

Lifecycle Management of ETDs Workshop

Instructor Manual

Overview

The Lifecycle Management of Electronic Theses & Dissertations (ETDs) Workshop consists of a modular set of Creative Commons (CC-BY 4.0) licensed materials that are available for ETD programs or professional associations to make use of (and adapt) for educating a wide-range of ETD stakeholders. They can be modified, expanded upon, or scaled back to accommodate full-day or half-day in-person workshops, or even brief virtual webinars. The workshop provides both conceptual and practical information for both the individual professional/practitioner as well as the broader institution to help improve the overall curation and preservation of ETD content.

The current workshop consists of the following topics and modules:

Module 1: ETD Lifecycle Management – Interactive Overview

This module provides an overview of lifecycle management as it applies to ETD program planning & implementation. As ETD program stakeholders, attendees will provide questions and comments from their experience working with ETDs and ETD programs. These questions and comments will be identified on a lifecycle curation model in order to better understand where their specific ETD curation activities are making an impact and how they relate to other curation activities and ETD program stakeholders.

Module 2: ETD Guidance Documents – Overview & Usage

This module provides an overview of the *Guidance Documents for ETD Lifecycle Management* and discusses how ETD stakeholders can use them in their ETD programs. The documents will be identified on the ETD lifecycle model in order to make connections between the documents and various ETD program stakeholders in the context of specific curation activities. For each document, attendees will be provided a series of questions that can help them engage with the documents and facilitate their application within their specific ETD program.

Module 3: ETD Lifecycle Management Tools – Overview & Demo

This module provides an overview and demonstration of various modular curation tools and their corresponding documentation. These modular curation tools are geared toward enhancing ETD management across the lifecycle. Attendees will be provided with background and overview on the tools and advice to assist with their implementation at key phases in the lifecycle. A brief on-site demonstration of one or more modular curation tools will be provided in the context of a use case for ETDs.

All of the workshop materials, including annotated slides, example handouts for each module, example syllabus, and agenda are available here: <http://educopia.org/research/etd>.

This brief manual is designed to provide one or more workshop instructors with practical advice on preparing for and delivering the workshop materials referenced above. This includes:

- Background Preparation
- Promoting the Workshop



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- Delivering the Workshop
- Evaluating Success

Background Preparation

Step 1: Reviewing Lifecycle Curation Concepts & Models

The Lifecycle Management of ETDs project has modeled ETD curation and preservation concepts in accordance with the Curation Lifecycle Model pioneered by the Digital Curation Centre (UK). See here: <http://www.dcc.ac.uk/resources/curation-lifecycle-model>. Instructors should set aside some time to gain familiarity with the model and its concepts. In the Introduction to the Guidance Documents for Lifecycle Management of ETDs (<http://www.educopia.org/publishing/gdlmetd>), the concept of lifecycle management is discussed in further detail (see pages vii-viii). In the section below on Delivering the Workshop, further information is provided on the application of the Curation Lifecycle Model to ETDs and its usage value for the project's two main deliverables, namely the Guidance Documents for Lifecycle Management of ETDs and the ETD Lifecycle Management Tools Manual.

Step 2: Reviewing the Guidance Documents for Lifecycle Management of ETDs

Prior to delivering the workshop it is important for an instructor to spend a brief amount of time skimming the overall Guidance Documents for Lifecycle Management of ETDs. These are available here: <http://www.educopia.org/publishing/gdlmetd>. An instructor does not have to master all of the information, but should acquire a general sense of each document's focus and content. Where possible, it is strongly encouraged that an instructor chooses one or two documents of interest and read them in their entirety.

Step 3: Reviewing the Lifecycle Management Tools

Likewise, prior to delivering the workshop it will be important for an instructor to spend some time reviewing the ETD Lifecycle Tools Manual, and where possible downloading and experimenting with the open source tools described therein. The manual can be obtained here: <http://www.educopia.org/research/etd/etdlmtm>. Application of the tools is modeled with use cases depicting sample ETD content, but testing the tools on files of any type is acceptable.

