Cases on Electronic Records and Resource Management Implementation in Diverse Environments

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Chapter 3

Theses and Dissertations from Print to ETD: The Nuances of Preserving and Accessing those in Music

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EXECUTIVE SUMMARY

Important products in an academic library's collection are Masters Theses and Doctoral Dissertations since they represent a wealth of scholarly and artistic content created by Masters and Doctoral students in the degree-seeking process. Each has experienced an evolution to a new format, electronic. Many of these are PDF files, using the Adobe Acrobat software. Until very recently, though, those files with accompanying materials were separated. This chapter further discusses several issues inherent in this process. These include access, use, re-use, preservation, storage, integration with other systems, copyrights, and permissions. The successful management of Electronic Theses and Dissertations (ETDs) requires effort across the entire lifecycle to ensure that ETDs are managed, preserved, and made accessible in a manner that today's users expect. Given the pressure of reading more in less time, today's users demand access to various formats regardless of temporal and spatial restrictions and the types of devices used.

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ORGANIZATIONAL BACKGROUND

Because dissertations must constitute original research, each is unique to the bibliographic world. As such, a cataloger provides original descriptive cataloging for each dissertation. Often the subject has not made literary warrant, and so several other subjects must be supplied to sufficiently create access to the dissertations. In music, however, the author achieves originality by analyzing a specific composer or composition(s), or applying a unique approach to a composition's study. The subject may also be an aspect studied in several previous works, but this is the first time it is studied in relation to a specific work. Extended Techniques in Stanley Friedman's *Solus for Unaccompanied Trumpet*, by Scott Meredith, is one example. While not the first to study extended techniques of the performance of the trumpet, he is the first to apply this to *Solus*.

In previous years, the thesis or dissertation was produced in multiple copies by use of carbon paper. However, musical dissertations retained the original examples, written in black ink on music manuscript paper that the author glued into the document. This was before the advent of the photocopy, and prior to the later introduction of software needed to produce notated music. Many universities also classify theses and dissertations together in one sequence, sometimes assigning arbitrary numbers. Other libraries, though, have chosen to classify each dissertation within the subject of its writings.

At the University of North Texas, the Libraries processed and cataloged one copy of each dissertation for the archives, classed together, in a Dewey Decimal classification symbolizing these works: 379 N81d. Catalogers then assigned a number to each, mostly in a chronological order. Simultaneously, the cataloger described the microfiche issued by UMI. By 1999, students were mandated to submit their theses and dissertations electronically. Musical dissertations and theses were issued with accompanying physical items (sound tape reels, audio cassettes, compact discs, videocassettes, both 1/2 and 3/4 inch widths, and videodiscs, which are 12 inches in diameter). Since, these were not conventional manuscript materials, they posed a challenge to those processing materials prior to their housing in the libraries. This process has evolved, and for several years, the College of Music submitted the recordings directly to the library. Today, though, the College of Music records the recitals, and sends the audio file to a librarian for audio and digital services. In a cataloging approach that foresaw the evolution to Resource Description and Access (RDA), all manifestations of each thesis or dissertation title (print, electronic, microfiche) are unified in a single bibliographic record, although each item may retain a different call number.

SETTING THE STAGE

Multiple formats from print to electronic have emerged with the advances in technology. Today's theses and dissertations, whether born digital, or retrospectively digitized from the analog (paper or microforms), are PDF files, using the Adobe Acrobat software. Until very recently, however, those files were separated from any physical accompanying materials. Creation of the notated music within the theses and dissertations has evolved from the use of manufactured manuscript paper to the utilization of notational software (Finale, etc.).

Accompanying materials are not limited to those that constitute performances (audio cassettes, audio compact discs, videocassettes, DVDs). Visual forms (geologic diagrams or maps, slides, images of art objects) accompany dissertations in fields as diverse as stratigraphic geology, biology, and art. These can be described using the *Anglo-American Cataloguing Rules*, second edition (AACR2) (Joint Steering Committee, 2002) and more recently, *Rules for Description and Access* (RDA) (Canadian Library Association, 2010). The rules facilitate this description as accompanying materials.

