

scholaris

A Canadian Shared Institutional Repository Service
Un service partagé national de dépôt institutionnel


Sharing Collaborative Approaches and Community Insights on ETD Management in Canada

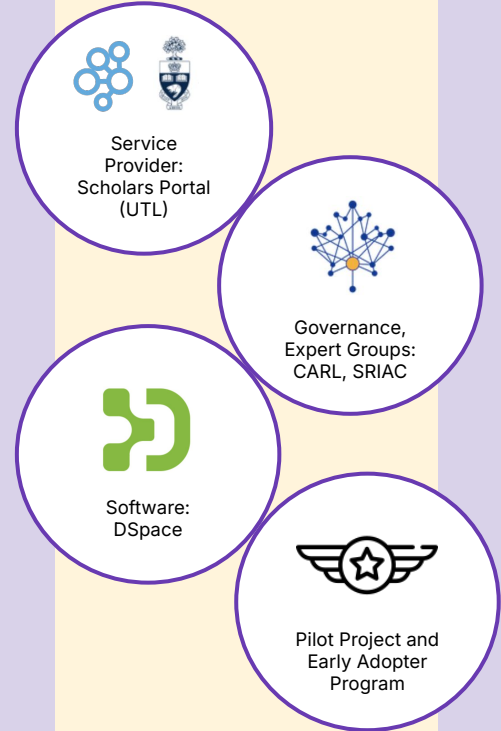
ETD 2025 Symposium – USETDA 2025 Conference

Julia Gilmore, Digital Projects Librarian, Scholars Portal (University of Toronto)

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Laying the groundwork

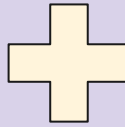
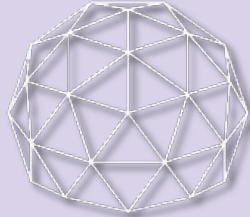
- OCUL Shared Repository Infrastructure WG (2022-2023)
- CARL Shared Repository Infrastructure Advisory Committee (SRIAC)
 - *Framing Strategy* (2023)
- Demonstrated interest in shared repository infrastructure 
- Pilot project with 2 OCUL institutions (Summer 2023)
- MOU between UTL, CARL, and OCUL (November 2023)



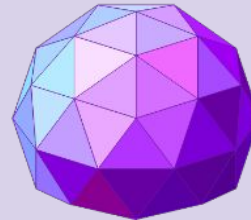
Seeds and soil: Growing the Scholaris Community Garden



Technical
Infrastructure




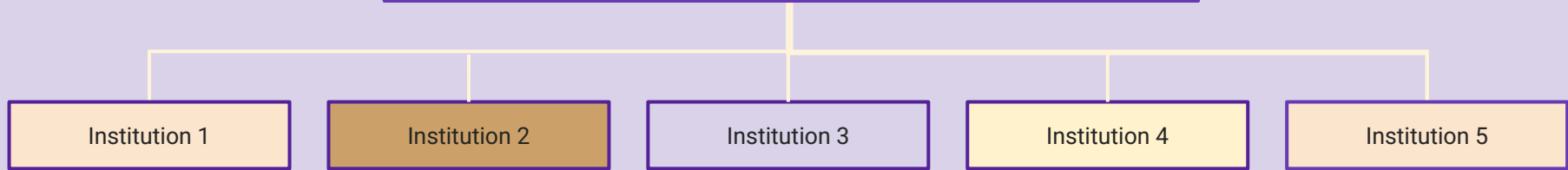
Community
Infrastructure



- Parallel instances of DSpace
- Centrally hosted and managed by Scholars Portal
- Focus: building a scalable, efficient, affordable & flexible service model

- Early Adopter Program
- Scholaris Network of Expert Groups
- Participation in Canadian, international, DSpace repository communities and initiatives

 **Scholaris as a Service:**
Centralized Service Delivery, Hosting, Technical and Community Support



Powered by  **scholaris**

Key Points

- Scholaris helps repository teams support their scholarly communities.
- Scholaris is a repository service, not a single repository platform or discovery layer.
- Scholaris provides technical and community infrastructure to subscribing institutions.
- Local repository teams manage the daily operations of their repository and have flexibility to add desired customizations and integrations supported within the service model to meet the needs of their user communities.