Step 4: Reviewing the Workshop Materials

The workshop presentation slides and handout materials are the primary instruments for communicating concepts and information to the workshop attendees. It is important for an instructor to give her/himself time to review each module and its corresponding documents. All of the workshop materials can be obtained here: <http://educopia.org/research/etd>. Each slide is annotated, and each handout reinforces the information being communicated in each module. The section below on *Delivering the Workshop* will provide more details on how the instructor can make use of the slides and documents; at this stage of preparation it is most important to gain a sense of their contents.

Step 5: Preparing for Your Audience

The Lifecycle Management of ETDs Workshop has proven helpful and informative for ETD stakeholders of all interest, including ETD program managers, graduate school staff, librarians, technologists, and even graduate school students. Once you have reviewed all of the resources



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listed above, give some thought to whom you would like to target with the workshop, or how you might like to tailor one or more of the modules to reach a specific subset of stakeholders. ETD program managers and graduate school staff might be most interested in the general lifecycle concepts and orientation to the Guidance Documents. Librarians and technologists might be most interested in the Lifecycle Management Tools. The workshop materials are designed to be both comprehensive and flexible, depending on the needs of the desired audience. More on this below in the section on Delivering the Workshop.

Step 6: Preparing Your Workshop Date, Time, Venue & Agenda

It is important for an instructor to think ahead and consider the best date, time, and venue for the workshop depending on the desired audience. Keep in mind that the majority of ETD stakeholders are likely tied to academic cycles and that attendance will be based on their availability according to their job/research commitments. For what it is worth, the Lifecycle Management of ETDs project made every effort to deliver workshops in conjunction with existing ETD professional events (state/regional/international); this ensured availability for a critical mass of said stakeholders. If you plan to host the workshop off-site, make sure to coordinate with your host venue at least 1-2 months in advance to secure adequate room space and presentation technology (computer/laptop, projector, screen, mics if needed, etc.). If you have decided to carry out the workshop virtually, be sure that your webinar or web conferencing solution offers the right features for delivering the information and will support the technology preferences of your desired audience. An agenda should be prepared based on the final workshop schedule and include all date, time, and venue details along with any logistical information that attendees may need to locate the venue or connect virtually. More on this in the section below Promoting the Workshop.

Step 7: Preparing Your Materials and Presentation

Once you have gained familiarity with the workshop materials and informational content, and have begun to make logistical preparations, it is time to make arrangements for printing handouts and any other desired materials when the time comes. Give some thought to your budget and to the needs of the audience. For example, will they settle for electronic copies of handout materials or would they prefer paper copies? In the section below on Delivering the Workshop, one of the recommended interactive exercises involves use of sticky notes and markers. If used, you will want to make sure that you have enough on hand. This would go for pens and notepaper if there are plans to supply those materials. If you expect attendees to supply the latter items, just make sure to communicate that ahead of time (see the next section on Promoting the Workshop). Keep in mind that materials are an area that could be offset through use of a modest workshop attendance registration fee.

Preparation of materials aside, it is imperative that an instructor gives her/himself time to get comfortable delivering the workshop information. As previously mentioned, the presentation slides are annotated. Those annotations, coupled with the familiarity gained by reviewing the Guidance Documents and Lifecycle Management Tools Manual should be sufficient to provide an instructor with the basis of practicing delivery of the information. The important point is to give oneself time to practice a few run-throughs. Expand and condense the information where appropriate given the audience, your workshop schedule, and your teaching methods. More tips are available below in the section on Delivering the Workshop.



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Promoting the Workshop

Step 1: Establishing a Workshop Website (if possible)

Interested and prospective attendees will appreciate an online information source for your workshop. Making a website available with basic overview information, logistical information, and contact information can do wonders for raising awareness and boosting attendance. As time draws closer to the workshop event, it can also be helpful to post the agenda (schedule) and any public documents that you would like attendees to review prior to arriving. If attendance is limited and registration is required, the website can link to a registration form. If you are coordinating your workshop with another conference event you may be asked to provide this information for a website the conference organizers will prepare and host on your behalf. Be proactive in inquiring about such options/opportunities and making sure that your workshop information is available as soon as the conference site launches. Work constructively with the conference organizers to provide them with any information that may need to be added or updated. Below are links to a couple of website examples that the Lifecycle Management of ETDs project had prepared for promoting the workshop during the project period:

- **USetdA 2013:** <http://www.usetda.org/usetda-conferences/usetda-2013/#preconference>
- **UNT OA Symposium 2014:** [http://openaccess.unt.edu/symposium/2014/workshop-
etd-lifecycle-management-best-practices](http://openaccess.unt.edu/symposium/2014/workshop-etd-lifecycle-management-best-practices)

Step 2: Consider a Pre-Workshop Survey

Prior to making your first announcements or issuing first contact/correspondence with your attendees, consider whether it may be helpful to gather some pre-workshop information from those who confirm their attendance. Some examples of information that could be gathered are:

1. Basic demographic information
2. Current knowledge of ETDs or lifecycle concepts
3. Number of years working with ETDs
4. Areas of interest
5. Any specific questions they might have
6. Feedback or comments they may have regarding the Guidance Documents and/or Lifecycle Management Tools (if reviewed before hand).

This pre-workshop survey could be designed and distributed via an online survey tool like Survey Monkey or some other similar resource. A link to the survey can be sent via email one week prior to the workshop to all those who have confirmed their attendance (see Step 4: Pre-Workshop Communication & Sending Materials below). If you decide not to carry out an online pre-workshop survey prior to attendees' arrival at the workshop, you can also do so on-site in paper form. In any event, it might be wise to bring a few paper forms just in case attendees do not get around to filling out the online survey. In either case, feel free to reference



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the example pre-workshop survey questions that are made available as part of this set of workshop materials (see section below on Evaluating Success).

Step 3: Making Announcements

Be prepared to send out both a first announcement, as well as one or more reminder announcements to your desired attendee base. The first announcement should include basic information about the workshop with a link to your workshop website and any corresponding registration page.

Make it very clear:

1. What the workshop will cover
2. Who would benefit from attending
3. Whether there will be a charge for their participation.

The more time in advance of the workshop that the first announcement can go out the better, giving prospective attendees ample time to make necessary arrangements. Encourage interested parties to RSVP if there is no registration form or fees, and provide a follow-up contact so that those parties can follow-up with any questions. Reminder emails should go out at least one month prior to the workshop, perhaps earlier if there are any concerns about rounding out attendance. If attendance is a concern just prior to the workshop, another reminder announcement two-weeks prior could prove helpful for securing additional attendees. There are several well-established listservs for the ETD community that can be used (see below for contacts), but any special communities or individuals should also be considered. Take some time to collect the proper contacts, and make every effort not to spam communities or individuals that may not have clear ties to the ETD stakeholder community.

See below for a list of a few well-established ETD listservs and forums (may require subscription):

- **NDLTD Forum:** <https://groups.google.com/a/ndltd.org/forum/#!forum/etd>
- **USetdA Listserv:** communications1@usetda.org
- **Texas ETD Association Listserv:** texas_etd_list@utlists.utexas.edu
- **OhioLINK Listserv:** ohiolink@lists.ohiolink.edu.

Step 4: Pre-Workshop Communication & Sending Materials

Once you have completed your round of announcements and are prepared to close out registration (perhaps a week or a few days prior to the workshop), it will be important to reach out to all those who have indicated interest in attending the workshop. An email should be sent confirming their attendance and letting them know that you are looking forward to seeing them at the workshop.



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There are a number of materials that could prove helpful to provide to confirmed attendees prior to their arrival at the workshop. Examples of the materials mentioned below are available at: <http://educopia.org/research/etd>. They include:

- **Handouts:** The Lifecycle Management of ETDs project has prepared handouts for each of the modules and a syllabus that includes learning objectives. You may have tailored the information in these materials for your own workshop. Whatever the case, these will give attendees a preview of the information that will be covered.
- **Agenda:** A final agenda and workshop schedule will be handy so that attendees understand how the workshop will be structured.
- **Pre-Workshop Survey:** If you have prepared an online pre-workshop survey, this would be a great time to send them that link.
- **Slides:** You could also include the final Power Point slides and invite attendees to print them out for reference during the workshop.
- **Reminders:** Finally, make sure to let all arriving attendees know whether they should bring pen and notepaper or whether you are supplying those materials for them.