This has implications in fields beyond music; in the visual arts, the writer is able to attach files and photographs depicting two or three dimensional art objects. Geology dissertations often contain multi-colored diagrams that in the past have been inserted into pockets after the main textual material, much like inserting an instrumental part in a folder after a music score (see Figure 1). Description of these is quite similar to the description of accompanying material in the audiovisual formats, using OCLC MARC format. Students in the biological sciences have also submitted video recordings of their experiments.

Music adds additional variables in the collocation of works and manifestations. Most printed monographs sit alone or nearly alone in their classification. Titles vary widely, and each is unique in its field. Music, though, utilizes forms and genres in its titles such as sonatas, symphonies, masses, and songs; this means that the title

Figure 1. Geology thesis (©2013, University of North Texas Libraries. Used with permission.)

100 1--Sherlock, Sean Michael. 245 10-Structure and stratigraphy of early Proterozoic rocks, McDonald Mountain-Breadpan Mountain area, northern Sierra Anchas, Gila County, Arizona :c by Sean Michael Sherlock. 260 ---[Flagstaff : :b Northern Arizona University], :c 1986. 300 ---vi, 81 leaves : :b ill. (some col.), maps ; :c 28 cm. + :e 2 geologic diagrams in pocket. 502 ---Thesis (M.S.)--Northern Arizona University. 504 ---Bibliography: leaves 79-81. 650 0-Geology, Stratigraphic :y Precambrian :z Arizona :z Gila County.

of Symphony no. 3 is insufficient to identify the work. With the exception of unattributable works, such as medieval chants, almost every uniform title in music must be associated with its individual composer, whether that be Ludwig van Beethoven, Johannes Brahms, or Aaron Copland.

- 100 1 Beethoven, Ludwig van, ‡d 1770-1827.
- 240 10 Symphonies, ‡n no. 3, op. 55, ‡r Eb major
- 100 1 Brahms, Johannes, ‡d 1833-1897.
- 240 10 Symphonies, ‡n no. 3, op. 90, ‡r F major
- 100 1 Copland, Aaron, ‡d 1900-1990.
- 240 10 Symphonies, ‡n no. 3

Access is achieved by the use of the uniform title, MARC 240 in scores and a MARC 700 with a subfield t for recordings cataloged analytically. Authority records represent this by use of the 100 MARC tag and a subfield t with the preferred title. Another reason for the uniform title within each composer's entries is due to the wide proliferation of manifestations of the same work, published in various countries with widely divergent titles:

- 100 1 Beethoven, Ludwig van, ‡d 1770-1827.
- 240 10 Symphonies. ‡n no. 3. ‡n op. 55, ‡r Eb major
- 245 10 Eroica symphony ‡h [sound recording] / ‡c Beethoven.
- 260 London: ‡b Decca Ace of Clubs, ‡c [1959]
- 100 1 Beethoven, Ludwig van, ‡d 1770-1827.
- 240 10 Symphonies, ‡n no. 3, op. 55, ‡r Eb major
- 245 00 Symphonie Nr. 3 in Es-Dur = ‡b Symphony no. 3 in E-flat major:
- Eroica: op. 55 / ‡c Ludwig van Beethoven; herausgegeben von Jonathan Del Mar.
- 260 Kassel ; ‡a New York: ‡b Bärenreiter, ‡c c1997.
- 100 1 Beethoven, Ludwig van, ‡d 1770-1827.
- 240 10 Symphonies, ‡n no. 3, op. 55, ‡r Eb major
- 245 10 Symphony no. 3 in Eb major = ‡b Es-Dur: op. 55: 'Eroica' / ‡c Ludwig van Beethoven ; edited by Richard Clarke.
- 260 London: ‡b Eulenburg, ‡c c2006.