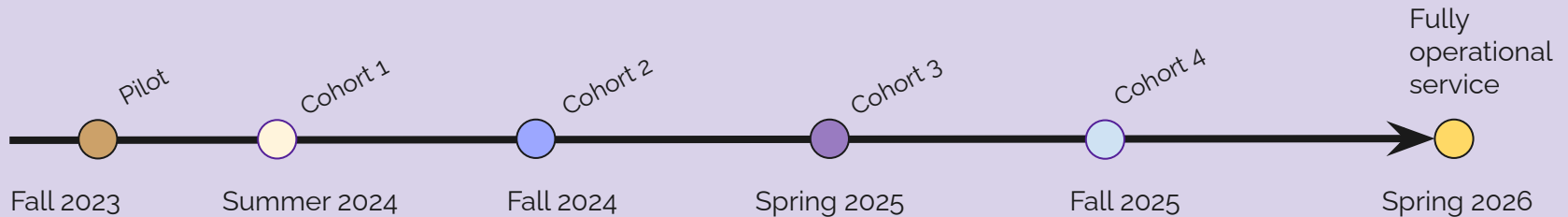
Early Adopter Program (2024-2026)

Program Eligibility

Open to Canadian academic universities representing various repository use cases.

Goals and expected outputs

- Migrate institutions to Scholaris technical infrastructure
- Estimate costs and resources to establish pricing structure
- Define service offering
- Define workflows and roadmaps for efficient migrations and on-going service delivery





Scholaris Network of Expert Groups

- **Scholaris Metadata and Discovery Expert Group (S-MDEG)**

- Established Spring 2024
- Focuses on identifying metadata best practices and developing recommendations to enhance the discoverability and interoperability of repository content.



- **Scholaris Electronic Theses and Dissertations Expert Group (S-ETEG)**

- Established Spring 2024, [Terms of Reference](#)
- Works on developing recommendations, guidelines, and workflows for effective migration and management of ETDs .

- **Scholaris Digital Preservation Expert Group (S-DPEG)**

- Established Summer 2024
- Concentrates on providing recommendations and guidance on digital preservation protocols and pathways to support long-term access to content in Scholaris repositories.



Find published recommendations on TSpace (utoronto.scholaris.ca): Scholaris Network of Expert Reports





Scholaris ETD Expert Group (S-ETEG)

Areas of Focus

- ETD Needs Assessment Survey
- Requirements for LAC Harvesting
- Non-traditional Theses Considerations and Recommendations
- Standards Adherence Recommendations
- Summary of ETD Review Workflows in/to DSpace
- Identification of ETD Best Practices and Resources



In the beginning...

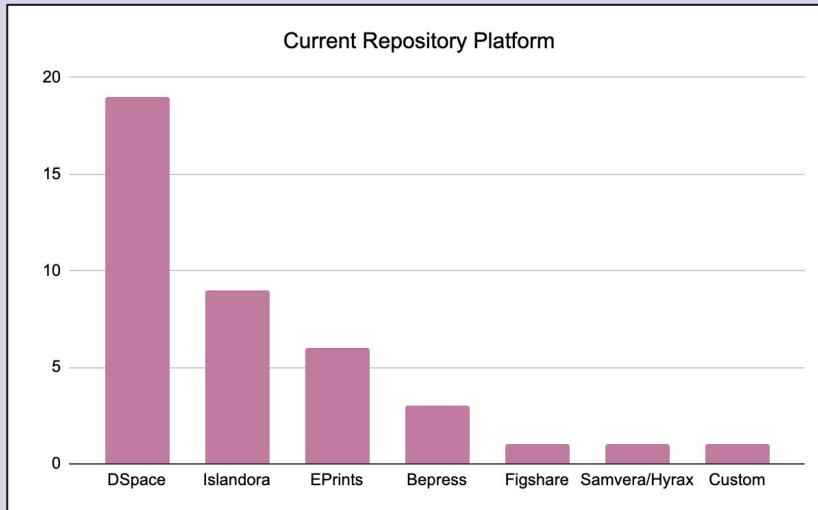
S-ETEG Needs Assessment Survey

Goals

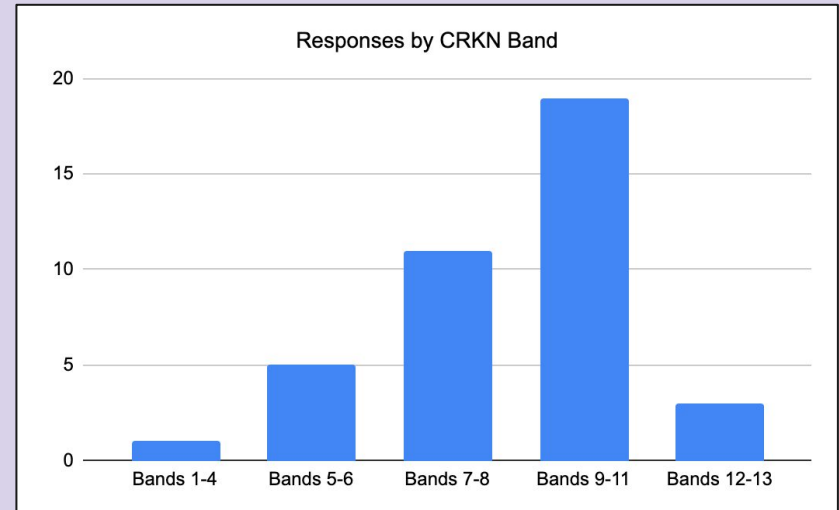
- Provide a snapshot of ETD management in Canadian IRs
- Identify opportunities and pain points related to ETD management
- Identify functional requirements and desired features for ETD management
- Identify areas for greater alignment across repository community
- Identify areas of focus for Scholaris service team
- Inform recommendations made by the S-ETEG and other expert groups