Delivering the Workshop

Arriving Early & Preparing the Room

Make sure to arrive early and give yourself time to:

1. Set out materials and prepare the presentation computer and projector to deliver the slide presentations.
2. Give some thought to what you will need to make use of or reference as the instructor, and where any assistive resources (notes, props, etc.) should be placed for easy access.
3. Take a look at the seating arrangements for the attendees and make any adjustments that might possibly be needed to ensure that everybody can see and hear your presentation.
4. Set out all of the module handouts, the syllabus, the printed agenda, and any pens, notepaper, nametags, etc. that attendees will be expected to collect as they find their seats.



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5. If you have made arrangements for any snacks or beverages to be provided, make sure that these are in their proper place. Locate the restroom nearest the room so that you can inform attendees where to locate the facilities for themselves.

Getting Started

As attendees arrive, make an effort to:

1. Greet them and introduce yourself without interfering with their settling in and setting up.
2. Remind folks to grab the materials that you have set out for them, and invite them to help themselves to any beverages or snack that have been provided.
3. Give everybody a 5-minute heads-up prior to getting started.

As people are getting settled, if you have decided to distribute a pre-workshop survey, make sure that you have called attention to the survey and that you are giving attendees time to complete it prior to beginning. Once all pre-workshop surveys have been collected, you can get started.

Now would be the time to officially welcome everyone and introduce yourself and any other instructors. Once introductions are out of the way, spend a few minutes to draw peoples' attention to the materials in front of them and the agenda. Provide a brief explanation of how they can make reference to the module handouts and the syllabus over the course of the workshop, and then review the agenda and schedule; you may have a slide up that contains the agenda details.

Making Use of the Materials

The main materials for the workshop are the module slides, the module handouts, and the syllabus. They are designed to work hand-in-hand with one another. It is helpful to be reminded at this point (particularly if you skipped ahead to this section), that the workshop is modular for a reason. It is not required that all of the modules be used all at once for the workshop. Each module can be its own workshop and modules can be combined depending on the needs of the audience. The workshop materials are CC-BY licensed and are able to be adapted and expanded upon to meet the needs of specific audiences. All of these materials are available here: <http://educopia.org/research/etd>.

General Use of Workshop Materials

All of the module slides provided by the Lifecycle Management of ETDs project have been annotated for the sake of the instructor. Those annotations should be sufficient to help the instructor know what is of importance to cover for any given slide and for the slides overall. As mentioned above in the section on Background Preparation, instructors are strongly encouraged to spend time doing a responsible review of the Guidance Documents and the ETD Lifecycle Management Tools Manual so that they can supplement the slide annotations with additional information of interest and relevance for their specific workshop audience.



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Each module has a slide that calls attention to the learning objectives for that module. This information is also on the syllabus so feel free to call attention to that supplemental resource.

At the end of each module is a slide that recommends practical next steps that an attendee can take to deepen their understanding of lifecycle management practices for ETDs. The module handouts draw attention to the focus and importance of each module. For **Module 2: ETD Guidance Documents – Overview & Usage**, the corresponding module handout has several review questions that attendees can make use of to apply the documents more specifically in the context of their own ETD programs; if used an instructor should call attention to this resource.

Finally, each of the modules is designed to allow time for questions at the end. Instructors can also use their judgment and invite questions throughout the workshop. Not all questions will be able to be answered. See the next section on

Evaluating Success for suggestions on facilitating questions after the workshop.

Module 1: Tips

For **Module 1: ETD Lifecycle Management – Interactive Overview**, one such interactive exercise that has proven very successful has involved the use of the Curation Lifecycle Model (<http://www.dcc.ac.uk/resources/curation-lifecycle-model>), some sticky notes, and markers. It is a very simple exercise.

Once you have provided a general overview of the Curation Lifecycle Model and how the Model applies to ETDs you can take 10-15 minutes to ask attendees to write down on one or more sticky notes a question, issue, or ETD topic area that they are interested in understanding more about or seeking to implement or improve in their own ETD environment.

Then, once they have taken 5 minutes to scribble out a few notes each, the instructor can collect these and bring them back up to the front of the room. With the Lifecycle Curation Model displayed on the projector screen or white board, the instructor can begin randomly selecting notes and reading them out to the audience, and asking for volunteers to explain where on the Model that particular question, issue, or topic seems most applicable. For example, a question about copyright or intellectual property could be placed next to the Create or Deposit section of the Model. The instructor should not seek to place the note in the proper place with out asking for volunteers or overly insist on a more correct placement; in other words, let the audience express their own understanding and preferences. There may be more than one proper place to position any given question, issue, or topic. The instructor should do their best not to focus on any one given question, issue, or topic but to place as many sticky notes on the board as possible during the 10-15 minute exercise.