Although, with certain composers, even this is not enough knowledge. Thematic catalogs are critical to the identification of works by composers such as George Philipp Telemann and Antonio Vivaldi. For Telemann, who composed over 3000

Theses and Dissertations from Print to ETD

pieces, the use of the uniform title, Quartets, ♯m flute, viole da gamba, continuo, ♯n TWV 43:G12, ♯r G major, indicates that this is the twelfth quartet for this ensemble that was composed in G major, distinct from the similar composition, numbered TWV 43:G10.

CASE DESCRIPTION

Doctoral degrees in music fall into four principal areas: performance, composition, musicology, and education. Candidates for a doctoral degree in music are required to submit a dissertation. Those in performance usually analyze a composition or a particular composer's works. This is accompanied by three recitals that demonstrate the candidate's instrumental or vocal virtuosity, and a lecture recital that combines a performance and description of the dissertation topic. For the general structure of a music dissertation of this type, see Appendix A (University of North Texas, College of Music, 2010).

In previous years, students submitted the printed dissertation and recordings (cassettes) to the College of Music, which sent then to the Graduate School. In 1999, the University of North Texas became one of the first American universities to begin requiring Electronic Theses or Dissertations (ETDs) for graduation. The accompanying recordings, however, remained in their physical formats. This became problematic for those accustomed to a single printed format, and the textual representation of it.

Open Access vs. Restriction

As Table 1 demonstrates, the number of ETDs added to UNT's collection is continually growing. If the number of theses and dissertations published before 1999 are included, which are being digitized, the number will exceed 15,000. Over the next decade, several more analog theses and dissertations will be digitized. All new born digital ETDs will be processed and uploaded prior to cataloging. Cassettes faded from view for most of these, but compact discs persisted. Today, though, even compact discs are fading as the recorded recitals are being sent to the Libraries as audio files (streaming audio). Physical objects no longer move through the cataloging process. Each of these recordings was acknowledged in multiple MARC tags and notes, either as accompanying material, or with the dates of the recitals given. Additional access to any streaming audio files was also given and linked via a URL, using the MARC 856 field; this same tag is used to note the location of the textual PDF files.

Table 1. Open access vs. restriction (©2013, University of North Texas Libraries. Used with permission.)

Year	Open ETDs to General Public	Restricted ETDs to UNT Community	Total No. of ETDs in UNT's Collection
2012	137 (93%)	010 (7%)	147
2011	398 (95%)	020 (5%)	418
2010	339 (93%)	027 (7%)	366
2009	289 (93%)	022 (7%)	311
2008	331 (99%)	005 (1%)	336
2007	349 (100%)	000 (0%)	349
2006	213 (65%)	113 (35%)	326
2005	201 (71%)	083 (29%)	284
2004	206 (68%)	098 (32%)	304
2003	236 (72%)	092 (28%)	328
2002	221 (74%)	077 (26%)	298
2001	189 (65%)	101 (35%)	290
2000	210 (67%)	105 (33%)	315
1999	071 (59%)	049 (41%)	120
Grand Total from 1999-2012	<u>3390</u> (81%)	<u>802</u> (19%)	<u>4192</u>

Multiple Formats Access

Today, and into the future, the compact disc is seeing less of a presence. Even with Amazon, one can purchase the streaming audio of a single song, and download the song onto an audio device (portable or virtual audio device) instead of carrying the CD. In creating the access for these dissertations, changing all sound recordings to streaming audio files provides a smoother workflow. One advantage to this will be the ability to assign analytic headings to each recording; each work or track, whichever is larger, will be accessed. The physical recordings are still preserved in a climate controlled setting, in the event they are needed to backup or replace the streaming audio. Offsite storage provides both this climate control and space, with compact shelving. As a result, the process of cataloging and creating the metadata necessary to provide complete access to the users of musical dissertations and the recordings that accompany them has evolved. No longer is the patron restricted to a particular location to listen to recordings.

