

Texas Digital Library

Application Profile for Electronic Theses and Dissertations

Introduction

This MODS application profile for electronic theses and dissertations (ETDs) describes the best practices for descriptive metadata for member of the Texas Digital Library (TDL). This document defines the mandatory minimum elements for ETDs. Besides these elements, other valid MODS elements may be included in ETD records. Other optional subelements and attributes are described throughout the document.

Mandatory MODS elements for ETDs:

Title Information

Name of Author

Name of Thesis Advisor

Name of Degree Grantor

Type of Record

Genre

Origin Information

Language

Abstract

Subject

Identifier

Degree Information

Record Information

Instructions for formatting and encoding:

Title Information

Mandatory practice: Encode the title information in a <mods:titleInfo> wrapper element. Encode the title proper in a <mods:title> subelement. Encode the subtitle in a <mods:subTitle> subelement.

Optional practice: Other valid subelements or attributes within the <mods:titleInfo> element may be used.

Example:

```
<mods:titleInfo>
  <mods:title>Critical processes and performance measures for patient
    safety systems in healthcare institutions
  </mods:title>
  <mods:subTitle>a Delphi study</mods:subTitle>
</mods:titleInfo>
```

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Name of Author

Mandatory practice: Encode information about the name of the author in the <mods:name> wrapper element with the type attribute set to “personal.” Encode the MARC relator term “Author” in the <mods:roleTerm> subelement under the <mods:role> subelement. Encode the various parts of the name in the <mods:namePart> subelement. Include the type attribute in each <mods:namePart> subelement. The “given” and “family” name types are mandatory.

Optional practice: Encode the birthdate in a <mods:namePart> subelement with type set to “date”. Other valid subelements or attributes within the <mods:name> element may be used.

Example:

```
<mods:name type="personal">
  <mods:role>
    <mods:roleTerm authority="marcrelator" type="text">
      Author
    </mods:roleTerm>
  </mods:role>
  <mods:namePart type="given">Ralitsa B.</mods:namePart>
  <mods:namePart type="family">Akins</mods:namePart>
  <mods:namePart type="date">1967-</mods:namePart>
</mods:name>
```

Name of Thesis Advisor

Mandatory practice: Encode information about the thesis advisor in the <mods:name> wrapper element with the type attribute set to “personal.” Encode the MARC relator term “Thesis advisor” in the <mods:roleTerm> subelement under the <mods:role> subelement. Encode the various parts of the name in the <mods:namePart> subelement. Include the type attribute in each <mods:namePart> subelement. The “given” and “family” name types are mandatory. The element <mods:name> is repeatable for thesis advisors.

Optional practice: Encode the birthdate in a <mods:namePart> subelement with type set to “date”. Other valid subelements or attributes within the <mods:name> element may be used.

Example:

```
<mods:name type="personal">
  <mods:role>
    <mods:roleTerm authority="marcrelator" type="text">
      Thesis advisor
    </mods:roleTerm>
  </mods:role>
  <mods:namePart type="given">Ralitsa B.</mods:namePart>
  <mods:namePart type="family">Akins</mods:namePart>
  <mods:namePart type="date">1967-</mods:namePart>
</mods:name>
```

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```
</mods:role>  
<mods:namePart type="given">Bryan R.</mods:namePart>  
<mods:namePart type="family">Cole</mods:namePart>  
</mods:name>
```

Name of Degree Grantor

Comment [bes1]: One way of encoding degree grantor.

Mandatory practice: Encode information about the degree grantor in the <mods:name> wrapper element with the type attribute set to “corporate.” Encode the MARC relator term “Degree grantor” in the <mods:roleTerm> subelement under the <mods:role> subelement.

Optional practice: Other valid subelements or attributes within the <mods:name> element may be used.

Example:

```
<mods:name type="corporate" authority="lcnaf">  
  <mods:namePart>Texas A & M University</mods:namePart>  
  <mods:role>  
    <mods:roleTerm authority="marcrel" type="text">  
      Degree grantor  
    </mods:roleTerm>  
  </mods:role>  
</mods:name>
```

Type of Resource

Mandatory practice: Encode the type of resource in the <mods:typeOfResource> element.

Example:

```
<mods:typeOfResource>text</mods:typeOfResource>
```

Genre

Mandatory practice: Encode the MARC genre term “theses” in the <mods:genre> element. Set the authority attribute to “marcgt.”

Optional practice: Other valid attributes within the <mods:genre> element may be used.

Example:

```
<mods:genre authority="marcgt">theses</mods:genre>
```

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Origin Information

Mandatory practice: Encode information about the creation date in the <mods:originInfo> wrapper element. Encode the month and year of the creation date, according to ISO 8601, in the <mods:dateCreated> subelement. Set the encoding attribute to “iso8601.”

Optional practice: Other valid subelements or attributes within the <mods:originInfo> element may be used.

Example:

```
<mods:originInfo>  
  <mods:dateCreated encoding="iso8601">200408</mods:dateCreated>  
</mods:originInfo>
```

Language

Mandatory practice: Encode information about the language of the ETD in the <mods:language> wrapper element. Encode the language, according to ISO 639-2b, in the <mods:languageTerm> subelement. Set the type attribute to “code” and the authority attribute to “iso639-2b.” The <mods:languageTerm> subelement is repeatable.

Optional practice: Other valid subelements or attributes within the <mods:language> element may be used.

Example:

```
<mods:language>  
  <mods:languageTerm type="code" authority="iso639-2b">  
    eng  
  </mods:languageTerm>  
  <mods:languageTerm type="code" authority="iso639-2b">  
    spa  
  </mods:languageTerm>  
</mods:language>
```

Abstract

Mandatory practice: Encode the abstract in the <mods:abstract> element. Include the language attribute encoded in ISO 639-2b.

Optional practice: Valid attributes within the <mods:abstract> element may be used.

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Example:

```
<mods:abstract>
  This dissertation study presents a conceptual framework for
  implementing and assessing patient safety systems in healthcare
  institutions. The conceptual framework consists of critical
  processes and performance measures identified in the context of the
  2003 Malcolm Baldrige National Quality Award (MBNQA) Health Care
  Criteria for Performance Excellence...
</mods:abstract>
```

Subject

Mandatory practice: Encode topical subject terms in the <mods:subject> wrapper element. Encode individual terms or phrases in the <mods:topic> subelement. The <mods:topic> subelement is repeatable.

Optional practice: Controlled subject headings may be included by using the authority attribute of the <mods:topic> subelement. Other valid subelements or attributes within the <mods:subject> element may be used.

Example:

```
<mods:subject>
  <mods:topic>medicine</mods:topic>
  <mods:topic>patient safety</mods:topic>
  <mods:topic>processes and measures</mods:topic>
  <mods:topic>Baldrige framework</mods:topic>
  <mods:topic authority="lcsh">Universities and colleges</mods:topic>
</mods:subject>
```

Identifier

Mandatory practice: Encode the unique identifier in the <mods:identifier> element. The <mods:identifier> element is repeatable.

Optional practice: The type attribute may be used in the <mods:identifier> element. Other valid attributes within the <mods:identifier> element may be used.

Example:

```
<mods:identifier type="hdl">
  http://handle.tamu.edu/1969.1/1042
</mods:identifier>
```

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Degree information

Note: The MODS standard does not have elements specifically for theses and dissertations. In order to encode degree information in MODS, the <mods:extension> element is used to reference the ETD-MS XML schema.

Mandatory practice: Encode information about the conferred degree in the <etd:degree> wrapper element. Encode the degree name in the <etd:name> subelement. Use the fully spelled out form of the degree name. Encode the degree level, from the TDL vocabulary, in the <etd:level> subelement. Encode the degree discipline, from the TDL vocabulary, in the <etd:discipline> subelement. Encode the name of the degree grantor in the <etd:grantor> element. Use the form of the name authorized by the Library of Congress Name Authority File.

Comment [bes2]: We need to develop a TDL vocabulary for degree level and degree discipline.

Comment [bes3]: One way of encoding degree grantor.

Example:

```
<etd:degree>
  <etd:name>Doctor of Philosophy</etd:name>
  <etd:level>Doctoral</etd:level>
  <etd:discipline>Educational Administration</etd:discipline>
  <etd:grantor>Texas A & M University</etd:grantor>
</etd:degree>
```

Record Information

Mandatory practice: Encode information about the MODS record in the <mods:recordInfo> wrapper element. Encode the name of the agency that created the MODS record in the <mods:recordContentSource> subelement, with the authority attribute set to "marcorg." Encode the month, year, and day of the creation date of the record, according to ISO 8601, in the <mods:recordCreationDate> subelement. Set the encoding attribute to "iso8601." Encode the month, year, and day of the change date, according to ISO 8601, in the <mods:recordChangeDate> subelement. Set the encoding attribute to "iso8601." Encode the unique record identifier in the <mods:recordIdentifier> subelement.

Comment [bes4]: We need to develop a numbering system.

Optional practice: Other valid attributes within the <mods:recordInfo> element may be used.

Example:

```
<mods:recordInfo>
  <mods:recordContentSource authority="marcorg">
    TxCM
  </mods:recordContentSource>
```

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```
<mods:recordCreationDate encoding="iso8601">
  20050826
</mods:recordCreationDate>
<mods:recordCreationDate encoding="iso8601">
  20050826
</mods:recordChangeDate>
<mods:recordIdentifier>12345678</mods:recordIdentifier>
</mods:recordInfo>
```

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Full example of MODS record for an ETD

```
<?xml version="1.0" encoding="UTF-8"?>
<mods:mods

  xmlns:mods="http://www.loc.gov/mods/v3"
  xmlns:etd="http://www.ndltd.org/standards/metadata/etdms/1.0/"
  xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"

  xsi:schemaLocation=
    "http://www.loc.gov/mods/v3
    http://www.loc.gov/standards/mods/v3/mods-3-1.xsd

    http://www.ndltd.org/standards/metadata/etdms/1.0/
    http://www.ndltd.org/standards/metadata/etdms/1.0/etdms.xsd">

  <mods:titleInfo lang="eng">
    <mods:title>
      Critical processes and performance measures for patient safety
      systems in healthcare institutions
    </mods:title>
    <mods:subTitle>a Delphi study</mods:subTitle>
  </mods:titleInfo>

  <mods:name type="personal" authority="lcnaf">
    <mods:namePart>Akins, Ralitsa B., 1967-</mods:namePart>
    <mods:namePart type="given">Ralitsa B.</mods:namePart>
    <mods:namePart type="family">Akins</mods:namePart>
    <mods:namePart type="date">1967-</mods:namePart>
    <mods:role>
      <mods:roleTerm authority="marcrelator" type="text">
        Author
      </mods:roleTerm>
    </mods:role>
  </mods:name>

  <mods:name type="personal">
    <mods:namePart type="given">Bryan R.</mods:namePart>
    <mods:namePart type="family">Cole</mods:namePart>
    <mods:role>
      <mods:roleTerm authority="marcrelator" type="text">
        Thesis advisor
      </mods:roleTerm>
    </mods:role>
  </mods:name>

  <mods:name type="corporate" authority="lcnaf">
    <mods:namePart>Texas A & M University</mods:namePart>
    <mods:role>
      <mods:roleTerm authority="marcrel" type="text">
        Degree grantor
      </mods:roleTerm>
    </mods:role>
  </mods:name>
</mods:mods>
```


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```
</mods:role>
</mods:name>