About the ETD Needs Assessment Survey

- Survey period: October 21 - November 15, 2024
- Format: Google Forms
- Responses: 41 (32 English, 9 French)
- Distribution: CARL and Scholaris channels



DSpace was the most commonly used repository platform.



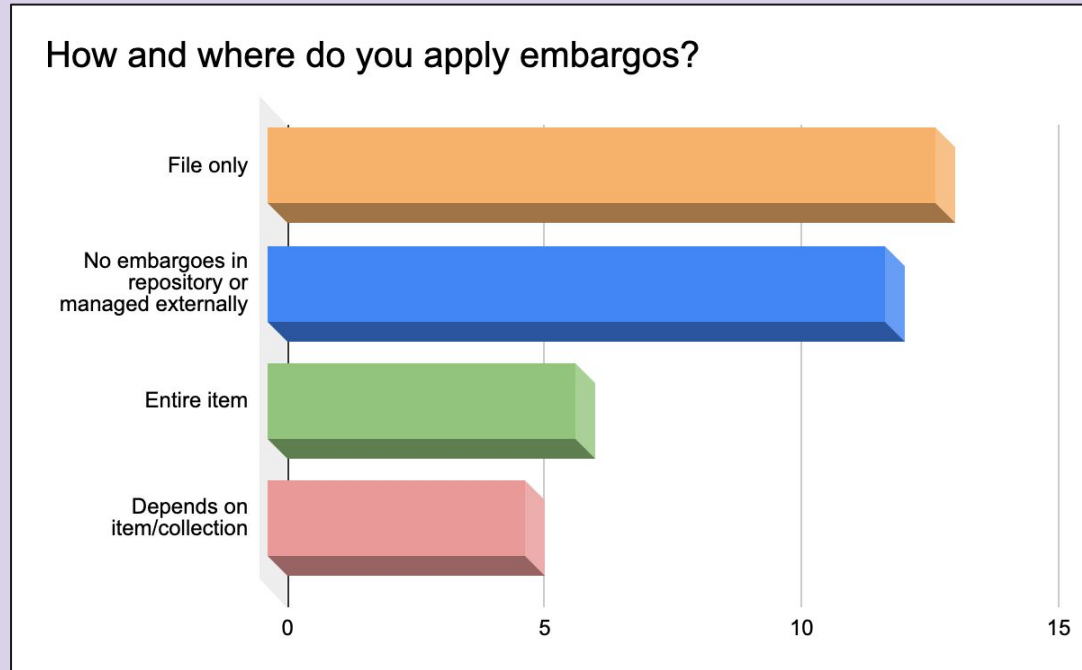
Majority of responses from medium sized institutions.

S-ETEG Needs Assessment Survey: Key Takeaways

- Complexity and variations with managing ETDs. One size does not fit all.
- ETD management is happening in multiple places using different tools and platforms
 - Internal and external to the repository
 - Local applications and scripts
 - Use of tracking spreadsheets and forms, ETD management software
 - Responsibilities spread across Grad Studies, Library, and/or IT
- Format restrictions: recommending vs. requiring specific formats (e.g., PDF and PDF/A), especially when the platform accepts any/all formats
 - Mix of institutional or standard file format guidelines (e.g., LAC, LoC) provided to submitters