Theses and Dissertations from Print to ETD

Further issues inherent in this process include preservation, storage, copyrights, open or restricted access to ETDs, and permissions. The Libraries restrict access to some music ETDs (particularly their performances), although most ETDs are open to any users. Figure 2 exhibits the distribution of restricted access to these ETDs; however, there are no restrictions on these resources to any users associated with the University of North Texas. Users located outside UNT campus must login using their UNT's Enterprise-Wide User-ID (EUID).

Preserving long-term access to digital information resources is one of the key challenges facing libraries and information centers today (Alemneh, Hastings, & Hartman, 2002). Digital resource preservation encompasses a wide variety of inter-related activities. However, various factors may affect successful implementation of best practices in the management of digital resources. Copyright restrictions, for instance, can affect the preservation of access to digital information by limiting the use of preservation strategies. Current copyright law does not adequately address many of the issues unique to digital media. For example, migration and refreshing may each involve some form of copying of intellectual content. Many countries are reviewing their legislation, in light of how digital technologies have transformed the ways that copyrighted works are created, disseminated, preserved, archived, and made accessible. Copyright exists for music published since 1923, and for 75 years after the composer's death.

Figure 2. Percentage of ETDs by access level (©2013, University of North Texas Libraries. Used with permission.)

Beyond copyright, music and some performing arts are governed by performing rights organizations, such as the American Society of Composers, Authors, and Publishers (ASCAP), Broadcast Music (BMI), and SESAC. These groups regulate performances and distribute royalties to composers for each performance. Institutions may cover these royalties by becoming members of the performing rights organizations. The Harry Fox Agency manages mechanical rights, the ability to produce the first recording of selected musical works.

The successful management of electronic theses and dissertations requires effort across the entire life-cycle to ensure that ETDs are managed, preserved, and made accessible in a manner that today's users expect. Given the pressure of reading more in less time, today's users demand access to various formats regardless of temporal and spatial restrictions and the types of devices used (Phillips & Alemneh, 2011). As an early adopter of what was to become the electronic thesis and dissertation (ETD) movement in higher education, UNT has encountered several challenges in the pursuit of providing greater public access to the scholarship conducted at the University. When first implemented, ETD files were housed on the UNT Academic Computing Services servers with the UNT Libraries providing only bibliographic access through the Libraries' online catalog. As time progressed, it was recognized that the UNT Libraries should play a more active role in the long-term stewardship of these resources. Libraries are well suited for supporting ETD users by integrating ETDs into the existing digital resources. They represent not only a new form of scholarly communication, but also act as drivers for the development of institutional repositories and digital libraries in general.

Tools to Analyze ETDs Content and Facilitate Submission

With increasing frequency, academic institutions are providing multiple formats access and making all associated contents—video, audio, datasets, and related files—more visible to users (see Figure 3). Such integration of complex content objects will influence how ETDs are curated. The increase in the heterogeneity of ETDs has led higher learning institutions to develop tools, workflows, and quality assurance mechanisms that allow effective life cycle management.

There are a number of tools and Web-based software applications that help to manage the submission, approval, and distribution of electronic theses and dissertations. Even though several tools support a faster and simpler submission process, many institutions have not gone fully online and adopted such tools. Some of the available tools include:

Theses and Dissertations from Print to ETD

Figure 3. Providing multiple formats access to ETDs (©2013, University of North Texas Libraries. Used with permission.)

- **TDL's Vireo:** ETD Submission and Management tool: <http://tdl.org/etds/>. The Texas Digital Library (TDL) is a consortium of higher education institutions in Texas that provides shared services in support of research and teaching. To facilitate ETDs workflow, the TDL has created the Thesis and Dissertation Submittal System (TDSS), known more commonly as Vireo. With Vireo, students can submit their digital theses and dissertations via a simple online interface, while graduate offices can manage the ETD submission and approval process behind the scenes.
- **The ProQuest ETD Administrator System:** http://www.proquest.com/en-US/products/dissertations/etd_administrator.shtml. Developed by the successor to University Microfilms International, the ProQuest ETD Administrator system helps manage the electronic submission of dissertations and theses that a university plans to publish. It simplifies the submission process for students and graduate administrators alike by moving all steps online and eliminating the need to box and ship paper copies of each dissertation or thesis.
- **The Rutgers University Libraries' OpenETD:** <http://rucore.libraries.rutgers.edu/open/projects/openetd/index.php?sec=press>. OpenETD is a Web-based software application for managing the submission, approval, and dis-

tribution of ETDs. It can be used as either a standalone ETD submission system, or it can be implemented as a component of an institutional repository by using its METS/XML export functionality.