<mods:typeOfResource>text</mods:typeOfResource>

<mods:genre authority="marcgt">theses</mods:genre>

<mods:originInfo>
  <mods:dateIssued encoding="w3cdtf">2004-11-15</mods:dateIssued>
  <mods:dateCreated>August 2004</mods:dateCreated>
</mods:originInfo>

<mods:language>
  <mods:languageTerm type="code" authority="iso639-2b">
    eng
  </mods:languageTerm>
</mods:language>

<mods:physicalDescription>
  <mods:form authority="marcform">electronic</mods:form>
  <mods:internetMediaType>application/pdf</mods:internetMediaType>
</mods:physicalDescription>

<mods:abstract lang="eng">This dissertation study presents a
  conceptual framework for implementing and assessing patient
  safety systems in healthcare institutions. The conceptual
  framework consists of critical processes and performance
  measures identified in the context of the 2003 Malcolm
  Baldrige National Quality Award (MBNQA) Health Care Criteria
  for Performance Excellence. Methodology: The Delphi
  technique for gaining consensus from a group of experts
  and forecasting significant issues in the field of
  the Delphi panel expertise was used. Data collection included a
  series of questionnaires where the first round questionnaire was
  based on literature review and the MBNQA criteria for excellence
  in healthcare, and tested by an instrument review panel of
  experts. Twenty-three experts (MBNQA healthcare reviewers and
  senior healthcare administrators from quality award winning
  institutions) representing 18 states participated in the survey
  rounds. The study answered three research questions: (1) What are
  the critical processes that should be included in healthcare
  patient safety systems? (2) What are the performance measures
  that can serve as indicators of quality for the processes critical
  for ensuring patient safety? (3) What processes will be critical
  for patient safety in the future? The identified patient safety
  framework was further transformed into a patient safety tool
  with three levels: basic, intermediate, and advanced. Additionally,
  the panel of experts identified the major barriers to the
  implementation of patient safety systems in healthcare
  institutions. The identified "top seven" barriers were directly
  related to critical processes and performance measures identified
  as "important" or "very important" for patient safety systems in
```

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the present and in the future. This dissertation study is significant because the results are expected to assist healthcare institutions seeking to develop high quality patient safety programs, processes and services. The identified critical processes and performance measures can serve as a means of evaluating existing patient safety initiatives and guiding the strategic planning of new safety processes. The framework for patient safety systems utilizes a systems approach and will support healthcare senior administrators in achieving and sustaining improvement results. The identified patient safety framework will also assist healthcare institutions in using the MBNQA Health Care Criteria for Performance Excellence for self-assessment and quality improvement.</mods:abstract>

```
<mods:subject>
  <mods:topic>healthcare</mods:topic>
  <mods:topic>medicine</mods:topic>
  <mods:topic>patient safety</mods:topic>
  <mods:topic>quality</mods:topic>
  <mods:topic>processes and measures</mods:topic>
  <mods:topic>Baldrige framework</mods:topic>
</mods:subject>

<mods:identifier type="hdl">
  http://handle.tamu.edu/1969.1/1042
</mods:identifier>

<mods:extension>
  <etd:degree>
    <etd:name>Ph. D.</etd:name>
    <etd:level>Doctoral</etd:level>
    <etd:discipline>Educational Administration</etd:discipline>
    <etd:grantor>Texas A & M University</etd:grantor>
  </etd:degree>
</mods:extension>

<mods:recordInfo>
  <mods:recordContentSource authority="marcorg">
    TxCM
  </mods:recordContentSource>
  <mods:recordCreationDate encoding="iso8601">
    20050826
  </mods:recordCreationDate>
  <mods:recordCreationDate encoding="iso8601">
    20050826
  </mods:recordChangeDate>
  <mods:recordIdentifier>12345678</mods:recordIdentifier>
</mods:recordInfo>

</mods:mods>
```