The goal of the exercise is to strengthen the attendees' familiarity with the concepts and how they relate specifically to ETDs. The visual and interactive dimension of the exercise helps attendees to draw relationships between one issue and stakeholder group to other related issues and stakeholder groups across the lifecycle. This exercise in the first module will also help attendees understand the use of the model in later modules.



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Module 2: Tips

For **Module 2: ETD Guidance Documents – Overview & Usage**, referencing the slide contents, slide notes, and familiarity with one or more of the documents prior to delivering the workshop will prove most helpful and sufficient for the instructor. The goal is to provide a high-level summary of each document and then offer some suggestions for how attendees can make use of the documents in their own ETD programs. As mentioned above, the handout for this module is designed to be helpful for post-workshop applications.

Module 3: Tips

For **Module 3: ETD Lifecycle Management Tools – Overview & Demo**, if the instructor has familiarized her/himself with one or more of the tools and has the software installed on their personal computer they can provide a hands-on demonstration to the audience. This would likely mean that they would need the proper audio/video connector cables to connect to the projection system. Instructors should come fully prepared. Any demonstration of the tools in action can go a long way towards encouraging the adoption and use of the recommended technologies. Otherwise, feel free to make use of the annotated slides and explain to attendees how they can obtain the ETD Lifecycle Management Tools Manual.

Breaks & Wrap-Up

Breaks are important. Depending on the length of the workshop, one or more breaks may be needed. Breaks should really not exceed 15 minutes, otherwise attention and interaction may be hard to sustain. Ten to fifteen minutes should give attendees time to stretch, make use of the facilities, get a fresh beverage/snack, and meet peers and colleagues. On that note, take a moment to encourage people at the first break to introduce themselves to other workshop attendees. The instructor should also make a similar effort.

In terms of wrapping up the workshop, it is highly recommended to:

1. Leave 10-15 minutes toward the end of the workshop to invite any questions that may not have gotten addressed at the end of each module.
2. Recap what was covered, remind people about the practical follow-ups that were suggested, and encourage attendees to look back over the learning objectives on the syllabus.
3. Be sure to thank the attendees for their participation and provide them with your contact information so that they may follow-up with any questions that may still have not gotten covered.

If a pre-workshop survey was distributed, this would be the time to distribute a post-workshop survey (more on this below).

Evaluating Success

The Lifecycle Management of ETDs project has prepared a set of example pre- and post-evaluation surveys that can be used in concert with one another. See here:



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<http://educopia.org/research/etd>. These example surveys can be adapted to suit the scope and focus of the final workshop that you will be delivering.

Pre-Workshop Survey

Evaluating success ideally begins at the pre-workshop stage. As mentioned above in the section on *Promoting the Workshop*, distributing a pre-workshop survey can help to gauge audience expectations and needs. It can also provide you with a series of impact metrics that can be used to create a baseline of knowledge and understanding that can be re-evaluated post-workshop.

Post-Workshop Survey

Regardless of whether a pre-workshop survey gets administered, a post-workshop survey is highly recommended. A post-workshop survey, which can be provided during the workshop wrap-up (see above), should attempt to gauge an improvement in knowledge and understanding in line with the workshop's learning objectives, as well as to gauge the success of the workshop generally and the instructor's performance.

One-Month Follow-Up

In addition to an on-site post-workshop survey it is also encouraged to follow-up roughly one-month after the workshop to briefly inquire as to whether attendees made use of any of the practical guidance recommended via the workshop and the workshop materials, and what the benefits or challenges of applying the materials has been. The Post-Workshop Survey described above includes a final question asking respondents to confirm whether they would welcome this follow-up or would prefer to decline. It is important to ask permission.

As will likely be gleaned from the example surveys mentioned above, the purpose of these evaluation instruments is to identify what worked well and what could be improved in future workshops.

Questions?

If you are interested in making use of the Lifecycle Management of ETDs Workshop materials and/or becoming an instructor and have questions that this manual is not addressing, please feel free to contact research@educopia.org.