Most of these tools can be used as either a standalone ETD submission system, or they can be implemented as a component of an institutional repository by using various (METS, XML, etc.) export functionalities. Many commentators, Alemneh and Phillips (2011), Bauer (2012), and MacDonald and Yule (2012), among others, agree that the use of software tools in various ways is an essential part of the repository workflow in ETDs lifecycle. There are also tools that help to analyze ETD content by detecting:

- Formats of Digital Files.
- Information about Formatting and Validation.
- Possibility of Computer Viruses.
- Possibility of Plagiarism.

Despite the usefulness of these tools, integrating them into an existing institutional workflow or ETD management system can be challenging. To minimize such challenges, stakeholders are increasingly moving toward adopting open source specifications. In this regard, the University of North Texas is one of the partners of the IMLS funded ETD Lifecycle Management Project. Among other toolkits, the project plan is to develop a common protocol for allowing any institutional repository to use and to integrate the above mentioned tools effectively by bridging the gap and handling the direct interactions with these tools (Stark, Alemneh, & Eisenhauer 2013).

CURRENT CHALLENGES FACING THE ORGANIZATION

Legal considerations are paramount. Primary among these is the issue of copyright that rules all music composed or published since 1923. Free use of compositions and performance remains the right of the composer and his/her estate until seventy-five years after the composer's death.

Currently, the University of North Texas progresses from access through the physical formats (books, audio CDs) to exclusively digital access (PDF files, streaming audio). Due to intellectual property rights issues and other legitimate reasons (including the potential for other forms of publications), restricted access to the textual content is requested by some authors, either permanently or for a period of time, often five years. This can easily be accommodated and communi-

Theses and Dissertations from Print to ETD

cated, especially since consulting the metadata description may convey sufficient information and can be adequate for some users' needs. The information in the 856 field demonstrates how the restriction is implemented and communicated in the MARC record; this data also appears in the online catalog, so that users will know the restriction applies (see Figure 4).

Another challenge is to create access for the mobile society, changing from the physical formats that store sound to streaming audio. This must also be limited to the campus, either geographically or by identification of the user. Musical culture has fostered mobility through miniaturization and virtualization of technology.

Retrospective cataloging of the previously typewritten theses, and their accompanying recordings that have been digitally realized, will assist patrons in their searches. Access is further facilitated by the use of several pseudo-series in the online catalog, which identify the institution, type of graduate paper, field of study, and year: NT thesis, Music; 2004 or NT dissertation, Music; 2008.

These series allow those who live far from the campus, and who wish to view dissertations with restricted access, the information they need for planning. The UNT Digital Library, an entity separate from the online catalog, also has a function by which one can narrow the search to dissertations. This, however, does not reveal all of the accompanying recitals; the online catalog functions to unify access to all parts of the dissertations.

Another challenge is the ability to continuously adapt current technology. As noted by Hilton (2009), two decades ago the idea of turning a PDF book into a series of .mp3 files would have seemed ludicrous — neither file format existed. Today, though, not only is it possible, but they also occur with increasing frequency.

Figure 4. Music thesis with online linkage, restrictions (©2013, University of North Texas Libraries. Used with permission.)

