G and sort A to Z. Highlight the column again and use "Custom Sort" to sort by eScholarship link, "Sort on" by cell color. Then "Add Level" and "Sort by" by ProQuest link, "Sort on" Values, and Order Z to A.

It should look like this:



Click OK.

3c.Clean up the spreadsheet

- Delete all rows that don't have ProQuest URLs in Column H.
- Delete all rows that don't have highlighted eScholarship Link cells and have ProQuest URLs.
- Delete all rows with duplicate color coding that lack a ProQuest URL.
- What should be left are just those ETDs that need ProQuest 793 and 856 fields added in Millennium, and 856 fields added in OCLC. If there are only a few records to be modified, it is cataloger's judgement whether to use the macro or edit the records one-by-one.

3d.Running the macro

- Make sure you have the macrobook with the macros you will need. The latest version as of this procedure is "ETDbatch1709.mbk" and it was created by Jim Soe Nyun.
- Copy the column of eScholarship links and the adjacent Proquest Link column and paste into a blank text file (use Notepad). Save the file on your desktop with the file name of ETD_addPQ_Search.txt. Always use this name because this is what the macro will look for.
- Open Connexion and select an existing local save file or create a new empty local save file. The macro will put all the records it finds in this local save file.
- Select macro "AddProQuestLink" and click "Run."

The macro will:

- Search OCLC by the eScholarship access method in the input file, filtering out only those items held by CUS (excluding any bibs created via the OAI harvester on eScholarship records)
- ➤ Detect whether the item is embargoed, using the presence of a 506 text string starting with "Embargoed until"
- Create 856 strings for the Proquest link, with \$3 and \$z preambles appropriate to embargo status
- Update the master record
- Create 936 strings for the Proquest link, with \$3 and \$z preambles appropriate to embargo status to assist batch-adding links into Millennium
- > Save each edited record into the local save file
- Create a log file, ETD_addPQ_Report.txt that records the macro's actions for each resource
- Check the local save file: if the macro did not have any problems, all the OCLC records should be there.
- The macro also generates a report; take a look at it to see if there were any problems. If there are, you will have to clean those records up one-by-one. The report is automatically saved to the Desktop and will always be called "ETD_addPQ_Report."

3e.Exporting records into Millennium

- Create a file of MARC records, either by exporting the contents of your save file to a MARC file or by using the Bib File Reader feature in MarcEdit.
- If you choose to export the OCLC local save file, you first need to check your export profile in OCLC. Go to OCLC Connexion, Tools, Options, Export (tab). Highlight "File:(Prompt for filename) in the Destination box.
- Hit "Apply" and then "Close." Go back to the local save file and select all the records you wish to export. Hit F5. Save the file to the Desktop as "ETDProQ856AdditionsYYMM."

REMEMBER: After export, go back to OCLC Connexion, Tools, Options, Export (tab) and change the destination back to "Gateway Export: roger.ucsd.edu(5500)" or you won't be able to export records one-by-one for your other work.

Since these files are unlikely to be very large, they can be attached to an email and sent to
Kourtney Murray in Database Management and Authorities (DbAM). She will load the records
and notify you when it's done.

3f.Final steps

Now the local records need to be cleaned up.

- Run a review file for records with the 936 has "ProQuest. Restricted to UC IP addresses".
- Using Global Update:
 - > delete the 856 for ProQuest
 - change the 936 _9 for ProQuest to 856 40
 - delete the 936 9 mhc no ProQuest URL
- Then create an item file based on the bib review file.
- Now add the batch autostat: batoct17;mhc;1;BAT;ETDaddPQURL
- Go back to Create Files and empty review files: ETD added ProQ URLs cleanup YYMM and ETDaddProQURL item file YYMM and ETDs w/ 936 mhc no ProQuest YYMM
- Once this is complete, go back to all the ETD ProQuest URL files on your desktop. Rename them
 all by adding YYMM at the end and move them all to a folder in the P drive:
 P:\MSD\ETDs\Record processing

4.Older dissertations and theses added to eScholarship

It may happen that older dissertations are put into eScholarship, and these will show up in the MARC records files from Perry Willett/uc3@ucop.edu. But they may not show up on the spreadsheet of titles.

Follow the procedure above in "ETDS with eScholarship URLs" for processing the electronic record.