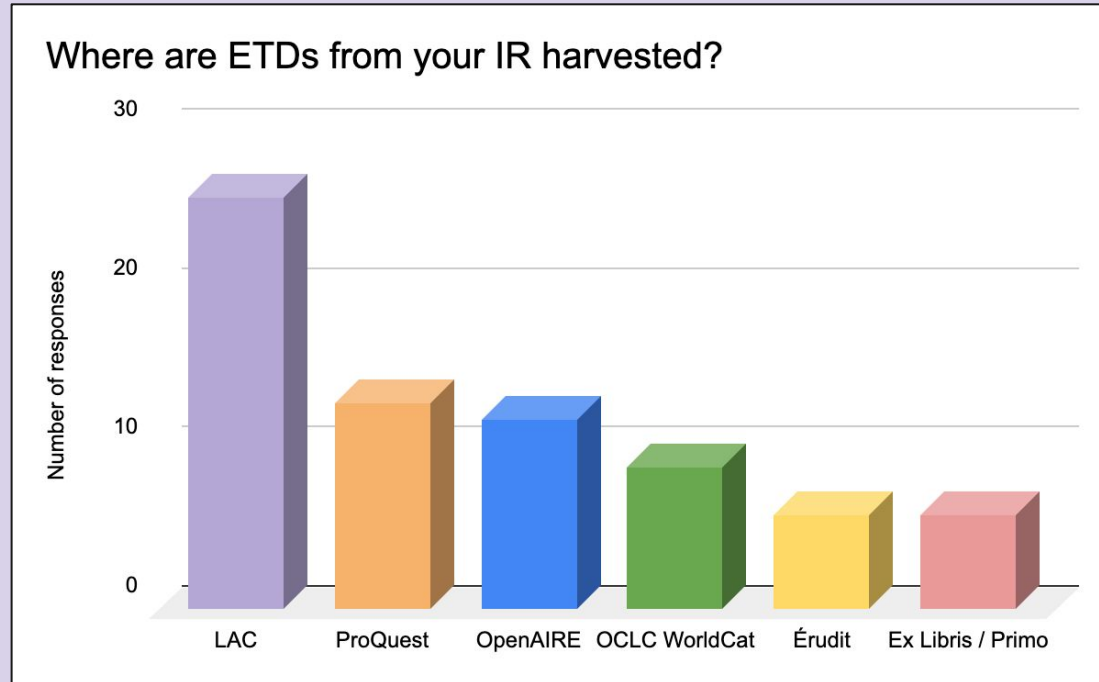
S-ETEG Needs Assessment Survey: By the Numbers

- Varying approaches to managing embargos - internal and external to the repository



S-ETEG Needs Assessment Survey: By the Numbers

- Harvesting of ETDs - LAC is most common, followed by ProQuest, OpenAire, and OCLC WorldCat



S-ETEG Needs Assessment Survey: Key Takeaways

- **Challenges**

- Rights and licensing: Managing and building awareness
- Embargo management
- Accessibility compliance
- Navigating relationships, workflows, and responsibilities shared by multiple stakeholders
- Staffing capacity
- Lack of standardized practices and time to implement them when they are available

- **Opportunities**

- More collaboration
- Building awareness for ETD considerations
- Developing consistent practices for non-textual ETDs
- Registering DOIs for ETDs

- **Popular/desired features**

- Configurable workflows
- Batch editing and uploading options
- Improved embargo functionality
- Automatic registration of DOIs at time of ingest

S-ETEG Needs Assessment Survey: Looking Ahead

- Survey responses informed...
 - S-ETEG deliverables
 - LAC harvesting recommendations
 - Recommendations for 'non-traditional' theses
 - ETD review workflows in/to DSpace
 - Guidance on standards adherence
 - + new deliverable - Needs Assessment Summary Report
 - Creation of Digital Preservation Expert Group Needs Assessment Survey
 - Recommended areas of focus for Scholaris service team and expert groups
 - Platform improvements to request/contribute to DSpace community

Looking ahead: Opportunities for alignment

- Increase in DSpace adoption with new/improved functionality in later versions
- Contributing etdms crosswalk and namespace to DSpace
- Standard ETD submission form
- Use of consistent metadata
- Recommended workflows
- Involvement of Grad Studies staff in repository communities of practices and on migration teams
- Sharing resources and effective approaches
- Guidance on preservation-friendly and accessible file formats



Thank You!

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Questions about Scholaris or the S-ETEG?
info@scholaris.ca

Current and past S-ETEG members

- Leah Vanderjagt - Chair (University of Alberta)
- Nicole White - Founding Chair (Simon Fraser University)
- Carrie Breton (University of Guelph)
- Pascal Calarco (University of Windsor)
- Laurence Charest (Université de Montréal)
- Émilie Chouinard (Érudit)
- Matt Dumouchel (Western University)
- Sean McLaughlin (Library and Archives of Canada)
- Jennifer Whitney (Carleton University)

Ex officio

- Julia Gilmore (Scholars Portal)
- Gabriela Mircea (University of Calgary | CARL VPO)
- Susan Haigh (CARL)
- Geoff Harder (University of Alberta)
- Elizabeth Kalbfleisch (CARL)



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