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100 -1-McConnell, Sarah B.  
245 -14-The key to unlocking The secret window #h [electronic resource] /#c Sarah E. McConnell.  
260 ---#c 2010.  
300 ---viii, 92 p. :#b col. ill., digital, PDF file.  
538 ---Mode of access: Internet, via World Wide Web.  
500 ---System requirements: Adobe Acrobat Reader.  
502 ---#b (M.M.)-- #c University of North Texas, #d 2010.  
520 ---The film score to David Koepp's Secret window (Columbia Pictures, 2004) was composed by  
Philip Glass and Geoff Zanelli.  
504 ---Includes bibliographical references (p. 89-92).  
600 10-Koepp, David.  
600 10-Glass, Philip. #t Secret window.  
600 10-Zanelli, Geoff, #d 1974- #t Secret window.  
650 0-Motion picture music#z United States#x History and criticism.  
630 00-Secret window (Motion picture)  
856 40-#u http://digital.library.unt.edu/ark:/67531/metadc33226#z\_connect\_to\_online\_resource. Access  
restricted to the University of North Texas campus until January 1, 2016.
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SOLUTIONS AND RECOMMENDATIONS

Initiatives to Address ETDs Issues

The synergies of numerous emerging trends are shaping creation, access, use, and preservation of theses and dissertations. The digital libraries are making resource integration much easier and providing scholars with access to more diverse and previously unavailable information resources and services. However, the transition from traditional paper and microfilm formats to electronic theses and dissertations presents a number of significant challenges for academic institutions, ranging from rights and permission issues to ensuring long-term access and preservations.

The traditional models of doing business within the music industry in particular are rapidly evolving. This means that the curator of theses and dissertations will: (1) digitize as much as possible of the textual content; and (2) create streaming audio and/or video files for all performances and experiments that accompany the theses and dissertations. Together, these actions will increase the access to the unique and original research found in the papers of graduate students.

Transferring the concept of copyright to the digital arena, for example, raises numerous issues. Under U.S. Copyright Law, creators already have the right to waive their rights, give their works away for free, or permit the use of their music for sampling or mash-ups, without necessarily giving up their ownership rights. Many commentators, (Bledsoe, Coates, and Fitzgerald, 2007; McGivern, 2007), among others, argue that traditional copyright law, with its complex legal concepts and permission requirements for even the most common and non-controversial of uses, does not fit well with an environment, which both enables and requires reproduction and communication on an unprecedented scale.

Supporters of open access argue that through Creative Commons' licenses, creators (authors, scientists, artists, educators, etc.) can let users know exactly what they can and cannot do with the creator's works. Creative Commons is a non-profit organization that provides free, easy-to-use legal tools that give everyone from individual creators to large companies and institutions a simple, standardized way to grant copyright permissions to their creative work (Creative Commons, 2013).

To maintain usable ETDs, libraries need to uphold high quality metadata about the digital objects. Metadata summarizes basic information about data. Appendix B lists the metadata elements that serve as a vehicle by which the ETD metadata best practices are documented for the wider ETD community.

There are data elements that serve a function both for the key user tasks of bibliographic (descriptive) records and for preservation purposes. Catalogers have always done some assessment of material. Descriptive metadata describes the intellectual entity through properties such as author and title, and supports discovery and

Theses and Dissertations from Print to ETD

delivery of digital content. It may also provide an historic context by specifying, for example, which analog material was the original source for a digital derivative (source provenance).

Technical metadata includes descriptive information that applies to any file type, such as information about the software and hardware on which the digital object can be rendered or executed, or checksums and digital signatures to ensure fixity and authenticity. It also includes content type-specific information such as image width for an image or elapsed time for an audio and/or video file.

There is much discussion about something called “significant properties” that are special features of the ETD file that need to be preserved over time. An example might be a PDF file that has an embedded image of graph where the colors of the lines determine the meaning. In this case, it is important that the color be preserved, and there may be a need for catalogers to make the determination to state these characteristics in the metadata or to verify its accuracy (The Library of Congress, 2013).

Even though some ETDs are restricted to institution users, consulting the metadata description may convey sufficient information and can be adequate for most users’ needs. This approach of making metadata available to aid in discovery of resources is facilitated by the Open Archives Initiative (OAI), which has developed a protocol for exchanging such metadata. Using the OAI’s Protocol for Metadata Harvesting, individual sites can make their metadata accessible to providers of search and discovery services, while still maintaining complete bibliographic control over the resources.