In Millennium there is likely a print record for the dissertation or thesis. It may or may not have URLs. If it does, remove all the electronic information from the print record (branch/loc "net/nnet", 793 for electronic, 856; delete the "nnet" item record) and put it on the electronic record. If the Millennium record has a ProQuest URL, add it to the OCLC record.

5.Embargoed titles

There is a separate spreadsheet for embargoed titles. Titles are color-coded by embargo release year.

This spreadsheet is saved in P:\MSD\ETDs\Embargoed titles. During the cataloging process, copy and paste title, author, and embargo date into the spreadsheet. Color-code by year according to "color chart" in the spreadsheet. Add colors as needed and document on "color chart" tab in the spreadsheet.

5a.Released ETDs

In 2017, ETD embargo releases began to be handled in a quarterly batch process. The email notification about an embargo release comes from eScholarship about a month before the embargo expires. Keep a tickler list so that it is easy to find the emails and gather the URLs for the batch process.

If the full text is not available, wait a few more days and check again. If it is still not available, talk to Liz Miraglia who can check ProQuest. After that, contact the Grad Division if necessary.

5a1.Batch process

Make sure you have the macrobook "ETDbatch1710.mbk" in Connexion. Use the macro titled "EmbargoRelease."

Gather URLs and Run Macro

- Gather together all the eScholarship URLs of ETDs that have been released since the last time this procedure was run.
- Save them in a text file (use Notepad) on your computer desktop with no extra lines between the URLs with the file name of ETD_EmbargoRelease_Search.txt. Always use this name because this is what the macro will look for.
- Open Connexion and select the local save file P:\MSD\ETDs\ConnexionFile\ETDembargoreleases
 The macro will put all the records it finds in this local save file. Make sure the local save file is empty.
- Run the macro "EmbargoRelease." The macro will search OCLC by the eScholarship URLs, find the OCLC records and save them in the local save file and will:
 - Remove the 506 field
 - Edit the eScholarship 856 \$z
 - Replace the master record
 - Create 936 fields that will be used to create 856 fields in Millennium without the embargo information
 - Create a report "ETD_EmbargoRelease_Report.txt".
- Check the report to see if there were any problems. If there are, you will have to clean up the
 records one-by-one. The report is automatically saved to the desktop and will always be called
 "ETD_EmbargoRelease_Report.txt".
- Go to the local save file: if the macro did not have any problems, all the records should be there. The number of records in the OCLC save file should be the same as the number of eScholarship URLs you had in your text file.

Exporting records into Millennium

- Prepare the load file
- Open MarcEdit
- Re-launch MarcEdit in 32-bit mode (<Ctrl>R from the main MarcEdit screen, or from the File menu)
- Open the MarcEditor
- Select OCLC Connexion Bib File Reader from the Plug-ins menu
- Navigate to the save file containing the embargo release titles (P:MSD\ETDs\ConnexionFile\ETDembargoreleases.bib.db)
- Double-click to select the file
- Choose the Load File button
- Pick the Select All option
- ➤ Hit the Edit Records button

NOTE: The load table that will be used to process these records sometimes will be set to delete all 856s and 793s, other times not. It's possible to coordinate with Kourtney about the current state of the file, but it would be easy to delete any of these fields before compiling the file for loading. To do this, call up the Add/Delete Field Utility (<F7>); enter 856 in "Field" and select Delete Field button. Repeat if necessary for 793s (not likely for ETD work).

- Compile the file.
- Save the MARC file in the ETD folder structure (P:\MSD\ETDs\Load file\EmbargoReleaseloadfileYYYYMMDD.mrc).
 - ➤ Give the file to Kourtney Murray in DbAM (an email attachment should be fine, as these files will be small), and ask her to use load table Z, bovoclcpro to process the records. Also ask her to use a batch autostat: batmmmYY;[cataloger's initials];1;BAT;ETDreleases. Example: batfeb18;mhc;1;BAT;ETDreleases. She'll notify you which review file holds the records.

Process loaded/overlaid records

- In Millennium, open Global Update. Select the review file with your loaded records. Next:
 - Move existing 856s into temporary 936s for safekeeping until the full process is complete
 - Move macro-generated 936s into their final 856 destinations
 - Select the Preview tab and verify that the operation will give you the results you want
 - Once you're confident that your change criteria are correct, select Process, then

 Yes
 - Verify that the records in your review file look okay. Once you're sure things are fine, go back to Global Update
 - Delete the old URLs mapped into 936 strings

- Select the Preview tab and verify that the operation will give you the results you want
- Once you're confident that your change criteria are correct, select Process, then
 Yes

Cleanup in Millennium

The load table protects all the fields in the local record, so there is clean up to do afterward. Use Global Edit to delete the 506 and any unnecessary 936 fields that weren't caught by the first Global Update.

Update spreadsheet

Go to the Embargo spreadsheet (P:\MSD\ETDs\Embargoed titles\Embargoed titles), fill in the release date, and change the color to "no fill".

Empty the review file

Be sure to empty the review file when you are sure you no longer need it.

Empty OCLC local save file

This file should be empty before the process is run again.

Save ETD EmbargoRelease Report.txt

Resave ETD_EmbargoRelease_Report.txt file on Desktop to P:\MSD\ETDs\Embargoed titles\ETD_EmbargoRelease_ReportYYYYMM.txt

5b.Extended embargoes for ETDs

If an embargo has been extended, there will be an email from the Graduate Division. You will also receive email confirmation from ProQuest and eScholarship that the extension is reflected online.

- Once you receive this confirmation email, add the new date to the Embargo spreadsheet on the P drive. Do not delete the old embargo date or change the color-coding.
- Change date in Millennium record (506 and 856 \$z).
- Change date in the OCLC record (506 field and the 856 \$z).

6.E-Submission Reports

At some point after the quarter ends, an E-Submission Report will be sent out in an email. As of May 2018, this email is from Van Lee-Yamamoto with subject line "[Season YYYY] E-Submission Report." This Report is the definitive list of theses and dissertations awarded during that quarter. Compare the E-Submission Report against the latest Merritt Report/search in Millennium.

- Check that all the theses and dissertations on the E-Submission Report have been cataloged
- Check that the embargo dates in the E-Submission report and in the catalog records match

When you have completed the check, "Reply All" on original email confirming that all the ETDs
are cataloged and the embargo dates match on the E-Submission Report for that quarter.

7.Bookkeeping

- Save all original spreadsheets and MARC record files from the emails until further notice.
- Latest spreadsheet of titles can be considered the definitive complete title list up to that date.

8. Trouble-shooting

8a. Processing/editing records

If the name in the record/metadata does not match the PDF, leave as is. The PDF often reflects the full name of the dissertant, while the record/metadata may reflect how the dissertant prefers to be known as an author.

If the title in the record/metadata does not match the PDF, change the title to what is on the PDF and notify Perry Willett at uc3@ucop.edu to change the title.

8b. Embargoes

ETD has no embargo information at time of cataloging, but when add ProQuest URL later and the check of the ProQuest URL shows that the ETD is embargoed, first go to XML submitted by the dissertant to see if there is any embargo information there.

If yes embargo information there that didn't get in catalog record, check with Mary Allen at Grad Division. Add embargo information if confirmed?

If no embargo information then notify Mary Allen at Graduate Division?

8c. Quarterly Submission Reports

If there are any discrepancies, discuss with Perry and/or Grad Division.

For example, if there are ETDs on the Report for which there are no catalog records in Millennium, the first step is to ask Perry Willett at Merritt if they are in his queue. If they are, just wait till they show up and process them. If they are not, wait a bit to see if they show up in his queue. Then if it really seems that he hasn't received the files, ask Grad Division about the "missing" ETDs. Grad Division might have to talk to dissertant and the faculty advisor to submit the files. Or Grad Division may have to get the files from ProQuest. These will then be submitted to eScholarship and they will eventually show up in the files and spreadsheet from Perry.

If the embargo dates don't match, talk to Mary Allen at Grad Division.

Joint dissertations (UCSD and SDSU, UCSD and CSUSM, for example) are known to have different submission dates at ProQuest . **We consider the eScholarship date as the correct one**. Any questions should be forwarded to Liz Miraglia, Books & Serials Unit Head in Metadata Services.

Always consult the UCSD eresources tracking page for basic information:

http://tpot.ucsd.edu/metadata-services/msd/scu/eresources.html#U

9. Appendix

9a. Technical details

<u>Required access</u>: OCLC Connexion (P drive for local save files), Millennium (including Global Update), MarcEdit (with plug ins/add ins), access to the P drive, an account at Merritt so that you can access embargoed ETDs, macro books on P drive.