A number of initiatives attempt to assess the various issues in light of the roles of several players over the entire ETDs lifecycle. To address one of these challenges, the UNT Libraries (the lead institution), together with other eight national partners, (the Networked Digital Library of Theses and Dissertations [NDLTD], Educopia, MetaArchive, Virginia Tech University, Boston College, Rice University, Indiana State University, and Penn State University) are working on a collaborative project sponsored by an Institute of Museum and Library Services National Leadership grant. This project provides key resources to help practitioners succeed. In particular, the guidance documents will provide libraries with a much needed core set of concise advisory documents to address practical implementation considerations in ETD programs (IMLS ETD Lifecycle Management Project, 2013).

SUMMARY

Since the late 1990’s, ETDs have been playing significant roles, not just as new forms of scholarly communication, but as drivers for the development of institutional repositories and digital libraries. The successful management of ETDs requires

effort across the entire lifecycle to ensure that ETDs are preserved and made accessible in a manner that today's users expect and that one can anticipate will be useful to tomorrow's users. Music, printed or performed, adds dimensions to this, including precise identification, collection management, and user access, restricted or public. Usefulness could be realized by integrating and contextualizing all of the ETDs components, including research data or performances, since value is added with each individual component.

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Theses and Dissertations from Print to ETD

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KEY TERMS AND DEFINITIONS

Cataloging: The process of creating descriptions that facilitate access to materials. Access may be by authors, title, subject, or classification.

Copyright: A form of intellectual property rights that gives the creator of an original work exclusive rights to it.

Digital Preservation: Encompasses various activities necessary to ensure ongoing access to digital resources.

Electronic Theses and Dissertations (ETD): Graduate papers (theses and dissertations) submitted in (or converted to) digital formats.

MARC: A metadata encoding language developed by the Library of Congress in the 1960s; it uses three numeral codes and other alphanumeric codes. This (MACHine Readable Cataloging) standard is being replaced by natural language descriptions.

Metadata: Structured information that describes or makes it easier to retrieve or manage an information resource. It can be the bibliographic description of an object, physical or digital.

Multiple Format Access: Ability to provide resources in various formats that facilitate access and preservation.

OCLC: A worldwide cooperative of shared cataloging, interlibrary loan, and research. This is a primary provider of MARC records for libraries. OCLC members cooperatively produce and maintain WorldCat—the world’s most comprehensive database of library materials.

Open Access: The practice of providing unrestricted access to digital resources such as ETDs, journal articles, and related scholarly works.

Rules for Description and Access (RDA): A Cataloging code to replace the Anglo-American Cataloguing Rules (AACR). Allows for description in MARC or other metadata schema such as Dublin Core.

Figure 5. University of North Texas College of Music

APPENDIX A: GUIDELINES FOR DMA DISSERTATIONS THAT INCLUDE A PERFORMANCE

(Excerpted from: http://music.unt.edu/advising/graduateForms/DMA_Handbook_10-11.pdf)

General Definition of DMA Document

The DMA dissertation consists of all required recitals plus the written document. The written document will represent original specialized research and an advanced level of musicianship. Successful documents will define a clear and focused topic and articulate an original and supportable argument regarding that topic. The document will be conceived as a scholarly contribution to the field of performance. Before submitting a DMA Topic Proposal, the student should:

1. Complete sufficient work on the project to define a topic.
2. Articulate a purpose and a provisional argument.
3. Identify the scholarly field(s) and research methods most appropriate to the project.
4. Have familiarity with the relevant bibliography.

Consult with members of your Advisory Committee before submission to the Graduate Performance Degree Committee.

Formats for the final paper:

- Lecture/recital performance based on a submitted paper of no less than 25 pages.
- Lecture presentation based on a submitted paper of no less than 30 pages.
- A submitted paper of no less than 100 pages.