9b.Legacy ETDs embargo extensions and releases

This is much the same as the new procedure with a few variations.

9b1. Extensions

If an embargo has been extended, there will be an email from the Graduate Division.

- Change date in Millennium record (506 and 856 \$z)
- Change date in OCLC (506 and 856 \$z).
- Then go to the legacy spreadsheet at P:\ETD-Cataloging\ETD-Lists\Embargoed_dissertations.xlsx
 , find the dissertation entry and edit column F as follows: revMM/DD/YYYYinitials, for example:
 rev4/16/2018mhc. I am no longer adding two months to the extension date given in the email
 as was done previously.

9b2. Releases

Legacy ETD embargo releases will not result in an email notification if the ETD date was before the new process started in late 2015. [It is possible that if a legacy ETD embargo was extended to a date after the new process began, email notification may be triggered.]

Handle legacy ETD embargo releases manually, as it is unlikely that there will be very many.

- Find the ETD record in Millennium. Delete the 506 and the embargo information in the 856(s). Add autostat.
- Find the ETD record in OCLC. Delete the 506 and the embargo information in the eScholarship 856.
- Go to the legacy ETD spreadsheet on the P drive (P:\ETD-Cataloging\ETD Lists\Embargoed_dissertations).
- Find the ETD and update the spreadsheet with the release date information.

9c. Screenshots of notification emails for reference

9c1. Embargo release notification email



no-reply@escholarship.org Cocks, Hanley

Embargo lifted on an ETD from your campus

1 If there are problems with how this message is displayed, click here to view it in a web browser.

Dear ETD administrator,

This is a courtesy message to let you know that embargoes will soon expire on one or more of your campus ETDs in eScholarship. These items will soon be publicly available.

Item	URL
Title: Rove beetle diversity, distribution, and ecology in the sonoran desert necrotic cactus niche Author: Mejia, Dionne Acceptance year: 2016 Embargo release date: 2018-08-16	http://escholarship.org/uc/item/5fq8t8ct

If you believe this embargo will be lifted in error, please contact help@escholarship.org

Regards. The eScholarship Team help@escholarship.org

9c2. Embargo extension emails

From Grad Division:

July 11, 2018

- TO: LYNDA CLAAUSSEN, Mandeville Special Collections Library Director
- FR: Mary Lillis Allen, Academic Affairs Director, Graduate Division
- RE: Withholding Thesis from Processing and Circulating

Please continue to embargo Rina Sobel Fox's thesis, "Identifying Typologies of Breast Cancer Patients Undergoing Chemotherapy Based on Multiple Indicators of Sleep and Fatigue," from public circulation, effective immediately. By receipt of this email, Proquest and eScholarship will also continue to embargo the thesis on-line.

Dean Kit Pogliano approved the request to continue to embargo the thesis. The thesis is to be embargoed through September 30, 2019.

Many thanks for your assistance.

Cc: Vanessa Malcarne Rina S. Fox Rita Baumann Digital Library Program ProQuest

Mary A.

UC San Diego

Graduate Division Mary Lillis Allen | Director, Graduate Academic Affairs 9500 Gilman Drive, MC 0003 | La Jolla, CA 92093 – 0003 858×534-3552 | <u>mallen@ucsd.edu</u> | grad.ucsd.edu

From ProQuest:

re: Publication No: 10141826

Good Afternoon Mary,

Per your request, we updated the embargo for Rina Fox to expire/lift on 9/30/2019

Please let me know if I can help with anything else.

Kristin Danko – Technical Product Specialist ProQuest | 789 E. Eisenhower Pkwy | Ann Arbor, MI 48108 | 1-800-521-0600 ext. 77020

www.proquest.com

From eScholarship:

Hi Mary,

The embargo end-date for Rina Fox's thesis in eScholarship has been changed to Sept 30, 2019: $\underline{ https://escholarship.org/uc/item/2c49z2dj}$

Let us know if you have any questions or more requests. Best wishes,

Perry Willett California Digital Library

Author: Hanley Cocks

Date: November 13, 2017

Updated: October 9, 2018

Approved by RMPS: October 9, 2018