Based on the format that you have selected for your doctoral document, one or more of these research methodologies may be appropriate:

- Critical edition or transcription with introduction and critical commentary.
- Historical musicology.
- Music pedagogy.
- Music theory and analysis.
- Performance guide.
- Scientific method as it applies to performance, including music and medicine.

Guidelines for Submitting Performance Guides

Performance Guides explore cases in which genuine complexities arise in the relationship between musical notation and the moment of performance. They merge score study with contextual investigation of musical styles and performance practices in order to aid contemporary performers in the thoughtful and informed presentation of a musical work. Program notes do not constitute a performance guide. Appropriate topics for Performance Guides include:

- Transcription of notation of earlier centuries into modern notation for modern instruments.
- Performance of compositions that borrow from non-Western or vernacular performance styles, or that call for realization on Western instruments of sounds, timbres, or styles typical of non-Western instruments.
- Explanation of how non-traditional notation in works of recent decades is to be performed.
- In the case of aleatoric music, or other music requiring improvisation, explaining how to assess the musical effectiveness of one or more realizations.
- Notation of improvisatory techniques used by masters of a performance idiom, so that the improvisatory character might be realized by a contemporary performer. This might include Baroque improvisation, ragas, etc. for which recordings exist but no musical notation has been published.
- Discussion of simplifications of scores requiring extreme virtuosity, examples of which would be some compositions of Paganini, Liszt, Stravinsky, Boulez, and others.
- Discussion of various existing manuscripts of a composition, or of the relative merits of various editions.

APPENDIX B: UNT LIBRARIES ETD METADATA

Table 2. Excerpted from: <http://www.library.unt.edu/digital-projects-unit/comr-metadata-creation-guide>

UNTL-ETD Element	For ETD	For Recital
Title:	Title Information, Title qualifier from the controlled vocabulary	Including alternative or added titles such as Doctoral Lecture Recitals, multiple degree-seeking performances, etc.
Creator:	Name of Author	Advisors, guest performers, etc., should be entered as contributors.
Contributor:	Name of Thesis Advisor & Committee Members	Include as many contributors as are readily available: composers, secondary performers and conductors, recording engineers, etc.
Publisher:	Usually Institution's name: University of North Texas	Usually, (unless otherwise noted), University of North Texas. College of Music
Date:	Graduation date	The date on which the recital was originally performed.
Language:	Choose the relevant language(s) from the drop-down menu.	If the recording is in multiple languages include each of them. If the pieces are entirely instrumental, choose "no language."
Description:	Content and Physical Descriptions, i.e., abstract and page numbers	Based on item type, provide a physical description using the format: extent: physical details; dimensions, etc.
Subject and Keywords:	Subjects/keywords describe what the item is 'about'	Choose as many terms as necessary to capture subject content.
Source:	Optional	Optional
Relation:	Optional	It will only be used when both related items are online.
Collection:	Choose the "UNT-ETD" collection from the drop-down menu.	Choose the correct collection(s) from the drop-down menu: COMR - College of Music Recordings.
Institution:	Choose the Institution name -- drop-down menu	Choose the correct institution from the drop-down menu: UNTML - UNT Music Library.
Rights and Status:	There are four aspects of rights information: -Access (level of access that will be allowed to users) -License (if there is a license or rights) -Holder (individual/organization that holds the rights) -Statement (other notes or details about the rights)	Use restricted to UNT Community, choose "unt" from the drop-down menus.

continued on following page

Table 2. Continued

UNTL-ETD Element	For ETD	For Recital
Resource type:	Type of resources	Choose the correct resource type from the drop-down menus.
Format:	Physical Description (usually text)	Choose the correct format from the drop-down menus.
Identifier:	Identifier (and Location)	Create an identifier and choose "Accession or Local Control Number" from the drop-down menu.
Metadata Information:	Record Information	Metadata Information
Note:	Description-Note, if needed	Only include notes when applicable.
Degree Information	Name, Level, Discipline, Department, Grantor	The Degree Department will be filled in for every record.